

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 autocorrelation 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; Yue, 2011). Previous studies have showed that about
36 70-80% of hydrological modeling errors are caused by precipitation uncertainties (Gebregiorgis and
37 Hossain, 2013). However, precipitation is also one of the most difficult meteorological factors to
38 estimate due to its high spatial and temporal heterogeneity (Beck et al., 2019). Although point-based
39 rain gauge observations are reliable and accurate, it is difficult to reflect the spatial precipitation pattern
40 because of the sparse and uneven distribution of meteorological stations, especially in remote and
41 mountainous 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).

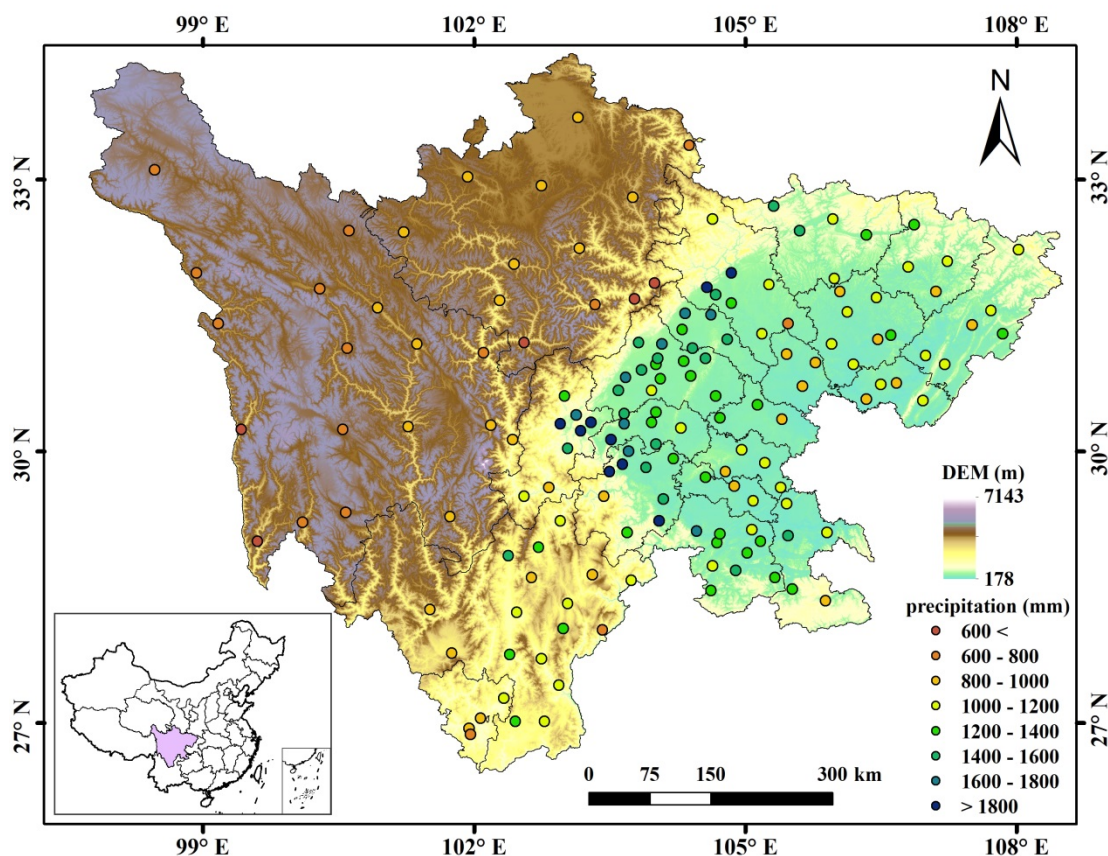
103 SRF-DC consists of two main steps. First, the precipitation data is downscaled by SRF with the
104 incorporation of high resolution environmental variables, including DEM, NDVI, land surface
105 temperatures (LSTs), terrain parameters, latitude and longitude, as recommended in previous studies
106 (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 and spatial
110 autocorrelation between neighboring precipitation data.

111 **2 Study area and dataset**

112 **2.1. Study area**

113 Sichuan province between 97°21'-108°31'E and 26°03'-34°19'N (Fig. 1) is situated between the

114 Qinghai-Tibet Plateau and the Plain of the Middle-and-lower Reaches of Yangtze River, with an area of
 115 486,000 km². Its topography is very complex, including mountains, hills, plain basins and plateaus, and
 116 the elevations range from approximately 180 m in the east to 7100 m in the west. Such a variety of
 117 complex topography results in different climates across the study region. Specifically, the east basin has
 118 subtropical monsoon climate. The weather is generally warm, humid and foggy with much cloud, fog
 119 and rain but less sunshine. While in the west plateau, the weather is relatively cool or cold. The climate
 120 is featured by a long cold winter, a very short summer and rich sunshine but less rainfall. Annual
 121 precipitation shows significant spatial heterogeneity, varying from about 400 mm in the west to 1800
 122 mm in the east. Moreover, more than 80% precipitation occurs between July and September. The high
 123 spatial and temporal variability of precipitation makes the study site ideal for evaluating satellite-based
 124 precipitation estimates (Zhang et al., 2021; Karbalaye Ghorbanpour et al., 2021).



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

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2.2. Dataset

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2.2.1. Rain gauge observations

129 The study region has 156 rain gauge stations, which shows an uneven distribution with high density
130 in the east and low density in the west (Fig. 1). The average cover area of one rain gauge observation is
131 about 3115 km². Daily precipitation of all the stations for the period 2015–2019 was collected from the
132 China Meteorological Data Service Center (CMDSC, <http://data.cma.cn/>). The data quality was
133 guaranteed based on some strict quality controls, such as manual inspection, outlier check and
134 spatiotemporal consistency verification (Zhao and Yatagai, 2014). After that, the monthly precipitation
135 was produced by aggregating the daily precipitation of rain gauges for each month.

