

RESEARCHSPACE@AUCKLAND

http://researchspace.auckland.ac.nz

ResearchSpace@Auckland

Copyright Statement

The digital copy of this thesis is protected by the Copyright Act 1994 (New Zealand).

This thesis may be consulted by you, provided you comply with the provisions of the Act and the following conditions of use:

- Any use you make of these documents or images must be for research or private study purposes only, and you may not make them available to any other person.
- Authors control the copyright of their thesis. You will recognise the author's right to be identified as the author of this thesis, and due acknowledgement will be made to the author where appropriate.
- You will obtain the author's permission before publishing any material from their thesis.

To request permissions please use the Feedback form on our webpage. http://researchspace.auckland.ac.nz/feedback

General copyright and disclaimer

In addition to the above conditions, authors give their consent for the digital copy of their work to be used subject to the conditions specified on the Library Thesis Consent Form.

 $\begin{array}{c} \textit{Department of Electrical \& Computer Engineering} \\ \textit{The University of Auckland} \\ \textit{New Zealand} \end{array}$

Embedded Speech Recognition Systems

Octavian Cheng September 2008

Supervisors: Dr Waleed Abdulla

Prof Zoran Salcic

A THESIS SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENTS OF DOCTOR OF PHILOSOPHY IN ENGINEERING

Abstract

Despite many research efforts, automatic speech recognition (ASR) is still not widely used in embedded systems. One of the reasons for this is that embedded platforms are limited in terms of processing power and computing resources. These limitations contribute to an increase in decoding time, which can lead to poor user experiences. As a result, a compromise is often made between decoding speed and other performance criteria, such as recognition accuracy and vocabulary size.

There are two main objectives in this thesis. The first objective is to develop an embedded ASR system which is suitable for real-time applications. We focus on various kinds of approaches that can reduce the decoding time without severe performance degradation in recognition accuracy and vocabulary size. The task is a 993-word Resource Management (RM1) task, which serves as the benchmark for command-and-control type of applications. The target platform is an Altera Nios II softcore processor system running at 120MHz. The system is synthesized on a Stratix II FPGA device.

Three approaches have been successfully adopted on the target platform. First, due to lack of hardware support for floating-point arithmetic, we propose a framework for converting various data types to fixed-point formats. Experimental results on the RM1 task show that the fixed-point system is 9 times faster than the floating-point system without any degradation in recognition accuracy. Second, a hardware-software co-processing ASR system is developed. The architecture mainly consists of a Nios II processor and a hardware accelerator. The hardware accelerator is responsible for the calculation of the Gaussian mixture model (GMM) emission probabilities, which is the major computational bottleneck. The co-processing system is tested on the same RM1 task. In comparison with the pure software-based fixed-point system, the average real-time factor improves from 1.87 to 0.62 (about 3 times speed-up). The word accuracy rate is 93.33%, which is the same as that of the pure software-based system. Third, in order to further improve the timing performance, an adaptive beam pruning algorithm is introduced, which applies tighter pruning when there are a large number of active hypotheses. For the same RM1 task, the average real-time factor further reduces to 0.54. The word accuracy rate is 93.16%.

ABSTRACT

Apart from recognition accuracy, decoding speed and vocabulary size, another point of consideration when developing a practical ASR application is the adaptability of the system. An ASR system is more useful if it can cope with changes that are introduced by users, for example, new words and new grammar rules. In addition, the system can also automatically update the underlying knowledge sources, such as language model probabilities, for better recognition accuracy. Since the knowledge sources need to be adaptable, it is inflexible to statically combine them. It is because on-line modification becomes difficult once all the knowledge sources have been combined into one static search space.

The second objective of the thesis is to develop an algorithm which allows dynamic integration of knowledge sources during decoding. In this approach, each knowledge source is represented by a weighted finite state transducer (WFST). The knowledge source that is subject to adaptation is factorized from the entire search space. The adapted knowledge source is then combined with the others during decoding. In this thesis, we propose a generalized dynamic WFST composition algorithm, which avoids the creation of non-coaccessible paths, performs weight look-ahead and does not impose any constraints to the topology of the WFSTs. Experimental results on Wall Street Journal (WSJ1) 20k-word trigram task show that our proposed approach has a better word accuracy versus real-time factor characteristics than other dynamic composition approaches.

