

1     **Easy-to-use spatial Random Forest-based downscaling-calibration method for**  
2             **producing precipitation data with high resolution and high accuracy**

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9     **Abstract.** Precipitation data with high resolution and high accuracy is significantly important in  
10    numerous hydrological applications. To enhance the spatial resolution and accuracy of satellite-based  
11    precipitation products, an easy-to-use downscaling-calibration method based on spatial Random Forest  
12    (SRF-DC) is proposed in this study, where the spatial correlation of precipitation measurements  
13    between neighboring locations is **considered**. SRF-DC consists of two main stages. First, the  
14    satellite-based precipitation is downscaled by SRF with the incorporation of high-resolution variables  
15    including latitude, longitude, Normalized Difference Vegetation Index (NDVI), digital elevation model  
16    (DEM), terrain slope, aspect, relief, and land surface temperatures. Then, the downscaled precipitation  
17    is calibrated by SRF with rain gauge observations and the aforementioned high-resolution variables.  
18    The monthly Integrated MultisatellitE Retrievals for Global Precipitation Measurement (IMERG) over  
19    Sichuan province, China from 2015 to 2019 was processed using SRF-DC, and its results were  
20    compared with those of classical methods including geographically weighted regression (GWR),  
21    artificial neural network (ANN), random forest (RF), kriging interpolation only on gauge  
22    measurements, bilinear interpolation-based downscaling and then SRF-based calibration (Bi-SRF), and  
23    SRF-based downscaling and then geographical difference analysis (GDA)-based calibration  
24    (SRF-GDA). **Comparative analyses with respect to root mean square error (RMSE), mean absolute**  
25    **error (MAE) and correlation coefficient (CC) demonstrate** that: (1) SRF-DC outperforms the classical  
26    methods as well as the original IMERG; (2) the monthly-based SRF estimation is slightly more  
27    accurate than the annual-based SRF fraction disaggregation method; (3) SRF-based downscaling and  
28    calibration performs better than bilinear downscaling (Bi-SRF) and GDA-based calibration  
29    (SRF-GDA); (4) kriging is more accurate than GWR and ANN, whereas its precipitation map loses

30 detailed spatial precipitation patterns; and (5) based on the variable importance rank of RF, the  
31 precipitation interpolated by kriging on the rain gauge measurements is the most important variable,  
32 indicating the significance of incorporating spatial autocorrelation for precipitation estimation.

### 33 **1. Introduction**

34 Precipitation is an important variable for promoting our understanding of hydrological cycle and  
35 water resource management (Chen et al., 2010). Previous studies have showed that about 70-80% of  
36 hydrological modeling errors are caused by precipitation uncertainties (Gebregiorgis and Hossain,  
37 2013). However, precipitation is also one of the most difficult meteorological factors to estimate due to  
38 its high spatial and temporal heterogeneity (Beck et al., 2019). Although point-based rain gauge  
39 observations are reliable and accurate, it is difficult to reflect the spatial precipitation pattern because of  
40 the sparse and uneven distribution of meteorological stations, especially in remote and mountainous  
41 areas (Ullah et al., 2020).

42 During the past decades, diverse satellite-based precipitation datasets have been produced, such as  
43 the Climate Hazards Group Infrared Precipitation with Station data (CHIRPS, 0.05°) (Funk et al.,  
44 2015), the Precipitation Estimation from Remotely Sensed Information using Artificial Neural  
45 Networks-Climate Data Record (PERSIANN-CDR, 0.25°) (Ashouri et al., 2015), the Climate  
46 Prediction Center (CPC) morphing technique (CMORPH, 0.25°) (Haile et al., 2013), the Multi-Source  
47 Weighted-Ensemble Precipitation (MSWEP, 0.1°) (Beck et al., 2017), the Tropical Rainfall Measuring  
48 Mission (TRMM) Multi-satellite Precipitation Analysis (TMPA, 0.25°) (Huffman et al., 2007) and the  
49 Integrated MultisatellitE Retrievals for Global Precipitation Measurement (GPM) mission (IMERG,  
50 0.1°) (Hou et al., 2014). Nevertheless, these products are characterized by considerable systematic  
51 biases due to the shortcomings of retrieval algorithms, sensor capability and spatiotemporal collection  
52 frequency (Chen et al., 2018; Wu et al., 2018; Yang et al., 2017). Moreover, their resolutions (from 0.05°  
53 to 2.5°) are too coarse for hydrological modeling when applied to local and basin regions (Immerzeel et  
54 al., 2009).

55 **As a result**, downscaling techniques have been widely adopted to derive high resolution precipitation  
56 products. This is generally achieved by firstly modeling the relationship between precipitation and land  
57 surface variables at a coarse scale, and then putting the high resolution variables into the constructed

58 model to downscale the precipitation data (Immerzeel et al., 2009; Chen et al., 2010). Immerzeel et al.  
59 (2009) employed an exponential regression (ER) to describe the relationship between TRMM and  
60 Normalized Difference Vegetation Index (NDVI). Jia et al. (2011) used a multiple linear regression  
61 model (MLR) to establish the relationship between TRMM, digital elevation model (DEM) and NDVI.  
62 Duan and Bastiaanssen (2013) proposed a downscaling model based on the second-order polynomial  
63 relationship between TRMM and NDVI. Considering the heterogeneous relationships between  
64 precipitation and land surface variables across the study area, geographically weighted regression  
65 (GWR) was widely used (Chen et al., 2014; Chen et al., 2015; Xu et al., 2015; Li et al., 2019; Chen et  
66 al., 2020c; Lu et al., 2020; Zhao et al., 2018). In the recent decade, some data-driven machine learning  
67 (ML) methods were employed to downscale satellite-based precipitation products, such as random  
68 forest (RF) (Shi et al., 2015; Zhang et al., 2021), support vector machine (SVM) (Jing et al., 2016;  
69 Chen et al., 2010) and artificial neural network (ANN) (Elnashar et al., 2020), and showed more  
70 accurate results than the statistical methods. However, the downscaled precipitation products inherently  
71 contain large systematic biases.

72 To alleviate the inherent biases, many calibration methods have been proposed to merge gauge  
73 observations and satellite-based precipitation, such as nonparametric kernel smoothing method (Li and  
74 Shao, 2010), geographical difference analysis (GDA) (Cheema and Bastiaanssen, 2012), geographical  
75 ratio analysis (GRA) (Duan and Bastiaanssen, 2013), conditional merging (CM) (Berndt et al., 2014),  
76 quantile mapping (Chen et al., 2013; Zhang and Tang, 2015), optimal interpolation (Xie and Xiong,  
77 2011; Lu et al., 2020; Wu et al., 2018), GWR (Chen et al., 2018; Lu et al., 2019; Chao et al., 2018) and  
78 geostatistical interpolation (Park et al., 2017). Nevertheless, these methods are based on some strict  
79 assumptions, which might be not satisfied **in reality** (Zhang et al., 2021; Wu et al., 2020). To this end,  
80 ML-based calibration methods have been widely used, such as Quantile Regression Forest (QRF)  
81 (Bhuiyan et al., 2018), ANN (Yang and Luo, 2014; Pham et al., 2020), deep neural network (Tao et al.,  
82 2016), RF (Baez-Villanueva et al., 2020), convolutional neural network (CNN) (Wu et al., 2020), SVM  
83 and extreme learning machine (Zhang et al., 2021).

84 **Compared to the statistical methods**, the merits of the ML-based methods are as follows (Zhang et al.,  
85 2021; Hengl et al., 2018): (i) they require no strict statistical assumption; (ii) they can capture the  
86 complex and nonlinear relationship between precipitation and its influence factors; (iii) they generally

87 outperform the statistical methods. However, ML-based methods were simply taken as statistical tools  
88 without considering the spatial autocorrelation of precipitation measurements between adjacent  
89 locations. Moreover, they were adopted in either downscaling or calibration of precipitation.  
90 Specifically, some (Karbalaye Ghorbanpour et al., 2021; Yan et al., 2021; Jing et al., 2016) attempted to  
91 use the ML methods for downscaling and then use the classical method (e.g. GDA) for calibration,  
92 while some (Zhang et al., 2021) employed the classical interpolation methods (e.g. bilinear  
93 interpolation) for downscaling and then used the ML methods for calibration. However, we regard that  
94 the use of ML methods in both downscaling and calibration could improve the accuracy of  
95 precipitation. To the best of our knowledge, no previous studies have used the ML technique in both  
96 downscaling and calibration (Karbalaye Ghorbanpour et al., 2021; Yan et al., 2021).

97 Based on aforementioned discussion, the objectives of this study are twofold: (i) to develop an  
98 easy-to-use spatial RF (SRF) by incorporating spatial autocorrelation for precipitation estimation, and  
99 (ii) to propose a downscaling-calibration method based on SRF (SRF-DC) for producing high  
100 resolution and high accuracy precipitation products. RF is taken as the basic model in this study owing  
101 to its high interpolation accuracy and low computational cost (Mohsenzadeh Karimi et al., 2020;  
102 Belgiu et al., 2016).

