Automated Pipelines for Spectroscopic Analysis

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The Gaia mission will have a profound impact on our understanding of the structure and dynamics of the Milky Way. Gaia is providing an exhaustive census of stellar parallaxes, proper motions, positions, colors and radial velocities, but also leaves some flaring holes in an otherwise complete data set. The radial velocities measured with the on-board high-resolution spectrograph will only reach some 10% of the full sample of stars with astrometry and photometry from the mission, and detailed chemical information will be obtained for less than 1%. Teams all over the world are organizing large-scale projects to provide complementary radial velocities and chemistry, since this can now be done very efficiently from the ground thanks to large and mid-size telescopes with a wide field-of-view and multi-object spectrographs. As a result, automated data processing is taking an ever increasing relevance, and the concept is applying to many more areas, from targeting to analysis. In this paper, I provide a quick overview of recent, ongoing, and upcoming spectroscopic surveys, and the strategies adopted in their automated analysis pipelines.

1 Introduction

Gaia was launched on December 19, 2013. Science operations for the mission started on July 2014, and its suite of instruments will hopefully continue to gather data continuously during the nominal mission lifetime of five years. Gaia expands the global all-sky measurement of stellar parallaxes, proper motions, colors and radial velocities, but also leaves some flaring holes in an otherwise complete data set. The radial velocities measured with the on-board high-resolution spectrograph will only reach some 10% of the full sample of stars with astrometry and photometry from the mission, and detailed chemical information will be obtained for less than 1%. Teams all over the world are organizing large-scale projects to provide complementary radial velocities and chemistry, since this can now be done very efficiently from the ground thanks to large and mid-size telescopes with a wide field-of-view and multi-object spectrographs. As a result, automated data processing is taking an ever increasing relevance, and the concept is applying to many more areas, from targeting to analysis. In this paper, I provide a quick overview of recent, ongoing, and upcoming spectroscopic surveys, and the strategies adopted in their automated analysis pipelines.

This situation has triggered the reaction of the astronomical community, who is organizing complementary projects to perform spectroscopy from the ground. Three massive high-resolution $(R \equiv \lambda/\delta \lambda \sim 20,000)$ projects are currently underway: APOGEE, Gaia-ESO, and GALAH. There are also ongoing efforts at lower resolution $(R \sim 2000)$, the SDSS and LAMOST, as well as the RAVE survey, that uses intermediate resolution but a more limited (RVS-like) spectral coverage. The main targets and instrumental characteristics of these projects and many others planned for the near future are summarized in §2.

The massive data sets being produced call for a scale of automation never seen before, from target selection to instrumental configuration, to data acquisition, data reduction, and even analysis. Data products from these surveys are far more advanced than calibrated spectra, and involve the use of physical models, crossing the line between actual observations and their theoretical interpretation. Section 3 will make a quick overview of the most usual methodologies involved in a basic analysis of stellar spectra, and §4 will glance at the construction of models. Section 5 mentions some of the most popular algorithms and codes adopted for the automated derivation of atmospheric parameters and chemical abundances.

The architecture of the analysis pipelines for the different surveys can vary wildly, and Section 6 will describe the ones adopted by three of the most relevant projects.
2 Ongoing and future ground-based spectroscopic surveys

2.1 Current projects

At low resolution, the largest projects by far are the Sloan Digital Sky Survey (SDSS) and the Large Area Multi Object Fiber Spectroscopic Telescope (LAMOST).

The SDSS has been running for about 15 years, using a dedicated 2.5-m telescope (Gunn et al. 2006) at Apache Point Observatory, in New Mexico. The project established its own 5-band ugriz photometric system, and mapped a large fraction of the Northern sky. Targets for spectroscopy are selected, mainly from photometry, to fulfill a variety of science objectives. The original SDSS project (1998–2005; York et al. 2000), the Baryonic Oscillations Spectroscopic Survey (BOSS 2009-2013; Dawson et al. 2013, Eisenstein et al. 2011), and its sequel eBOSS (2014-2020; Zhao et al. 2015), target galaxies and quasars, but included some stars for addressing particular research topics, and F-type halo sub-dwarfs for calibration. The SEGUE and SEGUE-2 projects (2005-2008; see Yanny et al. 2009) focused on stars. Altogether, the SDSS archive has low-resolution spectra for about a million stars in the range $14 < V < 21$, all publicly accessible through their regular data releases (the latest was DR12; Alam et al. 2015), and continues operating.

