

# Lab 3: Modeling Stellar Spectra

Astro 128 / 256 (UC Berkeley)

Due at 4:00 pm on Friday, May 1

## Introduction

The goals of this lab are to (a) build a generative model to predict what a stellar spectrum should look like for a given set of stellar properties (e.g., temperature, surface gravity, and elemental abundances; we'll refer to these properties as "labels"), and (b) use this model to infer the properties of stars by fitting their spectra.

We'll be using spectra of red giant stars from the [APOGEE survey](#). Our spectral model will be *data-driven*. This means that we'll start with a *training set* of spectra whose labels are known a priori, and use these spectra to learn how the spectrum varies with each label. The paper [Ness et al. 2015](#) describes the procedure we'll use in detail and should serve as a useful reference throughout. We recommend reading it. We also recommend checking out [Majewski et al. 2017](#) and [Ahumada et al. 2020](#), which describe the APOGEE survey, and [Holtzman et al. 2015](#), which describes the pipeline APOGEE uses to fit labels from spectra.

## Technical Components

- Data munging and standardization
- Outlier rejection; removing bad data
- Linear models
- Cross validation
- Nonlinear optimization, MCMC
- Basics of stellar evolution
- Making movies
- Neural networks

## Problem

1. Download a subset of the APOGEE spectra in the form of APSTAR files, following the instructions at [this link](#). Note that APOGEE is part of SDSS, which has had many (16) public data releases. The format in which the spectra are stored has changed several times between data releases, so make sure you are always accessing the most recent version of the spectra (DR16).

APOGEE spectra are sorted into different directories on the SDSS server based on their "Field", a few-digit string identifying their location in the sky. For this lab, we'll download all the spectra with the following 4 (randomly chosen) fields: "M15", "N6791", "K2\_C4\_168-21", and "060+00". This will

give us 3036 spectra. Figuring out how to efficiently download and access the spectra is part of the lab.

Each spectrum should be in its own APSTAR “.fits” file, with a name like “apStar-rYY-2MXXXXXXXX+XXXXXXX.fits”. Here YY identifies the version of the reduction pipeline used to process the spectrum, and 2MXXXXXXXX+XXXXXXX is the 2MASS ID of the target. Each APSTAR file contains individual visit and coadded multi-visit spectra for one star. Explain what this means, and what the point of multi-visit spectra is.

Helpfully, the coadded spectra have already been Doppler shifted to the barycentric frame. Explain what this means, and why the Doppler shift will be different for each visit. The APSTAR files also contain the associated error arrays and a quality flag bitmask, plus some other information. The data model is described in detail on the SDSS website. Figure out how to read in each spectrum and reconstruct the wavelength array. Plot an example spectrum (flux vs. wavelength). What are the units of spectra? Explain what these units mean.

2. To build a training set, we also need to know the stellar properties (“labels”) that have been derived for each spectrum by the ASPCAP pipeline (Garcia-Perez et al. 2015). These can be found in the “allStar” catalog, which you should download. For each spectrum you downloaded, find its labels in the allStar catalog.

Due to data quality issues, not all labels have been derived for all stars. Discard all spectra for which any of the following labels have not been derived:  $T_{\text{eff}}$ ,  $\log g$ ,  $[\text{Fe}/\text{H}]$ ,  $[\text{Mg}/\text{Fe}]$ ,  $[\text{Si}/\text{Fe}]$ . Also discard spectra with low signal-to-noise ratio ( $\text{SNR} < 50$ , as reported in the allStar catalog). Finally, discard the spectra of dwarfs ( $\log g > 4$  or  $T_{\text{eff}} > 5,700 \text{ K}$ ); we’ll be focusing on giants in this lab) and stars with low metallicity ( $[\text{Fe}/\text{H}] < -1$ ).

Explain how our cut on  $\log g$  effectively distinguishes between dwarfs and giants. Suppose you have a solar-mass star. Calculate the expected value of  $\log g$  on the main sequence (when  $R \sim 1R_{\odot}$ ), just before the helium flash (when  $R \sim 100R_{\odot}$ ), and during core helium burning (when  $R \sim 15R_{\odot}$ ).

