

1 **Brief communication: Lessons Learned and Experiences Gained**
2 **from Building Up a Global Survey on Societal Resilience to**
3 **Changing Droughts**

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19
20 **Abstract**

21
22 This paper describes the process of creating a global survey of experts to evaluate drought
23 resilience indicators. The lessons learned include five main points: (1) the heterogeneity of
24 the conceptual background should be minimized ~~prior to~~before the construction of the
25 survey; (2) large numbers of indicators decrease the engagement of respondents through the
26 survey, ways to apportion indicators whilst maintaining reliability should be considered; (3)
27 it is necessary to design the survey to balance response rate and accuracy; (4) the survey
28 questions should have clear statements with a logical and flowing structure; (5) reaching
29 experts from different domain experience and regional representation is difficult, but crucial
30 to minimize biased results.

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

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33 **1 Introduction**

34 The formulation of a global survey is a complex process that poses several challenges
35 in both in itsthe preparation (*a priori*) and evaluation of results (*a posteriori*) phases. In
36 general, studies focusing on surveys and expert elicitation address *a posteriori* challenges,
37 such as the data analysis tools used for samples of different sizes and compositions.
38 However, *a priori* challenges are rarely addressed and represent an important and 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 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 fearthese concerns and openly share difficulties
55 encountered, as this sharing of challengessuch experiences can also lead to valuable new
56 knowledge and insights gained.

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

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

78 ~~Constructing the survey took about a year due~~Due to the challenges ~~as~~-presented in
79 this brief communication. ~~We believe that it,~~ constructing the survey took about a year. It is
80 important to discuss the process of formulating the survey study to prevent other researchers

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81 from encountering the same problems and ~~improving~~improve the use and interpretation of
82 this method. ~~The~~Elangovan and Sundaravel (2021) have also discussed the importance of
83 preparing a global expert survey for any generic field ~~has also been discussed by Elangovan~~
84 ~~and Sundaravel (2021).~~ We hope to complement studies and suggestions for works in the
85 resilience field.

86 2 Methods for eliciting expert views and knowledge

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

102 Each methodological approach has advantages and disadvantages. The interview, for
103 example, may be challenging to perform due to geographical proximity to the desired sample
104 group (Mukherjee et al., 2017). Another example of a challenge is that FGD is dependent

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105 on participant engagement, giving researchers less control. There may be time restrictions
106 for the Q and NGT due to participant interpretation difficulties and insufficient time to reach
107 a consensus.

108 We chose the Delphi technique because it is a tool that can gather and assimilate a set
109 of experts' opinions across geographically diverse time zones on potentially complex
110 matters. The Delphi method has been applied to develop indices for desertification (Hai et
111 al., 2016) and water supply (Crisping et al., 2022), and has been previously used- in global
112 surveys (Rastandeh et al., 2018). Nonetheless, the process of developing and conducting a
113 global survey based on the Delphi method at a global scale ~~is not well~~needs to be better
114 documented for users and requires further discussion.

