

Brief Communication: Lessons Learned and Experiences Gained from Building Up a Global Survey on Societal Resilience to Changing Droughts

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Abstract

This paper ~~presents the experiences during~~describes the process of creating a global survey ~~with of~~ experts ~~into~~ evaluate drought resilience indicators. The lessons learned include five main points: (1) the heterogeneity of the conceptual background should be minimized prior to the construction of the survey; (2) large ~~number~~numbers of indicators ~~decreases~~decrease the engagement of respondents through the survey, ways to apportion indicators whilst maintaining reliability should be considered; (3) it is necessary to ~~find a good survey~~ design the survey to balance response rate and accuracy, (4) the survey questions should have clear statements ~~and with a~~ logical and flowing structure ~~fluid~~, (5) reaching ~~diverse~~ experts ~~by knowledge — areas, from different domain~~ experience and regional representationsrepresentation is difficult, but crucial to minimize biased results.

Keywords: drought resilience, indicators, expert elicitation, global survey

33 1 Introduction

34 The formulation of a global survey is a complex process that poses several challenges
35 both in its preparation (*a priori*), and evaluation of results (*a posteriori*) phases. In general,
36 studies focusing on surveys and expert elicitation address *a posteriori* challenges, such as
37 the data analysis tools used for samples of different sizes and compositions. However, *a*
38 *priori* challenges are rarely addressed and represent an important and ~~exhaustive~~defining
39 step in the process. For example, Baker et al. (2014) state that “while there is a rich literature
40 on expert elicitation approaches and protocols, there is less information available on the
41 specifics of how an elicitation is carried out”.

42 Harzing et al. (2013) have reviewed the issues faced in global surveys and identified
43 cultural and language differences, which may lead to different interpretations of questions
44 or loss of meaning, and varying response rates between countries as significant sources of
45 bias in global surveys. ProductLab (2023) also discusses the difficulties of global surveys
46 and provides best practices for their formulation. They also mention the challenges due to
47 cultural and language differences and finally recommend appropriate survey timing for all
48 countries. However, both studies ~~have a~~ focus on business and product development.

49 Therefore, our main motivation for writing this brief communication is due to the
50 scarcity of papers or other materials discussing the challenges of creating global surveys in
51 complex subjects where we face conceptual and definitional divergences - such as resilience.
52 We believe that the challenges and problems faced during the survey-building process are
53 often not discussed by the researchers, as doing so may weaken confidence in their final
54 results. However, it is important to face this fear and openly share difficulties encountered,
55 as this sharing of challenges can also lead to valuable new knowledge and insights gained.

56 In this study, we ~~have~~ used a global survey to elicit experts' opinions on drought
57 resilience indicators. These indicators have been increasingly used in Decision Support
58 Systems (DSS) to reflect different socioeconomic, ecological, and technological conditions
59 (WMO & GWP, 2016; Meza et al., 2019; Blauhut, 2020). Although numerous indicators for
60 drought resilience are ~~available~~found in the literature, certain aspects may make them
61 unfeasible for comparative analysis across global regions (Bachmair et al., 2016; Blauhut,
62 2020). The absence of spatial and temporal data, variability of measurements in different
63 regions, and difficulty in understanding indicators can make it hard to select indicators to
64 compose a global drought resilience index (Blauhut, 2020). However, these aspects are
65 usually overlooked when rating the relevance of the indicators during ~~the~~ surveys. For
66 example, Meza et al. (2019) have not incorporated these aspects in their global expert survey
67 on drought vulnerability indicators. Therefore, there is a need for a more in-depth analysis
68 of the drought resilience indicators to ensure their suitability for cross-regional comparisons.

69 Our focus was on ~~the~~ agricultural drought resilience ~~of the food system~~ linked to
70 systems of small farmers for food production. By following the Sendai Framework for
71 Disaster Risk Reduction (DRR) 2015-2030 (UNDDR, 2015), we listed and screened
72 indicators proposed in the scientific literature for drought resilience ~~focused on~~related to
73 food systems. The initial screening of indicators provided the food system. After, a basis for
74 the expert global survey ~~with experts was planned~~ to assess the relevance, the data
75 availability, and the shareholders' perception and understanding of these indicators in
76 different contexts.

77 Constructing the survey took about a year due to the challenges as presented in this
78 brief communication. We believe that it is important to discuss the process of formulating
79 the survey to prevent other researchers from ~~passing through~~encountering the same

80 problems and improving the use and interpretation of this method. The importance of
81 preparing ~~thea global expert~~ survey ~~itself~~ for any generic field ~~was~~has also been discussed
82 by Elangovan and Sundaravel (2021). ~~Here, we would like~~We hope to complement
83 ~~the studies and~~ suggestions for works in the resilience field.

