# Survey error management culture

## Textbox 1

The fair and orderly functioning of capital markets is contingent upon a sound and reliable infrastructure. The AFM therefore values these sound operations, and by consequence highly values sound operational risk management.

This survey is meant to provide the AFM with a better view as to how operational risks, errors and incidents are dealt with by this part of the financial sector. No organisation is immune to errors. Mistakes will be made. Organisations may differ however, in the way these situations are handled.

We stress that your anonymity is guaranteed. This survey will not ask or otherwise record any details, such as age, sex or department, with the exception of the question regarding a managerial function. Your answers therefore cannot be retraced to you and cannot be held against you in any way. The survey results will be analysed on a company and sector level only.

In this survey you will be asked to evaluate a number of statements. Use your mouse to select your answer. Try not to overthink; the first answer that comes to mind is usually the best. This survey concerns your own experiences and observations and there are no right or wrong answers; only your opinion matters.

# Part 1

## *Dealing with errors in your organisation*

The following questions address the organisational response to unintended errors at your workplace. For example, the unintended attachment of a confidential document to an email or typing errors when trading or in important calculations.

| | |
|---|---|
| After an error has occurred, it is analyzed thoroughly. | |
| Our errors point us at what we can improve. | |
| When someone makes an error, (s)he shares it with others so that they do not make the same mistake. | |

## *Possible answers to this questions:*

| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|---|---|---|---|---|---|---|
| Not applicable for this organisation | | | | | Fully applicable for this organisation | |

## *Managerial respons*

This part of the survey concerns the managerial response (by those who manage you directly) to errors in the workplace.

| | |
|---|---|
| After an error, my manager thinks through how to correct it. | |
| If I point out to my manager that an error has occurred, I'm expected to solve it myself. | |
| I am told by my manager about the lessons learned after an error has occurred | |

## *Possible answers to this questions:*

| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|---|---|---|---|---|---|---|
| Strongly disagree | | | | | | Strongly agree |

# Part 2

## Incidents

This part of the survey concerns things that should not occur, but did and that are expected to be reported internally within your organisation. These incidents are registered to enable follow-up measures. This could be the reporting and registration of downtime of important applications, but also instances of procedures being breached or other relevant issues.

| | |
|---|---|
| Sometimes I decide deliberately not to report an incident. | |
| When a mistake is made that will not result in financial loss for the client, it will still be reported. | |
| Even though I plan to report an incident, sometimes it does not happen. | |
| When it comes to incidents, the management is primarily focused on the avoidance of legal liability. | |
| The management does not seem interested in incident management, maybe only when an incident has occurred. | |
| The management has a clear vision on how the organisation should handle errors. | |

## Possible answers to this questions:

| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|---|---|---|---|---|---|---|
| Not applicable for this organisation | | | | | Fully applicable for this organisation | |

## Part 3

### *Learning from incidents*

This part of the survey concerns the aspect of learning from incidents within your organisation.

| | |
|---|---|
| Within our organisation, incidents are discussed in an open manner and everybody is invited to participate in the discussion. | |
| We are informed of incidents that occurred in other departments. | |
| Incidents have led to a positive change in this organisation. | |

### *Possible answers to this questions:*

| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|---|---|---|---|---|---|---|
| Not applicable for this organisation | | | | | Fully applicable for this organisation | |

## Final

In the open space below you can express anything you wish to share concerning errors or the reporting of incidents within your organisation. For example, what you think your organisation should do to further improve dealing with errors and incidents.

*Typ here…*

| |
|---|
| |

Thank you very much for completing this survey.

# Sources

- The items in part 1 'Dealing with errors in your organisation' are developed by Van Dyck, C., Frese, M., Baer, M., & Sonnentag, S. (2005). Organizational error management culture and its impact on performance: a two-study replication. Journal of Applied Psychology, 90(6), 1228-1240.

- The items in part 1 'managerial response' are developed by Dimitrova (2014) and based on Rybowiak, (1999). Dissertation Dimitrova 'Rethinking errors: How error-handling strategy affects our thoughts and others' thoughts about us'.

- The items in part 3 'learning from incidents' are an adapted version of the team learning scale as developed by Edmondson, A. (1999). Psychological safety and learning behavior in work teams. Administrative science quarterly, 44(2), 350-383.