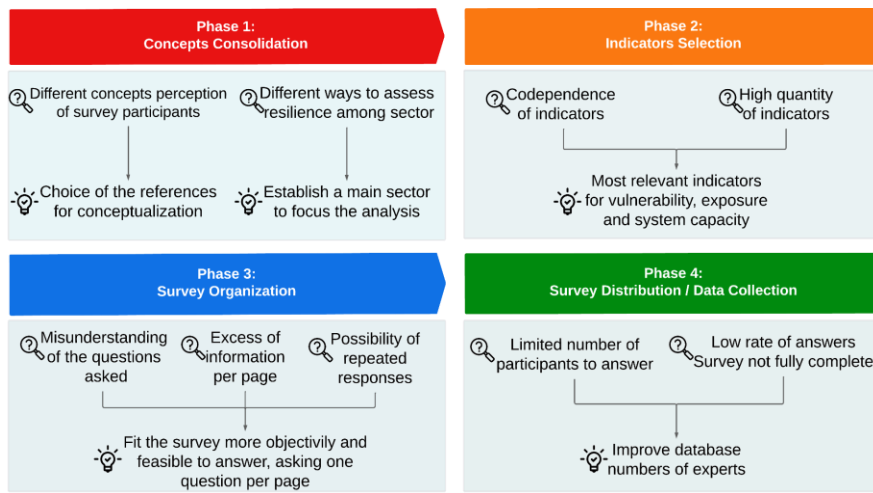
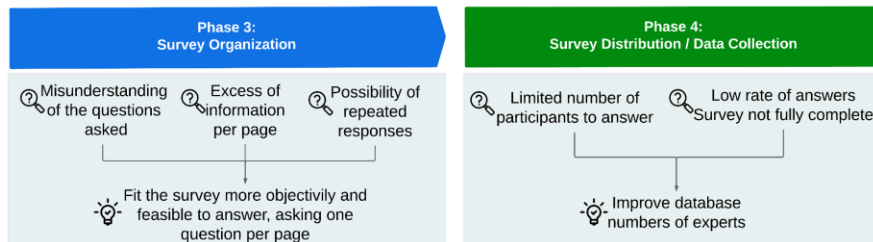
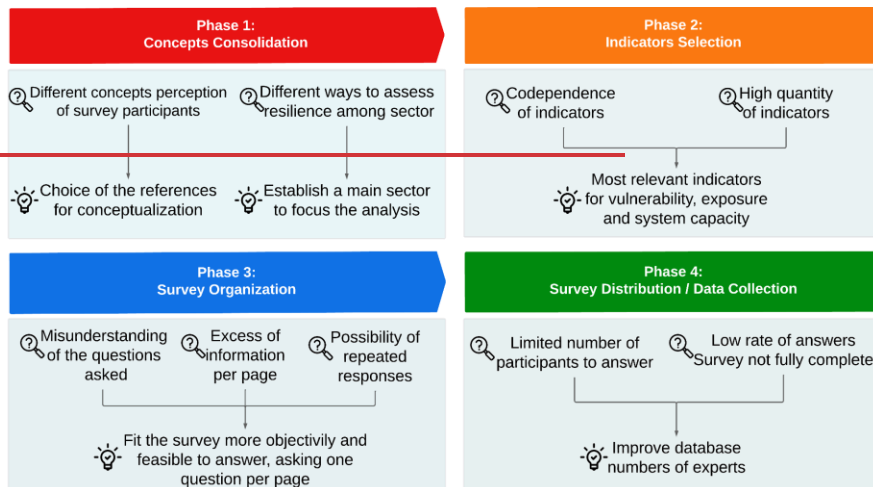
115 3 Challenges in the Survey Planning

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

123 Figure 1 – The phases of global survey elaboration and main steps

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3.1 Phase 1: Concepts consolidation

The first challenge was related to the consolidation of the concepts frequently associated with drought resilience. We targeted experts from different fields, such as geophysics, engineering, economics, and social sciences, who work and live in different countries. Thus, the concepts used in the Sendai Framework, such as drought, DRR,

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131 resilience, vulnerability, system capacity, and adaptation, can be analyzed and perceived
132 differently among participants.

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

144 The goal of disaster risk management is to increase and strengthen resilience. The
145 UNDRR (2015) defines resilience as “the ability of a system or community to anticipate,
146 resist, prepare, respond to and recover from an event with multiple risks, with the least
147 possible harm to social, economic, and environmental well-being”. Several indices have
148 been proposed over the years to represent the level of resilience of a given system to a
149 disruptive event. In general, resilience assessment requires the identification of the risks in
150 the system due to disruptive events and the adoption of risk management policies to prevent
151 their occurrence or reduce their impacts along the system's chain, therefore it can be
152 represented by a function between risk and risk management (Eq. 1).