84 2 Methods for eliciting expert views and knowledge

85 Mukherjee et al. (2017) identify six strategies that are best suited to the various stages
86 of the decision-making process and for eliciting different judgments: Interviews, Focus
87 Group ~~Discussion~~Discussions (FGD), Nominal Group ~~Technique~~Techniques (NGT), Q
88 methodology (Q), Delphi technique, and Multi-criteria Decision Analysis (MCDA). An
89 interview consists of an information exchange between two or more individuals in which
90 one of them aims to obtain information, opinions, or beliefs from the other person. The FGD
91 is a technique in which a researcher gathers a group of people to discuss a given issue. Aside
92 from the FGD, which aims to draw on the participants' complex personal experiences ~~and~~
93 ~~personal~~, actions, beliefs, perceptions, and attitudes, the NGT is an interactive group
94 decision-making process primarily focused on reaching a consensus. The Delphi technique
95 is traditionally aimed at reaching consensus, through a group-based, anonymous, and
96 iterative technique. The Q, on the other hand, is a tool for understanding the primary
97 viewpoints or opinions on an issue among a group of significant players, in which
98 respondents are asked to rank a set of items. Finally, the MCDA assists decision-making by
99 considering the benefits and disadvantages of several possibilities for achieving a
100 ~~certain~~specific objective.

101 ~~In their application, all approaches have~~Each methodological approach has advantages
102 and disadvantages. The interview, for example, may be ~~difficult~~challenging to perform due
103 to geographical proximity to the desired sample group (Mukherjee et al., 2017). Another

104 example of a challenge is that FGD ~~discussions are~~is dependent on participant engagement,
105 giving researchers less control. ~~Furthermore, the Q and NGT~~ There may ~~encounter~~be time
106 restrictions, ~~one because~~ for the Q and NGT due to participant interpretation ~~might be~~
107 ~~difficult~~difficulties and ~~time-consuming, and the other because there may be~~ insufficient
108 time to reach a consensus.

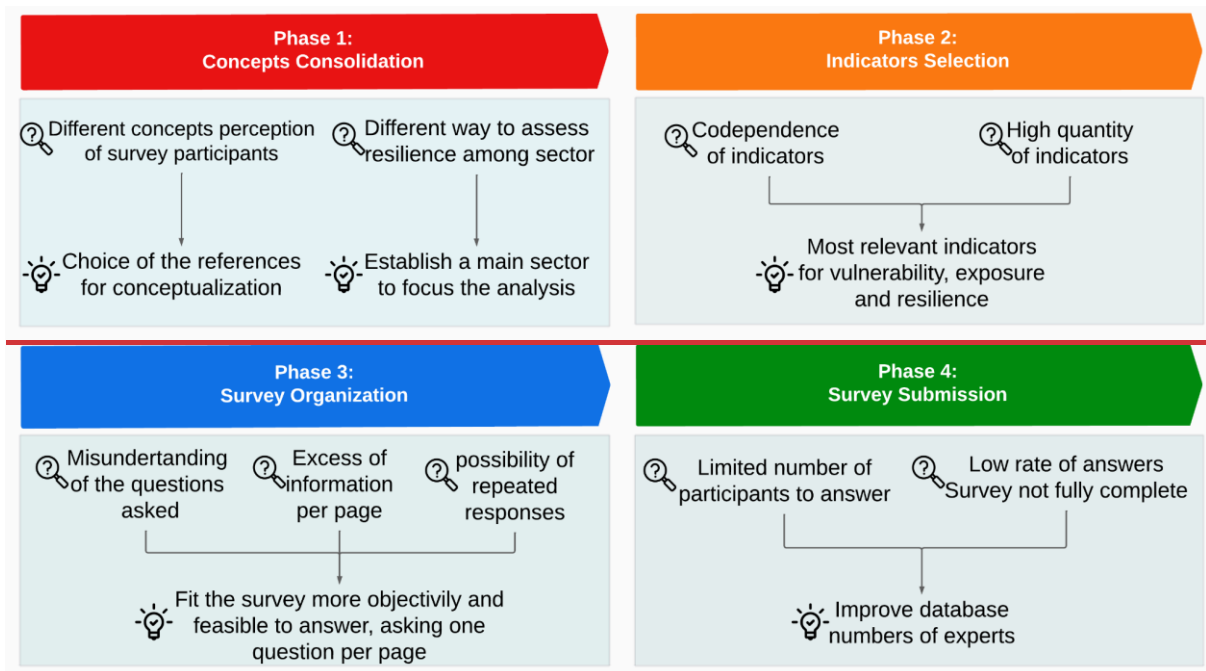
109 We chose the Delphi technique because it is a tool that can gather and assimilate a set
110 of experts' opinions across geographically diverse time zones on potentially complex
111 matters. ~~Even though the reliance on expert opinions can pose obstacles to using the Delphi~~
112 ~~method in evaluating drought indices, this~~The Delphi method has been applied to develop
113 indices for desertification (Hai et al., 2016) and water supply (Crisping et al., 2022).
114 ~~Additionally, this methodology has been applied to~~, and previously used in global surveys
115 (~~i.e.,~~ Rastandeh et al., 2018); ~~however~~). Nonetheless, the process of developing and
116 conducting ~~this research~~ a global survey based on the Delphi method at a global scale is not
117 well documented for users and requires further discussion.