136 2.2.2. Integrated MultisatellitE Retrievals for Global Precipitation Measurement (IMERG)

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

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

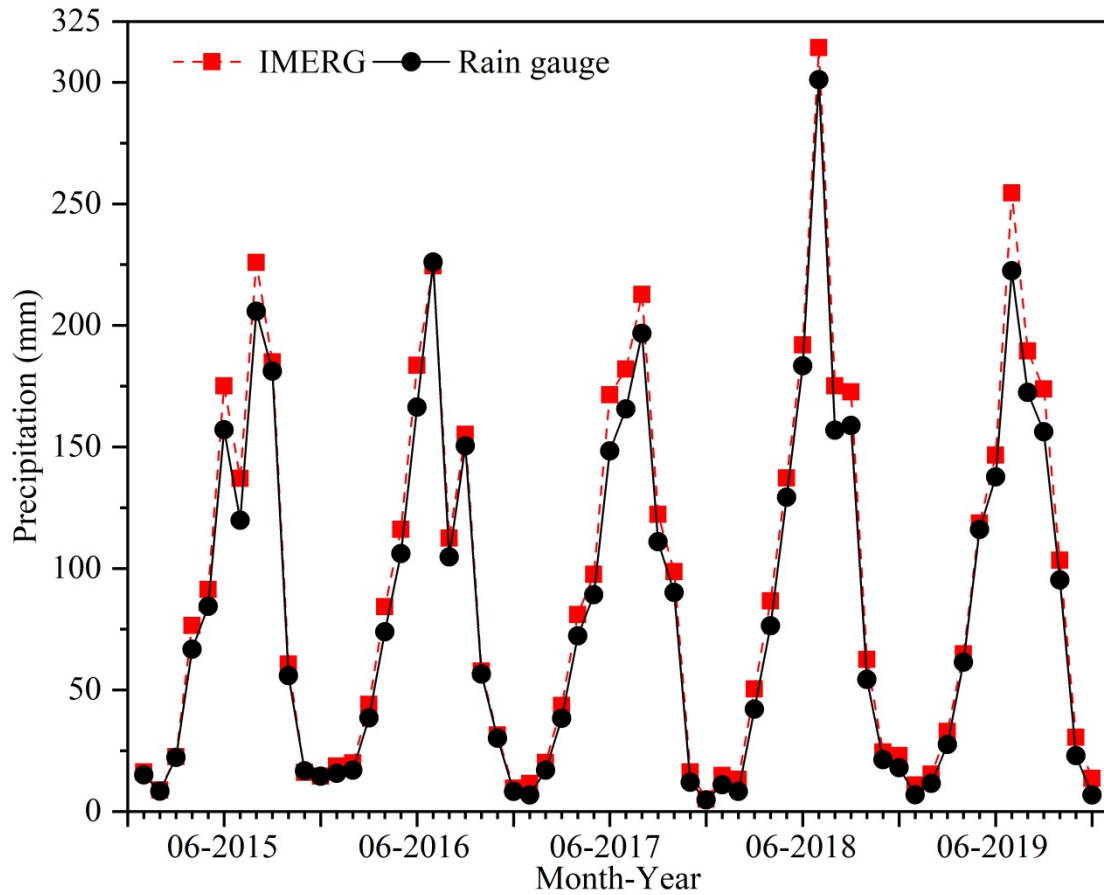


Fig. 2 Average monthly precipitation of all rain gauges and that of IMERG at the corresponding grid cells from 2015-2019 over Sichuan province

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.

166 Topography could affect the regional atmospheric circulation and the spatial pattern of precipitation
 167 through its thermal and dynamic forcing mechanisms (Jing et al., 2016; Jia et al., 2011). With the
 168 increase of elevations, the relative humidity of the air masses increases through expansion and cooling
 169 of the rising air masses, which brings precipitation (Jing et al., 2016). Thus, the precipitation-DEM
 170 relationship has been widely employed to downscale satellite precipitation dataset. Here, the Shuttle
 171 Radar Topography Mission (SRTM) DEM (Shortridge and Messina, 2011) was used. The SRTM DEM
 172 with the spatial resolution of 90 m was downloaded from <http://srtm.csi.cgiar.org/> and then resampled
 173 to 1 km by the pixel averaging method. Since precipitation tends to be influenced by terrain variability
 174 and terrain orientation, DEM derivatives including slope, aspect and terrain relief (Chen et al., 2020a;
 175 Yue et al., 2007) were also used in the study. These derivatives were extracted from the SRTM DEM
 176 using ArcGIS 10.3.

