

Determination of stellar parameters with GAIA

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Abstract. The GAIA Galactic survey satellite will obtain photometry in 15 filters of over 10^9 stars in our Galaxy across a very wide range of stellar types. No other planned survey will provide so much photometric information on so many stars. I examine the problem of how to determine fundamental physical parameters (T_{eff} , $\log g$, [Fe/H] etc.) from these data. Given the size, multidimensionality and diversity of this dataset, this is a challenging task beyond any encountered so far in large-scale stellar parametrization. I describe the problems faced (initial object identification, interstellar extinction, multiplicity, missing data etc.) and present a framework in which they can be addressed. A probabilistic approach is advocated on the grounds that it can take advantage of additional information (e.g. priors and data uncertainties) in a consistent and useful manner, as well as give meaningful results in the presence of poor or degenerate data. Furthermore, I suggest an approach to parametrization which can use the other information GAIA will acquire, in particular the parallax, which has not previously been available for large-scale multidimensional parametrization. Several of the problems identified and ideas suggested will be relevant to other large surveys, such as SDSS, DIVA, FAME, VISTA and LSST, as well as stellar parametrization in a virtual observatory.

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1. Introduction

GAIA is an ESA-funded astrometric and photometric satellite for launch in 2010–2012. It is similar in essence to Hipparcos, but extending by several orders of magnitudes the astrometric accuracy, magnitude limit and number of objects. The goal is to measure positions to $10\mu\text{as}$ at $V=15$ and $160\mu\text{as}$ at $V=20$. It will observe the whole sky down to $V \simeq 20$ about 100 times over the course of four years, observing an estimated 10^9 stars, plus numerous galaxies, quasars and asteroids. (For comparison, Hipparcos measured 10^5 stars in two filters down to $V=12.4$ with an median astrometric accuracy of $1000\mu\text{as}$ for $V < 9$.) The astrometry will provide accurate positions, distances and proper motions for many of these stars. The primary goal of GAIA is to explore the composition, formation and evolution of the Galaxy by studying the dynamics and intrinsic properties of a wide range of stellar types



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across the whole Galaxy. GAIA will observe all objects in 15 medium and broad band filters (FWHM between 10 and 200nm) across the wavelength range 250–950nm at a spatial resolution of at least $0.5''$, although the optimization of this system continues. High resolution (0.075nm) spectra of the brighter objects will also be obtained (with a slitless spectrograph) in the vicinity of CaII triplet at 850–875nm, primarily to determine radial velocities to a few km/s accuracy, thus complementing the astrometry to give a 6D phase space map of all objects down to $V \sim 17$. For more details on the mission, see (ESA, 2000; Perryman et al., 2001) or Perryman’s article in this volume.

In this article I examine the problem of determining fundamental stellar parameters, e.g. T_{eff} , R (radius), $[\text{Fe}/\text{H}]$ and $[\alpha/\text{Fe}]$, with GAIA. As the mission is still some ten years in the future, it would be premature to present complete solutions to this problem. Rather, my emphasis is on outlining the considerable challenges that this task presents. The solution will have to rely extensively on automated methods, which must be more robust and sophisticated than those used to date for stellar classification and parametrization. These need to deal with the complex distribution of objects in a multidimensional colour or stellar parameter space: simply taking colour cuts to produce two-dimensional colour-magnitude diagrams is an inefficient (and often ineffective) use of multi-colour data. After looking at the scientific aspects of stellar parametrization and assessing what is possible with GAIA (section 2), I discuss the challenges posed by the nature of this survey plus the practical requirements which these place on parametrization methods (section 3). In section 4 I briefly mention the capabilities and restrictions of some of the methods which have been used so far on simpler stellar parametrization problems. Finally, I present a framework approach for deriving stellar parameters with GAIA (section 5).

2. Scientific goals and capabilities

The most fundamental properties of a star are its mass, age and chemical composition. Unfortunately, age is not directly observable and masses can only be determined directly (i.e. dynamically) in select binary systems. Nonetheless, important parameters, in particular the effective temperature, T_{eff} , surface gravity, $\log g$, and iron-peak metallicity, $[\text{Fe}/\text{H}]$, can be obtained from the stellar spectral energy distribution (SED) given sufficient spectral resolution. Combined with the parallax and interstellar extinction, the luminosity, radius and mass can be determined. Also determinable from the SED are the abundance

Table I. Stellar parameters derivable from the GAIA data. SED=spectral energy distribution (15 photometric measures in medium and broad band filters); nSED=normalized SED (absolute flux information removed); RVS=radial velocity spectrum; BC=bolometric correction; π =parallax; $\mathbf{A}(\lambda)$ =interstellar extinction function; $\mathbf{v}(t)$ & $\mathbf{r}(t)$ =point source velocity and position as a function of time (from c. 70 observations over four years).