153 The risk can be represented by a function that correlates the probability of occurrence
154 of the disruptive event (H), the vulnerability of the system's different components (V), and

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155 their exposure to risk (E), so that vulnerability and exposure represent the potential impacts
156 on the system (Merz et al., 2014) (Eq. 2). Within the disaster risk management and risk-
157 oriented decision-making approach, the risk analysis stage is of fundamental importance and
158 a precursor to the decision-making process.

159 To evaluate the risk management stage, it is important to understand the type of the
160 proposed risk mitigation action, its temporal component, and the magnitude of the impacts
161 if the proposed action fails. According to these components, the actions can be correlated
162 with the different system capacities that help reduce the disaster risk and further impacts,
163 improving resilience, such as adaptive capacity (AC), coping capacity (CC), and
164 transformative capacity (TC) (Eq. 3).

165 $Resilience = f(Risk, Risk\ management) = Risk - Risk\ management / Risk$
166 _____ (Eq.1)

167 $Risk = f(H, E, V) = H \times E \times V$ (Eq. 2)

168 $Risk\ management = f(system\ capacities) = \sum_{i=AC}^{CC} system\ capacities$ (Eq. AC +
169 $CC + TC$ _____) (Eq. 3)

170 3.2 Phase 2: Indicators selection

171 Droughts can have significant impacts on different economic and social sectors, and
172 likewise, economic and social features will impact how drought is experienced. However,
173 assessing the drought resilience of each sector can be different. Initially, we focused on
174 agriculture, but we realized that vulnerability and system capacity to droughts can vary
175 significantly within this sector. Small farms produce a significant part of the world's food
176 production (Lowder et al., 2021), and they are more susceptible to climate change and

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177 extreme events than commercial farms (Morton, 2007). Therefore, we prioritized the
178 selection of indicators related to small farms' drought system capacity and vulnerability. We
179 observed that prioritizing indicators specific to small ~~farmers'~~farmers' drought system
180 capacity and vulnerability allows for tailored insights and interventions to address their
181 unique needs. However, such a specificity comes at the cost of broader applicability and
182 requires more intensive data collection and analysis. These observations highlighted a trade-
183 off between the targeted application effectiveness and the generalizability of a risk
184 management index, which is overlooked in the literature.

185 ~~The~~We compiled the list of indicators to be evaluated in the global survey ~~was~~
186 ~~compiled from~~through a structured literature review. At the beginning of the process, we
187 identified over 136 indicators that are frequently used in literature (Supplementary Material
188 1). We observed that indicators related to the hazard component of the agricultural drought
189 risk were already well established and could also be easily obtained from global open
190 databases; or even remote sensing satellite data; through geoprocessing. For example, the
191 Global Drought Observatory¹ already monitors hazard indicators globally. Therefore, our
192 focus on this survey was to identify indicators related to risk impacts (vulnerability and
193 exposure) and risk management actions to increase resilience (adaptive, coping, and
194 transformative capacity).

195 There ~~are~~is a myriad of indicators for evaluating drought and its impact on agriculture.
196 Two issues were raised from this initial list: (1) There were too many correlated indicators
197 (e.g., Gini index and poverty rate). Including the codependent indicators would affect the
198 final index by unintentionally attributing a higher weight to this factor; (2) Including all the

¹<https://edo.jrc.ec.europa.eu/gdo/php/index.php?id=2000>.

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199 136 indicators, the survey would become too extensive and exhaustive, which could affect
200 the response rate.

201 Therefore, narrowing the selection of the final list of indicators was made through
202 three steps. The first step was to remove hazard indicators, as previously discussed. In this
203 step, 31 hazard-related indicators were removed. In the second step, we removed
204 codependent indicators from the list, keeping the ones with more availability and easy-to-
205 access data. For example, from the Gini index and poverty rate, we opted for the poverty
206 rate, since it is a more direct measurement and easier to get in different contexts. This process
207 ~~of involved interactively~~ eliminating 28 codependent indicators ~~was made interactively in~~
208 ~~through~~ group discussion sessions with ~~the~~ members of our research team. ~~A total of 28~~
209 ~~indicators were removed from consideration through this process.~~ The third step was
210 reducing the total number of indicators to avoid the survey becoming too extensive and
211 exhaustive to answer. In this stage, each participantmember of the group
212 ~~independently~~research teamindependently rated the relevance of the indicators, through a
213 form available only for the group, based on the seven questions given by WMO & GWP
214 (2016). After a group discussion, we selected 33 indicators ~~based on these~~
215 ~~independent~~considering the independent ratings of the research team.