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

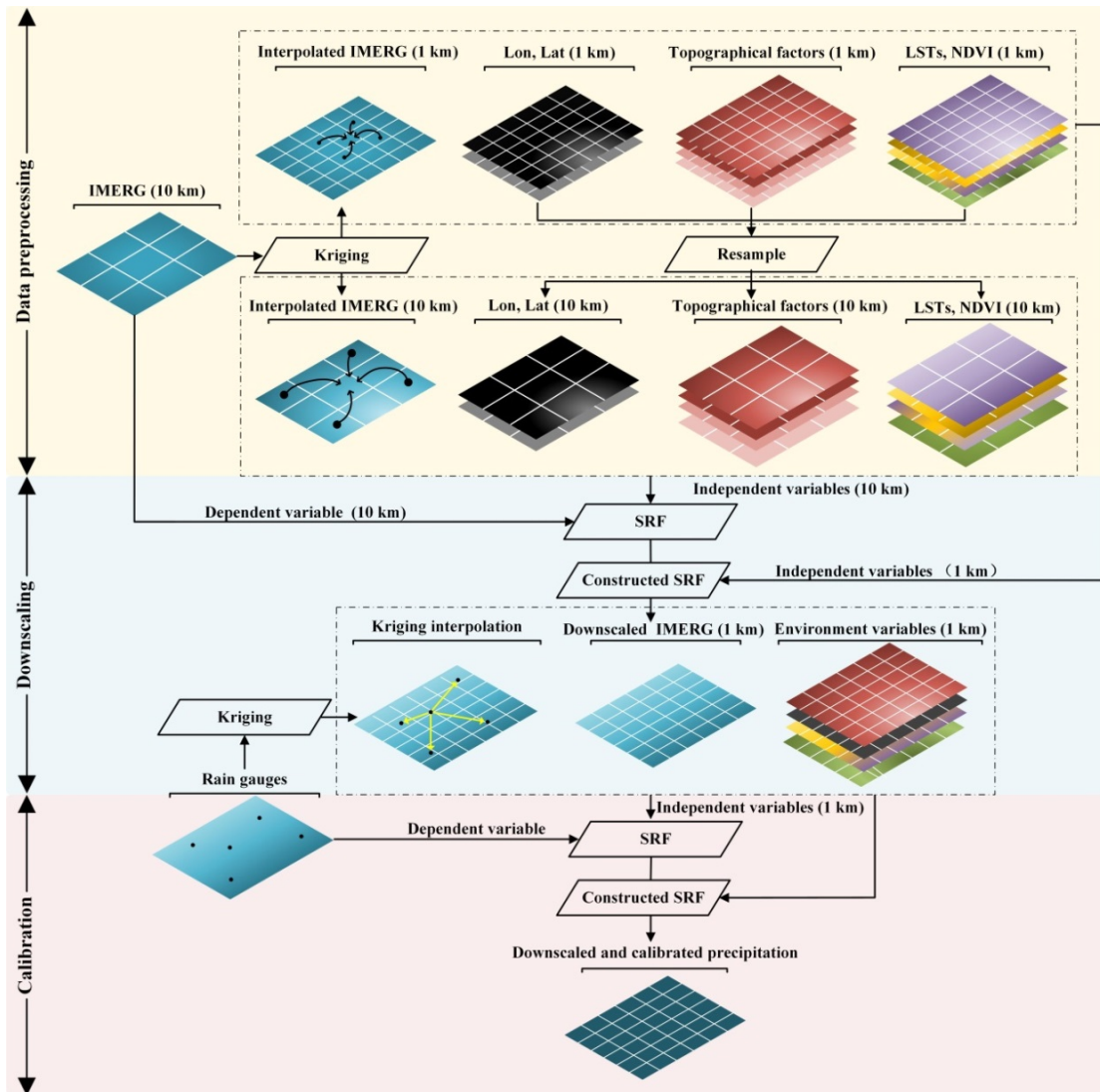
178 Table 1 Datasets used in the study

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

179 3. Methodology

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

184 precipitation and gauge-based point measurements.



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Fig. 3 Flowchart of SRF-DC in this study

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3.1. Random Forest (RF)

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RF is an ensemble of several tree predictors such that each tree relies on a random and independent

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selection of some samples and features but with the same distribution (Breiman, 2001). The general

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framework of RF is shown in Fig. 4. Specifically, each decision tree is constructed by randomly

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collecting some training data with replacement, while the others are used to assess the tree performance

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(sample bagging). When constructing each tree, only a random subset of features is selected at each

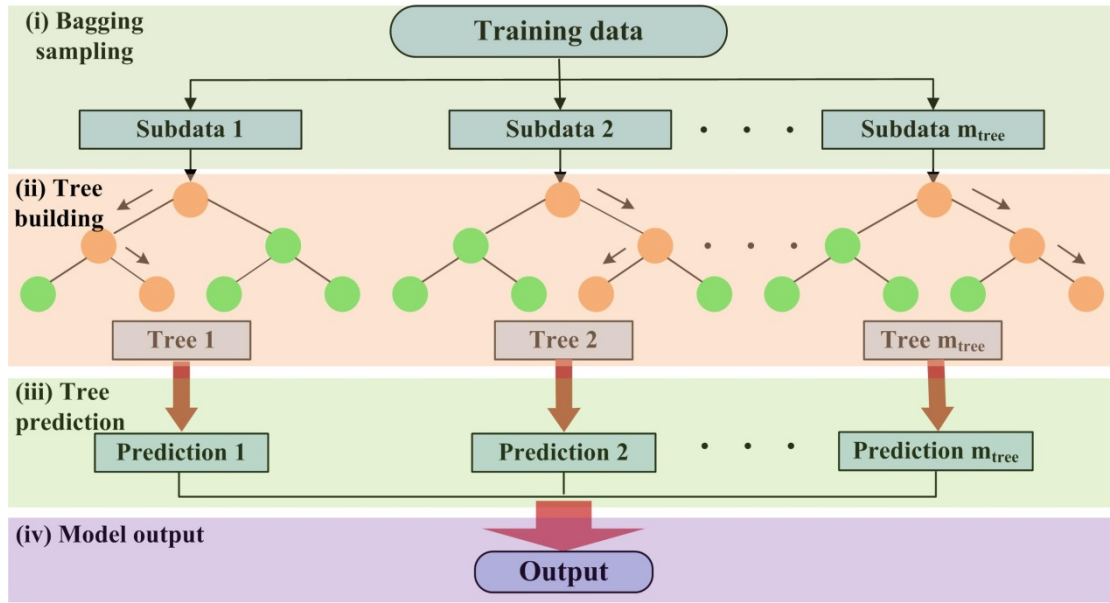
193

decision node (feature bagging). In the end, the majority vote for classification or the average

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prediction of all trees for regression is used to obtain the final output. Overall, RF includes three

195 parameters to set: number of trees, depth of the tree, and number of features.



196

197

Fig. 4 General framework of RF

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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 (Breiman, 2001).

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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

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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

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each variable is ranked.

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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>).

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207 3.2. Spatial Random Forest (SRF)

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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

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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

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212 follows:

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

214 where $p(s_0)$ is the estimated precipitation at location s_0 , e is the fitting residual, $f(\bullet)$ is the function
 215 constructed by SRF, and \mathbf{X}_s and \mathbf{X}_{ns} are the spatial and non-spatial covariates, respectively.

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

$$218 \quad X_s(s_0) = \sum_{i=1}^n w_i z(s_i) \quad (2)$$

219 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
 220 of neighbors.

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

$$226 \quad \begin{pmatrix} \gamma(\mathbf{x}_1 - \mathbf{x}_1) & \cdots & \gamma(\mathbf{x}_1 - \mathbf{x}_n) & 1 \\ \vdots & \ddots & \vdots & \vdots \\ \gamma(\mathbf{x}_n - \mathbf{x}_1) & \cdots & \gamma(\mathbf{x}_n - \mathbf{x}_n) & 1 \\ 1 & \cdots & 1 & 0 \end{pmatrix} \begin{pmatrix} w_1 \\ \vdots \\ w_n \\ \mu \end{pmatrix} = \begin{pmatrix} \gamma(\mathbf{x}_1 - \mathbf{x}_0) \\ \vdots \\ \gamma(\mathbf{x}_n - \mathbf{x}_0) \\ 1 \end{pmatrix} \quad (3)$$

227 where μ is Lagrange parameter and $\gamma(\cdot)$ is the semivariogram.

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

$$232 \quad \gamma(h) = \frac{1}{2n} \sum_{i=1}^n (z(s_i) - z(s_i + h))^2 \quad (4)$$

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

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

238 3.3. Working procedure of the proposed method

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

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

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

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

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

$$259 \quad D^{10km}(s_0) = f_{\text{downscale}}(I_s^{10km}(s_0), \mathbf{X}_{ns}^{10km}(s_0)) + e^{10km}(s_0) \quad (5)$$

260 where e is the fitting residual.