<i>non-astrometric parametrizer:</i>			
nSED, (RVS)	\Rightarrow	$T_{\text{eff}}, \log g, [\text{Fe}/\text{H}],$ $\mathbf{A}(\lambda), \text{BC}, [\alpha/\text{Fe}]?$	atmospheric model
<i>additional use of astrometry gives:</i>			
SED, BC, π , $\mathbf{A}(\lambda)$	\Rightarrow	L	$2.5 \log L - f(\text{SED}, \text{BC})$ $= A - 5 \log \pi$
L, T_{eff}	\Rightarrow	R	$L = 4\pi R^2 \sigma T_{\text{eff}}^4$
$\log g$, R	\Rightarrow	M	$g = GM/R^2$
SED, RVS, $\mathbf{v}(t)$, $\mathbf{r}(t)$	\Rightarrow	detect unresolved binaries	orbital model
SED(t), RVS(t)	\Rightarrow	detect variables	variability model

of the alpha-process elements, $[\alpha/\text{Fe}]$, CNO abundance anomalies, the microturbulence velocity, V_{micro} , rotational velocity, V_{rot} and activity.

Most work on stellar parametrization (and MK classification) has relied on high resolution spectra from which T_{eff} , $\log g$ and $[\text{Fe}/\text{H}]$ have been determined (see (Bailer-Jones, 2002) for a review). GAIA is rather different in that it observes at lower spectral resolution but measures absolute fluxes as well as parallaxes. Table I shows how stellar parameters can in principle be derived from these data. The distance measurement precision for $V=15$ is 0.5% at 500pc, 1% at 1kpc and 5% at 5kpc. At $V=18$ these are about 2%, 4% and 20% respectively. (These improve by a factor of two or more for late-type or very reddened stars.) For $V=15$ the SNR per filter (at end of mission) is better than 200, decreasing to 50–150 at $V=18$ and 10–50 at $V=20$ for most filters and spectral types (ESA, 2000). Thus some 20 million stars will have their distance determined to better than 1% and have high precision SEDs. If T_{eff} can be established to 1% then the radii of many of these stars is determinable to within 2%. Even in those more frequent cases where distance determination is too poor to permit a precise radius, it will provide an approximate intrinsic luminosity which, when combined with the effective temperature, can be used to aid surface gravity determination. If $\log g$ can be measured to 0.2 dex, then provided R can be established to within 10%, a mass determination to within 50% is

possible without calibration from binary systems. Although poor for an individual star, it becomes statistically meaningful for a large sample of similar stars, one of GAIA's strong points. Better individual masses will be possible from calibration using the 65 000 visual binaries observed by GAIA for which masses should be obtained to within 10% (or 17 000 to within 1%) (ESA, 2000). Ages (possibly with large uncertainties) can be quantified from evolutionary models.

Being a deep, all-sky survey, GAIA will have to account for interstellar extinction and its variation across the Galaxy. Moreover, in order to determine the stellar luminosity and hence radius from the SED and the parallax, a precise knowledge of the interstellar extinction is necessary: to determine R (radius) to 2%, the extinction must be measured to within 0.03 mags.

When trying to determine several astrometric parameters from a dataset there exists the problem of parameter degeneracy, i.e. two different astrophysical parameters manifesting themselves in the same way in the SED in certain parts of the astrophysical parameter space. An example is T_{eff} and extinction in late-type stars, where lowering T_{eff} has a similar effect on the SED (at low resolution) as increasing the extinction. (The radial velocity spectrum will help for the brighter stars as this reddening-free information provides an independent measure of the stellar parameters.) A more subtle example of degeneracy is the effect of higher temperatures on metallicity determination: in hot stars the metals are ionized leaving only very weak metal lines, making it difficult to determine metallicity in O and B stars at low resolution. There is then the danger that a parametrization algorithm could confuse metallicity and temperature characteristics. It is therefore essential that these parameters are determined simultaneously. Clearly, for degenerate cases, a parametrization algorithm is required which can give a range of possible parameters, and not just a single set.