The two original double-arm SDSS spectrographs used in the original survey, SEGUE, and SEGUE-2, were upgraded in 2009 to enhance throughput, resolution, and spectral coverage (Smee et al. 2013). Both the original and upgraded instruments share a resolving power about 2,000 and broad spectral coverage in the optical (380-960 nm for the original and 360-1000 nm for the upgraded version). These instruments are fiber fed from plug-plates mounted on the 3-degree focal plane of the telescope and accommodate 640 3-arcsecond (original instrument) or 1000 2-arcsecond diameter (upgraded) fibers simultaneously. Since 2011 the SDSS incorporates the APOGEE high-resolution H-band spectrograph, which is described below.

Inspired by the SDSS, the Large Sky Area Multi-Object Fibre Spectroscopic Telescope (LAMOST) started regular operations in 2011. This telescope, which has an original design and an effective aperture in the range 3.6-5.9m, is used together with an advanced robotic fiber positioner to acquire up to 4000 objects per exposure. The fibers feed 16 spectrographs, typically set up to provide a resolving power about 1500 and broad spectral coverage between 370 and 900 nm. A recent dedicated issue of the journal Research in Astronomy and Astrophysics has described the results of the Milky Way observations from LAMOST. The first public data release took place earlier in 2015 (Luo et al. 2015) and included nearly 3 million spectra of Northern stars, most in the range $13 < V < 19$.

There are currently three massive ongoing projects providing stellar spectra over a large area of the sky with a resolving power of $\sim 20,000$, or about ten times higher than SDSS/SEGUE or LAMOST: APOGEE (Majewski et al. 2015; also part of SDSS), Gaia-ESO (Gilmore et al. 2012), and GALAH (Zucker et al. 2013).

The Apache Point Observatory Galactic Evolution Experiment (APOGEE) started gathering data in 2011 and it couples a 300-fiber H-band (1.5-1.7 $\mu$m) spectrograph to the SDSS 2.5m telescope. After three years of operations, the project made a full data release in January 2015 including spectra for more than 150,000 Northern stars in the range $8 < H < 14$ (or $10 < V < 17$), most of them red giants in the Galactic disk, but also reaching into the Galactic bulge and the halo (Holtzman et al. 2015). APOGEE observations will continue at least until 2020, and a replica of the APOGEE spectrograph is being built and will perform parallel observations from Las Campanas starting in Fall 2016. The H-band is rich in atomic and molecular lines, and the APOGEE spectra recover atmospheric parameters and abundances of 15 elements for red giant stars.

The Gaia-ESO survey uses general-purpose ESO facilities, namely one of the VLT 8m telescopes (Kueyen) and the FLAMES instrument, which feeds medium and high-resolution spectrographs. The project started at the end of 2012 and will extend at least to 2017. Most stars are observed at $R \sim 20,000$ with GIRAFFE, but about 10% are brighter stars fed to UVES, with $R \approx 50,000$. As with other ESO Public Surveys, the raw data become immediately available, and reduced spectra, atmospheric parameters, and chemical abundances are released at a slower pace.

The GALAH survey uses the 4m Anglo-Australian telescope and a custom-made 4-arm spectrograph (HERMES), with the resolving power set to $R \sim 28,000$ to target 400 objects per exposure, and measure abundances for up to 30 elements. The project pursues collecting spectra for a million stars in the range $12 < V < 14$. The instrument was commissioned at the end of 2013 and has already obtained spectra for more than 100,000 stars. Its first public data release is planned for mid-2016.

With an intermediate resolving power $R \approx 7000$ and limited spectral coverage (841-880 nm), the Radial Velocity Experiment (RAVE) obtained data between 2003 and 2013 using the 1.2m UK Schmidt Telescope at the Australian Astronomical Observatory for about 500,000 Southern stars with $9 < V < 14$ (Steinmetz et al. 2006). Their latest data release took place in 2013 (Kordopatis et al. 2013) and included parameters, distance estimates, and abundances for up to six elements for a large fraction of the targets, but no spectra. The next data release is planned for 2016.

Table 1 summarizes the main parameters for each of the projects described above. Fig. 1 illustrates the situation. In addition to the number of observed stars $N$, their approximate $V$ magnitude range, and the resolving power of the instruments $R$, I have computed an additional quantity, the power to resolve, $P$, that combines the resolving power with other important factors, namely the relative spectral cover-
age $\Delta \lambda/ < \lambda >$, and the signal-to-noise ratio, in an attempt to measure of the information content per observation

$$P = R \left( \frac{\Delta \lambda}{< \lambda >} \right) \left( \frac{S}{N} \right).$$

(1)

Since $P$ is proportional to $R$, there is correlation between the two which the RVS does not share, mainly due to its atypically low signal-to-noise ratio and spectral coverage. As one may expect, $P$ is anticorrelated with the number of targets $N$: the more information per spectrum, the harder it gets to observe a large number of objects.

