



**UNIVERSITAT POLITÈCNICA DE CATALUNYA
BARCELONATECH**

Gabinet de Relacions Internacionals



MANAGEMENT OF INCIDENTS: claims, complaints, suggestions and expressions of gratitude

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1. NAME OF THE PROCESS

Management of incidents: claims, complaints, suggestions and expressions of gratitude

Record of revisions of this document

Version	Date	Summary of the changes made / references of the changes	Person responsible
1	September 2016	Initial document	Quality and Development Officer
2			

List of document reviewers

Agent / unit
Head of the International and Corporate Relations Bureau (GRIE)
Head of the International Students Office
Head of Teaching and Research Staff and Administrative and Service Staff Mobility
Head of International Promotion
Quality and Development Officer

2. OBJECTIVE

The aim of this process is to define how the International and Corporate Relations Bureau (GRIE) of the Universitat Politècnica de Catalunya (UPC) processes incidents including claims, complaints, suggestions and expressions of gratitude, which provide opportunities to change and improve. The process involves defining the channels and procedure to follow to resolve our stakeholders' requests.

3. DESCRIPTION OF THE PROCESS

This document applies to incidents (claims, complaints, suggestions and expressions of gratitude) that the Bureau is informed about regarding its activity; specifically mobility, partnerships, international promotion, conferences, sponsorship, patronage, administrative activities and internal and external relations. The document takes into account our stakeholders' expectations and requirements in the provision of services offered by the unit.

The management of the unit shall promote, inform and disseminate mechanisms for communicating stakeholders' satisfaction or dissatisfaction.

Incidents shall be recorded when necessary, reported and analysed. When applicable, they

shall be resolved efficiently and transparently by the management once statements have been made by the head of the process or service. In any case, all suggestions, complaints, claims and expressions of gratitude shall be acknowledged by the unit.

Whenever possible, stakeholders shall be informed of reception of the incident and the response via telephone or email.

When claims and complaints are not dealt with by the unit, the stakeholders can transfer them to higher authorities that the University has established for this purpose.

3. CHARACTERISTICS

Start of the procedure	Incident described in writing by the stakeholder
End of the procedure	Solution or letter of gratitude issued
Area of application	A stakeholder who may be a member of the university community or an external recipient of university services can initiate this procedure.
Means of communication	<input checked="" type="checkbox"/> Face-to-face
	<input checked="" type="checkbox"/> By telephone
	<input checked="" type="checkbox"/> By fax
	<input checked="" type="checkbox"/> By post
	<input checked="" type="checkbox"/> Via the website (contact us)
	<input checked="" type="checkbox"/> By email (international@upc.edu)
	<p>Organisational unit responsible: GRIE</p> <p>Management: through undertaking the responsibilities described in the process, as well as meetings and documents associated with carrying out the responsibilities of the job.</p> <p>Heads of the service: through undertaking the responsibilities described in the internal sub-process for managing incidents related with administration and service provision in the areas of action.</p> <p>Quality and Development Officer: through undertaking</p>

<p>Stakeholders involved</p>	<p>the responsibilities described in the process. They channel and delegate the resolution of incidents through the head of the service.</p> <p>They may exercise their right to participate by sending complaints, claims, suggestions and expressions of gratitude through the established channels and procedures. The following groups have the right to receive a response:</p> <p>Professors, administrative and service staff, and students. They make up the university community.</p> <p>The Executive Council</p> <p>Schools</p> <p>Learning grantholders assigned to the Bureau</p> <p>Future students and affiliated staff</p>
<p>Stakeholders</p>	<p>They may exercise their right to participate by sending complaints, claims, suggestions and expressions of gratitude through the established channels and procedures. They have the right to receive a reply.</p> <p>Universities. Institutions dedicated to higher education that are organised into various schools or units, and issue the corresponding academic qualifications (bachelor's, master's and doctoral degrees). They may be public or private.</p> <p>Companies. Entities in which capital and labour are factors of production in manufacturing, commercial or service activities.</p> <p>Citizens. People who live in a state as subjects with civil and political rights.</p> <p>Government bodies. Their participation is related to the creation of legal and financial frameworks in their jurisdiction.</p>

4. RESPONSIBILITIES / ROLES

Recipient or stakeholder: this is the individual or legal entity that reports the incident, normally because they are not satisfied with the attention received, the service provided or the result of their request.

Management: defines and disseminates the channels and procedures for addressing and resolving incidents, claims, complaints, suggestions and expressions of gratitude, and keeps the unit's internal and external stakeholders informed.

