



**POLITECNICO**  
MILANO 1863

Dipartimento di Elettronica, Informazione e Bioingegneria

Master Degree in Computer Science and Engineering

**Thesis Title**  
**and its subtitle**

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# **Titolo Tesi**

## **e sottotitolo**

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# Abstract

One of the most attractive functions of music is that it can convey emotion and modulate a listener's mood [1]. Music can bring us to tears, console us when we are grieving and drive us to love.

Most important thing is that music information behavior studies have identified emotion as an important criterion used by people in music searching and organization. Now become important the field of music emotion recognition.

# Sommario

Piacere, so Mario

# Acknowledgements

This thesis is the result of almost a year of work at the Image and Sound Processing Lab. First I would thank my supervisor...

Thanks to friends.

Thanks to family.

*N.S.*

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# Glossary

**AC** Alternate Current. [26](#)

**AI** Artificial Intelligence. [16](#)

**ANS** Autonomic Nervous System. [34](#)

**BP** Blood Pressure. [34](#)

**BVP** Blood Volume Pulse. [37](#)

**CENS** Chroma Energy Normalized Statistics. [60](#)

**CMIM** Conditional Mutual Information Maximization. [31](#)

**CNN** Convolutional Neural Network. [40, 45](#)

**CNS** Central Nervous System. [34](#)

**ComPaRe** Computational Paralinguistic Evaluation. [53](#)

**DC** Direct Current. [26](#)

**DISR** Double Input Symmetrical Relevance. [31](#)

**DL** Deep Learning. [40](#)

**DT** Decision Tree. [19](#)

**DWT** Discrete Wavelet Transform. [30, 39, 44](#)

**ECG** Electrocardiogram. [34, 37, 39, 42, 43, 44](#)

**EDA** ElectroDermal Activity. [23, 24, 26, 27, 28, 30, 32, 34, 37, 45, 46, 49, 50, 52, 55, 56, 57](#)

**EDR** ElectroDermal Response. [23, 24](#)

**EEG** Electroencephalogram. [34, 36, 39, 40](#)

**EMD** Empirical Mode Decomposition. [39](#)

**EMG** Electromyogram. [34, 36, 38, 43](#)

## Glossary

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**GSR** Galvanic Skin Response. [24](#), [34](#), [42](#), [44](#)

**HL** High Level. [15](#), [21](#)

**HRV** Heart Rate Variability. [34](#), [37](#), [44](#), [45](#)

**ICA** Independent Component Analysis. [16](#), [39](#)

**IIR** Infinite Impulse Response. [26](#)

**IOT** Initial Orientation Time. [53](#)

**JMI** Joint Mutual Information. [31](#)

**k-NN** k-Nearest Neighbor. [12](#), [40](#), [44](#), [45](#), [47](#)

**LDA** Linear Discriminant Analysis. [40](#), [42](#), [43](#)

**LL** Low Level. [15](#), [21](#)

**LR** Linear Regression. [19](#)

**MER** Music Emotion Recognition. [3](#), [4](#), [6](#), [7](#), [10](#), [12](#), [13](#), [14](#), [19](#), [20](#), [21](#),  
[23](#), [30](#), [33](#), [49](#), [51](#), [53](#)

**MEVD** Music Emotion Variation Detection. [10](#), [12](#), [19](#)

**MFCC** Mel-Frequency Cepstral Coefficient. [14](#), [30](#)

**MIR** Music Information Retrieval. [3](#), [4](#), [6](#), [10](#), [49](#)

**MIREX** Music Information Retrieval Evaluation eXchange. [3](#)

**ML** Machine Learning. [11](#), [12](#), [13](#), [16](#), [17](#), [28](#), [39](#), [40](#), [45](#), [49](#), [56](#)

**MLR** Multivariate Linear Regression. [54](#), [56](#)

**MP** Matching Pursuit. [42](#)

**mRMR** minimum-Redundancy-Maximum-Relevance. [16](#), [40](#)

**MSE** Mean Square Error. [20](#)

**NN** Neural Network. [12](#), [19](#), [43](#)

**PCA** Principal Component Analysis. [16](#), [40](#), [42](#)

**PGR** PsychoGalvanic Reflex. [24](#)

**PMEmo** Popular Music with Emotional annotations. [49](#), [53](#), [55](#), [56](#), [57](#)

**PNN** Probabilistic Neural Network. [42](#)

## Glossary

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**PNS** Peripheral Nervous System. [34](#)

**PPG** Photoplethysmography. [37](#)

**PSD** Power Spectral Density. [40](#)

**RF** Random Forest. [40, 42](#)

**RMSE** Root Mean Square Error. [55](#)

**RNN** Recurrent Neural Network. [40](#)

**RSP** Respiration. [34, 38, 43](#)

**SBS** Sequential Backward Selection. [15, 40](#)

**SC** Skin Conductance. [24, 26, 34, 38, 43](#)

**SCL** Skin Conductance Level. [24](#)

**SCR** Skin Conductance Response. [24, 28, 30, 45, 46](#)

**SE** Spectral Entropy. [40](#)

**SFS** Sequential Forward Selection. [15, 40](#)

**SMNA** Sudomotor Nerve Activity. [47](#)

**SNS** Somatic Nervous System. [34](#)

**SPR** Skin Potential Response. [24](#)

**SR** Skin Resistance. [34](#)

**SSR** Sympathetic Skin Response. [24](#)

**ST** Skin Temperature. [34](#)

**STFT** Short Time Fourier Transform. [59](#)

**SVC** Support Vector Classification. [12](#)

**SVM** Support Vector Machine. [12, 19, 40, 43, 45](#)

**SVR** Support Vector Regression. [19, 54, 56](#)

**VA** Valence Arousal. [8, 12, 13, 20, 52](#)

# 1

## Introduction

### 1.1 Motivation

Music has an important role in human life. More important, is that music is capable to evoke different emotions for people, but how is structured the relationship between music and emotion? We don't know yet. It's a hard problem, which have very different fields of background, from computer science, machine learning and psychology.

Emotion-aware Music Information Retrieval has been difficult due to the subjectivity and temporal of emotion responses to music. The role of physiological signals related to emotions could potentially be exploited in emotion-aware music discovery.

Music is the vehicle for emotions, feelings, passion and actions. With the music, the composer create a narration which is purely emotional.

Can we measure emotions related to music?

### 1.2 Outline of the thesis

This thesis is organized as follows:

After a brief introduction about the objective of the thesis, in chapter 2 and 3 is presented a complete overview about the main arguments in chapter 2, as Music Information Retrieval (MIR) and Music Emotion Recognition (MER), Electrodermal Activity (EDA) and other physiological data using on-body sensors.

Chapter 4 is devoted to a complete overview of the state of the art

about the main aspects related to chapters 2 and 3 of this thesis, in order to have a general idea about what has been done in the past and which results they have achieved.

In chapter 5 is presented how the dataset we have considered is structured and what results they have reached. Is also shown our implementation of the problem.

Chapter 6 is about the results we have achieved and the comparison between the PMEMo performances.

Finally Chapter 7, draws the conclusions and outlines possible future research directions.

### 1.3 Application fields

The work proposed in this thesis finds potential application in several fields. Thanks to the work of PMEMo that created a large dataset containing emotion annotations and electrodermal activity signal, we have the possibility to study the relationship between music emotion and physiological signals.