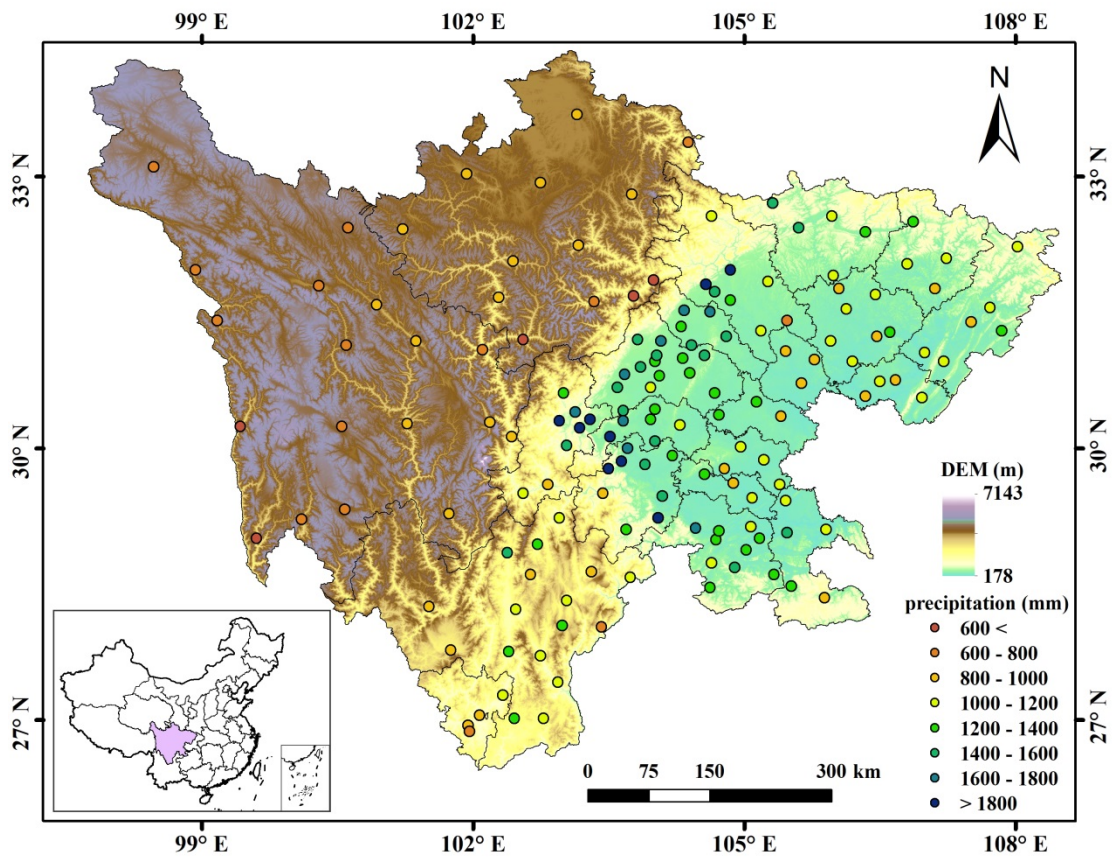
103 SRF-DC consists of two main steps. First, the precipitation data is downscaled by SRF with the  
104 incorporation of high resolution environmental variables, including DEM, NDVI, land surface  
105 temperatures (LSTs), terrain parameters, latitude and longitude, as recommended in previous studies  
106 (Jing et al., 2016; Li et al., 2019). Second, SRF and the environmental variables are further used to  
107 merge the downscaled precipitation data and gauge observations to boost the accuracy of the  
108 precipitation data. The merit of SRF-DC lies in the use of SRF for both downscaling and calibration of  
109 precipitation products, with the incorporation of high-resolution environmental variables.

## 110 **2 Study area and dataset**

### 111 **2.1. Study area**

112 Sichuan province between 97°21'-108°31'E and 26°03'-34°19'N (Fig. 1) is situated between the  
113 Qinghai-Tibet Plateau and the Plain of the Middle-and-lower Reaches of Yangtze River, with an area of

114 486,000 km<sup>2</sup>. Its topography is very complex, including mountains, hills, plain basins and plateaus, and  
 115 the elevations range from approximately 180 m in the east to 7100 m in the west. Such a variety of  
 116 complex topography results in different climate across the study region. Specifically, the east basin has  
 117 subtropical monsoon climate. The weather is generally warm, humid and foggy with much cloud, fog  
 118 and rain but less sunshine. While in the west plateau, the weather is relatively cool or cold. The climate  
 119 is featured by a long cold winter, a very short summer and rich sunshine but less rainfall. Annual  
 120 precipitation shows significant spatial heterogeneity, varying from about 400 mm in the west to 1800  
 121 mm in the east. Moreover, more than 80% precipitation occurs between July and September. The high  
 122 spatial and temporal variability of precipitation makes the study site ideal for evaluating satellite-based  
 123 precipitation estimates (Zhang et al., 2021; Karbalaye Ghorbanpour et al., 2021).



124  
 125 Fig. 1 Topography, rain gauges and geographic location of Sichuan province in China

126 **2.2. Dataset**

127 2.2.1. Rain gauge observations

128 The study region has 156 rain gauge stations, which shows an uneven distribution with high density

129 in the east and low density in the west (Fig. 1). The average cover area of one rain gauge observation is  
130 about 3115 km<sup>2</sup>. Daily precipitation of all the stations for the period 2015–2019 was collected from the  
131 China Meteorological Data Service Center (CMDSC, <http://data.cma.cn/>). The data quality was  
132 guaranteed based on some strict quality controls, such as manual inspection, outlier check and  
133 spatiotemporal consistency verification (Zhao and Yatagai, 2014). After that, the monthly precipitation  
134 was produced by aggregating the daily precipitation of rain gauges for each month.

#### 135 2.2.2. Integrated MultisatellitE Retrievals for Global Precipitation Measurement (IMERG)

136 As the successor of TRMM, the National Aeronautics and Space Administration (NASA) and the  
137 Japan Aerospace Exploration Agency (JAXA) initiated the next-generation global precipitation  
138 observation mission (Hou et al., 2014). The IMERG products were generated by assimilating all  
139 microwave and infrared (IR) estimates, together with gauge observations (Huffman et al., 2019). It has  
140 the spatial resolution of 0.1° × 0.1° with the coverage from 60°S–60°N. IMERG provides three  
141 different products including Early, Late, and Final Runs, which were estimated about 4 hours, 14 hours,  
142 and 3.5 months after observation time, respectively. Due to the incorporation of the Global  
143 Precipitation Climatology Centre (GPCC) rain gauge data, IMERG Final Run is more accurate than the  
144 others (Lu et al., 2019). Thus, the monthly IMERG V06B Final Run product was adopted in the study.  
145 It was downloaded from <https://gpm.nasa.gov/data/>.

146 The average monthly precipitation of all rain gauges and that of IMERG at the corresponding grid  
147 cells from 2015-2019 over Sichuan province are shown in Fig. 2. Obviously, IMERG has an  
148 overestimation in most months and the wettest month is July 2018.

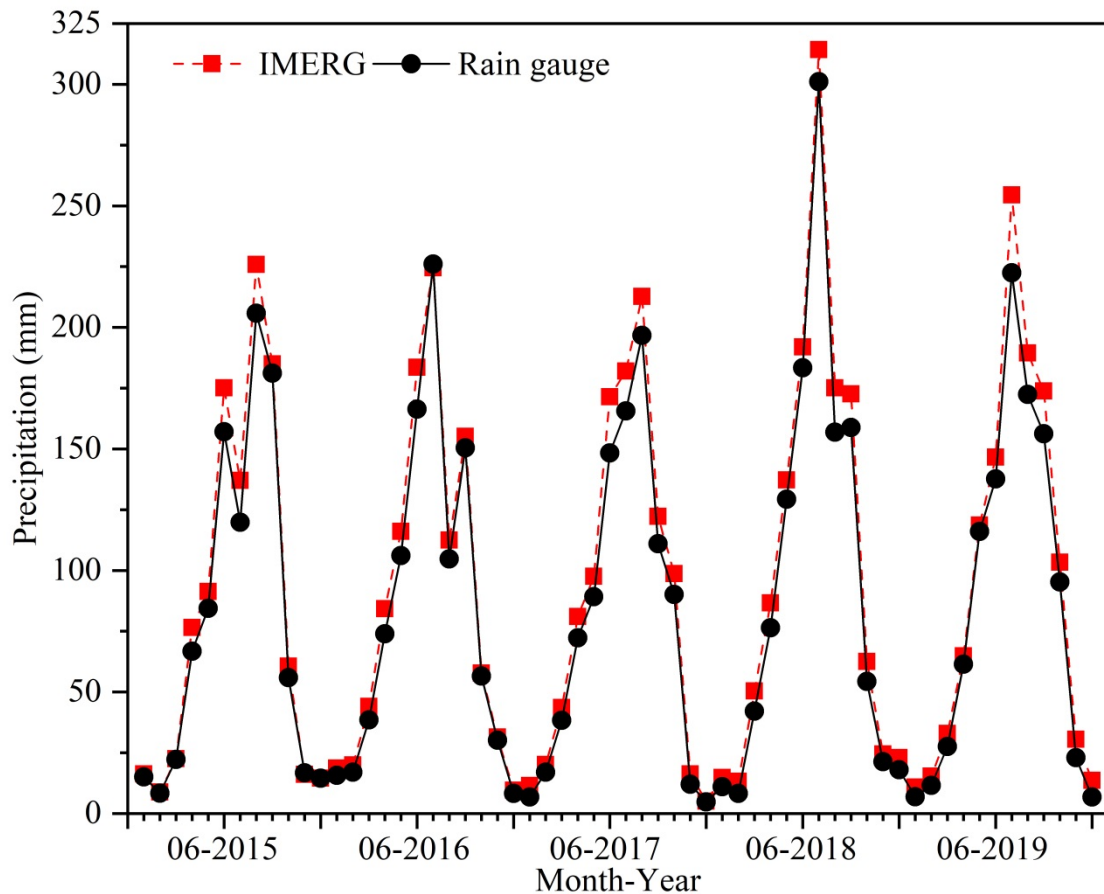


Fig. 2 Average monthly precipitation of all rain gauges and that of IMERG at the corresponding grid cells from 2015-2019 over Sichuan province

### 2.2.3. Environmental variables

Vegetation types have a significant impact on fluxes of sensible and latent heat into the atmosphere, apparently influencing the humidity of the lower atmosphere and further affecting moist convection (Spracklen et al., 2012). Therefore, as an indicator of vegetation activity, NDVI has been widely adopted to estimate precipitation (Wu et al., 2019; Immerzeel et al., 2009). In this study, the Moderate Resolution Imaging Spectroradiometer (MODIS) monthly NDVI with the resolution of 1 km (MOD13A3) from 2015 to 2019 (<https://search.earthdata.nasa.gov/>) was used.

Precipitation can influence LTS both in the daytime and at night; rain leads to cool temperatures, and droughts often couple with heat waves (Trenberth and Shea, 2005; Jing et al., 2016). Thus, the daytime LST ( $LST_D$ ), nighttime LST ( $LST_N$ ), and the difference between daytime and nighttime LSTs ( $LST_{D-N}$ ) at the monthly scale were used in this study. Here, MODIS 8-day LST with the resolution of 1 km (MOD11A2) from 2015 to 2019 was downloaded from <https://ladsweb.modaps.eosdis.nasa.gov/> and then temporally averaged into the monthly LST products.