You should be left with 1855 stars. Visualize their distribution in label space using a corner plot.

3. Use the apStar bitmasks to identify bad pixels in each spectrum (i.e. pixels where sky subtraction failed, there was a cosmic ray strike, or something else bad happened). Set the uncertainty in these pixels to a large value, so that they will not contribute significantly to the likelihood function in your fitting. The bitmask are a bit unintuitive but are described on in APOGEE data model. To see what each bit means for APOGEE spectra, check the “APOGEE\_PIXMASK: APOGEE pixel level mask bits” dropdown menu. Based on our experience, bits 0-7 and 12 are the most important; the others can probably be ignored.
4. Before we fit spectra, we need to “pseudo-continuum normalize” them, as described in Ness et al. 2015. Explain what this means and why it is useful. What is the difference between pseudo-continuum normalization and “true” continuum normalization?

Developing a continuum normalization procedure from scratch is challenging: an iterative method is required to determine which wavelengths are insensitive to label changes (and thus good for fitting continuum). To find out more about this, read sections 2.3 and 5.3 of Ness et al. 2015.

In this lab, we are making the problem a bit easier by providing you with a list of wavelengths (“continuum\_pixels\_apogee.npz”) that do not contain any strong absorption lines. In other words, the flux value at these wavelengths should not depend much on the spectral labels of the star, but only on its absolute magnitude and distance. Write a function that uses the flux in these wavelength pixels to estimate the continuum over the full APOGEE wavelength range. Section 2.3 of Ness et al. 2015 should be useful. Because the APOGEE spectra are split over three chips, with gaps between the chips, your continuum-determination procedure will probably work better if you handle the three chips individually.

Normalize all your spectra and error arrays. Plot some example un-normalized spectrum, the derived pseudo-continuum, and the normalized spectrum. In order for the rest of your lab to be successful, it is critical that the normalization is robust and behaves as expected in all cases. We recommend testing it *thoroughly* before moving on to the next part of the lab. If your routine is robust, you should find that the normalized spectra of stars that have similar labels (according to ASPCAP) are very similar. Any artifacts (e.g. wiggles) introduced by your normalization procedure will reduce the performance of your spectral model.

**Required in-class checkpoint for Monday, April 6. By 4:00 pm, submit a pdf to bCourses containing (a) the corner plot produced in (2), and (b) a plot showing the unnormalized spectrum of star 2M19395986+2341280, your fit to the continuum, and your normalized spectrum.**

5. Now that you have cleaned spectra, divide them into two randomly selected groups of roughly equal size. Designate one group the training set and the other the cross-validation set.
6. Use the training set to build a spectral model that predicts the spectrum *at each wavelength pixel* as a function of the following 5 labels:  $T_{\text{eff}}$ ,  $\log g$ ,  $[\text{Fe}/\text{H}]$ ,  $[\text{Mg}/\text{Fe}]$ ,  $[\text{Si}/\text{Fe}]$ . Following Ness et al., make your spectral model a 2nd-order polynomial in labels. Your final spectral model will consist of thousands of individual models — one for each wavelength pixel — stitched together. In addition to the model free parameters, fit an intrinsic scatter term,  $s_\lambda^2$ , at each wavelength. This term is defined such that the variance in the observed normalized flux values at wavelength  $\lambda$  is given by  $s_\lambda^2 + \sigma_\lambda^2$ , where  $\sigma_\lambda$  represents the uncertainty in the normalized flux.
  - (a) Consider a single pixel of wavelength  $\lambda$ . Let  $\mathbf{f}_\lambda$  be an array containing the normalized flux in that pixel for all stars in the training set. Show that *at a fixed value of  $s_\lambda^2$* , the spectral model for the pixel can be described by a linear equation  $\mathbf{X}\theta_\lambda = \mathbf{f}_\lambda$ , where  $\theta_\lambda$  is an array of model parameters for that pixel and  $\mathbf{X}$  is a matrix that is the same for all pixels. What is  $\mathbf{X}$ ? For a spectral model that is a 2nd order polynomial in labels, how many free parameters are in  $\theta_\lambda$  (where  $n = 5$  in your case)? Equation 8 of Ness et al. 2015 may provide some useful context here.
  - (b) To find the best values of  $s_\lambda^2$  and  $\theta_\lambda$  for all pixels, consider a grid of  $s_\lambda^2$  values for each pixel. Stepping through the grid, solve the linear equation for  $\theta_\lambda$  and compute the likelihood for the training set for that value of  $s_\lambda^2$ . There should be a term in this likelihood that explicitly depends on  $s_\lambda$ . Choose the optimal  $\theta_\lambda$  and  $s_\lambda^2$  as the one that maximizes that likelihood. Ensure your grid of  $s_\lambda^2$  is large and fine enough that you are actually finding a global maximum in the likelihood.
  - (c) Repeat for all wavelength pixels. What is the total number of free parameters in your spectral model?
  - (d) Now you have a trained spectral model consisting of your parameters  $\{\theta_\lambda\}$ . Write a function that takes a label vector for an arbitrary star and uses the model to predict the normalized spectrum.