Most stellar systems consist of more than one component. Undetected binaries bias the parameter determinations when the brightness ratio is small (e.g. a higher luminosity for a given T_{eff} leads to an erroneous $[\text{Fe}/\text{H}]$ determination). As GAIA will observe each object approximately 100 times over a period of four years, about 35% of all unresolved binaries out to 1kpc with $V \leq 20$ should be astrometrically detectable (ESA, 2000). The radial velocity can similarly be used. Upper limits can also be placed on the mass ratio/separation of any companions. In many cases, however, the dynamical information will not reveal any useful information about a companion (e.g. for distant, widely separated binaries, or non-physical companions). In these cases, parametrization techniques are required which can identify binary stars from their composite SEDs and ideally parametrize both components.

3. Practical requirements of a parametrization system

GAIA consists of three separate telescopes with their viewing angles lying in the same plane, but separated by 127° , 127° and 106° . The satellite rotates once every three hours about an axis perpendicular to this plane; a slow precession of this axis permits it to view the whole sky. The two identical astrometric telescopes observe all objects in white light (the G band in the AF – astrometric field) and four broad band filters (in the BBP instrument). The spectroscopic telescope acquires the radial velocity spectrum (RVS) plus photometry in 15 broad and medium band filters (MBP). All instruments use CCDs in time-delayed integration (TDI) mode synchronized to the satellite's rotation rate.

GAIA does not have an input catalogue: the astrometric and spectroscopic instruments have independent star mappers to locate objects crossing onto the focal plane. All point sources brighter than some threshold will be observed: not only stars, but also quasars, galaxies and asteroids. The stellar parametrization system must therefore be able to identify which objects are stars. Furthermore, GAIA will inevitably observe rare and previously unrecognised objects, such as stars in a very brief phase of stellar evolution. The efficient identification of such unknown objects is a task of utmost importance.

Missing data is inevitable in any large survey. For example, the BBP has a higher spatial resolution than the MBP, so objects which are resolved in the former may be merged in the latter. The BBP and MBP will have a similar magnitude limit of $V \simeq 20$ – although due to the precession, not all of the same objects are observed in each instrument in a single satellite rotation – whereas the RVS will record spectra only down to about $V \simeq 17$. These spectra will blend in crowded fields, and parts of the spectrum will be lost at the edge of the field. Almost all work to date on automated classification has used 'cleaned' data sets in which such problem cases are removed. However, as GAIA is a complete survey of the sky down to very well defined magnitude limits, such cleaning would bias statistical analyses. Worse, it would miss whole classes of objects in the case of 'censored' data, i.e. limits on unobserved data, typically an upper limit on a flux non-detection. Thus the parametrization algorithms must be robust to missing data and be able to recognise the difference between lost and censored data.

The uncertainties in the extracted data – the SED, RVS and parallaxes – can be estimated with some reliability from photon statistics and detector noise models. It is clearly advantageous if this information can be relayed to the parametrization algorithm as a measure of reliability. For fainter and more distant stars, for example, the parallax gives only an approximate distance, but it is inefficient to assign an arbitrary

magnitude/distance below which the parallax is no longer used: it will always provide some constraint, even if weak. A parametrizer which can take advantage of the error estimates on input data can use these to provide appropriate uncertainties on the derived parameters. Furthermore, large uncertainties in the parameters may indicate problems or potentially interesting objects.

It is often overlooked that prior knowledge of stellar parameters is sometimes available, and its inclusion can be very beneficial. For example, the interstellar extinction in parts of the sky can be estimated from existing extinction maps and data, such as HI maps, COBE and 2MASS. If we independently know, for example, that the extinction is low, this makes T_{eff} determination more reliable in late-type stars.

4. Parametrization models

Further development and testing of suitable parametrization algorithms will be necessary to meet the above requirements: I will now briefly comment on the applicability to GAIA of the few automated techniques which have been used in stellar parametrization. See (Bailer-Jones, 2002; Bailer-Jones et al., 2002) and references therein for more details.