165 Topography could affect the regional atmospheric circulation and the spatial pattern of precipitation  
 166 through its thermal and dynamic forcing mechanisms (Jing et al., 2016; Jia et al., 2011). With the  
 167 increase of elevations, the relative humidity of the air masses increases through expansion and cooling  
 168 of the rising air masses, which could bring precipitation (Jing et al., 2016). Thus, the  
 169 precipitation-DEM relationship has been widely employed to downscale satellite precipitation dataset.  
 170 Here, the Shuttle Radar Topography Mission (SRTM) DEM (Shortridge and Messina, 2011) was used.  
 171 The SRTM DEM with the spatial resolution of 90 m was downloaded from <http://srtm.csi.cgiar.org/>  
 172 and then resampled to 1 km by the pixel averaging method. Since precipitation tends to be influenced  
 173 by terrain variability, DEM derivatives including slope, aspect and terrain relief (Chen et al., 2020a)  
 174 were also used in the study. These derivatives were extracted from the SRTM DEM using ArcGIS 10.3.

175 The detailed information of all the datasets used in the study is shown in Table 1.

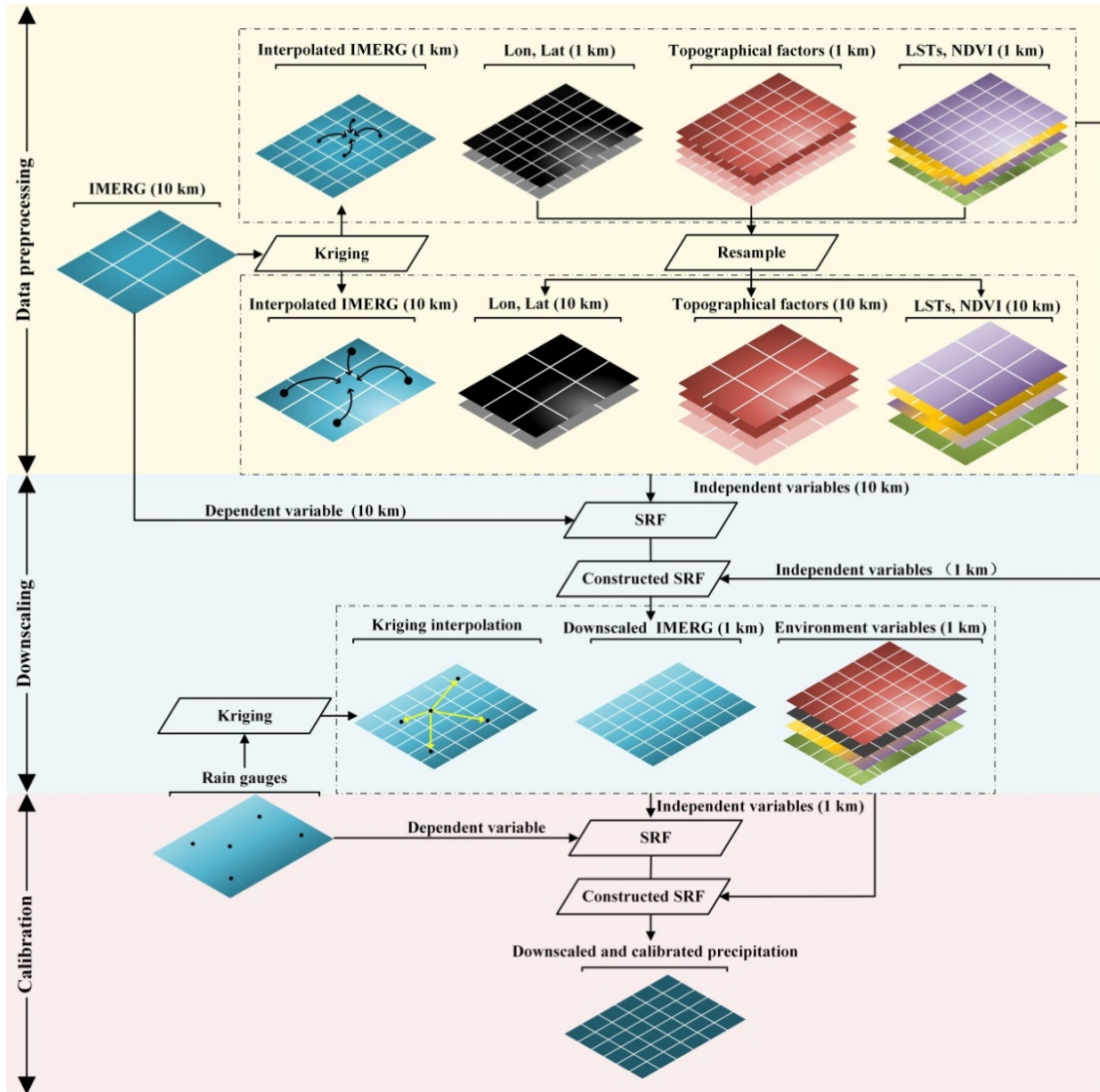
176 Table 1 Datasets used in the study

| Data Type           | Product                       | Spatial resolution | Temporal resolution | Source  |
|---------------------|-------------------------------|--------------------|---------------------|---|
| Meteorological data | IMERG                         | 10 km              | Monthly             | <a href="https://gpm.nasa.gov/data">https://gpm.nasa.gov/data</a> .                         |
|                     | Rain gauge observations       | -                  | Daily               | <a href="http://data.cma.cn/">http://data.cma.cn/</a>                                       |
| Land surface data   | SRTM DEM                      | 30 m               | -                   | <a href="http://srtm.csi.cgiar.org/">http://srtm.csi.cgiar.org/</a>                         |
|                     | slope, aspect, terrain relief | 30 m               | -                   | Derived from SRTM DEM   |
|                     | NDVI                          | 1 km               | Monthly             | <a href="https://search.earthdata.nasa.gov/">https://search.earthdata.nasa.gov/</a>         |
|                     | LST                           | 1 km               | 8-days              | <a href="https://ladsweb.modaps.eosdis.nasa.gov">https://ladsweb.modaps.eosdis.nasa.gov</a> |

### 177 3. Methodology

178 The flowchart of SRF-DC is illustrated in Fig. 3, which includes three stages: data processing,  
 179 IMERG downscaling and downscaled IMERG calibration. It is noted that each IMERG pixel  
 180 represents the areal average precipitation within it, whereas rain gauge measurements are point-based.  
 181 Therefore, downscaling before calibration can decrease scale mismatch between pixel-based areal  
 182 precipitation and gauge-based point measurements.





183

184

Fig. 3 Flowchart of SRF-DC in this study

185

### 3.1. Random Forest (RF)

186

RF is an ensemble of several tree predictors such that each tree relies on a random and independent selection of some samples and features but with the same distribution (Breiman, 2001). The general framework of RF is shown in Fig. 4. Specifically, each decision tree is constructed by randomly collecting some training data with replacement, while the others are used to assess the tree performance (sample bagging). When constructing each tree, only a random subset of features is selected at each decision node (feature bagging). In the end, the majority vote for classification or the average prediction of all trees for regression is used to obtain the final output. Overall, RF includes three parameters to set: number of trees, depth of the tree, and number of features.

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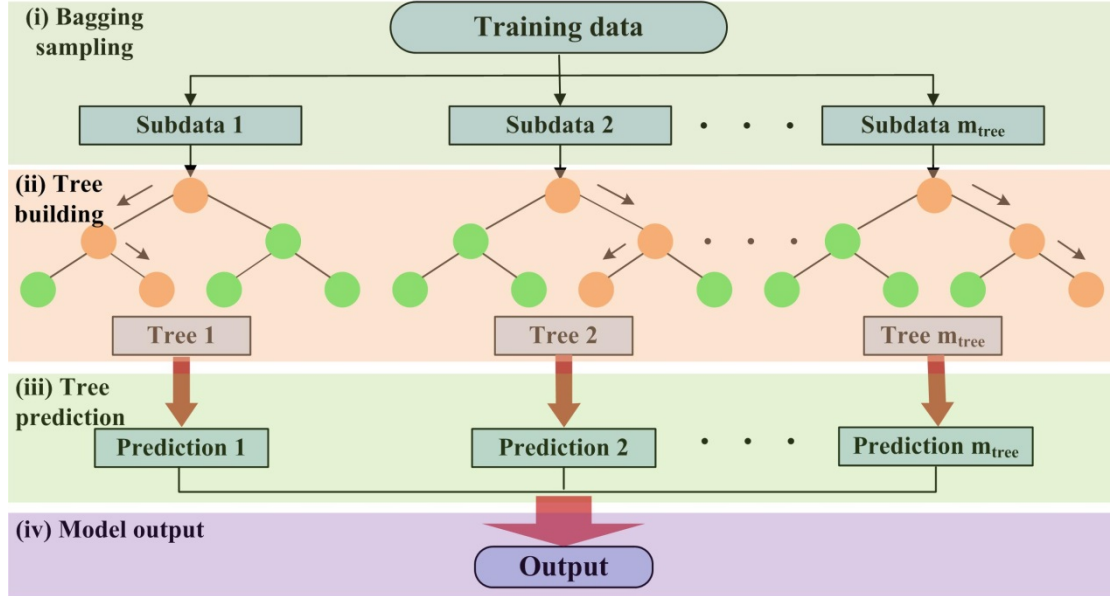


Fig. 4 General framework of RF

Meanwhile, RF can evaluate the relative importance of each predictor by means of the out-of-bag (OOB) observations, i.e. the samples without being used for model construction. Specifically, to measure the importance of the  $i$ th predictor, its values are permuted while the values of the other predictors remain unchanged. Then, the OOB error based on the permuted samples is computed. Next, the importance score of the  $i$ th predictor is computed by averaging the difference between the OOB errors before and after the permutation. With the estimated scores, the importance of each variable is ranked.

In this study, the RF regression model was performed with the freely available codes, downloaded from the website (<https://code.google.com/archive/p/randomforest-matlab/downloads>).