You may find it useful to:

- rescale the labels such that they are all of order unity.
- downweight spectra with large uncertainties in a given pixel in training the model for that pixel.

If you are clever about how you formulate your model, you will be able to write down the model optimization as a linear algebra problem. So, even though you are training a complex model with many free parameters, the training should not take more than a few cpu minutes at most.

7. To ensure that your model is working properly, use it to predict the spectrum of some of the objects in the training set from its labels. Specifically, overplot the normalized spectrum of star 2M03533659+2512012 and the model spectrum predicted for its labels. Show the wavelength range from 16000 to 161000 Angstroms. The data and model spectra should look almost identical. If they don't, go back to step 6.
8. For each of the five labels  $\ell_i$ , plot the gradient spectrum  $df_\lambda/d\ell_i$ . This will let you identify which wavelengths are most sensitive to a particular label. For the gradient spectra of Si and Mg, mark the

locations of strong known Si and Mg lines. Do the regions of the spectrum where the gradient is large correspond to known absorption lines?

Some well-known lines at APOGEE wavelengths can be found [here](#).

Additionally, plot  $s_{\lambda}^2$ . Do wavelengths with larger-than-average intrinsic scatter correspond to known absorption lines?

9. To test how well the model works, we'll now use it to fit for the labels of spectra in the cross-validation set. For each spectrum in the cross-validation set, use a nonlinear optimizer (Python has many options, we have found the "trf" or Trust Region Reflective method in `scipy.optimize.curve_fit` to be very robust) to find the point in label-space at which the spectrum predicted by the model best matches the observed spectrum (in a  $\chi^2$  sense, accounting for the uncertainty in the spectrum).

Now compare, for each of the five labels, the best-fit value obtained by the above procedure to the ASPCAP-derived value in the allStar catalog for the validation set. That is, make plots of your best-fit labels vs the ASPCAP labels with a one-to-one line for reference, and show the residuals. Measure the bias and scatter for each label over the full cross-validation set. For a good model, these should be small; for example, a scatter of about 30 K in Teff and 0.02 dex in [Fe/H] should be achievable. If you aren't happy with your model's performance, go back to step 6.

**Required in-class checkpoint for Monday, April 13. By 4:00 pm, submit a pdf to bCourses containing (a) the plot you produced in part (7), and (b) the cross-validation plot produced in part (9).**

10. Although your model should perform well in cross-validation in most cases, there are likely a few objects for which the best-fit labels differ substantially from those in the allStar catalog. Investigate these objects, and try to find out what has gone wrong. Did the optimizer get stuck in a local minimum? Is there something wrong with the spectrum or continuum normalization? Are there flags in the catalog indicating the allStar labels might not be reliable? Can you improve your model based on these tests?
11. For the  $\sim 900$  stars in your cross-validation set, plot a Kiel diagram (i.e.  $\log g$  vs Teff). Color points by their Fe/H. You should use labels you obtained through fitting, not the ASPCAP labels. Identify known features. Comment on the presence (or absence) of trends with Fe/H. The paper by Holtzman et al. (2015) should give you a sense of what this is expected to look like.