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

263
$$D^{1\text{km}} = f_{\text{downscale}}(I_s^{1\text{km}}, \mathbf{X}_{ns}^{1\text{km}}) \quad (6)$$

264 (6) The relationship between the 1 km predictors and the gauge observations (G) was constructed by
 265 SRF:

266
$$G(s_0) = f_{\text{calibrate}}(P_s^{1\text{km}}(s_0), D^{1\text{km}}(s_0), \mathbf{X}_{ns}^{1\text{km}}(s_0)) + e^{1\text{km}}(s_0) \quad (7)$$

267 (7) The 1 km precipitation data ($C^{1\text{km}}$) was produced based on the constructed relationship in step
 268 (6):

269
$$C^{1\text{km}} = f_{\text{calibrate}}(P_s^{1\text{km}}, D^{1\text{km}}, \mathbf{X}_{ns}^{1\text{km}}) \quad (8)$$

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

273 **3.4. Comparative methods**

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

286 To quantitatively analyze the performance of all the methods, all rain gauge observations were
 287 randomly divided into l folds (e.g. $l=10$), where the $l-1$ folds (i.e. training/validating data) was used to
 288 construct the model, while the remaining fold (i.e. testing data) to assess the performance of the model
 289 (Xu and Goodacre, 2018). During model construction, the $l-1$ folds were randomly divided into training

290 and validating datasets with the proportions of 80% and 20%, respectively, where the former was used
 291 to train the model and the latter to validate the model. Then, the performance of the model with the
 292 optimized parameters was assessed using the testing data. The aforementioned process was repeated l
 293 times until all folds were taken as the testing data.

294 3.5. Accuracy measures

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

$$298 \quad RMSE = \sqrt{\frac{1}{n} \sum_{i=1}^n (E_i - O_i)^2} \quad (9)$$

$$299 \quad ME = \frac{\sum_{i=1}^n (E_i - O_i)}{n} \quad (10)$$

$$300 \quad MAE = \frac{\sum_{i=1}^n |E_i - O_i|}{n} \quad (11)$$

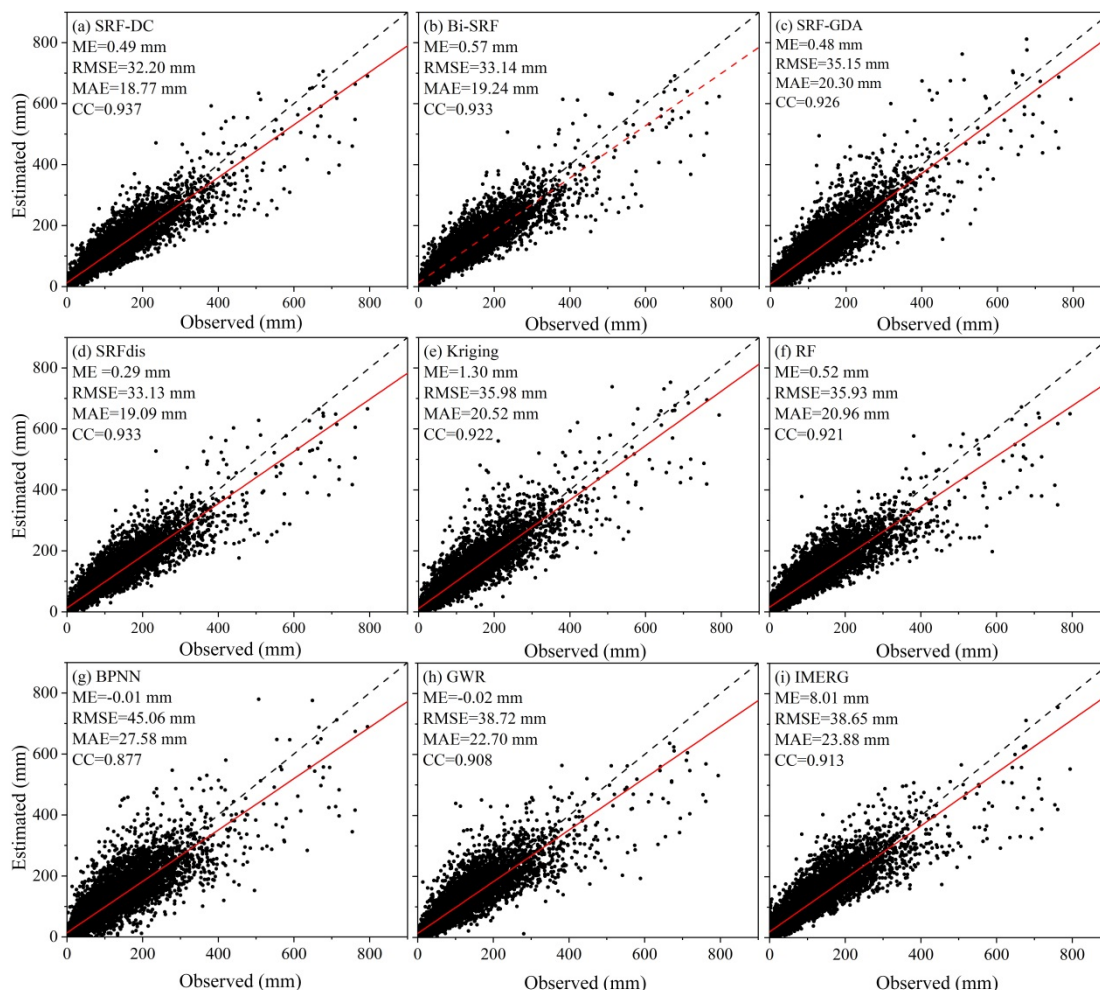
$$301 \quad CC = \frac{\sum_{i=1}^n (E_i - \bar{E})(O_i - \bar{O})}{\sqrt{\sum_{i=1}^n (E_i - \bar{E})^2} \times \sqrt{\sum_{i=1}^n (O_i - \bar{O})^2}} \quad (12)$$

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

304 4. Results and analysis

305 Fig. 5 illustrates the scatterplots between the predicted and observed precipitation on a monthly scale
 306 from 2015 to 2019. Results show that the original IMMERG is heavily biased with the ME value of
 307 8.01 mm. In contrast, except for kriging, all the other models greatly reduce the bias with the ME
 308 values approximate to zero. In other words, the models with the incorporation of high resolution
 309 variables become unbiased. With respect to RMSE, MAE and CC, BPNN produces worse results than

310 the original IMERG. The performance of GWR is also unsatisfactory. This is mainly attributed to the
 311 complex relationship between precipitation and predictors, which cannot be properly described by the
 312 two models. RF and kriging perform better than IMERG. The four SRF-based methods including
 313 SRF-DC, Bi-SRF, SRF-GDA and SRFdis outperform the other methods. This indicates the importance
 314 of spatial autocorrelation for precipitation estimation. Moreover, among the four versions of SRF,
 315 SRF-GDA has the lowest accuracy, indicating that SRF is more important for calibration than
 316 downscaling. SRF-DC with the RMSE, MAE and CC values of 32.20 mm, 18.77 mm and 0.937
 317 produces the best result. Thus, it can be concluded that (i) SRF-based downscaling and calibration is
 318 more effective than bilinear downscaling (Bi-SRF) and GDA-based calibration (SRF-GDA) and (ii)
 319 there is no obvious time latency for vegetation response to precipitation in the study site, as SRF-DC
 320 on the monthly scale is slightly more accurate than SRFdis on the annual scale.