118 3 Challenges in the Survey Planning

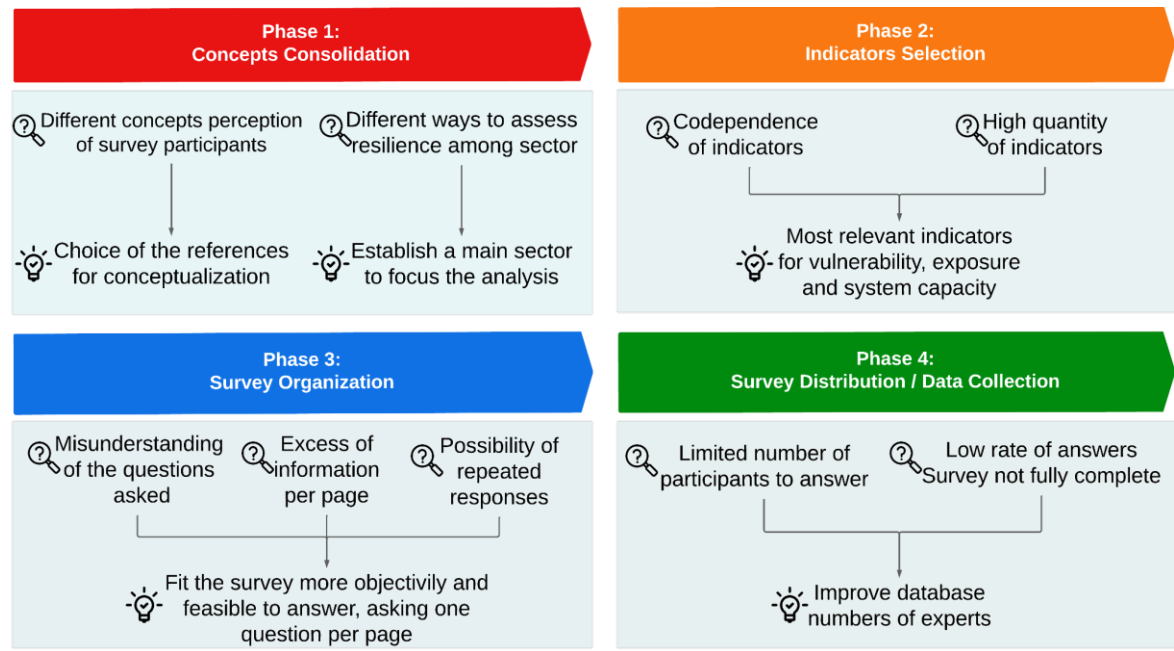
119 The elaboration and consolidation process of the global survey was carried out in four
120 main phases: conceptualization (concept consolidation), ~~indicators~~indicators' selection,
121 survey layout organization, and distribution/data collection in survey execution (Figure 1).
122 This section discusses the challenges encountered in each phase and how the research team
123 addressed them using a collaborative approach. The ~~total survey construction process, in~~
124 four phases, lasted 11 months, being the most time-consuming part of the research so far.
125 Additionally, it was a crucial part of the research since the quality of the ~~research~~ outcomes
126 depended on the questions and the engagement of the responders.

128

Figure 1 – Phases of global survey elaboration and main steps



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130



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132 3.1 Phase 1: Concepts consolidation

133 The first challenge was related to the consolidation of the concepts frequently
 134 associated with drought resilience. We targeted experts from different fields, such as

135 geophysics, engineering, economics, and social sciences who work and live in different
136 countries. Thus, the concepts used in the Sendai Framework, such as drought, DRR,
137 resilience, vulnerability, system capacity, and adaptation can be analyzed and perceived
138 differently among participants.

139 Initially, we planned to ask the experts to classify the selected indicators into
140 vulnerability or ~~resilience~~system capacity types, based on the component in which they had
141 the highest representation. However, due to the heterogeneity of expertise, backgrounds, and
142 contexts, we realized that leaving the classifications open for a later consolidation would
143 only propagate conceptual confusion, instead of solving it. These conceptual divergences
144 make it difficult to categorize the indicators in the resilience components and may affect the
145 perception of their relevance to the respondent. This task was difficult even for the research
146 group itself, which included researchers from different backgrounds and countries.
147 Therefore, we realized the importance of having a clearly defined *a priori* resilience model
148 to reduce conceptual confusion. For this purpose, we decided to adopt the Sendai Framework
149 (UNDRR, 2015), due to its global significance in developing public policies.