A commonly-used method of classification is the minimum distance method (MDM), where a class is assigned based on the best matching template spectrum according to the shortest distance in an N-dimensional data space (N is the number of spectral elements). Ideally an interpolation is done through several nearby templates to allow a continuous parametrization. χ^2 minimization and cross-correlation are special cases of MDM and the k-nearest neighbour (k-nn) method is closely related. Neural networks can be used for parametrization by giving a functional mapping between the spectra at its inputs and the parameters at its outputs. The optimal mapping is found by training the network (i.e. setting its weights) on a set of pre-classified spectra (templates). There is a close relationship between all of these methods: Neural networks perform a *global* interpolation of the training data to come up with a single function of the parameter(s) in terms of the spectral data. MDM and k-nn, on the other hand, do a *local* interpolation of the training data every time a new object is to be parametrized (although often authors dispense with the interpolation and simply assign the parameters of the nearest template). MDM and k-nn differ in that MDM does its interpolation in the parameter space, whereas k-nn – like neural networks – does an interpolation in the data space.

Although rarely done in the literature, all of these methods can accommodate errors in the input data and assign uncertainties to the

derived stellar parameters. MDM and k-nn should be set up to determine parameters simultaneously to avoid unnecessary problems with parameter degeneracy. It is unclear whether censored data can be handled by these methods (although missing data should present no problem) and whether prior information can be used effectively. Ideally, a suitable weighting should be used to establish the optimal distance measure, e.g. from a numerical optimization using the training data. With neural networks, multiple outputs ensure simultaneity of parameter determinations from the fact that some of the network weights are shared by the different outputs. Priors can be incorporated, although not always in the most useful way. Being a global interpolator, the frequency distribution in the training data affects the solution for the whole parameter space, which can be seen as a drawback.

There are various probabilistic approaches to classification in the literature. These have the advantage that errors and inputs can be dealt with in a consistent manner, and that degenerate (multimodal) solutions can be handled naturally. A Bayesian framework is appropriate because it enables us to specify prior information and its uncertainty explicitly (e.g. the extinction is 2.0 ± 0.5 mags) and treat parametrization as a learning procedure in which this prior is improved by the data. Most probabilistic methods used in the literature assign discrete classes rather than continuous parameters. The latter is obviously more appropriate for physical parameters which are naturally continuous. Probabilistic approach to interpolations, such as Gaussian Processes (Bailer-Jones et al., 1999) in principle offer the advantages of both approaches.

5. A framework solution

Fig. 1 outlines a framework for object parametrization with GAIA. The identification and parametrization of all types of stars, galaxies, quasars and asteroids is almost certainly too complex for a single parametrizer. In this approach, objects are first identified using just the colour information in the normalized SED (nSED). Once the stars have been identified, they are coarsely parametrized, again using only the colour information. The idea behind this is to use a reduced (and usually available) subset of the total data to make only approximate determinations of the physical parameters. This coarse parametrizer can therefore be relatively simple and avoid some of the problems outlined earlier. These approximate parameters then serve as the initial estimates to guide a more ‘refined’ and sophisticated parametrizer, which can take account of additional information more reliably.

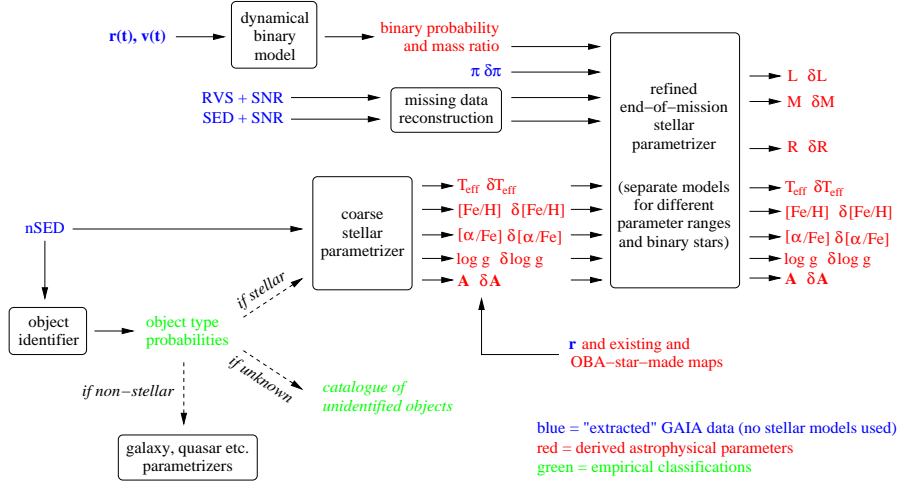


Figure 1. A possible approach to the determination of physical stellar parameters with GAIA (or other astrometric satellite). See Table I for an explanation of the abbreviations. For clarity, not all elements of the system are shown. For example, parallax and proper motion information which only become available at the end of the mission are useful for identifying extragalactic objects, and variability is an important means of identifying a number of types of stars. The whole process would be applied iteratively.