Acknowledgements

I would like to thank my thesis supervisors, Dr Waleed Abdulla and Prof Zoran Salcic, for their guidance and support. Throughout my PhD years, I learnt a lot from them. I always received many useful suggestions from them in our meetings, especially when problems occurred and research results were not as promising as expected.

I also would like to thank Prof Hervé Bourlard for offering me a research internship at IDIAP, Switzerland. The stay at IDIAP broadened my view on speech recognition research. I would like to acknowledge the members of IDIAP. In particular, I would like to thank John Dines and Mathew Magimai Doss for the collaboration.

I would like to thank New Zealand Tertiary Education Commission for the scholarship offer. With their financial support, I can focus solely on my thesis work.

Finally, I would like to thank my parents for their support and encouragement.

Contents

1	Intr	roduction	1
	1.1	Objectives of the thesis	1
	1.2	Current embedded ASR system architectures	3
	1.3	Contributions of the thesis	4
	1.4	Outline of the thesis	5
2	Fun	damentals of speech recognition	7
	2.1	The decoding problem	7
	2.2	Feature extraction	8
	2.3	Acoustic modelling	10
		2.3.1 Hidden Markov Model (HMM)	10
		2.3.2 Evaluation of HMM	13
		2.3.3 Decoding of HMM	14
		2.3.4 Training of HMM	15
		2.3.5 HMM/GMM system	17
		2.3.6 Hybrid HMM/ANN system	18
	2.4	Language modelling	19
	2.5	Decoding	20
	2.6	Search space representation	21
		2.6.1 Re-entrant lexical tree	21
		2.6.2 Weighted finite state transducer (WFST)	23
	2.7	Search algorithm	25
		2.7.1 Time-synchronous search	25
		2.7.2 Time-asynchronous search	27
	2.8	Performance metrics	28
	2.9	Summary	28
3	WF	ST-based speech recognizer	29
	3.1	WFST theory	29

Contents

	3.2	Static WFST composition	34
	3.3	Overview of Juicer	35
	3.4	Summary	36
4	Fixe	ed-point speech recognition system	37
	4.1	Feature extraction	37
		4.1.1 Algorithm	37
		4.1.2 Feature extraction with fixed-point formats	40
	4.2	Emission probability calculation	42
		4.2.1 Algorithm	42
		4.2.2 Emission probability with fixed-point formats	43
	4.3	Viterbi search	46
		4.3.1 Algorithm	46
		4.3.2 Viterbi search with fixed-point formats	46
	4.4	Recognition accuracy	47
	4.5	Summary	48
5	Pur	e software-based system	49
	5.1	Target platform - Altera Nios II processor	49
	5.2	System architecture	50
	5.3	Timing profile	51
	5.4	Summary	53
6	Har	dware-software co-processing system	54
	6.1	System architecture	54
	6.2	GMM emission probability hardware accelerator	55
		6.2.1 Datapath	55
		6.2.2 Timing profile	59
		6.2.3 Resource usage	61
	6.3	Adaptive pruning	62
		6.3.1 Algorithm	62
		6.3.2 Timing profile	65
	6.4	Performance evaluation	66
	6.5	Summary	69
7	Dyn	namic composition of WFST	70
	7.1	Motivation	70
	7.2	Static WFST composition in ASR	71
	7.3	Current Approaches to Dynamic WFST Composition	74

Contents vi

	7.4	Proposed Approach to Dynamic WFST Composition	81
		7.4.1 Finding the Anticipated Output Labels	81
		7.4.2 The Dynamic Composition Algorithm	82
	7.5	Experimental Results	84
	7.6	Summary	89
8	Con	clusions	00
0	Con	Eusions	90
	8.1	Hardware-software co-processing ASR system	90
	8.2	Dynamic composition of WFST	92
	8.3	Future work	93
Α	Mel	filter bank	95
	11101		,,
В	\mathbf{DC}	and Liftering	97