Music Browsing can be an important field of application, because it helps in general in finding, generally in large datasets, what music user are looking for. For example one application could be to create a playlist based on the emotion that songs produce in each of us. Another important application is given by understanding the relationship between music and emotion, which is a well known relationship but hard to find structural connection between the two.

# 2

## Theoretical Background on Music Emotion Recognition

This chapter introduces the readers to the main basics about **Music Information Retrieval (MIR)** and **Music Emotion Recognition (MER)**.

**MIR** is an interdisciplinary science where the goal is to retrieve relevant information from music. Researchers belonging to this community may have a background in musicology, psychoacoustics, psychology, academic music study, signal processing, informatics, machine learning, optical music recognition, computational intelligence or some combination of these.

**MIR** is a small but growing field of research with many real-world applications and is being used by businesses and academics to categorize, manipulate and even create music.

A few application to **MIR** can be:

- Music recommender systems, several already exist, but few are based upon **MIR** techniques, some systems do not use just similarity between subjects but also use audio retrieval to achieve better results in music recommendation as in **Pandora**<sup>1</sup>.
- Intelligent and adaptive digital audio effects aim at design a system that determine the settings of audio effects based on the audio content.
- Music recording analysis as track separation, or also instrument recognition.
- Automatic music transcription, the process of converting an audio recording into symbolic, such score or a MIDI file.

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<sup>1</sup><https://www.pandora.com>

- Automatic music tagging, as musical genre categorization or extraction of other high level features (the usual task for the yearly [Music Information Retrieval Evaluation eXchange \(MIREX\)](#)).

## 2.1 Music Emotion Recognition

[MER](#) is an important topic in the field of [MIR](#). Music is often referred as the language of emotion. People tend to listen different songs when in different emotional states. Therefore, categorizing music according to the type of emotion they express is becoming more and more important for internet music service provider. [MER](#) aim of modeling human emotion perception of music [9].

Automatic [MER](#) allows users to retrieve and organize their music collections in a fashion that is more content-centric than conventional methods based on metadata.

The main challenge is based on the human perception of emotions, their subjective nature of emotion perception. Building such a music emotion recognition system, however, is challenging because of the subjective nature of emotion perception. One needs to deal with issues such as the reliability of ground truth data and the difficulty in evaluating the prediction result, which do not exist in other pattern recognition problems such as face recognition and speech recognition.

Music plays an important role in human life, even more in the digital age. Never before such a large collection of music has been created and accessed daily by people. Before with the use of compact audio formats with near CD quality such as MP3 and now on with the various streaming services, have greatly contributed to the tremendous growth of digital music libraries.

Conventionally, the management of music collections is based on catalog metadata, such as artist name, album name, and song title. As the amount of content continues to explode, this conventional approach may be no longer sufficient. The way that music information is organized and retrieved has to evolve to meet the ever increasing demand for easy and effective information access.

However, music is a complex acoustic and temporal structure, it is rich in content and expressivity.

When an individual engages with music as a composer, performer or listener, a very board range of mental processes is involved, including *representational* and *evaluative*. The representational process includes the perception of meter, rhythm, tonality, harmony, melody, form, and style, whereas the evaluative process includes the perception of preference, aesthetic experience, mood, and emotion. The term evaluative is used because such processes are typically both valences and subjective. Both the representational and the evaluative processes of music listening can be leveraged to enhance music retrieval.

According to a study of [Last.fm](#)<sup>2</sup>, emotion tagging is the third most frequent type of tags (first is genre and second geographic area) assigned to music pieces by online users.

Even if emotion-based music retrieval was not yet well explored, a survey conducted in 2004 from [10] showed that about 28.2% of the participants identified emotion as an important criterion in music seeking and organization.

The table 2.1 represent the responses of 427 subjects to the question "*When you search for music or music information, how likely are you to use the following search/browse options?*" [10].

Search/Browse by	Positive rate
Singer/Performer	96.2%
Title of work(s)	91.6%
Some words of the lyrics	74.0%
Music style/genre	62.7%
Reccomendations	62.2%
Similar artist(s)	59.3%
Similar music	54.2%
Associated usage	41.9%
Singing	34.8%
Theme(main subject)	33.4%
Popularity	31.0%
<b>Mood/emotional state</b>	<b>28.2%</b>
Time period	23.8%
Occasions to use	23.6%
Instrument(s)	20.8%
Place/event where heard	20.7%
Storyline of music	17.9%
Tempo	14.2%
Record label	11.7%
Publisher	6.0%

Table 2.1: Responses of 427 subjects to the question "*When you search for music or music information, how likely are you to use the following search/browse options?*"

Into another survey [11], they present findings from an exploratory questionnaire study featuring 141 music listeners (between 17 and 74 years of age) that offers some novel insights.

Emotions induced by music are subjective phenomena, there are significant differences between individuals. One of the most exciting but difficult endeavors in research on music is to understand how listeners respond to music. It has often been suggested that a great deal of the

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<sup>2</sup><https://www.last.fm/home>

attraction of music comes from its “emotional powers”. That is, people tend to value music because it expresses and induces emotions. The table 2.2 tries to resume the motivations to the answer “*Why do we listen to music?*”

Motive	Ratio
“To express, release and influence emotions”	47%
“To relax and settle down”	33%
“For enjoyment, fun, and pleasure”	22%
“As company and background sound”	16%
“Because it makes me feel good”	13%
“Because it’s a basic need, I can’t live without it”	12%
“Because I like, love music”	11%
“To get energized”	9%
“To evoke memories”	4%

Table 2.2: Responses of 141 subjects to the question “*Why do you listen to music?*”

Some music companies, like [Allmusic.com](#)<sup>3</sup>, gives the possibility to search music by emotion labels. With these, the user can retrieve and browse artists or albums by emotion.

Making computers capable of recognizing the emotion of music also enhances the way humans and computers interact. It is possible to play back music that matches the users mood detected from physiological, prosodic, or facial cues. A cellular phone equipped with automatic [MER](#) function can then play a song best suited to the emotional state of the user; a smart space (e.g. restaurant, conference room, residence) can play background music best suited the people inside it.

## 2.2 Emotions and music

There is a relationship between music and emotions, that has been the subject of much discussion and research in many different disciplines, like philosophy, musicology, sociology.

In psychological studies, emotion are often divided into three categories:

- *Expressed emotion* that the performer tries to communicate with the listener.
- *Perceived emotion* represented by music and perceived by the listener.
- *Felt or Evoked emotion* induced by music and felt by the listener.

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<sup>3</sup><https://www.allmusic.com/moods>

[MER](#) focus on perceived emotions because they are less subjective than felt emotions and are often easier to conceptualize. This because felt emotions depends on personal factors and the situation in which the listener processes the song. From an engineering point of view, one of the main interests is to develop a computational model of music emotion and to facilitate emotion-based music retrieval and organization.

[MIR](#) community has made many efforts for automatic recognition of the perceived emotion of music, various implementations will be presented further in chapter [4](#).

One of the aims of this thesis, is trying to link perceived and felt emotions, the former through the analysis of the music, the latter, through biometric signals and understand how are they related.