## 2.2 The future

The existence of multiple projects carrying out spectroscopic surveys of the sky, and stars in the Milky Way in particular, has not precluded additional projects to get organized.

WEAVE for the 4m WHT in La Palma (Dalton et al. 2014) and 4MOST for the 4m VISTA telescope at Paranal (de Jong et al. 2014) will provide multi-object medium ($R \sim 5000$) and high-resolution ($R \sim 20,000$) optical spectroscopy from the Northern and Southern hemispheres, respectively, and embark in massive surveys including Milky Way stars. WEAVE has a robotic fiber positioner handling 1000 fibers and a single spectrograph that can work in medium or high-resolution modes, while 4MOST will have about 2400 fibers, part feeding a medium-resolution spectrograph and part feeding a high-resolution one. With similar medium or high resolution modes, on a larger telescope, the ESO 8m VLT, MOONS will provide near-IR coverage (0.7–1.7 µm) for fainter targets (Cirasuolo et al. 2014). These three instruments are planned to start operations in 2018-2021.

Another project to keep an eye on is the Hobby-Eberly Telescope Dark Energy Experiment (HETDEX; Hill et al. 2008), which uses an innovative massive instrument, VIRUS. This instrument feeds light from 30,000 fibers statically arranged into 75 Integral Field Units to 150 spectrographs. This experiment is designed mainly for cosmology, but about 200,000 stars down to $V \sim 22$ will be observed along with galaxies in a 60-square degree region in the vicinity of the Big Dipper. The low resolving power ($R \sim 700$) is compensated with a spectral range that reaches into the near-UV (350-550 nm), where a higher density of stellar absorption lines helps to measure radial velocities or estimating stellar metallicities. HETDEX will start in 2016.

Finally, the Dark Energy Spectroscopic Instrument (DESI), will involve a robotic positioner with 5000 fibers and 10 three-arm spectrographs working at medium resolution ($2000 < R < 5500$, depending on wavelength) over the range 360-980 nm (Levi et al. 2013). The project employs the 4m Mayall telescope at Kitt Peak, aims to start operations in 2019-2020, and it is a good candidate to populate the exciting upper-right area in the upper-right panel of Figure 1.

## 3 Analysis methodology

The most basic analysis is spectral classification. The classical MK system is still in use, but many alternative machine-based schemes have been proposed (see Bailer-Jones 2002 for a review). These involve cluster analysis techniques such as $K$-means, optimization techniques, or mixture models (see, e.g., Everitt et al. 2011), or artificial neural networks (Bailer-Jones et al. 2002), among others.

More interesting than classification is parameterization. Spectra depend mainly on the fundamental atmospheric parameters, the stellar effective temperature ($T_{\text{eff}}$), the logarithm of a scale factor that applies to the solar mixture. In this paper we will refer to this set of parameters with the letter $p$. Parameterization is either performed based on model spectra, or observed ones. In any case, when observed templates are used, somebody has to assign parameters to them based again on model spectra.

## 4 Model spectra

Model spectra can be computed under a given set of approximations. Traditionally, hydrostatic equilibrium, energy conservation, and local thermodynamical equilibrium are assumed in order to calculate a model atmosphere. Then detailed spectra are computed by solving the radiative transfer equation with detailed opacities for lines and continua.
Large sets of classical model atmospheres are available, and sparse grids of more detailed hydrodynamical models are becoming available (Ludwig et al. 2009, Trampedach et al. 2013). An overview of the available sources of model atmospheres, opacities, and radiative transfer codes is given in Allende Prieto (2016).

5 Algorithms and codes

Once we are ready to compute model spectra, we can focus on the task of identifying the algorithm to find the set of model parameters \( \mathbf{p} \) that best reproduces any given observed stellar spectrum. The possibilities are endless and only some of the most commonly employed techniques will be mentioned here.

The traditional methods focus on quantifying the strength of absorption lines by measuring their equivalent widths. Many lines are usually available for transitions of two iron ions, e.g. atomic and singly-ionized iron in the case of late-type stars, and forcing the inferred iron abundance to be independent of the line excitation energy, the line strength, and the ion can constrain the atmospheric parameters. This technique, however, is limited to fairly high spectral resolution data.

Projection algorithms take input spectra and identify functional relationships that map those onto the desired parameters. Neural networks fall in this category, and so does the MATISSE algorithm by Recio-Blanco et al. (2006), or “the Cannon” (Ness et al. 2015).