### 3.2. Spatial Random Forest (SRF)

In essence, the classical RF is a non-spatial statistical technique for spatial prediction, as it neglects sampling locations and general sampling pattern (Hengl et al., 2018). This can potentially cause sub-optimal estimations, especially when the spatial autocorrelation between dependent variables is high. To this end, a spatial RF (SRF) is proposed in this study. The general formulation of SRF is as follows:

$$p(s_0) = f(\mathbf{X}_s, \mathbf{X}_{ns}) + e \quad (1)$$

where  $p(s_0)$  is the estimated precipitation at location  $s_0$ ,  $e$  is the fitting residual,  $f(\bullet)$  is the function

213 constructed by SRF, and  $\mathbf{X}_s$  and  $\mathbf{X}_{ns}$  are the spatial and non-spatial covariates, respectively.

214 In addition to spatial coordinates, one spatial covariate ( $X_s$ ) is computed to account for the spatial  
215 autocorrelation of precipitation measurements between neighboring locations:

$$216 \quad X_s(s_0) = \sum_{i=1}^n w_i z(s_i) \quad (2)$$

217 where  $s_i$  is the  $i$ th neighbor of  $s_0$ ,  $z(s_i)$  is the precipitation data of  $s_i$ ,  $w_i$  is its weight, and  $n$  is the number  
218 of neighbors.

219 In previous studies (Zhang et al., 2021; Li et al., 2017), the inverse distance weights (IDW) were  
220 widely used. However, the IDW method only resorts to the spatial distance between the estimated  
221 location and its neighbor locations, and does not consider the spatial autocorrelation between the  
222 neighboring locations. To overcome this limitation, ordinary kriging (OK)-based variogram is adopted  
223 to estimate the interpolation weights in this study by solving the following linear system:

$$224 \quad \begin{pmatrix} \gamma(\mathbf{x}_1 - \mathbf{x}_1) & \cdots & \gamma(\mathbf{x}_1 - \mathbf{x}_n) & 1 \\ \vdots & \ddots & \vdots & \vdots \\ \gamma(\mathbf{x}_n - \mathbf{x}_1) & \cdots & \gamma(\mathbf{x}_n - \mathbf{x}_n) & 1 \\ 1 & \cdots & 1 & 0 \end{pmatrix} \begin{pmatrix} w_1 \\ \vdots \\ w_n \\ \mu \end{pmatrix} = \begin{pmatrix} \gamma(\mathbf{x}_1 - \mathbf{x}_0) \\ \vdots \\ \gamma(\mathbf{x}_n - \mathbf{x}_0) \\ 1 \end{pmatrix} \quad (3)$$

225 where  $\mu$  is Lagrange parameter and  $\gamma(\cdot)$  is the semivariogram.

226 It can be concluded that the variogram-based weights consider the spatial autocorrelation not only  
227 between the known locations, but also between the known locations and the interpolated location  
228 (Berndt and Haberlandt, 2018). In practice, the experimental semivariogram can be estimated from  
229 sample data as follows (Goovaerts, 2000):

$$230 \quad \gamma(h) = \frac{1}{2n} \sum_{i=1}^n (z(s_i) - z(s_i + h))^2 \quad (4)$$

231 where  $n$  is the number of data pairs with the attribute  $z$  separated by distance  $h$ .

232 To obtain the semivariogram at any  $h$ , a theoretical semivariogram model should be fitted to the  
233 experimental values. There are four commonly used theoretical semivariogram models: the spherical,  
234 Gaussian, exponential, and power models. The best one with the highest fitting  $R^2$  was used in the  
235 study.

### 236 3.3. Working procedure of the proposed method

237 The detailed steps of SRF-DC are as follows (Fig. 3):

238 (1) Each pixel value of the 10 km IMERG was re-estimated by OK interpolation with its  $k$  nearest  
239 neighbors (e.g.  $k=8$ ) to obtain the interpolated IMERG (termed as  $I_s^{10\text{km}}$ ), the 10 km IMERG  
240 was interpolated by OK to obtain the interpolated 1 km IMERG ( $I_s^{1\text{km}}$ ), and the gauge  
241 observations were interpolated by OK to produce the 1 km precipitation map ( $P_s^{1\text{km}}$ ). This step  
242 aims to provide spatial variables for SRF, i.e.  $X_s$  in Eq. (1). Since the semivariogram model cannot  
243 be accurately estimated from the sparse gauge measurements, the satellite-based precipitation was  
244 used to derive the model, as suggested by Chen et al. (2020c). To estimate  $I_s^{10\text{km}}$  and  $I_s^{1\text{km}}$ , the  
245 raster-based 10 km IMERG was first transformed into the point-based form with spatial  
246 coordinates and precipitation values, and then the scattered points were interpolated by OK to  
247 produce raster-based maps.

248 (2) The negative NDVI values were excluded from the original data, which mainly belong to snow  
249 and water bodies in the study site. The removed values were interpolated by OK with their  
250 neighbors to avoid information loss.

251 (3) The 1 km environmental variables  $\mathbf{X}_{ns}^{1\text{km}}$  (i.e. NDVI, LST<sub>D</sub>, LST<sub>N</sub>, LST<sub>D-N</sub>, DEM, slope, aspect,  
252 terrain relief, latitude and longitude) were resampled to the 10 km resolution  $\mathbf{X}_{ns}^{10\text{km}}$  by the pixel  
253 averaging method because the average value reflects the overall trend within each 10 km pixel and  
254 reduces the influence of outliers in the 1 km pixels.

255 (4) The relationship between  $\mathbf{X}_{ns}^{10\text{km}}$ ,  $I_s^{10\text{km}}$  and the original 10 km IMERG ( $D^{10\text{km}}$ ) was  
256 constructed by SRF:

$$257 \quad D^{10\text{km}}(s_0) = f_{\text{downscale}}(I_s^{10\text{km}}(s_0), \mathbf{X}_{ns}^{10\text{km}}(s_0)) + e^{10\text{km}}(s_0) \quad (5)$$

258 where  $e$  is the fitting residual.

259 (5) The 10 km IMERG ( $D^{10\text{km}}$ ) was downscaled to 1 km ( $D^{1\text{km}}$ ) by applying the constructed model  
260 in step (4) to  $\mathbf{X}_{ns}^{1\text{km}}$  and  $I_s^{1\text{km}}$ :

$$261 \quad D^{1\text{km}} = f_{\text{downscale}}(I_s^{1\text{km}}, \mathbf{X}_{ns}^{1\text{km}}) \quad (6)$$

262 (6) The relationship between the 1 km predictors and the gauge observations ( $G$ ) was constructed by

263 SRF:

$$264 \quad G(s_0) = f_{\text{calibrate}}(P_s^{1\text{km}}(s_0), D^{1\text{km}}(s_0), \mathbf{X}_{ns}^{1\text{km}}(s_0)) + e^{1\text{km}}(s_0) \quad (7)$$

265 (7) The 1 km precipitation data ( $C^{1\text{km}}$ ) was produced based on the constructed relationship in step

266 (6):

$$267 \quad C^{1\text{km}} = f_{\text{calibrate}}(P_s^{1\text{km}}, D^{1\text{km}}, \mathbf{X}_{ns}^{1\text{km}}) \quad (8)$$

268 In this study, residual correction was ignored during downscaling and calibration, as many previous  
269 studies (Karbalaye Ghorbanpour et al., 2021; Lu et al., 2019) demonstrated that residual correction on  
270 the ML-based technique could decrease prediction accuracy.

### 271 3.4. Comparative methods

272 In the study, the performance of SRF-DC was comparatively assessed under three manners. Firstly,  
273 we compared the results of SRF-DC with those of the classical methods including GWR, RF and  
274 BPNN. Secondly, SRF-DC was compared with two frameworks: (i) the IMERG was first downscaled  
275 by the bilinear interpolation and then calibrated by SRF (termed as Bi-SRF), and (ii) the IMERG was  
276 first downscaled by SRF and then calibrated by GDA (termed as SRF-GDA). Thirdly, SRF-DC at the  
277 monthly scale was compared with the annual-based SRF fraction disaggregation method (termed as  
278 SRFdis). Specifically, the IMERG was first downscaled and calibrated by SRF on an annual scale  
279 and then the estimated annual precipitation was disaggregated into monthly precipitation using monthly  
280 fractions, as proposed by Duan and Bastiaanssen (2013). Finally, SRF-DC was compared with OK  
281 interpolation only on gauge measurements (termed as kriging). Overall, SRF-DC was compared with  
282 seven classical methods in this study including GWR, RF, BPNN, Bi-SRF, SRF-GDA, SRFdis and  
283 kriging.

284 To quantitatively analyze the performance of all the methods, all rain gauge observations were  
285 randomly divided into  $l$  folds (e.g.  $l=10$ ), where the  $l-1$  folds (i.e. training/validating data) was used to  
286 construct the model, while the remaining fold (i.e. testing data) to assess the performance of the model  
287 (Xu and Goodacre, 2018). During model construction, the  $l-1$  folds were randomly divided into training  
288 and validating datasets with the proportions of 80% and 20%, respectively, where the former was used  
289 to train the model and the latter to validate the model. Then, the performance of the model with the

290 optimized parameters was assessed using the testing data. The aforementioned process was repeated  $l$   
 291 times until all folds were taken as the testing data.