## 2.3 Emotion space

Now we will focus on the emotion conceptualization alone, since it's central to have a theoretical background to apply then to [MER](#).

The celebrated paper of Hevner [\[12\]](#) from 1934, studied the relationship between music and emotions though experiments where subjects were asked to report some adjectives that came to their mind as the most representative part of a music played. From this have been proposed a large variety of emotion models, like the one presented and used in this thesis.

Emotions, in the years, were conceptualized in two main approaches, the **categorical approach** and the **dimensional approach**. In the following sections will be presented these two different approaches, with another one used for dynamic emotion recognition.

### 2.3.1 Categorical approach

The first assumption of this emotion conceptualization is that emotions are categorized and categories are distinct from each other. Within this approach, it is necessary to assume that there are a limited number of innate and universal emotion categories such as:

- Happiness
- Sadness
- Anger
- Fear
- Disgust
- Surprise

All the other emotions can be derived from these "*basic emotions*". In psychological studies, different researchers have come up with different sets of basic emotions.

For example, a famous categorical approach to emotion conceptualization is Hevner's adjective checklist. He defined eight clusters positioned in circle as in figure 2.1. Adjectives in the same cluster are nearly identical, neighbor clusters have similar meaning. The opposite position of a given cluster is its opposite in emotional sense.

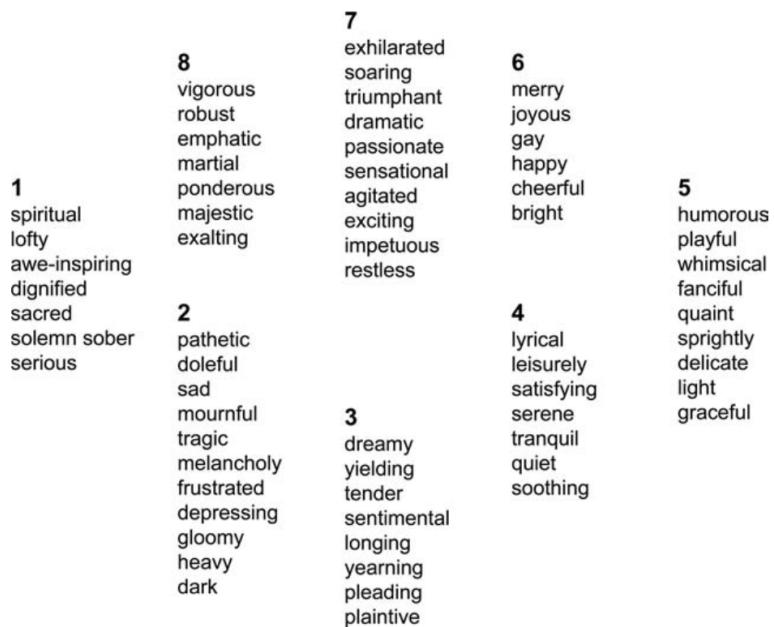


Figure 2.1: Eight clusters proposed by Hevner

Hevner's checklist proposed in 1935 was updated and regrouped into ten groups by Fansworth and into nine groups in 2003 by Schubert.

Drawback of categorical approach is that the number of primary emotion classes is very small in comparison with the richness of music emotion perceived by humans. The problem is that using a finer granularity it does not necessarily solve the issue because the language for describing emotions is inherently ambiguous and varies from person to person. Using a large number of emotion classes could confuse the subject and is impractical for psychological studies falsing results.

### 2.3.2 Dimensional approach

While categorical approach focuses mainly on the characteristics that distinguish emotions from one another, dimensional approach focuses on identifying emotions based on their position on a small number of emotion "dimensions" called axes, intended to correspond to internal human representation of emotion.

Several names from researchers gave very similar interpretations of

the resulting factors like tension/energy, intensity/softness, tension/relaxation. Most of the factors correspond to the two dimensions of emotion the *valence* (positive and negative affective states) and *arousal* (energy and stimulation level) to create the **Valence Arousal (VA)** space. Some studies found that valence as well as intensity, is triggered by the amygdala, while the arousal by the reptilian brain.

Russel, proposed a circumplex model of emotion in [13] which consist in a two-dimensional, circular structure, as in figure 2.2 involving the dimensions of valence and arousal. In this structure, emotions that are inversely correlated, are placed across the circle from one another.

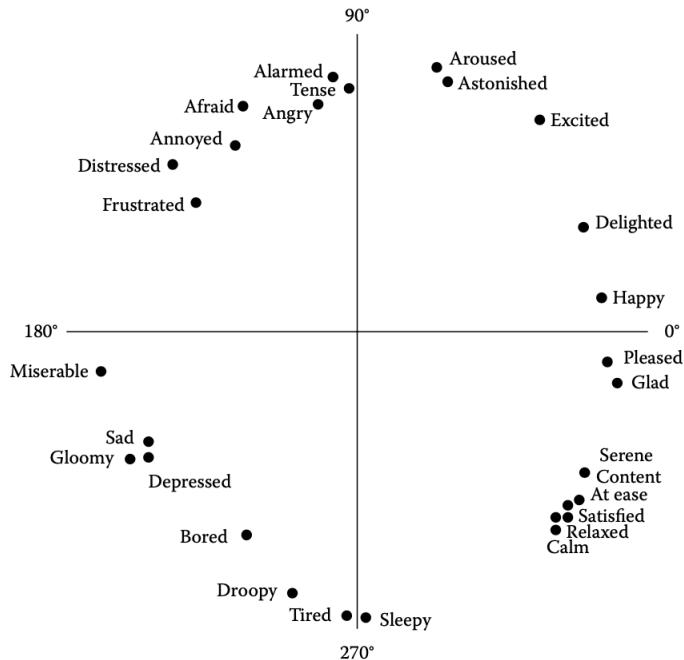


Figure 2.2: Russel's circumplex model of affect

Emotions that are easy to be confused, such as calm and sadness, appear to have similar valence and arousal values. This result implies that valence and arousal may be the most fundamental and most clearly communicated emotion dimensions among others.

High arousal emotional events are encoded better than non arousing events. Instead of increasing overall attention to an event, an emotionally arousing stimulus decreased attentional resources available for information processing and focused attention only on the arousal-eliciting stimulus.

The experience of music listening is multidimensional. Different emotions are associated with different music patterns. For example, arousal is associated to:

- tempo (fast/slow)
- pitch (high/low)

- loudness (high/low)
- timbre (bright/soft)

while valence is associated to:

- mode (major/minor)
- harmony (consonant/dissonant)

as expressed in [14].

Emotion perception is correlated to the combination of music factor, rarely from just one of them. For example, loud chords and high-pitched chords tends to be feel as more positive valence than soft chords and low-pitched chords.

Also dimensional approach have some drawbacks. For example, it is argued that dimensional approach blurs important psychological distinctions and consequently obscure important aspects of the emotion process. One example in support of this argumentation is that anger and fear are placed close in the valence-arousal plane but they have very different implications for the organism. Also, it has been argued that using only a few emotion dimension cannot describe all the emotions without residuum. To overcome this issue, some researchers tried to add a third dimension called *potency*, varying from dominant to submissive, to obtain a more complete picture of emotion. However, this would increase the cognitive load on the subjects and at the same time requires a more complex interface and makes hard to annotate the process. The third dimension problem is still in discussion.