In most cases there is a unique solution and local optimization techniques such as the Nelder-Mead algorithm (Nelder & Mead 1965), the Levenberg-Marquardt algorithm (Marquardt 1966), or the conjugate gradient method (see, e.g., Shewchuk 1994) can be very efficient.

When the multidimensional \( \mathbf{p} \) space shows a complex landscape with multiple local minima we may need to put up an extra effort using global optimization algorithms, such as annealing (Kirkpatrick 1984) or genetic algorithms (Goldberg 1989). Bayesian techniques, coupled or not to Markov-Chain Monte Carlo chains to optimize the number of function evaluations, can also be used to search for the optimal solution, with the advantage of having the possibility of folding-in external information about the sample we are observing (see, e.g., Lee 2013).

6 Pipeline architecture

A spectroscopic analysis pipeline is a software package that takes fully reduced spectra as input, and derives physical in-
formation such as radial velocities, atmospheric parameters, or chemical abundances, from them. Most outputs depend on models, i.e. are model-dependent. The connection between models and parameters can be implicit, through relationships that have been determined beforehand, or explicit, through the direct calculation of synthetic spectra during the pipeline execution. As mentioned above, one may use libraries of existing observations, but the parameters assigned to those will be ultimately tied to model atmospheres and synthetic spectra.

The architecture of a pipeline depends on the quantity and quality of the input data, which sets what can be extracted and how much information the pipeline needs to digest and at which speed. It will depend on whether the spectra themselves, or derived quantities, such as equivalent widths or spectral indices, are used in the evaluation of the merit function that defines what are the most likely values for the sought-after parameters.

A pipeline may seek multiple parameters at once, or sequentially. It may adopt a single optimization algorithm or a number of them. It may also embrace a single model set (model atmospheres, opacities, etc.) or several of them. Pipelines can be developed specifically for a given instrument, survey, or project. But in some instances they can be very general and be used in multiple ones.

It is not always obvious which choices are best and whether there is a recipe that can be applied in most situations. In this paper, I will discuss some of the choices adopted for three particular surveys in which I have been involved: APOGEE, Gaia-ESO, and SDSS-SEGUE.

### 6.1 Example 1: APOGEE

The APOGEE pipeline (ASPCAP; García Pérez et al. 2015) uses the chi-squared between observed and model spectra to decide on what are the most likely values for the parameters it searches: radial velocities, atmospheric parameters and chemical abundances. With a resolving power of about 20,000 and a spectral coverage between 1.5 and 1.7 μm, computing the chi-squared implies a loop over 10^4 wavelengths. The APOGEE data are very homogeneous – all spectra are acquired with the same instrument/setting.

The pipeline determines 6 or 7 parameters simultaneously for each APOGEE spectrum: \( T_{\text{eff}} \), \( \log g \), micro-turbulence, \([M/H]\), \([C/M]\), \([N/M]\), and \([\alpha/M]\). The remainder of the chemical abundances are derived in a second step, one element at a time, holding constant the parameters derived in the previous stage. The rationale for pursuing the carbon, nitrogen, and \( \alpha \)-element abundances in the first optimization is that these elements can have a critical effect on the derivation of the main atmospheric parameters \( T_{\text{eff}} \), \( \log g \) and metallicity \([M/H]\), through their effect on the equation of state or the opacity, mainly through molecular absorption (CN, OH or CO) or contributing free electrons.

The APOGEE pipeline has only one algorithm for deriving atmospheric parameters and abundances, currently the Nelder-Mead algorithm, as implemented in the code FERRE, written in FORTRAN90. FERRE is open source and adopts a strategy to analyze spectra that is applicable to virtually any type of spectroscopic data. The code is optimized to run on large samples, and evaluates model spectra by interpolating in a grid of pre-computed model fluxes, which can be compressed using Principal Component Analysis. In the APOGEE pipeline FERRE is wrapped within a complex book-keeping software written in IDL, which prepares the spectra, launches FERRE jobs, and sorts and packs the output.

The effective temperatures and abundances obtained are not far from those expected, while gravities are more affected by systematic errors. Offsets between reference data for open and globular clusters and stars with their properties derived from oscillations are tracked, modeled with simple functions, and calibrated out.

Following the model generally used in previous SDSS pipelines, the APOGEE pipeline software is version-controlled in a project server, and the pipeline itself runs on project computers in an automated fashion. This allows the analysis of new data to be done consistently, and makes it possible to reproduce the results. The software used in the analysis becomes publicly available from the SDSS servers together with the data they have been run on at each public data release of the SDSS (see, e.g. Alam et al. 2015).