### 292 3.5. Accuracy measures

293 We comparatively analyzed the performance of all methods with four accuracy measures including  
 294 root mean square error (RMSE), mean error (ME), mean absolute error (MAE) and correlation  
 295 coefficient (CC) (Jing et al., 2016; Sharifi et al., 2019). They are respectively expressed as follows:

$$296 \quad RMSE = \sqrt{\frac{1}{n} \sum_{i=1}^n (E_i - O_i)^2} \quad (9)$$

$$297 \quad ME = \frac{\sum_{i=1}^n (E_i - O_i)}{n} \quad (10)$$

$$298 \quad MAE = \frac{\sum_{i=1}^n |E_i - O_i|}{n} \quad (11)$$

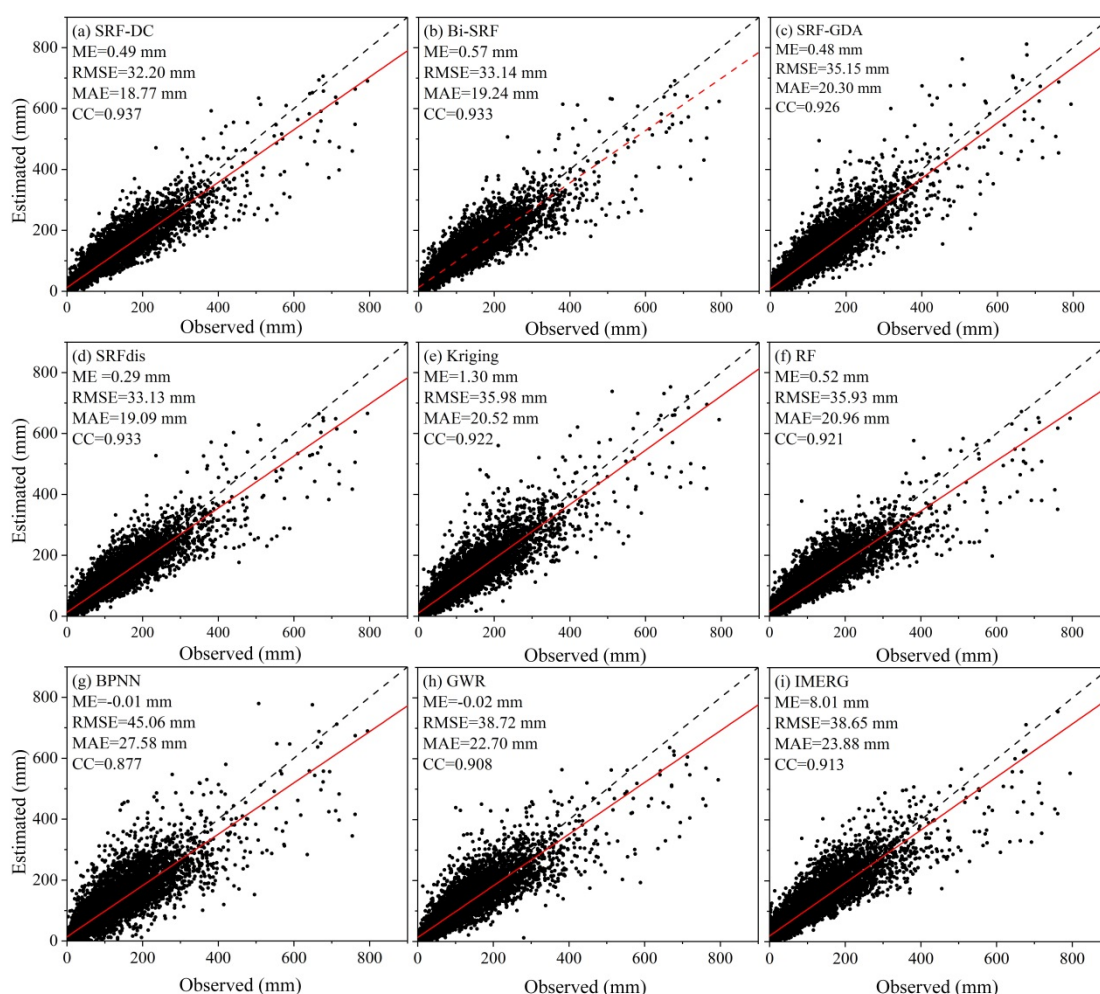
$$299 \quad CC = \frac{\sum_{i=1}^n (E_i - \bar{E})(O_i - \bar{O})}{\sqrt{\sum_{i=1}^n (E_i - \bar{E})^2} \times \sqrt{\sum_{i=1}^n (O_i - \bar{O})^2}} \quad (12)$$

300 where  $n$  is the number of testing points, and  $E_i$  and  $O_i$  are the estimated and observed precipitation at  
 301 location  $i$ , respectively.

## 302 4. Results and analysis

303 Fig. 5 illustrates the scatterplots between the predicted and observed precipitation on a monthly scale  
 304 from 2015 to 2019. Results show that the original IMMERG is heavily biased with the ME value of  
 305 8.01 mm. In contrast, except for kriging, all the other models greatly reduce the bias with the ME  
 306 values approximate to zero. In other words, the models with the incorporation of high resolution  
 307 variables become unbiased. With respect to RMSE, MAE and CC, BPNN produces worse results than  
 308 the original IMERG. The performance of GWR is also unsatisfactory. This is mainly attributed to the  
 309 complex relationship between precipitation and predictors, which cannot be properly described by the

310 two models. RF and kriging perform better than IMERG. The four SRF-based methods including  
 311 SRF-DC, Bi-SRF, SRF-GDA and SRFdis outperform the other methods. This indicates the importance  
 312 of spatial autocorrelation for precipitation estimation. Moreover, among the four versions of SRF,  
 313 SRF-GDA has the lowest accuracy, indicating that SRF is more important for calibration than  
 314 downscaling. **SRF-DC with the RMSE, MAE and CC values of 32.20 mm, 18.77 mm and 0.937**  
 315 **produces the best result.** Thus, it can be concluded that (i) SRF-based downscaling and calibration is  
 316 more effective than bilinear downscaling (Bi-SRF) and GDA-based calibration (SRF-GDA) and (ii)  
 317 there is no obvious time latency for vegetation response to precipitation in the study site, as SRF-DC  
 318 on the monthly scale is slightly more accurate than SRFdis on the annual scale.



319  
 320 Fig. 5 Scatterplots between the estimated and observed precipitation on a monthly scale from 2015 to  
 321 2019 (fitting line with the red color models the relationship between the observed and estimated  
 322 precipitation)

323 However, as shown in Fig. 5, all the methods significantly underestimate precipitation when the

324 values are greater than 400 mm. To quantitatively analyze the performance of all methods on the high  
 325 precipitation, their accuracy measures are shown in Table 2. Results show that all methods have poor  
 326 results for these observations. A possible reason is that high precipitation is often caused by  
 327 complicated environmental factors, which cannot be sufficiently explained by the constructed  
 328 predictors-precipitation relationships. In terms of ME, SRF-GDA ranks the first, which is followed by  
 329 kriging and SRF-DC. However, their ME values are less than -70 mm. With respect to RMSE and  
 330 MAE, kriging performs the best, which is closely followed by SRF-DC, while with respect to CC,  
 331 SRF-DC with the value of 0.64 outperforms the others.

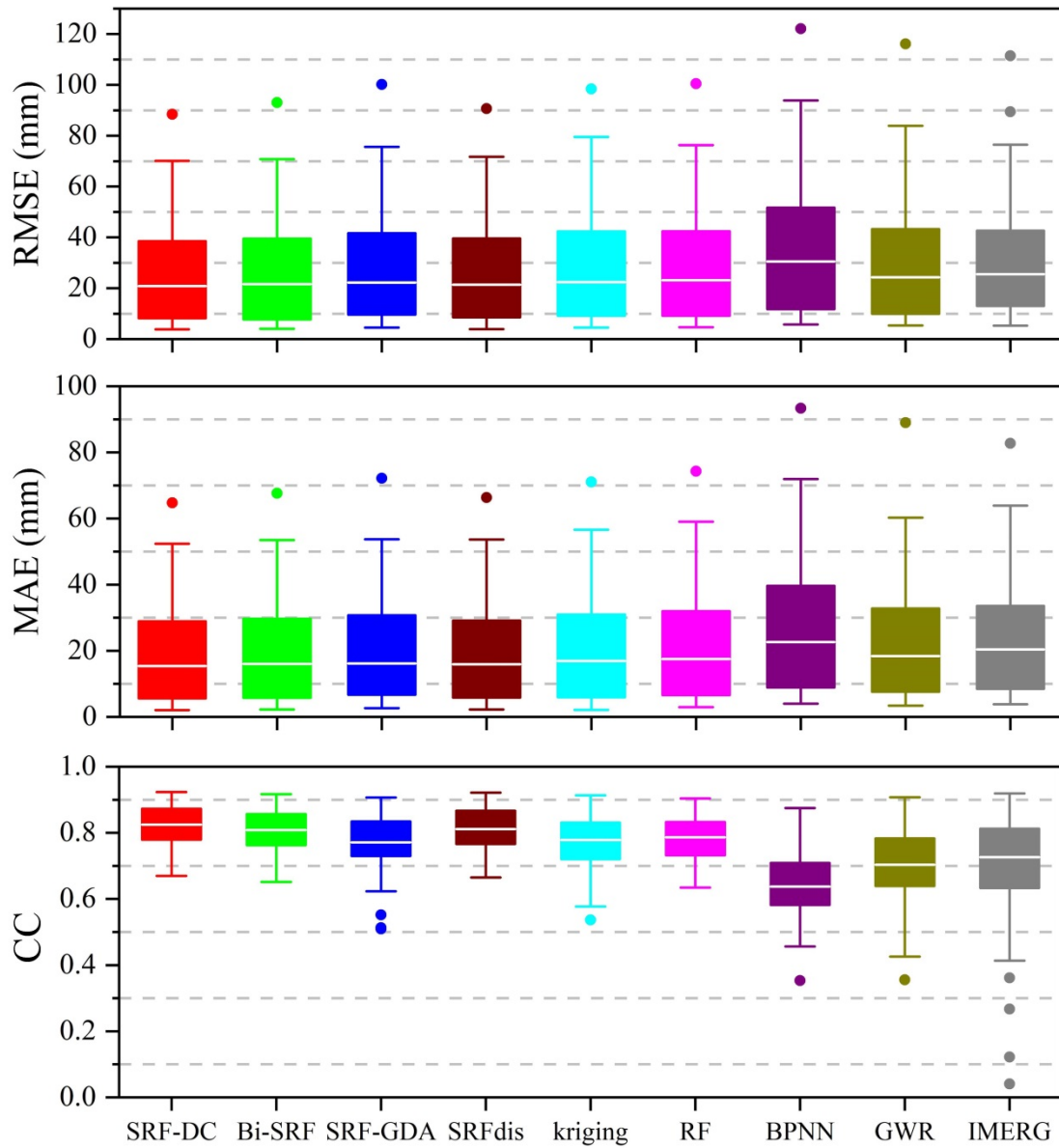
332 Table 2 Accuracy measures of all methods for estimating high precipitation (i.e. values greater than 400