The management shall ensure that the results of complaints, claims, suggestions and expressions of gratitude are disseminated. It shall also implement the resulting initiatives to review and improve processes. It shall communicate the solution of the process to the stakeholder.

After analysing the annual report drawn up with data gathered in the process of managing the incident, the management shall propose modifications and improvements to the relevant body or agency.

Heads of service: provide information about the channels and procedure for addressing incidents. They are also responsible for analysing and drawing up the report on incidents and proposed solutions. They analyse the information and make proposals for improvement.

Bureau user service: administrative units that act as front office to provide support and information to recipients and stakeholders. Located in the Til-lers building (2nd floor) and C3 building, Pl. de Telecoms, where the International Students Office (OMI) is located. This service can also be contacted via the website or email.

Quality and Development Officer: appointed by the management to receive and communicate incidents to the Bureau. The information for analysing processes shall be based on data gathered when the incident is addressed, which shall be used to draw up an annual report including the established indicators.

In addition, the Quality and Development Officer must study incidents to propose actions that could prevent similar incidents from occurring in the future, which will lead to continuous improvement.

5. APPLICABLE REGULATIONS

This section describes references and regulations that complement those included in the flow chart.


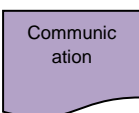
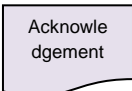


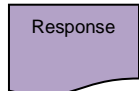


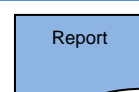
5.1 Internal regulations

- UPC Statutes
- UPC regulations
- Internal regulations for services (use of resources, facilities, etc.)

5.2 External regulations

- Spanish and Catalan university legislation
- European legal framework
- Law 30/1992, of 26 November, on the Legal System of Public Administrations and Common Administrative Procedures
- Law 1/2003, of 19 February, on Universities in Catalonia
- LOPD. Organic Law 15/1999, of 13 December, on Personal Data Protection. [pdf](open in a new window) Official Gazette of the Spanish Government no. 298, 14/12/1999
- Royal Decree 1720/2007, of 21 December, approving the regulations implementing Organic Law 15/1999, of 13 December, on Personal Data Protection. [pdf](open in a new window) Official Gazette of the Spanish Government no. 17, 19/01/2008
- Ruling of 15 July 2010, of the Third Courtroom of the High Court, which declares null and void certain articles of Royal Decree 1720/2007, of 21 December, approving the regulations implementing Organic Law 15/1999, of 13 December, on Personal Data Protection. Official Gazette of the Spanish Government no. 259, 26/10/2010

6. LIST OF DOCUMENTS

Documents	Description and reference of the document	Source of the document	Physical medium
	Document that describes the incident	Recipient or stakeholders	<input checked="" type="checkbox"/> Paper
			<input checked="" type="checkbox"/> Electronic
	Notification of reception of the document by the Bureau	GRIE	<input checked="" type="checkbox"/> Paper
			<input checked="" type="checkbox"/> Electronic
	Written acknowledgement of congratulations	GRIE	<input checked="" type="checkbox"/> Paper
			<input checked="" type="checkbox"/> Electronic
		GRIE	<input checked="" type="checkbox"/> Paper
			<input checked="" type="checkbox"/> Electronic
		GRIE	<input checked="" type="checkbox"/> Paper
			<input checked="" type="checkbox"/> Electronic
	Written response and/or resolution of the incident	GRIE	<input checked="" type="checkbox"/> Paper
			<input checked="" type="checkbox"/> Electronic
	List of indicators	Quality and Development Officer	<input checked="" type="checkbox"/> Paper
			<input checked="" type="checkbox"/> Electronic
	Report of results	GRIE	<input checked="" type="checkbox"/> Paper
			<input checked="" type="checkbox"/> Electronic
	Proposals for improvements and/or corrective actions	Quality Control Circle	<input checked="" type="checkbox"/> Paper
			<input checked="" type="checkbox"/> Electronic
	The unit's annual report	GRIE	<input checked="" type="checkbox"/> Paper
			<input checked="" type="checkbox"/> Electronic

7. SCHEDULES / DEADLINES FOR THE PROCEDURE

Schedule for the procedure	Description of the schedule	
Monthly	The stakeholder shall be informed of the resolution within 30 days.	

