## 5. Management Responsibility

### 5.1 Management Commitment (Comply)

Top management shall provide evidence of its commitment to the development and implementation of the quality management system and continually improving its effectiveness by:

| a) communicating to the organisation the importance of meeting customer as well as statutory and regulatory requirements, | • See additional notes on this Clause  
• Defence Estate Management Policy  
• Defence Estate Quality Objectives  
• DEPSEC Email Updates  
**Human Resources**  
• Inducting our People  
• Orientation Sessions  
• Business Process Training  
• Performance Feedback Assessment & Development Scheme (PFADS) |
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<td>b) establishing the quality policy,</td>
<td>• Defence Estate Management Policy</td>
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| c) ensuring that quality objectives are established, | • See additional notes on this Clause  
• Management Forum – In Depth Reviews  
• Defence Estate Quality Objectives |
| d) conducting Management Reviews, and | • Management Forum – In Depth Reviews |
| e) ensuring the availability of resources. | • See additional notes on this Clause |

### 5.2 Customer Focus (Comply)

Top management shall ensure that customer requirements are determined and are met with the aim of enhancing customer satisfaction (see 7.2.1 and 8.2.1).

|  | • See additional notes on this Clause |

### 5.3 Quality Policy (Comply)

Top management shall ensure that the quality policy:

| a) is appropriate to the purpose of the organisation, | • See additional notes on this Clause  
• Defence Estate Management Policy  
• Defence Estate Quality Objectives  
• Management Forum – In Depth Reviews |
| b) includes a commitment to comply with requirements and continually improve the effectiveness of the quality management system, |  |
| c) provides a framework for establishing and reviewing quality objectives, |  |
| d) is communicated and understood within the organisation, and |  |
| e) is reviewed for continuing suitability |  |

### 5.4 Planning (Comply)

#### 5.4.1 Quality Objectives

Top management shall ensure that quality objectives, including those needed to meet requirements for product [see 7.1 a)], are established at relevant functions and levels within the organisation.

The quality objectives shall be measurable and consistent with the quality policy.

|  | • Defence Estate Management Policy  
• Defence Estate Quality Objectives  
• Strategy & Concepts: All processes  
• Risk Mitigation & Requirement Setting: All processes  
• Acquisition: All processes  
• In-Service & Disposal: All processes  
• Committees: PWC  
• Governance: Management Forum – In Depth Reviews  
• Governance: Project Governance Board |
### 5.4.2 Quality Management System Planning

**Top management shall ensure that:**

- a) the planning of the quality management system is carried out in order to meet the requirements given in 4.1, as well as the quality objectives, and
- b) the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.

### 5.5 Responsibility, authority and communication (Comply)

#### 5.5.1 Responsibility and Authority

Top management shall ensure that responsibilities and authorities are defined and communicated within the organisation.

- See additional notes on this Clause

#### 5.5.2 Management Representative

**Top management shall appoint a member of the organisation's management who, irrespective of other responsibilities, shall have responsibility and authority that includes:**

- a) ensuring that processes needed for the quality management system are established, implemented and maintained,
- b) reporting to top management on the performance of the quality management system and any need for improvement, and
- c) ensuring the promotion of awareness of customer requirements throughout the organisation.

- See additional notes on this Clause

#### 5.5.3 Internal Communication

Top management shall ensure that appropriate communication processes are established within the organisation and that communication takes place regarding the effectiveness of the quality management system.

- See additional notes on this Clause

### 5.6 Management Review (Comply)

#### 5.6.1 General

Top management shall review the organisation's quality management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the quality management system, including the quality policy and quality objectives.

Records from Management Reviews shall be maintained (see 4.2.4).

- Management Forum – In Depth Reviews
- Monitoring and Measurement

#### 5.6.2 Review Input

The input to Management Review shall include information on:

- a) results of audits,
- b) customer feedback,
- See additional notes on this Clause
### 5.6.3 Review Output

**The output from the Management Review shall include any decisions and actions related to:**

- Improvement of the effectiveness of the quality management system and its processes,
- Improvement of product related to customer requirements, and
- Resource needs.

### Additional Notes on Clause 5

This section provides specific interpretations to some of the clauses of the Quality Management standard. Interpretation is only provided where necessary and reflects the application of the clause within ID. These notes need to be read in conjunction with any notes on clause.

**ISO9001: Clause 5.1.**
Personnel new to ID undergo an induction process. This process is defined in the DEQMS. This induction process is where the requirements of meeting the customer, statutory and regulatory requirements are defined.

ID, through the various meetings held, focuses on meeting customer (refer to discussion of clause 7.2, 7.3, 7.4, 7.5), statutory and regulatory requirements. These requirements are also reinforced in the various process descriptions held within the DEQMS.

ID is part of the Estate & Infrastructure Group (E&IG). E&IG is responsible for establishing strategic Group Objectives. These broad objectives for the Group take into account the strategic direction of the Department’s Senior Leadership Group. The Division Head then meets with the Branch Heads to translate the Group objectives into Divisional Business Plans. The Divisional Business Plans feed into Branch Plans, Directorate Plans and finally into Individual Performance Agreements. The broad objectives consider Defence Departmental Program 1.6 Defence Support. This program also underpins strategic Defence Outcome 1 of 3 (i.e. The protection and advancement of Australia's national interest through the provision of military capabilities and the promotion of security and stability).

There are no specific procedures to define this process.

E&IG Priorities and Business Support Actions are outlined in the E&IG Business Plan.

At the project level, the objectives are established via the project requirements which are articulated in each process.

Resources are allocated against units and against an endorsed establishment. Resource allocation is monitored via priorities.

**ISO9001: Clause 5.2.**
The notes relating to Clauses 7.2 –7.5 describe the relationship between “customers” and ID. This description needs to be read in relation to this clause.

The processes on the DEQMS all relate to the provision of Defence facility requirements, which in turn, is geared to meeting higher Defence objectives, articulated through what is termed the “higher Defence committees”.

**ISO9001: Clause 5.3.**
The Defence Estate Management Policy is communicated through the intranet with a link from the DEQMS home page. The Defence Estate Management Policy is also available externally via the internet. Defence personnel are made aware of the DEQMS (and other key areas on the system, during the DEQMS induction session). The Defence Estate Management Policy is highlighted to new personnel during the DEQMS induction session. To test Defence personnel’s understanding of the Defence Estate Management Policy, internal assurance activities are conducted on a regular basis. The Defence Estate Quality Management System Team (DEQMS Team) also review the content and validity of each Opportunity for Improvement (OFI) raised (1) post compliance reviews (2) post feedback (3) due to continuous improvement requirements (refer to How the DEQMS Certification is maintained to AS/NZS ISO 9001:2008 standards)

**ISO9001: Clause 5.5.**
All personnel employed in ID have position descriptions. These are published on the Defence personnel system called PMKEYS. All personnel have access to these positions descriptions via the Defence Intranet called the DEFWEB.

The responsibilities and authorities for the DEQMS Management Representative are as per those defined in ISO9001:2008, Clause 5.5.2.

The responsibilities and authorities of the DEQMS team are as defined in minutes of this group, and varied as required from time to time.

Internal communications are facilitated by regular Division meetings which are translated down to Branch level meetings and then to Individual Directorates.