333

| mm)     |         |           |          |      |
|---------|---------|-----------|----------|------|
| Method  | ME (mm) | RMSE (mm) | MAE (mm) | CC   |
| SRF-DC  | -105.54 | 149.80    | 124.82   | 0.64 |
| Bi-SRF  | -110.96 | 156.81    | 130.67   | 0.60 |
| SRF-GDA | -74.21  | 150.10    | 126.02   | 0.55 |
| SRFdis  | -117.31 | 160.11    | 137.29   | 0.61 |
| Kriging | -86.25  | 146.94    | 119.53   | 0.58 |
| RF      | -141.53 | 177.71    | 150.83   | 0.61 |
| BPNN    | -118.88 | 171.23    | 142.00   | 0.57 |
| GWR     | -139.02 | 178.85    | 145.19   | 0.57 |
| IMERG   | -136.22 | 173.24    | 143.69   | 0.55 |

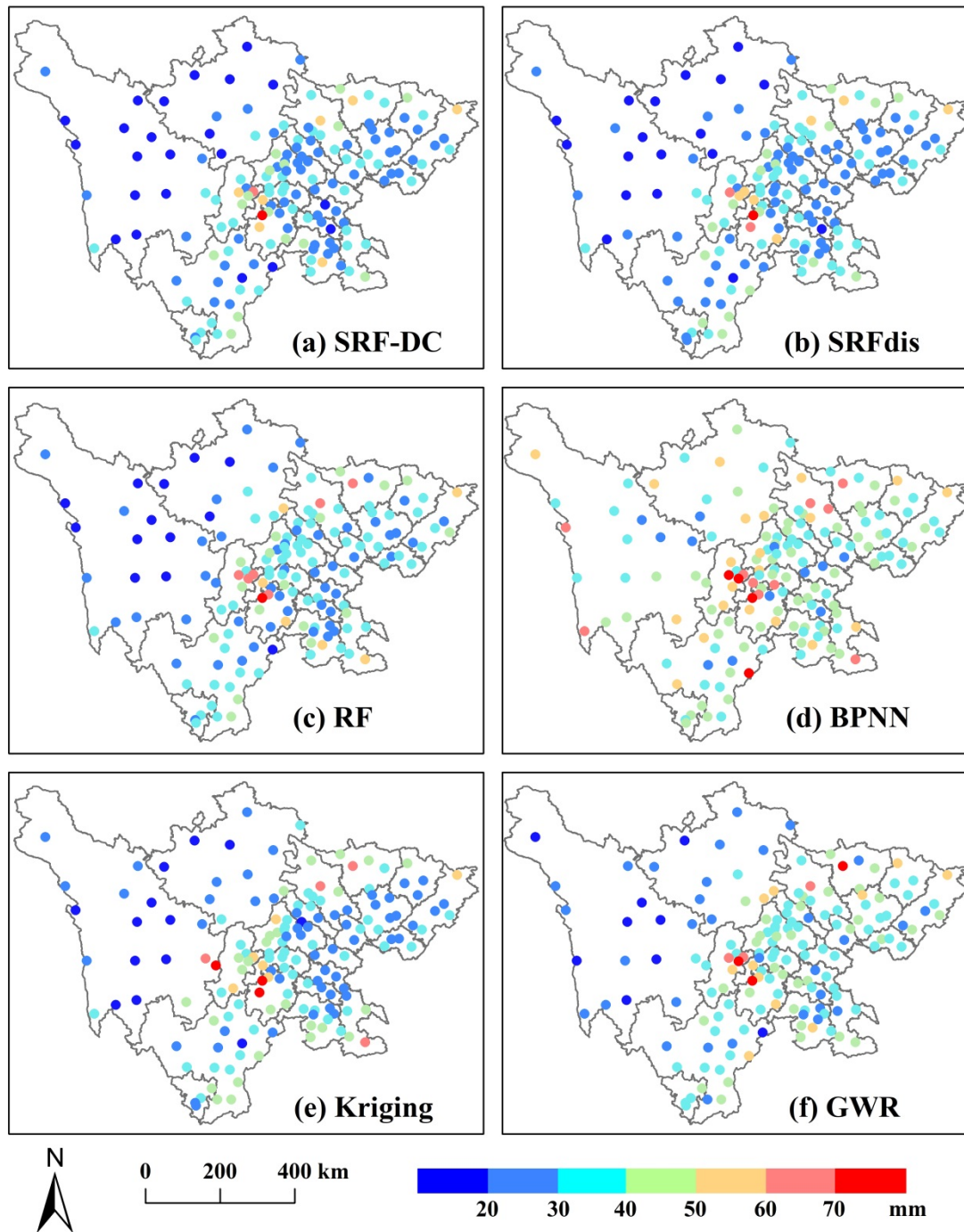
334 Fig. 6 shows the boxplots of the four accuracy measures. Obviously, BPNN obtains the lowest  
 335 accuracy. It is followed by GWR and IMERG. RF and kriging show better results than BPNN, GWR  
 336 and IMERG. The four methods based on SRF seem more accurate than the classical methods.  
 337 Moreover, SRF-DC slightly outperforms the other SRF-based methods, which highlights the benefit of  
 338 including spatial autocorrelation for downscaling and calibration of satellite-based precipitation.





339  
 340 Fig. 6 Boxplots of RMSE, MAE and CC values of all the methods on a monthly scale during  
 341 2015-2019

342 Fig. 7 shows the RMSE spatial distributions of SRF-DC, SRFdis, RF, BPNN, kriging and GWR on  
 343 all gauge stations. Overall, the RMSEs tend to be larger in the middle area, since it has higher  
 344 precipitation than the other areas (Fig. 1). BPNN (Fig. 7d) yields the poorest result, where many  
 345 stations have the RMSE values greater than 60 mm. It is followed by GWR (Fig. 7f). RF (Fig. 7c) and  
 346 kriging (Fig. 7e) are better than GWR and BPNN at most stations. SRF-DC (Fig. 7a) and SRFdis (Fig.  
 347 7b) are more accurate than the classical methods, especially at the stations in the middle area.

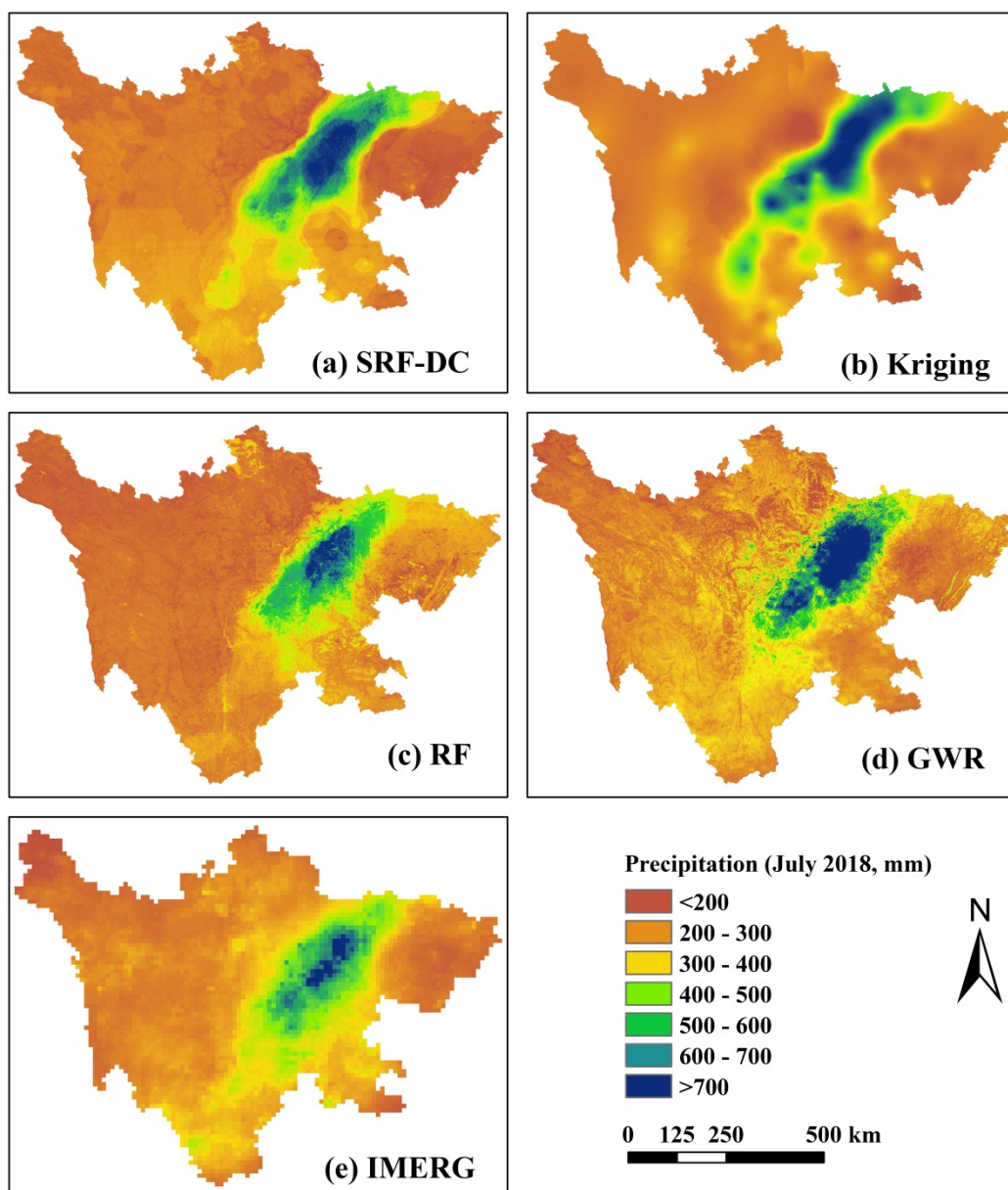


348

349 Fig. 7 RMSE distributions of SRF-DC and some representative methods for all gauge stations on a  
 350 monthly scale during 2015-2019

351 Since the wettest month is July 2018 (Fig. 2), it is taken as an example to show the precipitation  
 352 maps of SRF-DC and some classical methods. Moreover, the semivariogram of kriging derived from  
 353 the original IMMERG and its prediction error map are shown, since they play an important role in the  
 354 performance of kriging and SRF-based methods. Results (Fig. 8) indicate that precipitation produced  
 355 by all the methods have spatial distribution patterns similar to IMERG, with much high precipitation in