### 2.3.3 Music Emotion Variation Detection

An important aspect that is not addressed in the previous two paragraphs (2.3.1 and 2.3.2) is temporal dynamics. Most researches has focused on music piece that are homogeneous with respect to the emotional plane. However, music can change its emotional expression during the song, becomes important to investigate the time-varying relationship between music and emotion. Here is more useful the dimensional approach to capture the continuous changes of emotional expression as **Music Emotion Variation Detection (MEVD)**. Usually subjects are asked to rate valence and arousal in response of the stimulus over time.

For example, songs can be described by valence and arousal curves as in the following figure:

## 2.4 MER algorithms

MIR researches have been made to automate MER tasks, and the type of music under study has gradually shifted over the past few years from

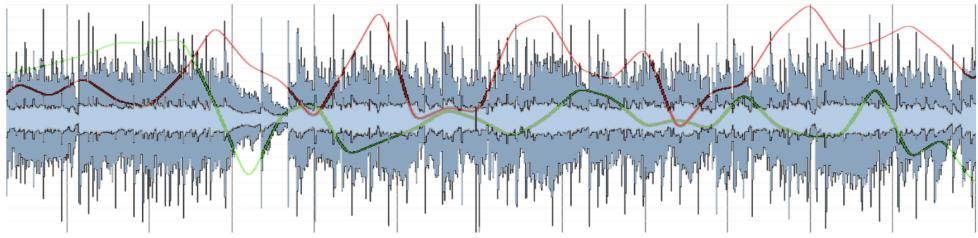


Figure 2.3: Valence and arousal curves for MEVD

symbolic music to raw audio signal, from Western classical music to popular music. The purpose of MER is to facilitate music retrieval and management in the everyday music listening.

In the following section will be presented the general algorithm path for MER problems.

#### 2.4.1 General framework

Nowdays, main approaches are still context-based approaches based on human tagging, but it is not possible to annotate a great amount of songs and there is a possibility of human mistakes. To overcome those problems, Machine Learning (ML) and data mining techniques are used to model the relationship between music and emotion. ML is used to automatically infer mood and mood variation perceived in songs.

The training and automatic recognition model typically consists of the following steps:

1. Data collection: nowadays there are several large-scale dataset covering all sort of music types and genres. Otherwise is desirable to collect data of the different types, getting rid of the effects called "*album effect*" or "*artist effect*" and collect a variety of music pieces. One problem is that there is no consensus on which emotion model or how many emotion categories should be used. Comparing systems that use different emotion categories and different dataset is impossible. However the issue concerning how many and which emotion classes should be used seem to remain open.
2. Data preprocessing: to compare music pieces fairly, music pieces are normally converted to a standard format, and since a complete music piece can contain sections with different emotions,a 20 to 30 second segment is often selected, which is representative of the song (like the chorus part). A good remark of the segment length can be found in [15].
3. Subjective test: emotion is a subjective matter, so the collection of the ground truth data should be conducted carefully. Annotation methods can be grouped into two categories:

- Expert-based method: which employs a few musical experts to annotate emotions.
- Subject-based method: employs a large number of untrained subjects to annotate emotions.

The ground truth is set by averaging the opinion of all subjects (typically more than 10 subjects per song).

It became important to not make a long test, in order to not compromise the reliability of the emotion annotations. Nowadays is introduced the use of listening games.

4. Collect from human annotators the ground truth emotion labels or emotion values.
5. Features extraction: a certain number of features are extracted from the music signal to represent the different dimension of music listening like melody, timbre and rhythm.  
After features extraction, is applied feature normalization, in order to have a standardized visualization.
6. Apply a learning algorithm between music features and emotion labels/values by training a [ML](#) model to learn the relationship between emotion and music. Music emotion classification is carried out with classification [ML](#) algorithms, such as [Neural Network \(NN\)](#), [k-Nearest Neighbor \(k-NN\)](#), decision tree, [Support Vector Machine \(SVM\)](#) and [Support Vector Classification \(SVC\)](#).
7. Predict emotion of an input song from the resulting computational model.

The music emotion recognition process can be schematized in the figure [2.4](#) with a division in training and testing, in order to apply [ML](#) methods.

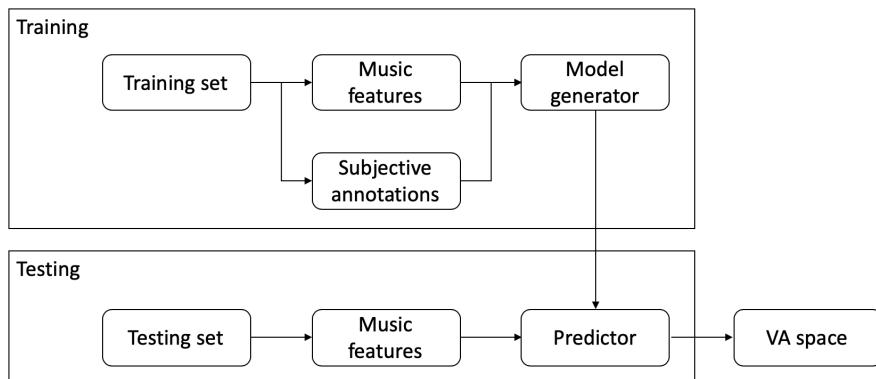


Figure 2.4: MER general framework process

Researches that work on [MER](#) can be classified into two approaches, categorical and dimensional, which are based on the emotion representation

ideas.

In categorical approach, subjective annotations are global terms, in dimensional approach subjective annotations are point in the **VA** space and in **MEVD** they are sequences of points in the dimensional space.

### 2.4.2 Categorical approach

The categorical approach categorizes emotions into a number of discrete classes and applies **ML** techniques to train a classifier. The predicted emotion labels can be incorporated into a text-based or metadata-based music retrieval system.

Advantage of categorical approach is that it is easy to be incorporated into a text-based or metadata-based retrieval system. Emotion labels provide an atomic description of music that allows users to retrieve music through a few keywords.

### 2.4.3 Dimensional approach

The dimensional approach to **MER** defines emotions as numerical values over **VA** plane. A regression model is trained to predict the emotion values that represent the affective content of a song, thereby representing the song as a point in an emotion space. Due to the fact that the emotion plane contain an infinite number of emotion descriptions, the granularity and ambiguity issues are relieved.

**MER** problem became a regression problem, and two independent models, as regressors, are trained to predict separately valence and arousal values.

The dimensional approach requires the subjects to annotate the numerical **VA** values. This requirement impose an high cognitive load on the subjects.

Pros and cons of categorical and dimensional approach are schematized in the table [2.3](#).

	Pros	Cons
Categorical	Intuitive Natural language Atomic description	Lack a unifying model Ambiguous Subjective Difficult to offer fine-grained differentiation
Dimensional	Focus on few dimensions Good user interface	Less intuitive Semantic loss in projection Difficult to obtain ground truth

Table 2.3: Pros and cons of categorical and dimensional approaches

## 2.5 Music features

In MER analysis, an important step to define audio signals is to extract audio features and than apply a feature selection method.