216 In the next stage, we sought independent expert opinions concerning the indicators
217 chosen and the overall structure of the survey. External experts recommended three
218 additional indicators after the first pilot run of the survey. In the end, we had a list of 36
219 indicators (Table 1).

220 Additionally, during our internal group discussion sessions, one of the concerns was
221 that some indicators are very interesting and relevant, but they are challenging to obtain. In
222 this sense, we identified ~~important~~critical complementary questions on data quality that are

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223 usually not asked in the surveys (where all the relevant data are assumed to be equally
 224 accessible to obtain and understand). We asked the experts to rate the usability of indicators
 225 in terms of: relevancy, ease of understanding, accessibility, and objectivity (we included a
 226 definition of each one at the beginning of the formulary).

227 The choice of these specific metrics came from Sweya et al. (2021)¹, which identified
 228 five essential attributes for the social resilience indicators of water supply systems:
 229 affordability, availability, reliability, simplicity, and transparency. They found that data
 230 availability, reliability, and affordability were the most limiting factors when selecting
 231 indicators in Tanzania. In this sense, as the project focus was the Global South, our group
 232 selected the three metrics adapted from Sweya et al. (2021) to be complementary to the
 233 relevancy; (1) understanding – it was used to represent the simplicity; (2) accessibility – it
 234 was used as a single attribute to account for affordability and availability; and (3) objectivity
 235 – it was an additional attribute that we chose to evaluate how objective is the final measure
 236 (since some of our social indicators are political measurements and may be subjective).

237 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)

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Indicator*	Description
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
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

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240 Another challenge was presenting the indicators and relevant information effectively
241 in an online survey instrument to make viewing, understanding, and comparing the
242 indicators as straightforward as possible. The survey design was made based on guidelines
243 for operationalizing the Delphi method (Hasson et al., 2000) and the suggestions made by
244 Elangovan and Sundaravel (2021). The last provided a template to validate the survey
245 instrument. However, they ~~present~~presented a generic document, in which we still
246 ~~experienced difficulties~~needed help related to the resilience field study. Therefore, we have
247 improved our survey design based on the evaluation of different literature that used the
248 Delphi method to access resilience indicators (e.g., Alshehri et al., 2015; Ogah et al., 2021).

249 During the process of identifying the best layout, we tested different survey question
250 designs. We created several prototype surveys that varied in terms of question layout, types
251 of questions (such as Likert scales versus ranking), number of scales, and how the
252 ~~definition~~definitions of concepts ~~was~~were presented. To evaluate each prototype, we
253 considered the ease of understanding, cognitive load, and the time required to complete the
254 survey. These survey prototypes were modified and combined based on the user experience.
255 After the first consolidation of the survey design to be used, a pilot pre-test was carried out
256 with a small external group of experts who were asked for their opinions on the final design
257 and indicators. We used the same process to design the second stage of the survey, using the
258 Delphi method.

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

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264 Each indicator could be rated on a three-point scale: “Low”, “Medium”, and “High”.
265 The definition of this point scale changes according to the metric that is being evaluated.
266 The category “Don’t know” was included to filter pseudo-opinions. On the last page of the
267 survey, we asked for some demographic information, like area of expertise, years of
268 experience, region of analysis, etc. The final format of the survey (Supplementary Material
269 2) was consolidated after all members of the group and the piloting phase group answered
270 the survey and did not provide any new inputs or suggestions. For the second stage of the
271 survey, we used the same layout, but we included the percentage of the first-phase
272 responders at each level of the scale for each indicator and each metric.