150 ~~As part of the DRR approach, it is important to first understand the evolution of~~
151 ~~disaster response and decision-making from an international perspective. Past discussions~~
152 ~~attempting to reduce the impacts of disasters had a focus on disaster management, which~~
153 ~~does not necessarily aim at averting or eliminating the threats but decreasing the negative~~
154 ~~impacts resulting from the event and recovering as fast as possible to the original (or better)~~
155 ~~state of the system (UNDRR, 2015). In recent years, there has been a shift from the approach~~
156 ~~of disaster management to disaster risk management. The latter is defined as “the application~~
157 ~~of disaster risk reduction policies and strategies to prevent new disaster risk, reduce existing~~
158 ~~disaster risk and manage residual risk, contributing to the strengthening of resilience and~~

159 ~~reduction of disaster losses” (UNDRR, 2015), aiming at actions in different timescales and~~
160 ~~with a focus on increasing the economic, social, health and environmental resilience. This~~
161 ~~new approach to managing disasters has been incorporated in the Sendai Framework report~~
162 ~~(UNDRR, 2015), which presents the importance of pre-disaster actions, such as prevention,~~
163 ~~mitigation, development, and implementation of appropriate actions for preparing and~~
164 ~~effectively responding to disasters. To this end, it emphasizes the importance of risk~~
165 ~~assessment and dissemination of location-based information, to support risk-informed~~
166 ~~decision-making.~~

167 ~~As previously mentioned, the~~The goal of disaster risk management is to increase and
168 strengthen resilience. The UNDDR (2015) defines resilience as “the ability of a system or
169 community to anticipate, resist, prepare, respond to and recover from an event with multiple
170 risks, with the least possible harm to social, economic, and environmental well-being”.
171 Several indices have been proposed over the years to represent the level of resilience of a
172 given system to a disruptive event. In general, resilience assessment requires the
173 identification of the risks in the system due to disruptive events and the adoption of risk
174 management policies to prevent their occurrence or reduce their impacts along the system's
175 chain~~-, therefore it can be represented by a function between risk and risk management (Eq.~~
176 ~~1).~~

177 The risk can be represented by a function that correlates the probability of occurrence
178 of the disruptive event (H), the vulnerability of the system’s different components (V), and
179 their exposure to risk (E), so that vulnerability and exposure represent the potential impacts
180 on the system (Merz et al., 2014) (Eq. 2). Within the disaster risk management and risk-
181 oriented decision-making approach, the risk analysis stage is of fundamental importance and
182 a precursor to the decision-making process.

183 To evaluate the risk management stage, it is important to understand the type of the
184 proposed risk mitigation action, its temporal component, and the magnitude of the impacts
185 if the proposed action fails. According to these components, the actions can be correlated
186 with the different system capacities that help reduce the disaster risk and further impacts,
187 ~~therefore~~, improving resilience, such as adaptive capacity₇ (AC), coping capacity₇ (CC), and
188 transformative capacity₇ (TC) (Eq. 3).

$$189 \text{ Resilience} = f(\text{Risk}, \text{Risk management}) = \text{Risk} / \text{Risk management} \text{ (Eq.1)}$$

$$190 \text{ Risk} = f(H, E, V) = H.E.V \text{ (Eq. 2)}$$

$$191 \text{ Risk management} = f(\text{system capacities}) = \sum_{i=AC}^{CC} \text{ system capacities} \text{ (Eq. 3)}$$

192 3.2 Phase 2: Indicators selection

193 Droughts can have significant impacts on different economic and social sectors₇, and
194 likewise economic and social features will impact how drought is experienced. However,
195 assessing the drought resilience of each sector can be different. Initially, we focused on
196 agriculture, but we realized that vulnerability and ~~resiliencesystem capacity~~ to droughts can
197 vary significantly within this sector. ~~Therefore, we prioritized the selection of⁴ indicators~~
198 ~~related to small farms' drought resilience and vulnerability~~. Small farms produce a
199 significant part of the world's food production (Lowder et al., 2021), and they are more
200 susceptible to climate change and extreme events than commercial farms (Morton, 2007).
201 Therefore, we prioritized the selection of indicators related to small farms' drought system
202 capacity and vulnerability. We observed that prioritizing indicators specific to small
203 farmers' drought ~~resiliencesystem capacity~~ and vulnerability allows for tailored insights and
204 interventions to address their unique needs. However, such a specificity comes at the cost of

⁴<https://edo.jrc.ec.europa.eu/gdo/php/index.php?id=2000>.