There are several features that can be extracted from audio signal in order to represent five of the most useful perceptual dimensions of music listening:

- Energy: dynamic loudness, audio power, total loudness, specific loudness sensation coefficients.
- Rhythm: beat histogram, rhythm pattern, rhythm regularity, rhythm clarity, average onset frequency, average tempo.
- Temporal: zero-crossing, temporal centroid, log-attack-time.
- Spectrum: spectral centroid, spectral rolloff, spectral flux, spectral flatness.
- Harmony: salient pitch, chromagram centroid, harmonic change, pitch histogram.

These features are just an example of an infinite series of features that can be extracted from audio signals.

Gabrielsson et al. [14] noted that there are corresponding relations between the dimensional models and music features. Among these features, intensity is a basic feature, which is highly correlated with arousal and is used to classify the arousal dimension [16].

In [5] is shown a table summary of musical characteristics relevant to emotion, reported in 2.4.

Features	Examples
Timing	Tempo, variation, duration, contrast
Dynamics	Overall level, crescendo/diminuendo, accents
Articulation	Overall staccato, legato, variability
Timbre	Spectral richness, harmonic richness
Pitch	High or low
Interval	Small or large
Melody	Range, direction
Tonality	Chromatic-atonal, key-oriented
Rhythm	Regular, irregular, smooth, firm, flowing, rough
Mode	Major or minor
Loudness	High or low
Musical form	Complexity, repetition, disruption
Vibrato	Extent, range, speed

Table 2.4: Musical features relevant to MER for [5]

Despite the identification of these relations, many of them are not fully understood, still requiring further musicological and psychological studies, while others are difficult to extract from audio signals. Nevertheless, several computational audio features have been proposed over the years. While the number of existent audio features is high, many were developed to solve other problems (e.g., [Mel-Frequency Cepstral Coefficient \(MFCC\)](#) for speech recognition) and may not be directly relevant to MER.

Nowadays is not really clear the relationship between low-level and mid-level features and mood. In order to capture different aspects is extracted a large set of features. This create a feature matrix that is then normalized in order to map them on the same range of values.

After the feature matrix is created is applied a feature selection or feature reduction algorithm to select the best set of features. Feature selection algorithms are based on two different ideas:

- [High Level \(HL\)](#) point of view: find the set of features that best model the concept. This lead to the accuracy of machine learning techniques being limited because of the limitation of the hypothesis done.
- [Low Level \(LL\)](#) point of view: find the set of features that produces the best classification rate.

### 2.5.1 Feature selection

From the machine learning point of view, features are not necessarily of equal importance or quality, and irrelevant or redundant features may lead to inaccurate conclusion. Experiments have shown that, although the performance can thus be improved to a certain extent, using too many features leads to performance degradation [16].

With an highly discriminant sets of features, is not true that their combination produces a better discriminant power, for example if the set of features is 60, the number of possible combinations are:

$$n_{combinations} = \sum_{n=1}^{60} \binom{60}{k} \quad (2.1)$$

which is clearly impossible to compute, for this reason is applied some feature selection algorithms.

An example of feature selection for the categorical approach is the Sequential Feature Selection. It starts from an initial condition, and features are added or removed from a candidate subset while evaluating the *criterion* in two possibilities:

1. [Sequential Forward Selection \(SFS\)](#): features are sequentially added to an empty candidate set until the addition of further features does not decrease the criterion.

- Sequential Forward Selection (SFS): features are sequentially added to a full candidate set until the addition of further features increases the chosen criterion.
- Sequential Backward Selection (SBS): features are sequentially removed from a full candidate set until the removal of further features increases the chosen criterion.

Another feature selection method is the [minimum-Redundancy-Maximum-Relevance \(mRMR\)](#) which select the features with the highest relevance to the target class. Relevance is characterized in terms of *mutual information* which is defined as (given  $X$  and  $Y$  a pair of random variables):

$$I(x, y) = \iint p(x, y) \log \frac{p(x, y)}{p(x)p(y)} dx dy \quad (2.2)$$

where  $p(x, y)$  is the joint probability mass function of  $X$  and  $Y$ ,  $p(x)$  and  $p(y)$  are the marginal probability mass function of  $X$  and  $Y$  respectively.

On the other side, for dimensional approach, feature selection is for example RReliefF [17]. Basic idea of this algorithm is that try to estimate the quality of each attribute (in this context the features) according to how well their values distinguish between instances that are close each other.

The pseudocode of the RReliefF feature selection algorithm from [17]:

```

INPUT: training data  $\{\mathbf{x}_i\}_{i=1}^N, \{y_i\}_{i=1}^N$ , parameters  $K, \sigma, n$ 
OUTPUT: vector  $W$  of estimations of the importance of features
set  $N_{dC}, N_{dM}[m], N_{dC&dM}[m], W[m]$  to 0
for  $t = 1$  to  $n$ 
    randomly select an instance  $i$ 
    select  $k$  instances nearest to  $i$ 
    for each neighbor  $j$ 
         $N_{dC} = N_{dC} + \text{diff}(y_i, y_j) \cdot d(i, j)$ 
        for  $m = 1$  to  $M$ 
             $N_{dM}[m] = N_{dM}[m] + \text{diff}(\mathbf{x}_{im}, \mathbf{x}_{jm}) \cdot d(i, j)$ 
             $N_{dC&dM}[m] = N_{dC&dM}[m] + \text{diff}(y_i, y_j) \cdot \text{diff}(\mathbf{x}_{im}, \mathbf{x}_{jm}) \cdot d(i, j)$ 
        end
    end
end
for  $m = 1$  to  $M$ 
     $W[m] = N_{dC&dM}[m]/N_{dC} - (N_{dM}[m] - N_{dC&dM}[m])/(n - N_{dC})$ 
end

```

Figure 2.5: RReliefF pseudocode

Another feature selection for dimensional approach is [Principal Component Analysis \(PCA\)](#) and [Independent Component Analysis \(ICA\)](#). The method starts with all features and reduces them one by one, and hence is similar to backward selection. The goal of [ICA](#) is to find a linear representation of non-Gaussian data so that the components are statistically independent, or as independent as possible. While the other well known linear transformation methods ([PCA](#)) benefit from the gaussianity of the data, [ICA](#) improves the classifier performance in the opposite case.

## 2.6 Machine learning

ML is the scientific study of algorithms and statistical models that computer systems use to perform a specific task without using explicit instructions, relying on patterns and inference instead. It is seen as a subset of Artificial Intelligence (AI). Machine learning algorithms build a mathematical model based on sample data, known as "training data", in order to make predictions or decisions without being explicitly programmed to perform the task.

When most people hear about ML they picture a robot, but it's not just fantasy, it's already here, it has been around for decades in some specialized applications like *Optical Character Recognition*. The first ML application that became mainstream was done in 1990s, the *spam filter* [18].

A classical definition came from *Arthur Samuel* in 1959:

"Machine Learning is the field of study that gives computers the ability to learn without being explicitly programmed"

Another definition, more engineering-oriented is by *Tom Mitchell* in 1997:

"A computer program is said to learn from experience  $E$  with respect to some task  $T$  and some performance measure  $P$ , if its performance on  $T$ , as measured by  $P$ , improves with experience  $E$ "

The main difference between traditional programming and ML is well schematized in the figure 2.6.