Download and overplot a 6 Gyr-old [MIST](#) isochrone of solar metallicity. How good (or poor) is the agreement? Also plot an isochrone with [Fe/H] = -1. Does the [Fe/H]-trend in the isochrones agree with that found in your fitting?

12. Wrap your spectral model in MCMC using `pymc3`. Then, use it to fit the provided **mystery spectrum**. As always, state your priors. Plot a corner plot of your constraints on the five labels.

Depending on how you have implemented your spectral model, it may or may not be easy to make it play nice with `pymc3`. If it's not easy, a good workaround is to write the log-likelihood function yourself and enroll it manually. See [this tutorial](#) for a worked example of how this can be done.

Comment on the formal parameter uncertainties on your fit. Do they seem reasonable, too small, or too large? How do they compare to the typical errors of the ASPCAP-derived labels? How do they compare to the typical errors you inferred from the scatter in cross-validation? If the magnitude of the uncertainties is different from what you might expect, comment on factors that might explain this.

13. Use your model to make a movie showing how the spectrum changes with metallicity at fixed Teff and  $\log g$ . For clarity, show only the region of the spectrum from 16000 to 16200 Angstrom. Vary [Fe/H] from -1 to 0.5 and fix the atmospheric parameters to reasonable values.

The matplotlib “animate” tool is useful for making movies. Unfortunately, it is not currently possible to save movies using ffmpeg on Datahub. If you are working on your own computer, this should not be a problem. If you are using Datahub, a reasonable option is to save frames of the movie and then stitch them together.

14. Make a movie showing how the same region of the spectrum changes as a star ascends the red giant branch. Fix  $[\text{Fe}/\text{H}]=0$ , and vary  $\log g$  from 3.5 to 0.5, simultaneously varying  $T_{\text{eff}}$  such that the star moves along an isochrone.

Comment on the similarities and differences of how the spectrum changes when the composition changes vs. when the star moves up the RGB at fixed composition. How can one tell the difference between a cool, low-logg star and a warmer, higher-logg star that is more metal-rich?

**Required in-class checkpoint for Monday, April 20.** By 4:00 pm, submit the movies produced in (13) and (14) to bCourses. Your files should be in .mp4, .gif, .avi, or .mov format.

15. One complication not accounted for in your spectral model is the fact that many stars are in binary systems. If the angular separation between the two components of a binary is small, they will fall within the same spectroscopic fiber, and the observed spectrum will really be the sum of the spectra of two different stars. Discuss how this might affect your results. If it would lead to bias in the inferred labels, in which direction would you expect the bias to go? How might you correct for it?

The effects of binarity on spectral modeling are discussed in detail in [El-Badry et al. 2018](#).

16. Finally, let’s try a completely different way of measuring labels from spectra. So far, we’ve made a model to *predict the spectrum as a function of labels*, and then used that model to fit spectra in a traditional  $\chi^2$  sense. What if we could instead *predict labels as a function of spectra*? To do this, we’ll use deep learning.

Train a neural network that takes in a normalized spectrum and predicts the same label vector that characterized your spectral model. You may find it useful to regularize the labels so they are of order unity. Experiment with different neural network architectures and hyper-parameters, carrying out on-the-fly validation to tune the network. Any neural network implementation is fine; we have found PyTorch, Theano, TensorFlow, and Keras to work well. Once you find an architecture you are happy with, plot the training and validation loss as a function of training step.

Now use your neural network to predict the labels of stars in the cross validation set. Compare these to the true APSCAP labels, quantifying performance in terms of the bias and median error for each label. How does the network’s performance compare to that of the model fitting you did in part (9)? Discuss the advantages and disadvantages of both strategies of measuring labels.

**Required in-class checkpoint for Monday, April 27.** By 4:00 pm, submit a pdf to bCourses containing (a) the plot produced in part (11), (b) the plot of training and validation loss vs. training step from part (16), and (c) the plot from part (16) comparing the neural network-predicted labels to the APSCAP labels.