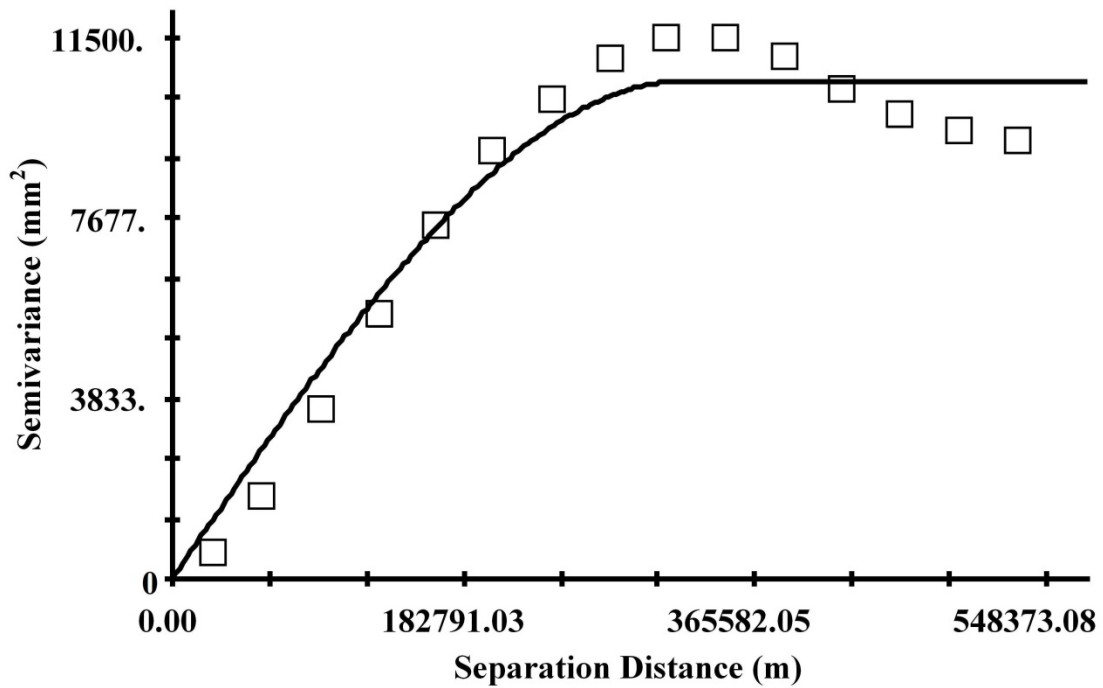
356 the middle and low precipitation in the east. The ML-based methods have more spatial details of  
 357 precipitation than IMERG due to the inclusion of high-resolution predictors for precipitation estimation.  
 358 The kriging map is so smooth that many details and variations of precipitation pattern are lost. This is  
 359 expected as it only uses ground measurements for the interpolation. RF shows obvious unnatural  
 360 discontinuities at the bottom. GWR suffers from systematic anomalies, with the values clearly greater  
 361 than their neighbors. In comparison, SRF-DC produces a good precipitation map.



362  
 363 Fig. 8 Downscaled and calibrated precipitation maps of SRF-DC and some representative methods on  
 364 the wettest month (July 2018)

365 The semivariogram and prediction error map of OK are shown in Fig. 9. Obviously, OK has a

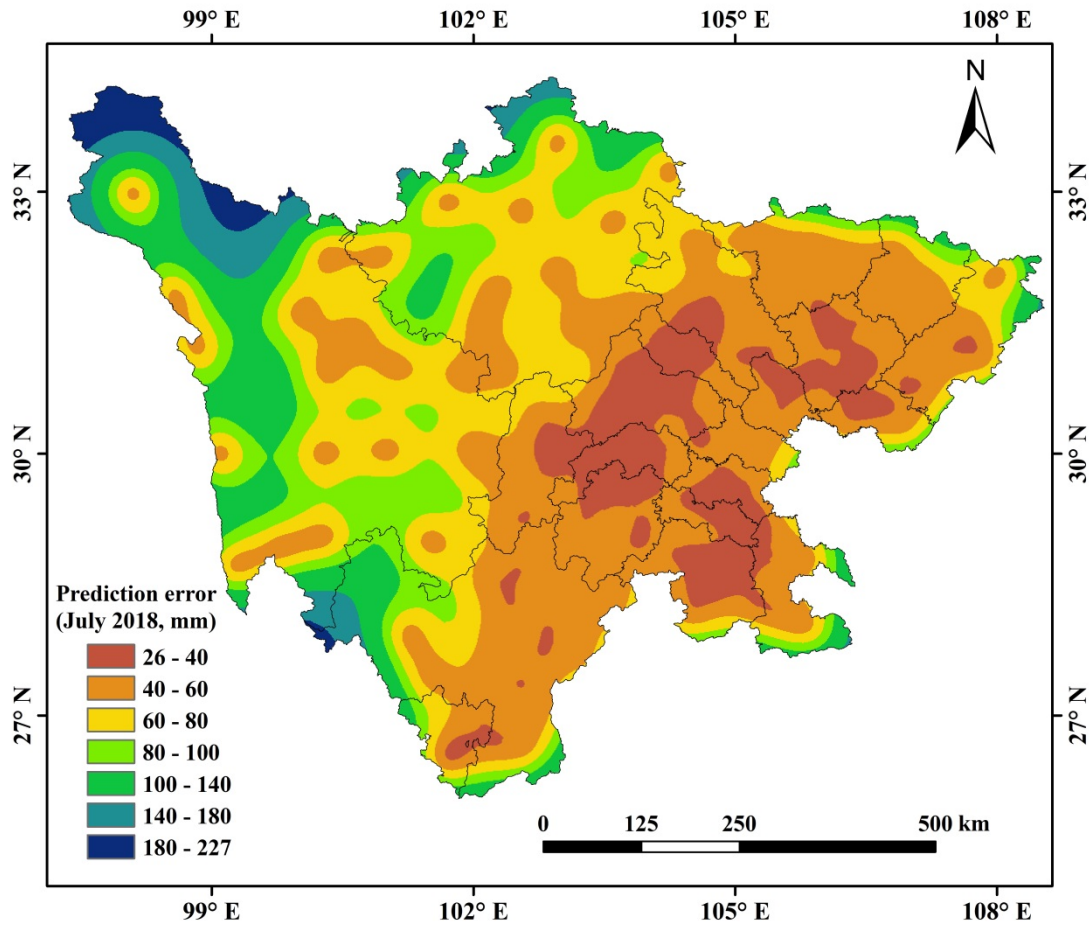
366 spherical model with the nugget variance ( $C_0$ ) of 10.0  $m^2$ , sill ( $C_0+C$ ) of 10,560  $m^2$ , residual sum of  
 367 squares (Rss) of 8,800,611  $m^2$ , range ( $A_0$ ) of 321,000 m, and fitting  $R^2$  of 0.962, respectively (Fig. 9a).  
 368 The prediction error map (Fig. 9b) illustrates that the errors in the west are larger than in the east, and  
 369 in the boundary are larger than in the inner. It can be inferred that large errors are mainly located in the  
 370 areas with the sparse distribution of rain gauges. Moreover, the error magnitudes are not related to  
 371 RMSE distribution (Fig. 7) and precipitation pattern (Fig. 8).



**Spherical model ( $C_0 = 10.0$ ;  $C_0 + C = 10560.0$ ;  $A_0 = 321000.0$ ;  $r^2 = 0.962$ ;  
 $R_{ss} = 8800611.$ )**

372  
 373  
 374

(a) Semivariogram



(b) Prediction error

Fig. 9 Semivariogram and prediction error map of kriging on the wettest month (July 2018)

375

376

377

## 378 5. Discussion

379 For downscaling and calibration of satellite-based precipitation, the three most important factors for  
 380 constructing predictors-precipitation relationships are model, predictor and temporal scale (Chen et al.,  
 381 2020b). Thus, they should be carefully selected to produce accurate precipitation data.

### 382 5.1. Model

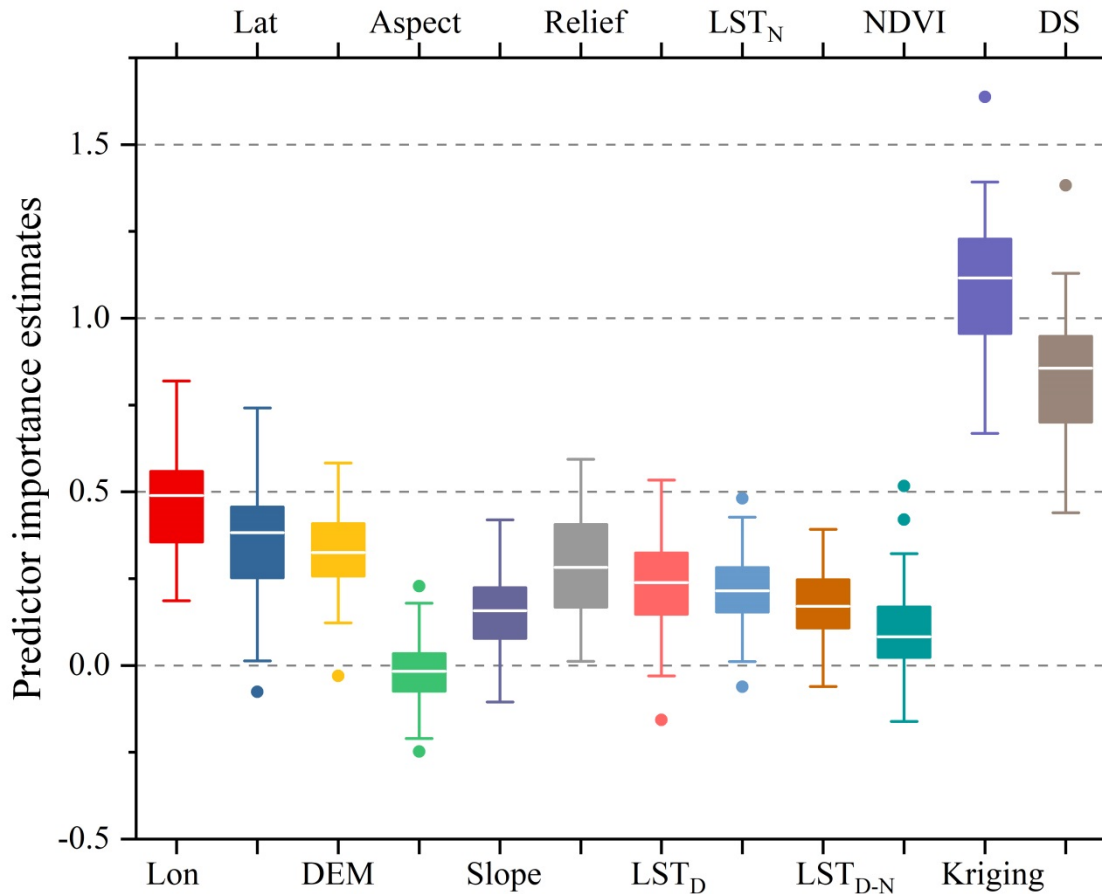
383 In previous studies, the most commonly adopted model was GWR (Xu et al., 2015; Chen et al., 2015;  
 384 Zhao et al., 2018), since it considers the spatial variation between the predictors and precipitation.  
 385 However, due to the sparse distribution of rain gauge stations (Lu et al., 2019), GWR produced worse  
 386 results than the original IMERG in the study region. RF and kriging outperformed GWR. Nevertheless,

387 the two methods have some shortcomings. For example, the precipitation map of kriging was so  
388 smooth that many details were lost, and RF did not consider the spatial autocorrelation of precipitation  
389 measurements. In comparison, SRF-based methods with the consideration of spatial autocorrelation  
390 information demonstrated higher accuracy than the classical methods. Moreover, SRF-DC yielded  
391 slightly better results than Bi-SRF, SRF-GDA and SRFdis.