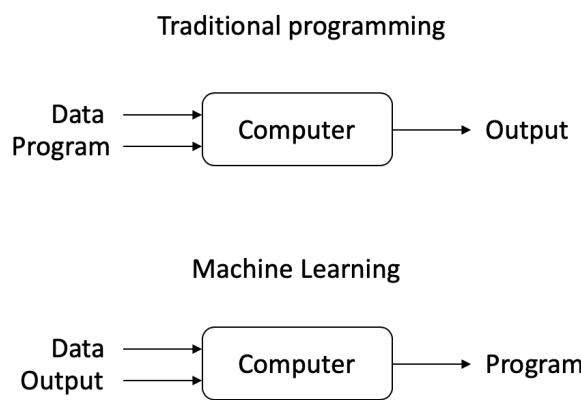


Figure 2.6: Traditional programming versus Machine Learning

There are many different ML systems. They can be classified in categories based on:

- Whether or not they are trained with human supervision (supervised, unsupervised, reinforcement learning).
- Whether or not they can learn incrementally on the fly (online and batch learning).

- Whether they work by comparing new data points to known data points, or instead detect patterns in the training data and build a predictive model (instance-based and model-based learning).

These criteria are not exclusive, they can be combined together.

In supervised learning, the algorithm builds a mathematical model from a set of data that contains both the inputs and the desired outputs. For example, if the task were determining whether an image contained a certain object, the training data for a supervised learning algorithm would include images with and without that object (the input), and each image would have a label (the output) designating whether it contained the object.

Semi-supervised learning algorithms develop mathematical models from incomplete training data, where a portion of the sample input doesn't have labels.

In unsupervised learning, the algorithm builds a mathematical model from a set of data that contains only inputs and no desired output labels.

Classification algorithms and regression algorithms are types of supervised learning. Classification algorithms are used when the outputs are restricted to a limited set of values. For a classification algorithm that filters emails, the input would be an incoming email, and the output would be the name of the folder in which to file the email. For an algorithm that identifies spam emails, the output would be the prediction of either "spam" or "not spam", represented by the Boolean values true and false. Regression algorithms are named for their continuous outputs, meaning they may have any value within a range.

In this thesis the focus will be on **supervised learning**.

Supervised learning algorithms build a mathematical model of a set of data that contains both the inputs and the desired outputs. The data is known as **training data**, and consists of a set of training examples. Each training example has one or more inputs and the desired output, also known as a supervisory signal. In the mathematical model, each training example is represented by an array or vector, called **feature vector**, and the training data is represented by a **matrix**. Through iterative optimization of an objective function, supervised learning algorithms learn a function that can be used to predict the output associated with new inputs. An optimal function will allow the algorithm to correctly determine the output for inputs that were not a part of the training data. An algorithm that improves the accuracy of its outputs or predictions over time is said to have learned to perform that task.

In order to solve a problem of supervised learning, one has to perform steps:

1. Determine the training data type.
2. Gather a training set.

3. Determine the input feature representation of the learned function. Here input objects are transformed into feature vector which contains a number of features that describe the object.
4. Determine the structure of the learned function and corresponding algorithm.
5. Run the algorithm on the training set and optimize performances on a subset called *validation set* of the training set, or through *cross-validation*.
6. Evaluate the accuracy of the model.

There are several algorithms of supervised learning, there are no one that works best on all problems, due to this different algorithms are tested. Most widely used learning algorithms are:

- [SVM](#).
- [Support Vector Regression \(SVR\)](#).
- [Linear Regression \(LR\)](#).
- [Decision Tree \(DT\)](#).
- [NN](#).

Regression and Classification are both problems of supervised machine learning, the main difference between them is that the output variable in regression is numerical (or continuous) while that for classification is categorical (or discrete).

The task of [MER](#) is a regression problem both for dimensional, categorical and [MEVD](#). In dimensional approach, the valence-arousal plane with a continuous space. Each point of the plane is considered an emotion state. This allow to overcome the categorical problem of granularity issue since the emotion plane implicitly offers an infinite number of emotion descriptions.

The regression approach applies a computational model that predicts the valence and arousal values of a music piece, which determine the placement of the music piece in the emotion plane [9].

A user can then retrieve music by specifying a point in the emotion plane according to his/her emotion state, and the system would return the music pieces whose locations are closest to the specified point. Because the 2D emotion plane provides a simple means for user interface, novel emotion-based music organization, browsing, and retrieval can be easily created for mobile devices.

### 2.6.1 Regression approach

A schematic diagram of the regression approach is in 2.7 where in the training phase, regression model are trained by learning the relationship between music features  $x$  and ground truth emotion values  $y$ .

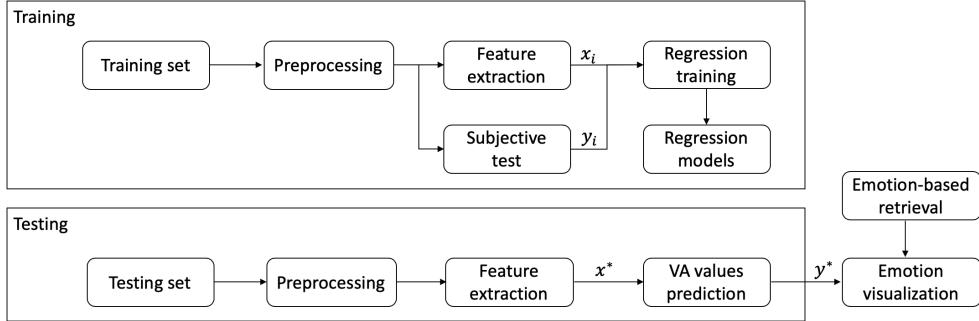


Figure 2.7: Schematic diagram of a regression approach

To denote regressors for valence and arousal are used  $r_V$  and  $r_A$ . In the test phase, given the features  $x_*$  of an input song, the regressors  $r_V$  and  $r_A$  can be applied to predict its emotion values:

$$y_* = [v_*, a_*]^T = [r_V(x_*), r_A(x_*)]^T \quad (2.3)$$

The regression theory aim at predicting a real value from observed variables, in MER application music features. The VA values are predicted directly from music features and due to this MER can be approached as a regression problem.

Given  $N$  inputs  $(\mathbf{x}_i, y_i)$ , with  $i \in 1, \dots, N$  where  $\mathbf{x}_i$  is the feature vector of an object  $d_i$  (music piece), and  $y_i$  is the real value to be predicted (valence or arousal), a regressor  $r(\cdot)$  is created by minimizing the Mean Square Error (MSE)  $\varepsilon$ :

$$\varepsilon = \frac{1}{N} \sum_{i=1}^N (y_i - r(\mathbf{x}_i))^2 \quad (2.4)$$

where  $r(\mathbf{x}_i)$  is the prediction result for  $d_i$ .

In this thesis in mathematical expressions, **bold** font represent vectors and matrices.

To evaluate the performances of the regression approach with various ground truth data spaces, feature spaces and regression algorithms is used the R-squared model,  $R^2$  statistics, which is a standard way for measuring the goodness of fit of regression models.