273 3.4 Phase 4: Survey Distribution/Data Collection

274 The ~~last~~final challenge ~~was defining~~involved identifying and recruiting the experts
275 to ~~whom~~send the survey ~~should be sent. As the purpose was to~~. To obtain the opinions of
276 experts from different backgrounds and socio-economic contexts, a list of experts was
277 created from recently published papers on droughts in the Web of Science and Scopus
278 databases. The group members ~~of the group~~ also shared the survey in their networks.

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

285 Despite the attempts to assemble the greatest diversity of ~~experts'~~experts'
286 backgrounds on drought resilience analysis, the study had a limitation in that it had a large

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287 concentration of responses coming from academic experts (approximately 80%). This was
288 due to the difficulty in accessing -the information of other practitioners and stakeholders,
289 since there is no unified database, as is the case with Scopus and Web of Science for
290 researchers. For future surveys, we recommend trying to reach out to existing policy and
291 practitioner networks around drought to reach other types of stakeholders.

292 The survey was approved by the Institutional Review Board (IRB) of Penn State
293 University for Human Subjects Protection (IRB # STUDY00021208), and a consent form
294 was provided to all the participants before starting the survey. We customized the research
295 consent form to align with the legal and ethical standards of the participant's country as much
296 as possible. For example, the survey presented a different consent form that accurately
297 reflects the customized considerations of the European Union. After the survey concluded,
298 we received responses from 326 experts from 46 countries, with 120 complete responses.
299 The data obtained from the survey and their *a posteriori* analysis are presented in Sass et al.
300 (2023). For the second stage of the survey (as required by the Delphi method), we obtained
301 32 respondents from 21 countries.

302 4 Lessons Learned and Recommendations

303 In this study, a great effort was made to understand how to equalize regional issues
304 during the construction of a global an international survey aiming at identifying indicators to
305 compose a global index to evaluate resilience to agricultural droughts in the context of small
306 farms for food production. The challenges encountered *a priori* in the application of the
307 method (e.g., construction of questions and engagement of participants in the process) are
308 not explained and discussed in length in the academic literature despite being crucial for the
309 quality of the data obtained. In Table 2, we summarize our processes for designing such a
310 survey, highlight the main challenges, and present suggestions for working around them.

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311 Table 2. Summary of challenges, lessons, and ~~suggestions found on~~ recommendations for
 312 building a global survey

Survey phase	Challenges	Lessons learned	Suggestion
Phase 1 – Concepts consolidation	- Resilience is a slippery concept. <u>- Conceptual divergence between expertise, backgrounds, context, and frameworks.</u>	- Need to consolidate the resilience concepts and framework used before starting the survey construction. <u>- Do not ask the respondents to classify the indicators into the resilience components. This would only propagate conceptual confusion, instead of solving it.</u>	- Define an a priori resilience model to reduce conceptual confusion. - Define the main concepts of your survey.
	Conceptual divergence between expertise, backgrounds, context, and frameworks. Consolidation of concepts.	Do not ask the respondents to classify the indicators into the resilience components. This would only propagate conceptual confusion, instead of solving it.	
Phase 2 – Indicator selection	High number of resilience indicators in literature.	Hazard indicators are well-established and well-assessed.	Narrow down the list of indicators according to the purpose of the study. Use at most 40 indicators.
Phase 2 – Indicator selection	- 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.	- Hazard indicators are well-established and well-assessed. - Many codependent indicators. <u>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.</u> - Remove hazard or secondary indicators, and remove codependent indicators (remaining with the easiest to access and direct measurement). - <u>Perform a first assessment of indicators by the internal group and select the most relevant.</u> - <u>Use the pilot phase to validate chosen indicators by external experts.</u> - <u>Include qualitative metrics besides relevance: ease of understanding, accessibility, and objectivity.</u>
		Some indicators have a high relevance rate, but they are not easy to obtain or are not objective or easy to understand.	