Activity code*	Deadline	Description
A3	3 days	Within 3 days, except during holidays, Christmas and Easter, stakeholders shall be informed that the incident has been received and the resolution process has been started.
A9 A11	15 days	The head of the service shall draw up a report and a proposed solution within 15 days of reception of the incident.
A12	28 days	The management of the GRIE shall approve the proposed resolution of the incident within 28 days of reception of the incident.

*see flow chart

8. CONTROL, MONITORING AND MEASURING

To measure and analyse the efficiency of the incident management procedure, the following indicators are defined:

Name and code of the indicator	Description Text / formula	Unit of measurement	Person responsible	Frequency
Incidents Received NI	Number of incidents received (NI= NF+NQ+NR+NS)	Numerical	Quality and Development Officer	Annual
Congratulations NF	Number of expressions of gratitude or congratulations	Numerical	Quality and Development Officer	Annual
Complaints NQ	Number of complaints	Numerical	Quality and Development Officer	Annual

Claims NR	Number of claims	Numerical	Quality and Development Officer	Annual
Suggestions NS	Number of suggestions	Numerical	Quality and Development Officer	Annual
Response time TR	Average response time	Numerical	Quality and Development Officer	Annual
	Total number of days from reception of the incident to the date of its resolution / NI			
Corrective actions AC	Number of corrective actions	Numerical	Quality and Development Officer	Annual

Annually, the Quality and Development Officer shall draw up a report of the results, based on the assessment indicators.

5.1. Analysis of the information and proposals for improvement

Information about the process relating to incidents that have been received shall be gathered by the Quality and Development Officer, who shall submit a report to the head of the unit.

On the other hand, the Quality Control officer shall analyse the results and, if necessary, make relevant proposals for improvements. The head of the unit will be informed of these proposals, so that their development and implementation can be assessed. Approved proposals shall be gathered by the Quality and Development Officer to report them and plan their implementation. The results shall be presented annually to the relevant people via the unit's annual report, to ensure the transparency of the process.

9. GLOSSARY

Incident: a one-off situation that occurs in the course of a matter or provision of a service that has developed in a way and with content other than established. This has an impact on the stakeholders' satisfaction.

Claim: statement made formally by stakeholders to demand compensation for treatment received or damage that they consider has been caused by a solution that has been provided. The demand for compensation for damage must be based on and is considered to be due to the stakeholder's dissatisfaction with a previous decision or

solution.

Complaint: dissatisfaction expressed by the stakeholder as a result of their evaluation of a situation that has occurred that does not constitute an infringement of rights. Normally the complaint does not require compensation.

Suggestion: a proposal for improvement in a service offered by the unit. Submitted for consideration by the person responsible for the process or by a higher authority so that it can be taken into account and incorporated into the normal functioning of the service that is provided.

Expressions of gratitude (congratulation): expression of satisfaction with the functioning of a process or service.

Suggestions box: a channel of communication established so that stakeholders can contact those responsible for Bureau services to show their degree of satisfaction.

Information channel: methods of face-to-face and online communication established by the Bureau to provide information, communicate with stakeholders, and receive notification of incidents.