321
 322 Fig. 5 Scatterplots between the estimated and observed precipitation on a monthly scale from 2015 to
 323 2019. Fitting line with the red color models the relationship between the observed and estimated

324

precipitation.

325

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

326

values are greater than 400 mm. To quantitatively analyze the performance of all methods on the high

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precipitation, their accuracy measures are shown in Table 2. Results show that all methods have poor

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results for these observations. A possible reason is that high precipitation is often caused by

329

complicated environmental factors, which cannot be sufficiently explained by the constructed

330

predictors-precipitation relationships. In terms of ME, SRF-GDA ranks the first, which is followed by

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kriging and SRF-DC. However, their ME values are less than -70 mm. With respect to RMSE and

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MAE, kriging performs the best, which is closely followed by SRF-DC, while with respect to CC,

333

SRF-DC with the value of 0.64 outperforms the others.

334

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

335

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

336

Fig. 6 shows the boxplots of the four accuracy measures. Obviously, BPNN obtains the lowest

337

accuracy. It is followed by GWR and IMERG. RF and kriging show better results than BPNN, GWR

338

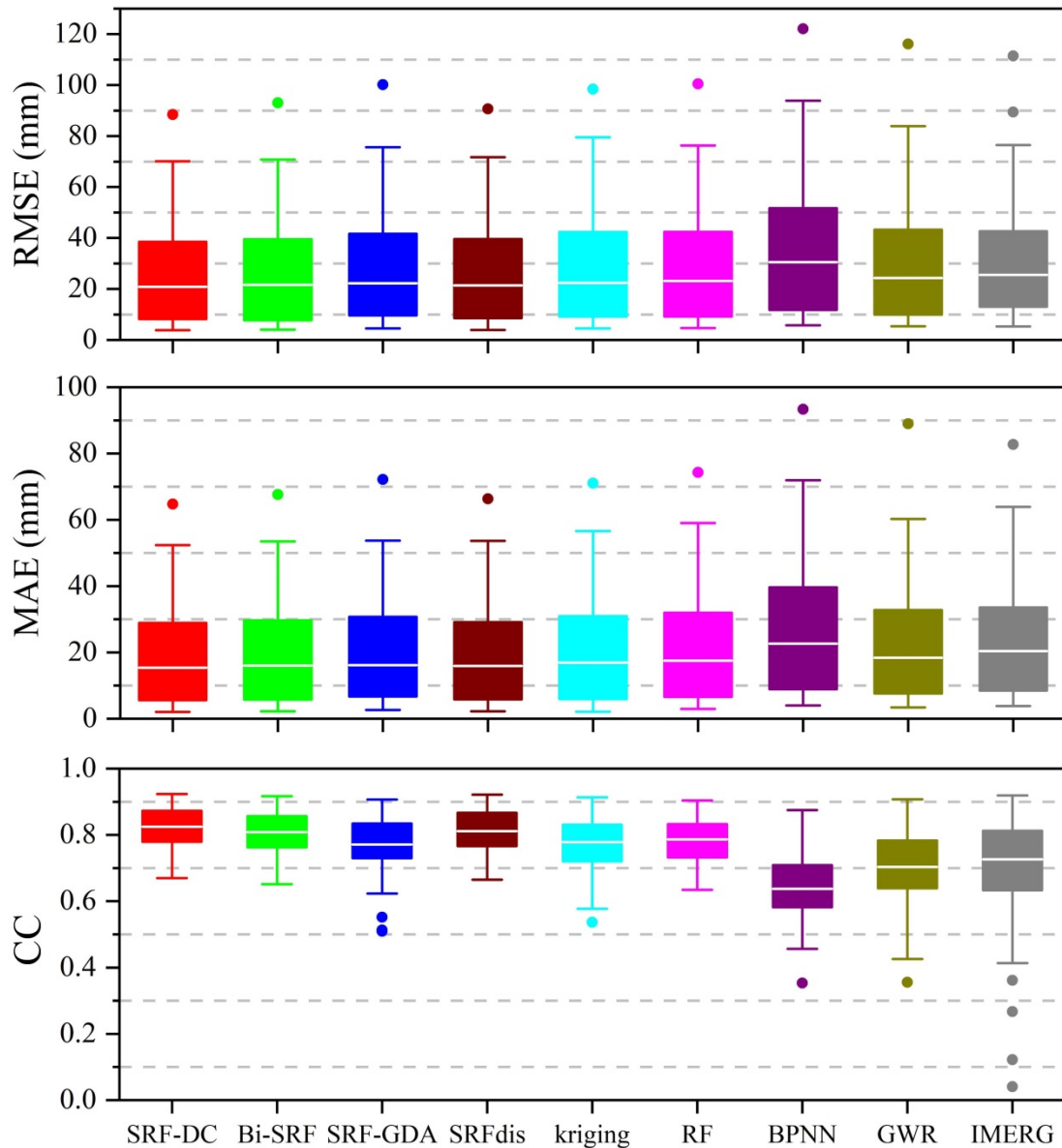
and IMERG. The four methods based on SRF seem more accurate than the classical methods.

339

Moreover, SRF-DC slightly outperforms the other SRF-based methods, which highlights the benefit of

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including spatial autocorrelation for downscaling and calibration of satellite-based precipitation.