List of Figures

2.1	Block diagram of a typical ASR system	8
2.2	The topology of an HMM example. In this example, there are 3 states.	
	The probabilities of being in an HMM state at the start of a state sequence	
	are called the initial state probabilities. State transitions are modelled	
	by transition probabilities. The probabilities of the observation vectors	
	are known as emission probabilities. Each HMM state has an associated	
	emission probability distribution	11
2.3	A re-entrant lexical tree. Language model probabilities are incorporated	
	into the search at the leaf nodes of the tree. The asterisks in the language	
	model probabilities denote the word histories. For example, if the language	
	model is trigram, the asterisks represent word histories consisting of two	
	words	22
2.4	Search space represented by a WFST. There are only two words in the	
	vocabulary. The language model is bigram. Each WFST transition \boldsymbol{x} :	
	y/ω has three attributes. x is an input symbol representing a triphone or	
	biphone label. y is an output label representing a word. Labels can be ϵ ,	
	which are empty labels. ω is the weight representing the language model	
	probability $P(.)$ or the back-off weight $B(.)$. Each triphone or biphone	
	label is modelled by an HMM	24
2.5	Pseudocode of time-synchronous Viterbi beam search	26
2.6	Pseudocode of the Viterbi_search function	27
3.1	An example of a WFST	29
3.2	Composition of T_1 and T_2 over the tropical semiring	32
3.3	Determinization of T over the tropical semiring $\ldots \ldots \ldots \ldots$	33
3.4	Weight-pushing of T over the tropical semiring	33
3.5	Minimization of WFST	34
4.1	Flow diagram of MFCC	38

5.1	Architecture of the embedded platform for implementing the pure software- based speech recognizer	50
5.2	Real-time factor of 1200 utterances in the pure software-based fixed-point system. The utterances are from the test set of the RM1 corpus. Pruning	00
	beamwidth = 170	52
5.3	Time delay (in seconds) of 1200 utterances in the pure software-based fixed-point system. Pruning beamwidth = 170	53
6.1	System architecture of the hardware-software co-processing recognizer with	
6.2	the GMM hardware accelerator	55
	the log-add unit is $\log b_j(\mathbf{o}_t)$. Number of clock cycles at each stage is also shown	57
6.3	Datapath of the log-add unit. It performs the $x \oplus y$ operation, where \oplus is the log-add operator. The result can be passed back to one of the input operands for recursive log-add operations. This unit accumulates the log probability of each Gaussian mixture, $\log b_{jm}(\mathbf{o}_t)$, and computes the log probability of all the Gaussian mixtures, $\log b_j(\mathbf{o}_t)$	58
6.4	Double-buffering inside the GMM hardware accelerator. The arithmetic unit is reading from one buffer while another buffer is retrieving HMM parameters from off-chip memories	59
6.5	Real-time factor of 1200 utterances in two different systems: Pure software-based system versus Hardware-software co-processing system. Pruning beamwidth = 170	60
6.6	Time delay (in seconds) of 1200 utterances in two different systems: Pure software-based system versus Hardware-software co-processing system. Pruning beamwidth $= 170. \dots \dots \dots \dots \dots \dots$	61
6.7	Speech recognition algorithm with adaptive beam pruning	64
6.8	Real-time factor of 1200 utterances in Hardware-software co-processing sys-	
	tem: Adaptive beam pruning versus Fixed beam pruning	65
6.9	Time delay (in seconds) of 1200 utterances in Hardware-software co-processing system: Adaptive beam pruning versus Fixed beam pruning	
7.1	Static composition of $\tilde{L} \circ G$ over the tropical semiring. In \tilde{L} , #1 and #2 are the auxiliary word-end markers	72