It is calculated as:

$$R^2(\mathbf{y}, r(\mathbf{X})) = 1 - \frac{N\varepsilon}{\sum_{i=1}^N (y_i - \hat{y})^2} = 1 - \frac{\sum_{i=1}^N (y_i - r(\mathbf{x}_i))^2}{\sum_{i=1}^N (y_i - \hat{y})^2} \quad (2.5)$$

where  $\hat{y}$  is the mean of the ground truth.  $R^2$  is comparable between experiments because of the normalization of the total squared error  $N\varepsilon$  by the energy of the ground truth. The value of  $R^2$  lies in  $[-\infty; 1]$  where  $R^2 = 1$  means the model perfectly fits the data, while a negative  $R^2$  means the model is even worse than simply taking the sample mean.

The regression approach to [MER](#), however, is not free of issues. First, the regression approach suffers from the subjectivity issue of emotion perception as it assigns the valence and arousal values to a music piece in a deterministic way. It is likely that different users perceive different emotion values in the music piece. Second, the regression approach requires numerical emotion ground truth to train the computational model, but performing such an emotion rating is a heavy cognitive load to the subjects.

## 2.7 Open issues of Music Emotion Recognition

As [MER](#) is a quite new domain, there are some elements that have no clear answer. Four of these issues are:

1. Ambiguity and Granularity of emotion description: issue related to the relationship between emotions and the affective terms that denote emotions and the problem of choosing which and how many affective terms to be included in the taxonomy. Emotions are fuzzy concepts, there are main synonyms and similarities between different terms. In general, classification accuracy of an automatic model is inversely proportional to the number of classes considered [19].
2. Heavy cognitive load of emotion annotation: to collect data for training an automatic model, is typically conducted a subjective test by inviting human subjects to annotate the emotion of music pieces. The problem is that, to reduce the management effort, each music piece is annotated by two or three musical *experts* to gain consensus of the annotation result. Everyday contexts, in which musical experts experience is so different from those non-experts, require separate treatment. Since [MER](#) system is expected to be used in the everyday context, the emotion annotation should be carried out by *ordinary people*.
3. Subjectivity of emotional perception: music perception is intrinsically subjective and is under the influence of many factors, such as cultural background, age, gender, personality and so forth. Therefore conventional categorical approaches that simply assign one emotion class to each music piece in a deterministic manner do not perform very well in practice.

4. Semantic gap between **LL** audio signal and **HL** Human perception: it is difficult to accurately compute emotion values, and what intrinsic element of music causes a listener to create a specific emotional perception is still far from well understood.

# 3

## Theoretical Background on EDA

This chapter introduces the readers to Electrodermal Activities and how are they related with **MER** task.

First is presented a general and theoretical introduction of these **ElectroDermal Activity (EDA)**, how were they discovered and how are processed to have significant results.

After a general introduction, some recording techniques are shown, using electrodes positioned in different parts of the body.

It follows an explanation of the different techniques for preprocessing the data, as artifacts removal.

At last is mentioned an explanation of the main features that can be extracted from **EDA** signals.

### 3.1 Electrodermal Activity

Already in the 80's, psychological factors related to electrodermal phenomena were observed. It became an important field of study, due to the fact its ease of obtaining a distinct **ElectroDermal Response (EDR)**, the intensity of which seems apparently related to stimulus intensity and/or its psychological significance [20].

While there is still widespread disagreement and confusion about the nature and causes of musically evoked emotions, recent studies involving real-time observation of brain activity seem to show that areas of the brain linked with emotion (as well as pleasure and reward) are activated by music listening [21].

**EDA** is arguably the most useful index of changes in sympathetic arousal that are tractable to emotional and cognitive states as it is the only autonomic psychophysiological variable that is not contaminated

by parasympathetic activity. **EDA** has been closely linked to autonomic emotional and cognitive processing, and is a widely used as a sensitive index of emotional processing and sympathetic activity.

This coupling between cognitive states, arousal, emotion and attention enables **EDA** to be used as an objective index of emotional states. It can also be used to examine implicit emotional responses that may occur without conscious awareness or are beyond cognitive intent (i.e., threat, anticipation, salience, novelty).

### 3.1.1 Terminology and history

**EDA** was first introduced by Johnson and Lubin in 1966 [22] as a common term for all electrical phenomena in skin, including all active and passive electrical properties that can be traced back to the skin and its appendages.

**EDA** is the property of the human body that causes continuous variation in the electrical characteristics of the skin. Historically, **EDA** has also been known as **Skin Conductance (SC)**, **Galvanic Skin Response (GSR)**, **EDR**, **PsychoGalvanic Reflex (PGR)**, **Skin Conductance Response (SCR)**, **Sympathetic Skin Response (SSR)** and **Skin Conductance Level (SCL)**. The long history of research into the active and passive electrical properties of the skin by a variety of disciplines has resulted in an excess of names, now standardized to **EDA**.

The use of the term *response* for electrodermal phenomena suggests that there is a distinct relationship to a stimulus producing an **EDR**. Sometimes there are parts that cannot be traced to any specific simulation, they are called *spontaneous* or *non-specific EDR*.

### 3.1.2 SCL and SCR division

There is ample empirical evidence that electrodermal phenomena are generated by sweat gland activity in conjunction with epidermal membrane processes. Skin conductance is characterized by:

- Tonic also called **SCL**, smooth underlying slowly changing level, it accounts for the general levels of the conductivity of the skin.
- Phasic, **SCR** rapidly changing peaks, results from momentary sympathetic activation when arousing stimuli are present.

When sweat gland activity is abolished in humans, either as a result of congenital absence, by sympathectomy, by peripheral sudomotor nerve discharge, or by pharmacological blocking, **SCR** and **Skin Potential Response (SPR)** are normally eliminated and **SCL** is reduced [23].

In the figure 3.1 can be seen the plot over time of an **EDA** signal and its decomposition in tonic and phasic parts extracted using **pyphysio**<sup>1</sup> library [24] on an **EDA** signal.

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<sup>1</sup><https://github.com/MPBA/pyphysio>

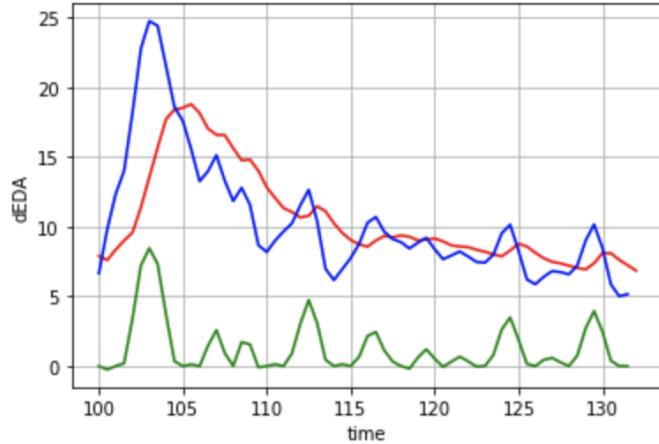


Figure 3.1: Representation EDA signal (in red), driver signal (in blue) and phasic signal (in green)

The time series of the change of SC is characterized by a slowly varying tonic activity and fast varying phasic activity. The SCR shows a steep incline to the peak and a slow decline to the baseline. The successions of SCR usually results in a superposition of subsequent SCR as one SCR arises on top of the declining trail of the preceding one.