205 broader applicability and requires more intensive data collection and analysis. These
206 observations highlighted a trade-off between the targeted application effectiveness and the
207 generalizability of a risk management index, which is overlooked in the literature.

208 The list of indicators to be evaluated in the global survey was compiled from a
209 structured literature review. At the beginning of the process, we identified over 136
210 indicators that are frequently used in ~~the~~ literature (Supplementary Material 1). ~~From our~~
211 ~~literature review~~ We ~~noticed~~observed that indicators related to the hazard component of the
212 agricultural drought risk were already well established and could also be easily obtained
213 from global open databases, or even remote sensing satellite data, through geoprocessing.
214 For example, the Global Drought ~~Observatory~~¹-Observatory² already monitors hazard
215 indicators globally. Therefore, our focus on this survey was to identify indicators related to
216 risk impacts (vulnerability and exposure) and risk management actions to increase resilience
217 (adaptive, coping, and transformative capacity).

218 There ~~is~~are a myriad of indicators for evaluating drought and its impact on agriculture.
219 Two issues were raised from this initial list: (1) There were too many ~~codependent~~correlated
220 indicators (e.g., Gini index and poverty rate). Including the codependent indicators would
221 affect the final index by unintentionally attributing a higher weight to this factor;
222 Including all the 136 indicators, the survey would become too extensive and exhaustive,
223 which could affect the response rate.

224 ~~To address the issues raised,~~Therefore, narrowing the selection of the final list of
225 indicators was made through three steps. The first step was to remove hazard indicators, as
226 previously discussed. In this step, 31 indicators were removed. In the second step, we

²<https://edo.jrc.ec.europa.eu/gdo/php/index.php?id=2000>.

227 removed codependent indicators from the list, keeping the ones with more availability and
228 easy-to-access data. For example, from the Gini index and poverty rate, we opted for the
229 poverty rate, since it is a more direct measurement and easier to get in different contexts.
230 This process of eliminating codependent indicators was made interactively in group
231 discussion sessions with the members of our research team. A total of 28 indicators were
232 removed from consideration through this process. The third step was reducing the total
233 number of indicators to avoid the survey becoming too extensive and exhaustive to answer.
234 ~~From~~In this ~~part~~stage, each participant of the group independently rated the relevance of the
235 indicators, through a form available only for the group ~~and~~, based on the seven questions
236 given by WMO & GWP (2016). ~~From the answers, in~~After a group discussion ~~session~~, we
237 selected ~~the~~ 33 indicators ~~with the higher average rating~~based on these ~~indepedent ratings~~.

238 In the next stage, we sought independent expert opinions concerning the ~~selected~~
239 indicators ~~chosen~~ and the overall structure of the survey. External experts recommended
240 three additional indicators after the first pilot run of the survey. In the end, we had a list of
241 36 indicators (Table 1).

242 Additionally, during our internal group discussion sessions, one of the concerns was
243 that some indicators are very interesting and relevant, but they are ~~not easy~~challenging to
244 obtain. In this sense, we identified important complementary questions on data quality that
245 are usually not asked in the surveys (where all the relevant data are assumed to be equally
246 ~~easy~~accessible to obtain and understand). We asked the experts to rate the ~~indicators'~~
247 ~~metrics~~usability of indicators in terms of: relevancy, ease of understanding, accessibility,
248 and objectivity (we included a definition of each one at the beginning of the formulary).

249 The choice of these specific metrics came from Sweya et al. (2021). ~~They presented 5~~
250 ~~complementary~~ which ~~identified five essential~~ attributes for ~~the~~ social resilience indicators

251 of water supply systems ~~(which are: affordability, availability, reliability, simplicity, and~~
 252 ~~transparency).~~ As a result, they have obtained. They found that data availability, reliability,
 253 and affordability were the most limiting factors ~~for~~when selecting ~~the~~ indicators in Tanzania.
 254 In this sense, ~~and with~~ as the project focus ~~on~~was the Global South, ~~the~~our group selected
 255 the three metrics ~~before mentioned~~adapted from Sweya et al. (2021) to be complementary
 256 to the relevancy ~~and adapted from Sweya et al. (2021), where: (1)~~ understanding - it was
 257 used to represent the simplicity; (2) accessibility - it was used as a single attribute to account
 258 for affordability and availability; and (3) objectivity - it was an additional attribute that we
 259 chose to evaluate how objective is the final measure (since some of our social indicators are
 260 political measurements and may be subjective).