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~~which may affect their final use as a global indicator.~~

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.~~

Phase 3 – Survey organization

~~- Presenting the indicators and all relevant information effectively in an online instrument.~~

~~- 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").~~

~~- More than a three-point scale can confuse responses.~~

- 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.

- The completion of the survey should not exceed 15 minutes, to prevent a decrease in the response rate to the final questions.

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~~Each metric should be questioned on each page, presenting all the indicators to be rated to allow comparison between them.~~

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~~More than a three-point scale can cause confusion in responses.~~

~~The completion of the survey should not exceed 15 minutes, to prevent a decrease in the response rate to the final questions.~~

Phase 4 – Survey Distribution/ Data Collection

~~- Defining the experts to whom the survey should be sent.~~

~~- Bias to Global North representation.~~

~~- Difficult to have access to databases of other shareholders than the academy.~~

- A list of experts can be created from authors of recently published papers in the Web of Science and Scopus databases.

- Evaluate the geographical coverage of the list and complement the list with specific contacts from underrepresented regions.

- To reach out to existing policy and practitioner networks around drought to reach other types of stakeholders.

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Difficult to have access to databases of other shareholders than the academy.

Evaluate the geographical coverage of the list and complement the list with specific contacts from underrepresented regions.

To reach out to existing policy and practitioner networks around drought to reach other types of stakeholders.

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Next, we present and discuss the five main points to be considered when conducting reliable and representative research on a global scale.

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

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

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

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

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

336 Before making the survey available to the experts and practitioners, it was essential
337 to study its face and conceptual validity by our internal research team and externally by a
338 smaller group of experts during a pilot phase. Face validation refers to whether the
339 participants can interpret the survey items according to their intended meaning. The
340 conceptual validity ensures that survey items accurately represent the theoretical concept
341 that they are intended to represent. These validation processes will help to identify and
342 correct poorly prepared items and ill-defined concepts to ensure the quality of the survey
343 responses. Providing conceptual definitions of the scales can improve the face validity of
344 surveys.

345 (4) The survey design must be clean and flow well between questions.

346 ~~The Respondent~~ engagement ~~of respondents~~ from the beginning to the end of the
347 survey is ~~of great importance~~ crucial to ~~maintain~~ maintaining consistent results for all
348 questions. Therefore, the format of the applied survey is important. The survey should
349 ~~allow~~ facilitate a quick and ~~explicit~~ clear comparison ~~between~~ of the main components ~~being~~
350 evaluated ~~(in our this case, the indicators), and. To minimize cognitive load,~~ questions

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351 ~~about~~regarding different attributes should be ~~separated~~organized into ~~different~~separate
352 sections. Response time should ~~preferably~~ be ~~at most~~ 15 ~~min~~minutes.

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

356 There is a lack of databases for practitioners and stakeholders other than experts, which
357 makes it difficult to gather names of other actors usually involved in decision-making
358 processes. Suggestions to obtain a more diverse participant base, including public and
359 private sectors and international organizations, include creating their buy-in and support to
360 share the survey with their members and employees. Developing collaborations with
361 international agencies involved in dealing with disasters, especially droughts (e.g., IDMP,
362 UNCCD, WMO, FAO) may help with their engagement and participation in the survey.
363 Moreover, even in academic databases, there is still a great bias for international research to
364 be centered on countries of the Global North, in terms of institutional affiliation. Since the
365 countries of the Global South are generally the ones with the greatest difficulty in coping
366 with the risks of droughts, studies of indicators benefit a lot by taking into account their
367 perspectives.

368 By sharing our experience in the process of constructing a global survey, we hope to
369 help other researchers by pointing out the key difficulties one may encounter and the
370 measures we followed to address them.

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371 **5 Conflict of Interest**

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

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374 **6 Author Contributions**

375 All authors contributed to the development and execution of the global survey which
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377 by the Belmont Forum². MM, MB, KS, and AN contributed to this manuscript by writing,
378 reading, and reviewing. AK, NO, EM, GS, PS, and MJ contributed to the manuscript revision
379 and reading.

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