### 6.2 Example 2: Gaia-ESO

The Gaia-ESO analysis pipeline is actually a suite of pipelines run by individual teams at different locations (Smiljanic et al. 2014; Recio-Blanco et al. 2014). Each team (node) develops its software and is in charge of maintaining it. A set of common guidelines regarding the basic input data used to model spectra (model atmospheres, atomic and molecular data, reference solar abundances, etc.) are given, but the actual choices of algorithms, codes, and strategies to extract the information from the spectra are left to the nodes.

The Gaia-ESO Public Survey employs both the GIRAFFE and UVES spectrographs, with roughly 90% of the data coming from the former. There are a few nodes involved in the analysis of the GIRAFFE data, which are coordinated as a working group, and the parameters from them are mapped onto a common scale and then averaged. In the case of UVES data, the corresponding working group includes over a dozen nodes, and the results from them are averaged out using weights defined upon their measured performance on a set of benchmark stars (Heiter et al. 2015; Jofré et al. 2015).

In addition to the working groups dealing with GIRAFFE or UVES data for late-type normal stars, there are additional working groups devoted to the analysis of hot stars, or chemically peculiar stars. An additional working group enforces a certain degree of homogeneity across independent working groups.

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1. Available from [http://hebe.as.utexas.edu/ferre](http://hebe.as.utexas.edu/ferre)
The GIRAFFE data for any given star typically include two spectral settings, each a few tens of nanometers wide, with a resolving power about 20,000. Not all stars are observed with the same settings, mainly to optimize the return for stars in clusters. The UVES spectra have a higher resolving power (more than twice as high) and broad spectral coverage. In most cases, the atmospheric parameters are derived first, using optimization or projection techniques, and abundances are determined in a second stage, once the parameters from the different nodes have been combined into a single set.

A large fraction of the software used in Gaia-ESO existed before the survey began, and its performance and behavior was well understood. However, since the software is not in general open source, and is not kept under a common software control repository, traceability is limited and operations are not streamlined.

6.3 Example 3: SDSS-SEGUE

The SEGUE Stellar Parameters Pipeline (SSPP; Lee et al. 2008 and follow-up papers) is also a suite of software packages aimed at deriving one or several atmospheric parameters from SDSS-SEGUE stellar spectra. Some of the packages existed long before the pipeline was assembled, but others were written specifically for SDSS-SEGUE. Some are as simple as polynomial relationships that relate the equivalent width of a hydrogen line with $T_{\text{eff}}$, while others use algorithms to constrain multiple parameters simultaneously.

After all the codes have been run on a given data set, a set of established rules decides which results are adopted and averaged depending on the region of the parameter space the solution falls into.

The SDSS-SEGUE spectra have a resolving power of about 2,000, but have a broad wavelength coverage. The spectra are fairly uniform, with the exception of the upgrade of the spectrographs in 2008 for BOSS. The focus of the pipeline is to measure atmospheric parameters ($T_{\text{eff}}$, $\log g$ and [M/H]), although the overall $\alpha$-element enhancement and the carbon abundance are also determined. Quality assurance is based on results for clusters, but no attempt is made to empirically calibrate the outputs from the SSPP.

Similar to the APOGEE case, the SSPP is maintained under version control on SDSS servers, where it lives and runs, and made publicly available in sync with public data releases. The development of the SSPP has slowed down in recent years, and new efforts have appeared to analyze the SDSS optical spectra from the upgraded BOSS spectrographs (Allende Prieto et al. 2014; Fernández-Alvar et al. 2015).

7 Summary and conclusions

The strategies and architectures of existing spectroscopic analysis pipelines are quite varied. In general, software pipelines that are open source and applied to multiple data sets are desirable. Other considerations for designing a pipeline are

- ease of implementation,
- computational demands,
- performance (in terms of precision and accuracy, regarding output parameters and their uncertainty),
- repeatability (software and configuration files must be version tracked)
- clarity and traceability of the results (ease to identify what parts of the spectrum are driven by a given parameter).

The importance of developing software under version control that runs and it is maintained at a given location cannot be overemphasized. Otherwise repeatability and traceability are compromised. It is probably a good strategy to focus on one or few algorithms, implemented afresh and thoroughly tested, rather than ”as many as you can get”, given the limited time available to understand the behavior of each algorithm (and their average results). Multiple algorithms can only provide estimates of systematic errors if truly independent, i.e. when independent atomic/molecular data, model atmospheres, synthesis codes, etc. are used.

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