261 Table 1. List of indicators evaluated in the survey

Indicator*	Description
1. Agriculture income dependence	Percentage of participation of crop and livestock production in the income of smallholder farming
2. Crop loss	Crop Damage & Sensitivity (Crop Loss)
3. Drought resistant crops	Cultivation of drought-resistant crops (%)
4. Crop varieties	Farmers use different crop varieties (%)
5. Protected area	Area protected and designated for the conservation of biodiversity (%)
6. Use of agricultural inputs	Use of Insecticides and pesticides (Use of agricultural inputs)
7. WUE	Crop water use efficiency (WUE)
8. Land degradation	Degree of land degradation and desertification*
9. Land rights	Land rights clearly defined (yes/no)
10. Drought management policies	Existence of drought management policies
11. Technical assistance	Technical assistance from local entities
12. Drought insurance	Farmers with crop, livestock or drought insurance (%)
13. Water use rights	Water use rights are clearly defined
14. Prediction system	Availability of drought prediction and warning systems or climatic predictions
15. Transportation network	Transportation network

	Indicator*	Description
16.	Electricity	Access to electricity (Access to energy)
17.	Conflict	Prevalence of conflict/insecurity
18.	Sanitation condition	Population without access to (improved) sanitation (%)
19.	Gender inequality	Gender inequality (categorical)
20.	Rural population	Rural population (% of the total population)
21.	Unemployment	Unemployment rate (and/or proportion of formal work)
22.	Working-age population	Population ages 15-64 (% of the total population)
23.	Displaced population	Percentage of the population displaced internally or transboundary
24.	Drivers of migration	Presence of drivers of migration and displacement
25.	Poverty	Poverty Rate
26.	Food source reliability	Food source reliability and diversity
27.	Participation in local policy	Public participation in local policy
28.	Cooperatives or associations	Participation in farming cooperatives or associations
29.	Employment in small farms	% of the population employed in small farms
30.	Financing and credit	Access to financing and credit
31.	Water stress	Baseline water stress (ratio of withdrawals to renewable supply)
32.	Water quality	Water quality (categorical)
33.	Groundwater level	Groundwater level/sources
34.	Integrated policies	Integrated land and water management policies
35.	Retained renewable water	Percentage of retained renewable water
36.	Dam capacity	Total dam capacity

*The reference to each indicator is provided in Supplementary Material 1

262

263 3.3 Phase 3: Survey Organization

264 Another challenge was presenting the indicators and relevant information effectively
265 in an online survey instrument to make viewing, understanding, and comparing the
266 indicators as straightforward as possible. The survey design was made based on guidelines
267 for operationalizing the Delphi method (Hasson et al., 2000) and the suggestions made by
268 Elangovan and Sundaravel (2021). The last provided a template to validate the survey

269 instrument. However, they present a generic ~~form of~~ document, in which we still
270 experienced difficulties related to the resilience field study. Therefore, we have improved
271 our survey design based on the evaluation of different literature that used the Delphi method
272 to access resilience indicators (e.g., Alshehri et al., 2015; Ogah et al., 2021).

273 ~~Over a year, our team worked on constructing a survey.~~ During the process of
274 identifying the best layout, we tested different survey question designs ~~within the group~~. We
275 created several prototype surveys that varied in terms of question layout, types of questions
276 (such as Likert scales versus ranking), number of scales, and how the definition of concepts
277 was presented. To evaluate each prototype, ~~the research team members~~we considered the
278 ease of understanding, cognitive load, and the time required to complete the survey. These
279 survey prototypes were modified and combined based on the user experience. After the first
280 consolidation of the survey design to be used, a pilot pre-test was ~~done~~carried out with a
281 small external group of experts who were asked for their opinions on the final design and
282 indicators. We used the same process to design the second stage of the survey, according to
283 ~~the Delphi method, which was more difficult because the results of the first stage of the~~
284 ~~survey were expected to be provided to the respondents.~~ using the Delphi method.

285 In the final selected design, each page of the survey refers to one specific attribute,
286 and rates of importance that should be given to each indicator. This format was chosen
287 because it allows a comparison between the indicators when answering, reducing the
288 possibility of repeated responses for all indicators, and allowing a hierarchy between them
289 and greater fluidity in conducting the survey.

290 Each indicator could be rated on a three-point scale: “Low”, “Medium”, and “High”.
291 The definition of this point scale changes according to the metric that is being evaluated.
292 The category “Don’t know” was included to filter pseudo-opinions. On the last page of the

293 survey, we asked for some demographic information, like area of expertise, years of
294 experience, region of analysis, etc. The final format of the survey (Supplementary Material
295 2) was consolidated after all members of the group and the piloting phase group answered
296 the survey and did not ~~make~~provide any new inputs ~~and~~or suggestions. For the second stage
297 of the survey, we used the same ~~format was used~~layout, but we included the percentage of
298 the first-phase responders at each level of the scale, for each indicator and each metric.