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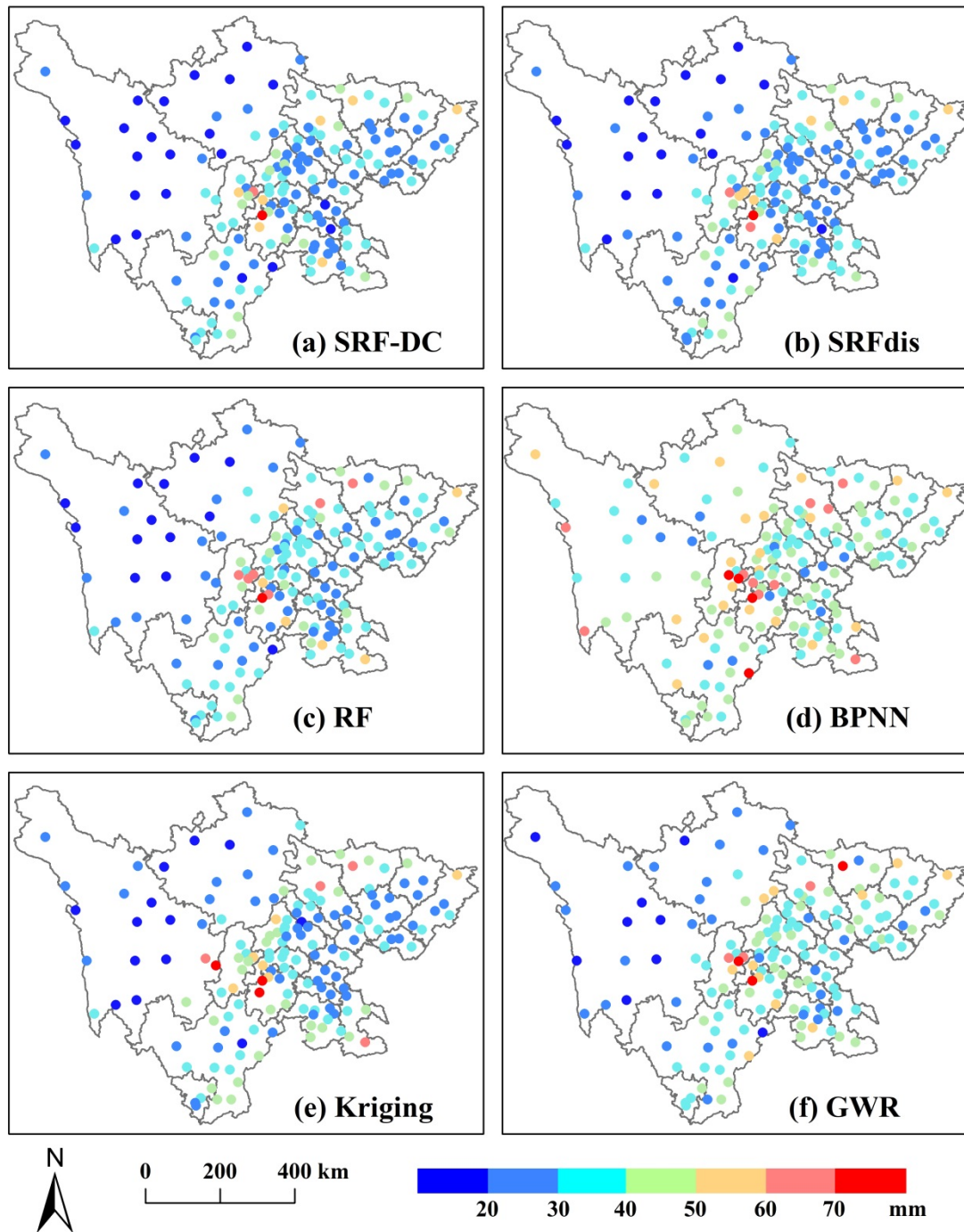
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Fig. 6 Boxplots of RMSE, MAE and CC values of all the methods on a monthly scale during