## 392 **5.2. Environmental predictors**

393 NDVI, latitude, longitude and DEM-based parameters were commonly adopted as predictors to  
394 estimate precipitation (Shi et al., 2015). However, satellite-based precipitation across regions with no  
395 relationship with NDVI could not be estimated, such as in barren or snow areas (Xu et al., 2015). Jing  
396 et al. (2016) indicated that the downscaled models including LST features (LSTs) performed better  
397 than those without LSTs. Thus, in addition to NDVI and DEM-related parameters, daytime LST  
398 ( $LST_D$ ), nighttime LST ( $LST_N$ ), and difference between day and night LSTs ( $LST_{D-N}$ ) were used in  
399 this study.

400 Based on RF, the relative importance of each predictor (i.e. predictor importance estimate) is shown  
401 in Fig. 10. Obviously, precipitation from kriging interpolation has the most importance. This is  
402 because the interpolated value is directly related to precipitation. Kriging estimation is followed by  
403 the downscaled precipitation. Longitude is the third most important variable, which is followed by  
404 latitude. This result is consistent with that of Karbalaye Ghorbanpour et al. (2021). They indicated  
405 that compared to NDVI, LST and DEM, longitude ranks the first with respect to importance score.



406

407 Fig. 10 Predictor importance estimates (Lat: latitude; Lon: longitude; DS: downscaled precipitation)

408 The three LSTs also have a great impact on the precipitation estimation, where LST<sub>D</sub> seems slightly  
 409 more important than LST<sub>N</sub> and LST<sub>D-N</sub>. NDVI has a slight effect on the precipitation, which ranks last  
 410 but one. This might be due to the fact that NDVI is influenced by both precipitation and temperature  
 411 in the study site, and the low temperature above certain elevations hinders the vegetation growth. *It is  
 412 less likely that the response of vegetation to precipitation has the delay, since SRF-DC on the monthly  
 413 scale is more accurate than SRFdis on the annual scale.*

414 Among the 12 predictors, aspect has the least importance. This conclusion was also obtained by Ma  
 415 et al. (2017) for downscaling TMPA 3B43 V7 data over the Tibet Plateau. *DEM, terrain relief and  
 416 slope seem more important than aspect, since precipitation is closely related to topography (Jing et al.,  
 417 2016). The results are consistent with previous studies (Immerzeel et al., 2009; Jing et al., 2016).*

### 418 5.3. Temporal scale

419 Temporal scale has a great effect on the selection of predictors for precipitation estimation. There is a

420 debate on whether NDVI should be taken as a predictor for downscaling and calibration of monthly  
421 precipitation. Some (Duan and Bastiaanssen, 2013; Immerzeel et al., 2009) argued that NDVI could not  
422 be used for monthly precipitation estimation since the response of NDVI to precipitation usually  
423 delayed for two or three months. However, some (Brunsell, 2006; Xu et al., 2015; Lu et al., 2019; Chen  
424 et al., 2020c) stated that the precipitation-NDVI relationship was hardly time-delayed, since vegetation  
425 could influence precipitation by adjusting temperature and air moisture during the growing seasons.  
426 Thus, it was possible to estimate precipitation with NDVI at the monthly scale. In this study, it was  
427 found that SRF-DC on the monthly scale was slightly more accurate than that on the annual scale (i.e.  
428 SRFdis). This indicates that the response of vegetation to precipitation has no obvious time delay, and  
429 NDVI can be used for monthly precipitation estimates.

#### 430 **5.4. Easy-to-use feature**

431 Since the classical RF did not consider the spatial information in the modeling process, Hengl et al.  
432 (2018) proposed an improved RF for spatial estimation, where the buffer distances between the  
433 estimated location and measured locations were taken as the predictors. Motivated by this idea,  
434 Baez-Villanueva et al. (2020) presented a RF-based method (RF-MEP) for merging satellite  
435 precipitation products and rain gauge measurements, where the spatial distances from all rain gauges to  
436 the grid cells in the study site were used as the variables. However, as stated by Baez-Villanueva et al.  
437 (2020), RF-MEP has a huge computational cost, since the number of extra input features equals to that  
438 of gauge measurements. Moreover, RF-MEP ignores the spatial autocorrelation of precipitation  
439 between neighboring locations. In comparison, SRF only requires one extra feature that is estimated by  
440 kriging interpolation on the precipitation measurements. Thus, compared to the buffer distance  
441 layers-based RF, SRF is highly effective. Moreover, with the variogram-based kriging interpolation, the  
442 spatial autocorrelation of precipitation not only between the gauge locations, but also between the  
443 estimated location and gauge locations is taken into account. Thus, SRF has the merits of accuracy,  
444 effectivity and ease of use.

#### 445 **5.5. Limitations and further researches**

446 **Although SRF-DC shows promising results than the classical methods, it still suffers from some**



447 limitations, which should be solved in our further researches. Firstly, SRF-DC is more complex than  
448 Bi-SRF and SRF-GDA, since SRF is used in both downscaling and calibration. Applying SRF to  
449 downscale IMMERG might not be prerequisite since SRF-DC is only slightly better than Bi-SRF.  
450 However, SRF should be used to calibrate IMMERG due to the much higher accuracy of SRF-DC than  
451 SRF-GDA. Secondly, SRF-DC has low accuracy on high precipitation (e.g. >400 mm) since extreme  
452 precipitation is often caused by unpredictable factors. Thus, other available variables such as soil  
453 moisture (Fan et al., 2019; Brocca et al., 2019), and meteorological conditions such as cloud properties  
454 (Sharifi et al., 2019) could be adopted to further improve IMMERG quality. Thirdly, the correction of  
455 satellite-based precipitation on higher-temporal scales (e.g. daily or hourly) is challenging and valuable  
456 (Wu et al., 2020; Chen et al., 2020b; R. Lima et al., 2021; Sun and Lan, 2021). Although SRF-DC is  
457 general, its performance on these scales should be further assessed. Finally, numerous satellite-based  
458 precipitation products have been available, and each one has its shortcomings and advantages for the  
459 capture of spatial precipitation patterns (Chen et al., 2020c; Baez-Villanueva et al., 2020). Thus, the  
460 fusion of multiple precipitation products based on SRF-DC is an alternative to improve the quality of  
461 precipitation data.

## 462 **6. Conclusions**

463 To enhance the resolution (from 0.1° to 1 km) and accuracy of the monthly IMERG V06B Final Run  
464 product, a spatial RF (SRF)-based downscaling and calibration method (SRF-DC) was proposed in this  
465 study. The performance of SRF-DC was compared with those of seven methods including GWR, RF,  
466 BPNN, Bi-SRF, SRF-GDA, SRFdis and kriging on monthly IMERG from 2015 to 2019 over Sichuan  
467 province, China. The main findings and conclusions can be summarized as follows:

- 468 (1) The SRF-based methods including SRF-DC, Bi-SRF, SRF-GDA and SRFdis were more accurate  
469 than the classical methods. Moreover, SRF-DC performed slightly better than Bi-SRF and  
470 SRF-GDA.
- 471 (2) The comparison between the monthly-based and annual-based estimation demonstrated that there  
472 was no statistically significant difference between them, indicating that NDVI could be used for  
473 monthly precipitation estimation in the study site.
- 474 (3) Kriging outperformed the original IMERG, BPNN and GWR in terms of RMSE, MAE and CC.

475 However, its interpolation map suffered from the serious loss of spatial precipitation patterns.  
476 (4) Based on the variable importance assessment of RF, the precipitation interpolated by kriging on the  
477 gauge measurements **was** the most important variable, while terrain aspect **was** the least one. This  
478 indicated that considering spatial correlation was beneficial for precipitation estimation.  
479 **Overall, SRF-DC is general, robust, accurate and easy-to-use, as it shows promising results in the**  
480 **study area with heterogeneous terrain morphology and precipitation. Thus, it can be easily applied to**  
481 **other regions, where precipitation data with high resolution and high accuracy is urgently required.**

#### 482 **Data availability**

483 The gauge data are from the China Meteorological Data Service Center (<http://data.cma.cn>, last  
484 access: January 2021). The GPM data are from <https://gpm.nasa.gov/data> (last access: January 2021).  
485 The GPM data are from <http://srtm.csi.cgiar.org/> (last access: January 2021). The MOD13A3 data are  
486 from <http://www.gscloud.cn/> (last access: January 2021). The MOD11A2 data are from  
487 <https://ladsweb.modaps.eosdis.nasa.gov> (last access: January 2021).

#### 488 **Declaration of Competing Interest**

489 The authors declare that they have no known competing financial interests or personal relationships  
490 that could have appeared to influence the work reported in this paper.

#### 491 **Author contributions**

492 CF and YY conceived the idea, and acquired the project and financial support. BJ conducted the  
493 detailed analysis. CF contributed to the writing and revisions.

#### 494 **Competing interests**

495 The authors declare that they have no conflict of interest.

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