299 3.4 Phase 4: Survey Distribution/Data Collection

300 The last challenge was defining the experts to whom the survey should be sent. As
301 the purpose was to obtain the opinions of experts from different backgrounds and socio-
302 economic contexts, a list of experts was created from recently published papers on droughts
303 in the Web of Science and Scopus databases. The members of the group also shared the
304 survey in their networks.

305 As a result of the disproportionate amount of research conducted in countries and
306 regions in the Global North due to economic factors, scientific databases have a bias toward
307 the Global North, in terms of institutional affiliation. Therefore, it is important to address
308 and remedy this issue in the recruitment process. After this initial data collection, a
309 distribution analysis was carried out about continents and countries to assess whether there
310 was a need to complement any specific region.

311 Despite the attempts to assemble the greatest diversity of experts' backgrounds on
312 drought resilience analysis, the study had a limitation about~~in~~ that it had a large
313 concentration of responses coming from academic experts (approximately 80%). This was
314 due to the difficulty in accessing the information of other practitioners and stakeholders,
315 since there is no unified database, as is the case with Scopus and Web of Science for

316 researchers. For future surveys, we recommend trying to reach out to existing policy and
317 practitioner networks around drought to reach other types of stakeholders.

318 The survey ~~has been~~was approved by the Institutional Review Board (IRB) of Penn
319 State University for Human Subjects Protection (IRB # STUDY00021208 ~~)~~), and a consent
320 form was provided ~~for~~to all the participants before starting the survey. We customized the
321 research consent form to align with the legal and ethical standards of the participant's country
322 as much as possible. For example, the survey presented a different consent form that
323 accurately reflects the customized considerations of the European Union. After the survey
324 concluded, we ~~saw that~~received responses from 326 experts from 46 countries ~~started~~
325 ~~answering and,~~with 120 ~~finished it.~~complete responses. The ~~presentation of the~~ data
326 obtained from the survey and their *a posteriori* analysis are presented in Sass et al. (2023).
327 For the second stage of the survey, ~~(as required by the Delphi method)~~, (as required by the Delphi method), we obtained 32
328 respondents from 21 countries.

329 **4 Lessons Learned and Recommendations**

330 In this study, a great effort was made to understand how to equalize regional issues
331 during the construction of a global survey aiming at identifying indicators to compose a
332 global index to evaluate resilience to agricultural droughts in the context of small farms for
333 food production. ~~In papers on surveys and experts' elicitation, the~~The challenges
334 encountered *a priori* in the application of the method (e.g., ~~the~~ construction of questions and
335 engagement of participants in the process) are not explained and discussed, in length in the
336 academic literature despite being crucial for the quality of the data obtained. In ~~this~~
337 ~~paper~~Table 2, we summarize our processes ~~of~~for designing such a survey, highlight the main
338 challenges, and present suggestions ~~to work~~for working around them.

339

Table 2. Summary of challenges, lessons and suggestions found on building a global

340

survey

<u>Survey phase</u>	<u>Challenges</u>	<u>Lessons learned</u>	<u>Suggestion</u>
<u>Phase 1 – Concepts consolidation</u>	<u>Resilience is a slippery concept. Conceptual divergence between expertise, backgrounds, context, and frameworks. Consolidation of concepts.</u>	<u>Need to consolidate the resilience concepts and framework used before starting the survey construction. Do not ask the respondents to classify the indicators into the resilience components. This would only propagate conceptual confusion, instead of solving it.</u>	<u>Define an a priori resilience model to reduce conceptual confusion. Define the main concepts of your survey</u>
<u>Phase 2 – Indicator selection</u>	<u>High number of resilience indicators in literature. Too many indicators make the survey too extensive and exhaustive, which affects the response rate, including the number of respondents who start the survey but do not complete it.</u>	<u>Hazard indicators are well- established and well-assessed. Many codependent indicators. Some indicators have a high relevance rate, but they are not easy to obtain or are not objective or easy to understand, which may affect their final use as a global indicator.</u>	<u>Narrow down the list of indicators according to the purpose of the study. Use at most 40 indicators. Remove hazard or secondary indicators, and remove codependent indicators (remaining with the easiest to access and direct measurement). Perform a first assessment of indicators by the internal group and select the most relevant. Use the pilot phase to validate chosen indicators by external experts. Include qualitative metrics besides relevance: ease of understanding, accessibility, and objectivity.</u>
<u>Phase 3 – Survey organization</u>	<u>Presenting the indicators and all relevant information effectively in an online instrument.</u>	<u>It is easier to compare indicators when they are presented all together. When the indicators are presented on separate pages, the respondents lose a sense of comparison, and they can provide the same ratings to all of them (usually as "High").</u>	<u>Use a three-point scale: "Low", "Medium", and "High" and include "Don't know" to filter pseudo- opinions. Each metric should be questioned on each page, presenting all the indicators to be rated to allow comparison between them.</u>