2015-2019

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

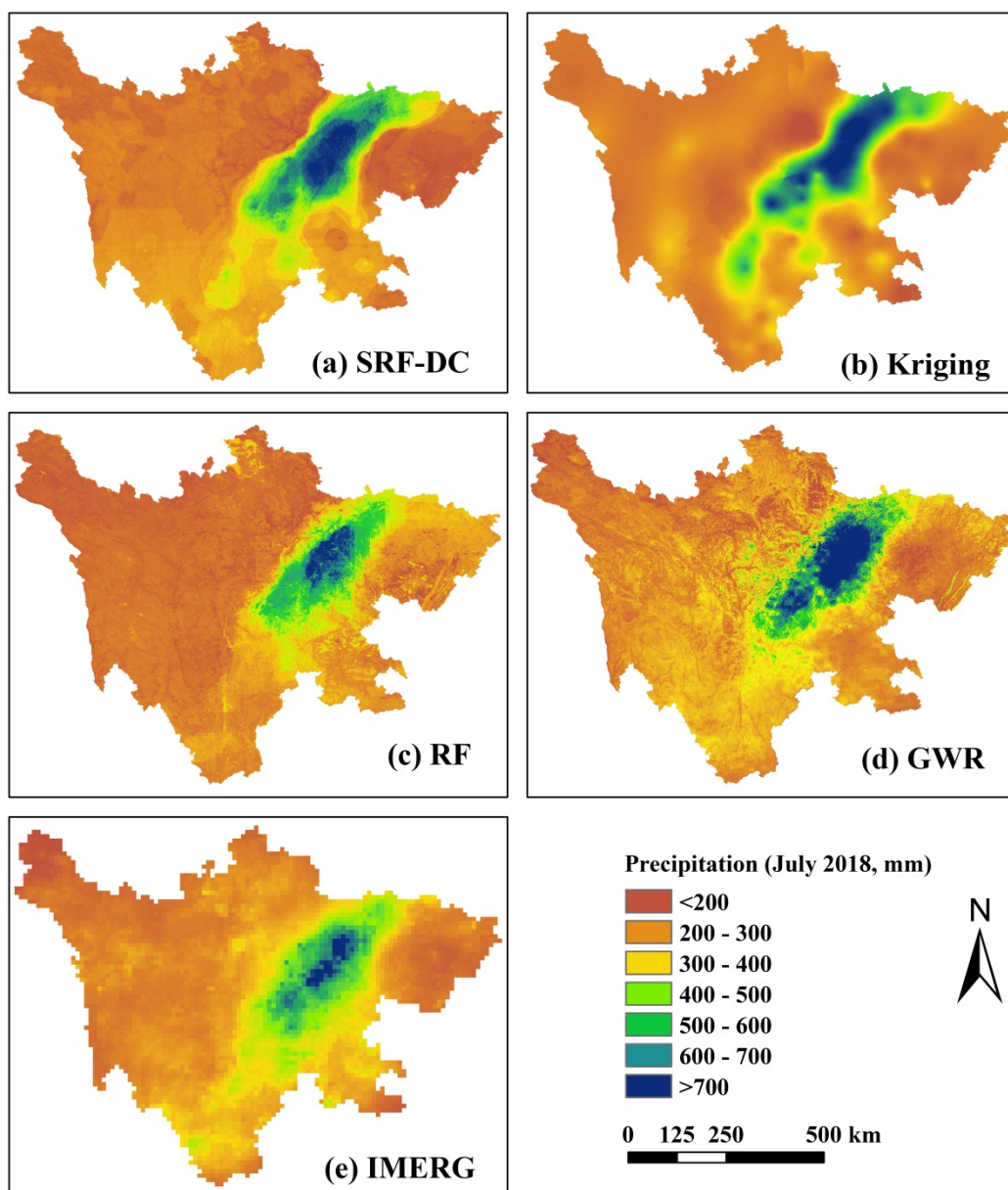


350

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

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

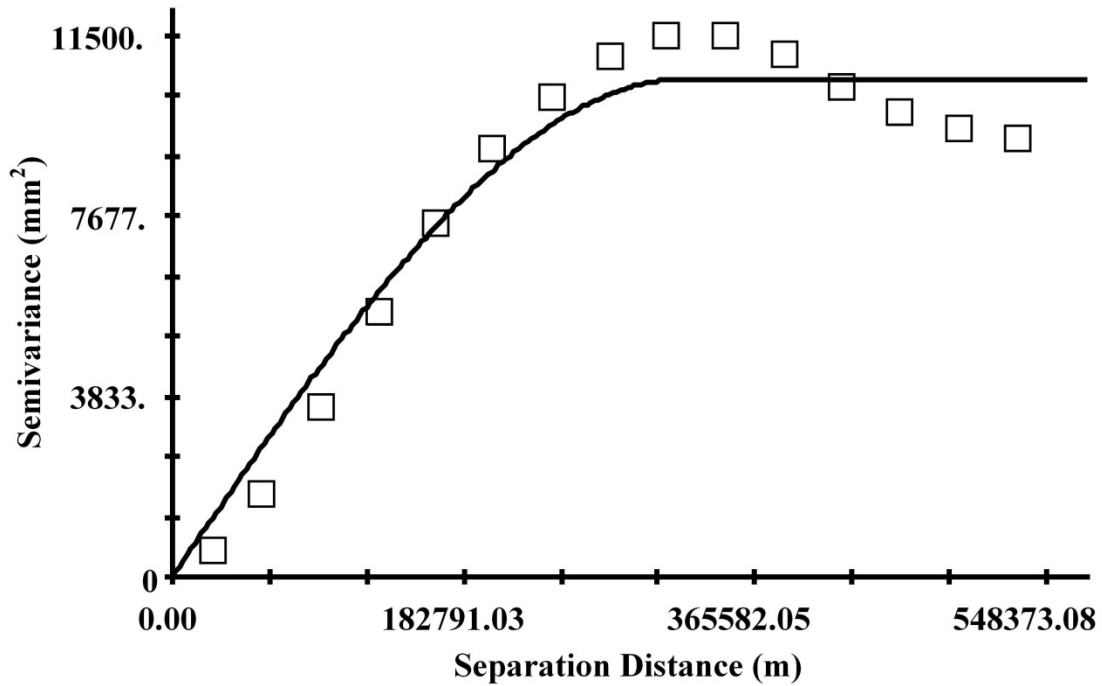
358 the middle and low precipitation in the east. The ML-based methods have more spatial details of
 359 precipitation than IMERG due to the inclusion of high-resolution predictors for precipitation estimation.
 360 The kriging map is so smooth that many details and variations of precipitation pattern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



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

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

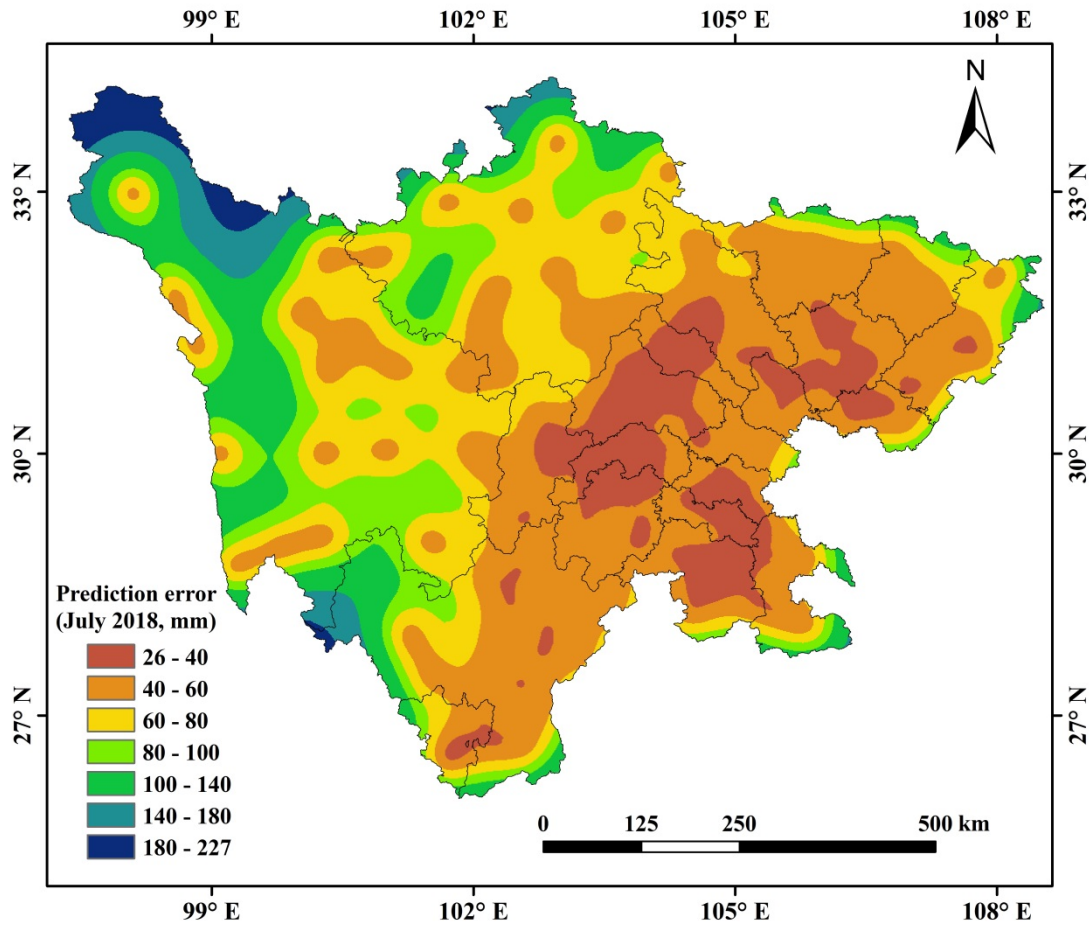
368 spherical model with the nugget variance (C_0) of 10.0 m^2 , sill (C_0+C) of 10,560 m^2 , residual sum of
 369 squares (Rss) of 8,800,611 m^2 , range (A_0) of 321,000 m, and fitting R^2 of 0.962, respectively (Fig. 9a).
 370 The prediction error map (Fig. 9b) illustrates that the errors in the west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