The refined classifier has a number of additional features. For example, missing spectral data are reconstructed statistically, using the correlations present in the complete data cases. This does not, of course, add information in individual cases, but does provide a way for the parametrizer to take advantage of redundancy in the data. The refined parametrizer should also use estimates of the mass ratio of possible unresolved binaries to look for evidence of two components in the SED.

The refined parametrizer can incorporate other prior information, e.g. external extinction data from other surveys. Furthermore, where the interstellar extinction varies slowly through space (away from star forming regions and interstellar clouds), it can be measured much more reliably from B, A and F stars than from later type stars. Thus the refined parametrizer could first be applied to early-type stars to map the extinction in three dimensions. More generally, an iterative application of the whole process in Fig. 1 allows the missing data reconstruction algorithm to learn from the complete data cases and thus make more reliable parametrizations in cases with missing data.

The determination of physical parameters relies ultimately on stellar models and synthetic spectra, so these could (at least initially) form the training data of a parametrizer. Given the parameters, the stellar models provide a unique spectrum. The goal of parametrization is to

do the inverse (and not necessarily unique) problem of determining the parameters from a noisy part of this spectrum. Combining the synthetic spectra with empirical and theoretical mass-radius- T_{eff} relationships and simulating observations of them at different distances and extinctions, we can assemble up a library of SEDs as a function of known T_{eff} , $\log g$, $[\text{Fe}/\text{H}]$, $[\alpha/\text{Fe}]$, π and $\mathbf{A}(\lambda)$. The mass, radius and luminosity are therefore also known, albeit within the scatter in the mass-radius- T_{eff} relationships. This reliance on stellar models means that existing models need to be improved to accurately reflect the full range of stars which GAIA will encounter. Particular aspects are $[\alpha/\text{Fe}]$ variations, CNO anomalies, NLTE effects and dust formation. One of the goals of GAIA is of course to improve such stellar models, and these can be introduced into the iterative parametrization process via the training data to achieve a self-consistent solution. Stellar parameters can only be assigned to stars for which we have some notion: it makes no sense to attempt to assign parameters to unknown types of stars for which the details of SED formation are unknown. While provision must certainly be made for the identification and empirical classification of new types of objects, e.g. using unsupervised methods, their physical characterisation must rely on detailed spectroscopic follow-up.

Ideally, the parametrizers would be trained on real and not simulated data. At the very least, synthetic spectra would require broad observational corrections, e.g. (Lejeune et al., 1997). Alternatively, a representative set of stars across the whole parameter space could be observed at sufficiently high spectral resolution and their parameters determined, either with direct physical methods or by the method of Bailer-Jones (1997). These observed spectra could then be convolved with the GAIA instrumental model and used to train the parametrizers. Better still, GAIA observations of these same objects could be taken from the GAIA database and used as the training data.

While I advocate using as much of the GAIA data as possible for parametrization, the 6D phase space co-ordinates (position and velocity) obtained by GAIA should initially be excluded: stars should first be parametrized according to their *intrinsic* properties. A correlation of these with their Galactic phase space location is of course one of the major goals of GAIA. But we should initially keep stellar structure and Galactic structure separate: while the properties of a star may be correlated and physically *related* to its phase space location, they are not directly *caused* by it, so an independent parametrization is desirable.

6. Summary

I have described some of the problems faced in determining physical parameters of the one billion stars which will be observed with GAIA. The scientific requirements for this can be summarized as follows: determination of T_{eff} , $\log g$, $[\text{Fe}/\text{H}]$, $\mathbf{A}(\lambda)$ (interstellar extinction), and, where possible, $[\alpha/\text{Fe}]$, CNO abundance anomalies, V_{rot} , V_{micro} , radius, mass and age, plus error estimates on all of these; identification of degenerate cases; identification and parametrization of unresolved binaries, again with error estimates; explicit identification of strange objects (maybe new types of objects). The practical requirements are: initial identification of stars (ideally with a probability assigned); use of all available data (RVS, parallax, dynamical and variability data in addition to the SED); advantage made of error estimates of input data; be robust to missing and censored data; use prior information where available. A framework solution was suggested in which parametrization proceeds in three stages: object identification; coarse parametrization; refined parametrization. It uses the parallax and local astrometry in addition to the spectral energy distribution. The whole procedure can be iteratively applied to the end-of-mission data to improve the parameter determinations and handling of missing data and to permit the incorporation of improved stellar models.

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