<u>Survey phase</u>	<u>Challenges</u>	<u>Lessons learned</u>	<u>Suggestion</u>
		<u>More than a three-point scale can cause confusion in responses.</u>	<u>The completion of the survey should not exceed 15 minutes, to prevent a decrease in the response rate to the final questions.</u>
<u>Phase 4 – Survey Distribution/ Data Collection</u>	<u>Defining the experts to whom the survey should be sent.</u>	<u>Bias to Global North representation.</u> <u>Difficult to have access to databases of other shareholders than the academy.</u>	<u>A list of experts can be created from authors of recently published papers in the Web of Science and Scopus databases.</u> <u>Evaluate the geographical coverage of the list and complement the list with specific contacts from underrepresented regions.</u> <u>To reach out to existing policy and practitioner networks around drought to reach other types of stakeholders.</u>

341

342 (1) There are different concepts related to resilience, especially about vulnerability and
 343 adaptationsystem capacity, which can be very context-dependent.

344 To deal with this challenge in the construction of a global indicator, we suggest
 345 choosing an internationally relevant and well-consolidated resilience framework (in this
 346 case, the Sendai Framework due to its relevance in public policies), rigidly adopting the
 347 presented settings. Additionally, to account for differences in local contexts, in addition to
 348 the relevance of each indicator, we utilized complementary attributes, such as ease of
 349 understanding, accessibility, objectivity, and temporal consistency.

350 (2) There are many indicators in the literature. Surveys containing all the indicators become
 351 tiresome to answer, decreasing the engagement, response rate, and quality of the answers
 352 obtained.

353 In our experience, including more than 40 indicators already significantly reduced
354 engagement and consistency in responses. Thus, the choice of the final and reduced list of
355 indicators should be based on the objective of the research, and the system evaluated, with
356 only the priority indicators being chosen for representativeness in different local contexts of
357 risks.

358 (3) It is important to identify the best survey design that clarifies questions and definitions,
359 to reduce misunderstanding and divergent answers across different contexts (expertise
360 and region-wise).

361 Before making the survey available to the ~~general public and experts~~ and
362 practitioners, it was essential to study its face ~~validity~~ and conceptual validity by our internal
363 research team and externally by a smaller group of experts during a pilot phase. Face
364 validation refers to whether the participants can interpret the survey items according to their
365 intended meaning. The conceptual validity ensures that survey items accurately represent
366 the theoretical concept that they are intended to represent. These validation processes will
367 help to identify and correct poorly prepared items and ill-defined concepts to ensure the
368 quality of the survey responses. Providing ~~the~~ conceptual definitions of the scales can
369 improve the face validity of surveys.

370 (4) The survey design must be clean and flow well between questions-

371 The engagement of respondents from the beginning to the end of the survey is of
372 great importance to maintain consistent results for all questions. Therefore, the format of the
373 applied survey is important. The survey should allow quick and explicit comparison between
374 the main components evaluated (in our case, the indicators), and questions about different
375 attributes should be separated into different sections. Response time should preferably ~~not~~
376 exceed be at most 15 min.

377 (5) It can be difficult to list participants from different areas of knowledge, professional
378 experience, and regions/countries. The small number of respondents for each area affects
379 the significance of the analysis *a posteriori*.

380 There is a lack of databases for practitioners and stakeholders other than
381 ~~academies~~experts, which makes it difficult to gather names of other actors usually involved
382 in decision-making processes. Suggestions to obtain a more diverse participant base,
383 including public and private sectors and international organizations, include creating their
384 buy-in and support to share the survey with their members and employees. Developing
385 collaborations with international agencies involved in dealing with disasters, especially
386 droughts (e.g. IDMP, UNCCD, WMO, FAO) may help with their engagement and
387 participation in the survey. Moreover, even in academic databases, there is still a great bias
388 for international research to be centered on countries of the Global North, in terms of
389 institutional affiliation. Since the countries of the Global South are generally the ones with
390 the greatest difficulty in coping with the risks of droughts, studies of indicators ~~cannot ignore~~
391 ~~such representativeness~~benefit a lot by taking into account their perspectives.

392 By sharing our experience in the process of constructing a global survey, we
393 ~~expect~~hope to help other researchers by pointing out the ~~main~~key difficulties ~~we have~~
394 ~~encountered~~one may encounter and the measures we followed to address them.

395 **5 Conflict of Interest**

396 *The authors declare that the research was conducted in the absence of any commercial or*
397 *financial relationships that could be construed as a potential conflict of interest.*

398 **6 Author Contributions**

399 All authors contributed to the development and execution of the global survey which
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