7.2	Pseudocode of the WFST_composition function. S_1 and S_2 are the state	
	indices of the two constituent WFSTs which are deterministic	73
7.3	The lexicon WFST (\tilde{L}) in Caseiro's approach. The \tilde{L} transducer is parti-	
	tioned into two regions - a prefix region (grey rectangle) and a suffix region	
	(white rectangle). $\#_1$ and $\#_2$ are word-end markers. $\{\}$ indicates an antici-	
	pated output symbol set. Two constituent WFSTs, \tilde{L} and G , are composed	
	using Caseiro's approach. The bold symbols and weights in $\tilde{L} \circ G$ indicate	
	the changes compared with the <i>no lookahead</i> approach	76
7.4	Pseudocode of the WFST_dynamic_compose_caseiro function. S_1 and S_2	
	are the state indices of the two constituent WFSTs which are deterministic.	77
7.5	Pseudocode of the WFST_dynamic_prefix function. trans1 is one of the	
	ϵ -output transitions from S_1 in the prefix region. S_2 is the state index of	
	the second constituent transducer	79
7.6	Pseudocode of the $WFST_dynamic_non_eps$ function. $trans1$ is one of the	
	non- ϵ -output transitions from S_1 . S_2 is the state index of the second con-	
	stituent transducer	80
7.7	A $(\tilde{C}_{opt} \circ \tilde{L}_{opt})$ WFST is segmented into <i>prefix</i> regions, where symbol and	
	weight look-ahead is performed. For simplicity, only the output symbols	
	are shown. Each ϵ -output transition has an anticipated output symbol set	
	which is denoted by $\{\}$. Each transition of the $(\tilde{C}_{opt} \circ \tilde{L}_{opt})$ transducer is	
	substituted by an HMM	82
7.8	Pseudocode of our proposed algorithm. It tries to propagate a $token$ at S_1	
	of the $(\tilde{C}_{opt} \circ \tilde{L}_{opt})$ transducer	83
7.9	Pseudocode of the $WFST_dynamic_proposed_prefix()$ function. It checks	
	whether the $token$ can be passed to the $trans1$ transition	85
7.10	Pseudocode of the $WFST_dynamic_proposed_non_eps()$ function	86
7.11	WER versus RTF of different approaches at various pruning beamwidths	
	(150, 160, 180 and 200). Each data point on a curve corresponds to one par-	
	ticular pruning setting. The pruning beamwidth varies from the narrowest	
	(the leftmost data point) to the widest (the rightmost data point)	88
7.12	RTF versus Average number of tokens per frame of different approaches at	
	various pruning beamwidths (150, 160, 180 and 200)	88
A.1	Mel filter bank consisting of M triangular bandpass filters. f_m is the centre	
	frequency of the m^{th} mel filter. $f_{Nyquist}$ is the Nyquist frequency	95

List of Tables

3.1	Common semirings used in WFST. \vee and \wedge are logical-or and logical-and operators respectively. \mathbb{R} denotes the real number set. \oplus_{\log} is defined as	0.1
	$x \oplus_{\log} y = -\log(\exp(-x) + \exp(-y)). \dots \dots \dots \dots \dots \dots$	31
3.2	Knowledge sources in a typical ASR system. Negative log probabilities are used as weights if the semiring is log or tropical	34
4.1	Fixed-point formats of various data types in the MFCC algorithm	40
4.2	Fixed-point formats of various data types in the GMM emission probability	
	calculation	44
4.3	Fixed-point formats of $\mu_{jm}^{(d)}$ and $v_{jm}^{(d)}$ for each of the 39 dimensions. These	
	formats are determined by examining all the HMM states trained using the	
	RM1 corpus	45
4.4	Fixed-point formats of various data types in the Viterbi search	47
4.5	Word accuracy rate (%) versus the two design variables, f and p , of	
	the fixed-point implementation of Juicer. The word accuracy rate of the	
	floating-point implementation is also shown. The test set consists of 1200	
	utterances from the RM1 corpus	48
5.1	Timing profile of running the pure software-based speech recognizer on the	
	Nios II platform. Both the floating-point and the fixed-point versions are	
	considered. The speech utterance duration is 2.515s	51
6.1	Timing profile of the pure software-based and the hardware-software co-	
	processing speech recognizer. Data formats are fixed-point. The speech	0.0
0.0	duration is 2.515s	60
6.2	Resource usage of the GMM hardware accelerator. The device is Stratix II	01
c o	EP2S60F672C5ES FPGA	61
6.3	Performance of recently developed embedded speech recognition systems	C
	and our proposed systems on the 993-word RM1 task	67

LIST OF TABLES xi

7.1	Maximum memory usage (in MB) during decoding	89
B.1	Values of $\sum_{m,d}^{M-1} w_{m,d} $ for $0 \le d < D_{static}$. The other parameters include	
	$D_{static} = 13, M = 26 \text{ and } L = 22. \dots \dots \dots \dots \dots$	98

Glossary

ALM Adaptive logic module ANN Artificial neural network

API Application programming interface

ASR Automatic speech recognition

CD context-dependent CI context-independent

CMN Cepstral mean normalization

CMVN Cepstral mean variance normalization

DTW Dynamic time warping
EM Expectation-maximization

FPGA Field programmable gate arrays

GMM Gaussian mixture model

HDL Hardware description language

HMM Hidden Markov modelIP Intellectual propertyLM Language modellingLPC Linear predictive coding

MFCC Mel frequency cepstral coefficient

MLP Multi-layer perceptrons

PLP Perceptual linear prediction

RTF Real-time factor

SOPC System-on-a-programmable-chip

VHDL VHSIC hardware description language VHSIC Very-high-speed integrated circuits

WER Word error rate

WFST Weighted finite state transducer