10. DESCRIPTION OF ACTIVITIES

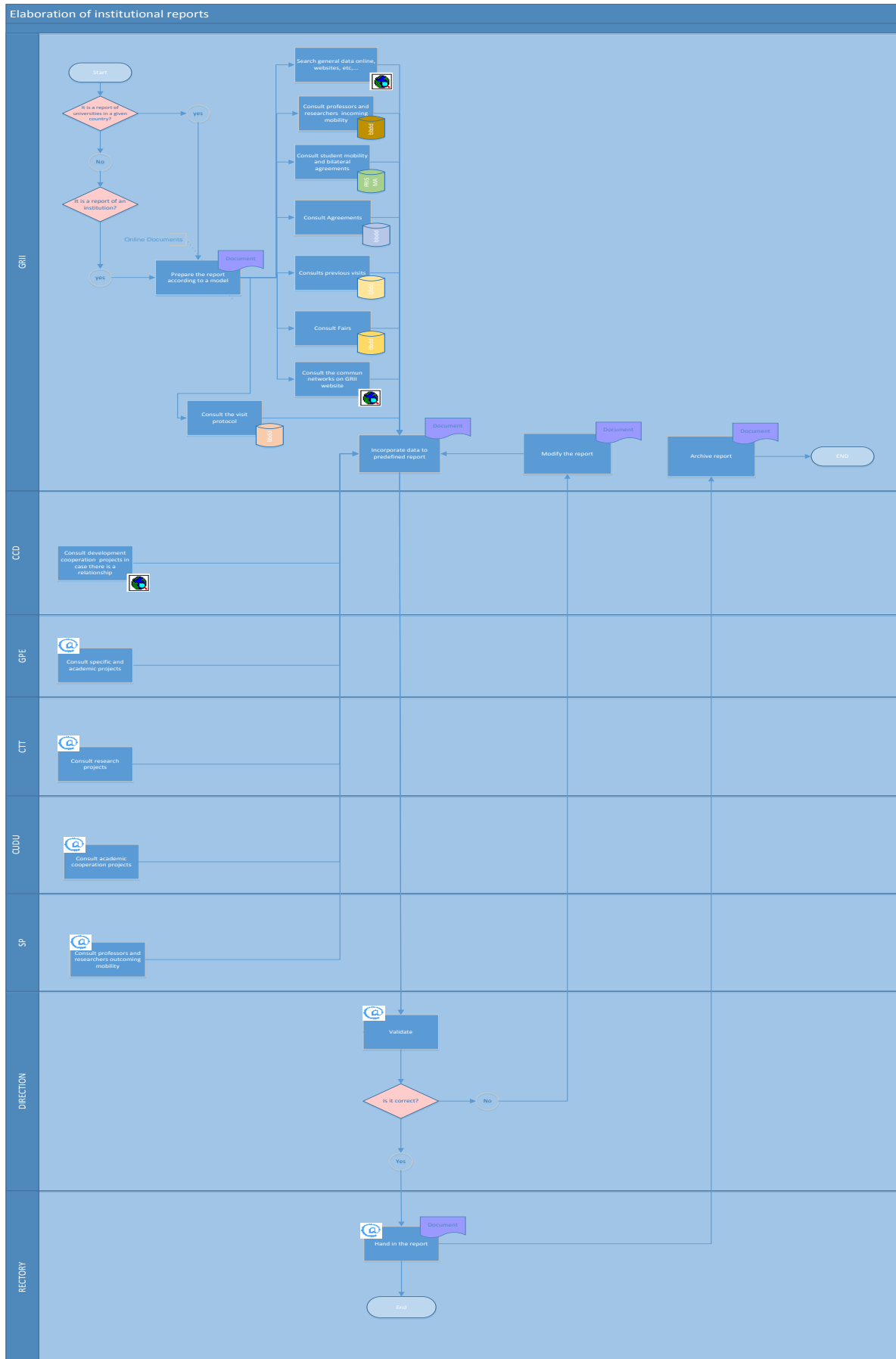
Activity code	Description
A1	Disseminate information about the channels and procedures for addressing and resolving incidents, whether they are claims, complaints, suggestions or expressions of gratitude.
A2	Provide information about the channels and procedures available for dealing with and resolving claims, complaints, suggestions and expressions of gratitude.
A3	Receive incidents.

- A4 Notify the stakeholder that a claim or suggestion has been received.
- A5 Analyse the claim or the complaint.
- A6 Analyse the suggestion.
- A7 Communicate thanks for received expressions of gratitude.
- A8 Write a report about the claim or complaint.
- A9 Propose a response or solution for the claim or complaint.
- A10 Write a report on the suggestion.
- A11 Propose a response or solution to the suggestion.
- A12 Notify the stakeholder about their claim or complaint.
- A13 Notify the stakeholder about the solution to their suggestion.
- A14 Promote the implementation of the improvement or corrective action.
- A15 Draw up a report on the incidents received during the year.
- A16 Publish the annual report.

11. COMPUTER SYSTEMS IN USE

Name	Activity code	Description
GRIE website		Information page for the International Relations Bureau (GRIE), where information is published relating to this process.
DemanaUPC		Online system for registering stakeholders' questions, requests and incidents, which can be made on the website or by email.

12. FLOW CHART



13. SYMBOLS



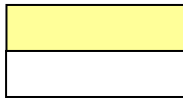
Start - End



Input or start of a process



Elements in the environment to consider



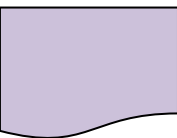
Activity to undertake



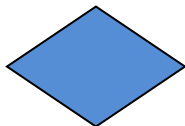
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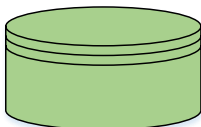
Document scanned



Documentary evidence of an activity



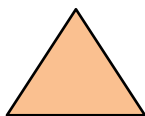
Decision



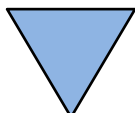
Data saved



Submitted by hand



Extraction / control activity



Archive