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

374
 375
 376

(a) Semivariogram



(b) Prediction error

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

5. Discussion

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

5.1. Model

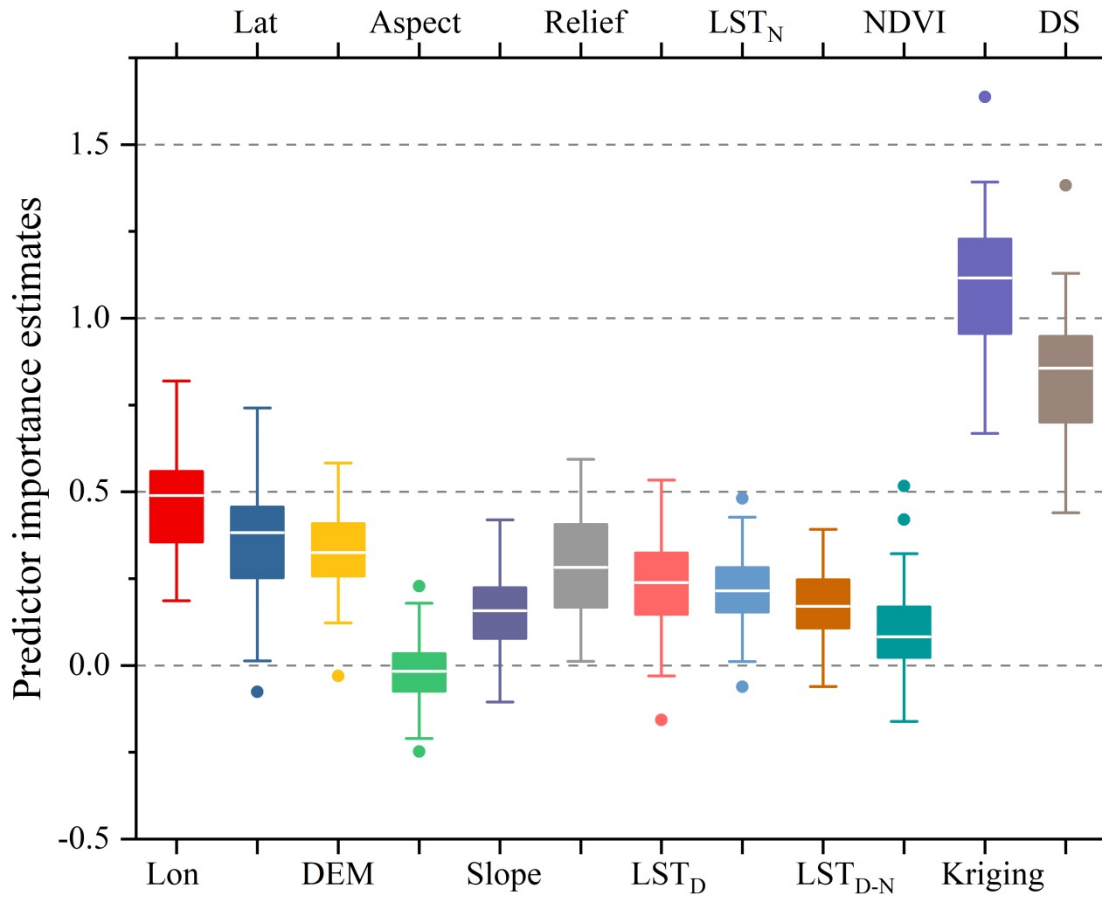
In previous studies, the most commonly adopted model was GWR (Xu et al., 2015; Chen et al., 2015; Zhao et al., 2018), since it considers the spatial variation between the predictors and precipitation. However, we found that due to the sparse distribution of rain gauge stations (Lu et al., 2019), GWR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

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

394 **5.2. Environmental predictors**

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

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



408

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

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

416 Among the 12 predictors, aspect has the least importance. This conclusion was also obtained by Ma
 417 et al. (2017) for downscaling TMPA 3B43 V7 data over the Tibet Plateau. DEM, terrain relief and
 418 slope seem more important than aspect, since precipitation is closely related to topography (Jing et al.,
 419 2016). The results are consistent with previous studies (Immerzeel et al., 2009; Jing et al., 2016).

420 **5.3. Temporal scale**

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

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

432 **5.4. Easy-to-use feature**

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

447 **5.5. Limitations and further researches**

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

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

465 **6. Conclusions**

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

- 471 (1) The SRF-based methods including SRF-DC, Bi-SRF, SRF-GDA and SRFdis were more accurate
472 than the classical methods. Moreover, SRF-DC performed slightly better than Bi-SRF and
473 SRF-GDA.
- 474 (2) The comparison between the monthly-based and annual-based estimation demonstrated that there
475 was no statistically significant difference between them, indicating that NDVI could be used for
476 monthly precipitation estimation in the study site.

477 (3) Kriging outperformed the original IMERG, BPNN and GWR in terms of RMSE, MAE and CC.

478 However, its interpolation map suffered from the serious loss of spatial precipitation patterns.

479 (4) Based on the variable importance assessment of RF, the precipitation interpolated by kriging on the

480 gauge measurements was the most important variable, while terrain aspect was the least one. This

481 indicated that considering spatial autocorrelation was beneficial for precipitation estimation.

482 Overall, SRF-DC is general, robust, accurate and easy-to-use, as it shows promising results in the

483 study area with heterogeneous terrain morphology and precipitation. Thus, it can be easily applied to

484 other regions, where precipitation data with high resolution and high accuracy is urgently required.

485 **Data availability**

486 The gauge data are from the China Meteorological Data Service Center (<http://data.cma.cn>, last

487 access: January 2021). The GPM data are from <https://gpm.nasa.gov/data> (last access: January 2021).

488 The GPM data are from <http://srtm.csi.cgiar.org/> (last access: January 2021). The MOD13A3 data are

489 from <http://www.gscloud.cn/> (last access: January 2021). The MOD11A2 data are from

490 <https://ladsweb.modaps.eosdis.nasa.gov> (last access: January 2021).

491 **Declaration of Competing Interest**

492 The authors declare that they have no known competing financial interests or personal relationships

493 that could have appeared to influence the work reported in this paper.

494 **Author contributions**

495 CF and YY conceived the idea, and acquired the project and financial support. BJ conducted the

496 detailed analysis. CF contributed to the writing and revisions.

497 **Competing interests**

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

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507

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