The figure 3.2 from [2] shows a SC data section, the upper row shows the original SC data. The middle row shows the driver signal which results from deconvolution of the SC data. Inter-impulse data are used to estimate the tonic part of the driver at 10-s intervals (tonic grid points). The tonic driver is used to compute the tonic SC (see upper row). Subtraction of the tonic part from the driver results in the phasic driver (lower row). The phasic driver shows a virtually zero baseline and distinct phasic responses.

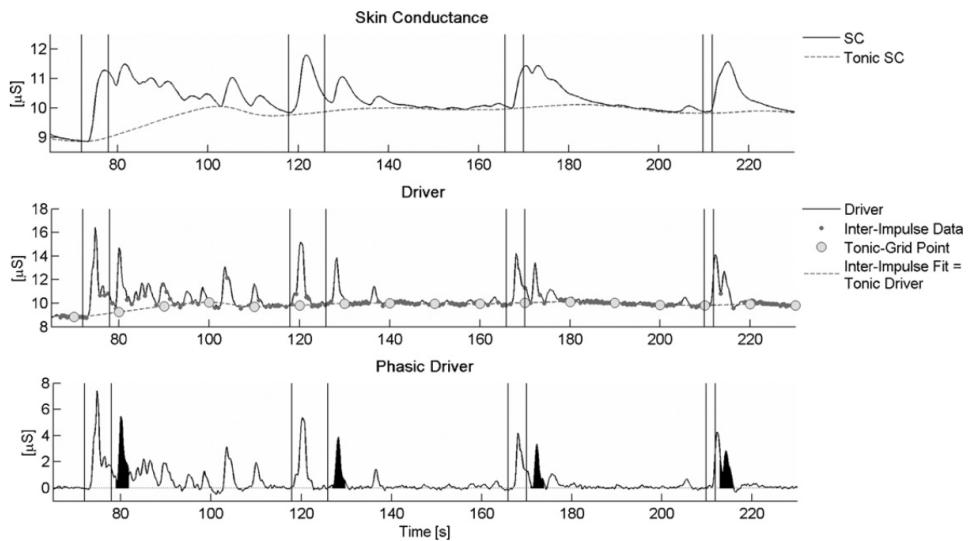


Figure 3.2: Skin conductance and phasic driver extraction from [2]

### 3.1.3 Decomposition algorithms and tools

To process **EDA** data dividing in phasic and tonic component, in the literature, several algorithms and tools were presented.

One tool is **EDAtool**<sup>2</sup>. It is a function developed to preprocess **EDA** signal including removal of electrical noise and artifact detection. It separates also the signal in phasic and tonic components.

To separate the signal components, they designed an **Infinite Impulse Response (IIR)** Butterworth low-pass filter with a cut-off frequency of  $0.001\text{Hz}$  (stop frequency of  $1\text{Hz}$  at  $-60\text{dB}$ ). The tonic component is then extracted from the output of the **IIR** filter, while the phasic component is obtained from the difference between the original signal (supplied to the **IIR** filter) and the tonic component.

Another tool is **Ledalab**<sup>3</sup>. This software aims to provide **EDA** analysis through two methods:

1. Continuous decomposition analysis, which performs a decomposition of **SC** data into continuous signals of phasic and tonic activity.
2. Discrete decomposition analysis, which performs a decomposition of **SC** data into distinct phasic and tonic activity by means of non-negative deconvolution

## 3.2 Measurement principles

**EDA** can be measured both without externally applied voltage (endosomatic method) or with application of **Direct Current (DC)** or **Alternate Current (AC)** (exosomatic method). The widespread used method is the exosomatic with **DC** recordings. With direct voltage, skin resistance measurements will result when current is constant, while skin conductance measurement will result when voltage is kept constant.

There are some factors that should be controlled as possible sources or variance in **EDA** recordings, like environmental conditions as the climatic conditions and physiological factors like age, gender and ethnic differences.

**EDA** can be measured in many different ways electrically including skin potential, resistance, conductance, admittance, and impedance. It achieves this by passing a minuscule amount of current between two electrodes in contact with the skin. The units of measurement for conductance are microSiemens ( $\mu\text{S}$ ).

### 3.2.1 Recording techniques

Electrodermal recording is usually performed with two electrodes. Exosomatic techniques use two active sites, while endosomatic recording

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<sup>2</sup><http://www.musicensorsemotion.com/2012/06/21/edatool/>

<sup>3</sup><http://www.ledalab.de>

requires an active and an inactive site.

Figure 3.3 illustrate the preferred palmar recording areas for exosomatic and endosomatic EDA recordings. Sites A and B for bipolar recordings. C and D for volar electrode sites.

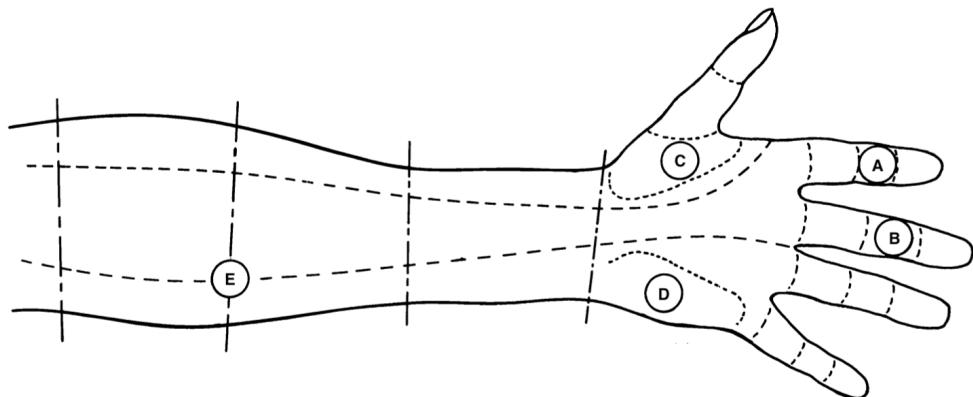


Figure 3.3: Preferred palmar recording areas for exosomatic and endosomatic EDA recordings

### 3.2.2 Wearable technologies

During the last years, some wearable devices were made, in order to extract EDA data from a human through sensors.

For example, one wearable device is from Empatica<sup>4</sup>. Product examples can be seen in figure 3.4.



Figure 3.4: Empatica wearable devices

Empatica has designed a system support real-world applications for seizure detection and characterization. Empatica is running a clinical trial, open to Embrace users, to collect and validate biometric signals from epilepsy patients using the Empatica Embrace watch and Alert app and compare

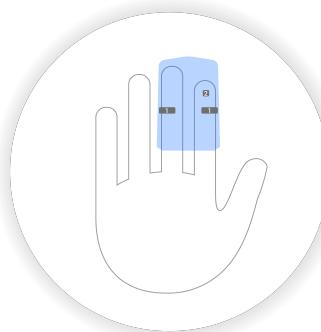
<sup>4</sup><https://www.empatica.com/en-eu/>

them to e-diary seizure report information.

Another device is from Bitbrain<sup>5</sup> as in figure 3.5.



(a) Biosignal device from Bitbrain



(b) Positioning the sensors

Figure 3.5: Bitbrain wearable devices

The sensors are located on the fingers' first and second phalanges (optimal measurement points) as shown in 3.5.

Another one device is from iMotions<sup>6</sup>. The name of the device is *Shimmer3 GSR+* which monitors skin conductivity between two electrodes attached to two fingers of one hand as can be seen in figure 3.6.

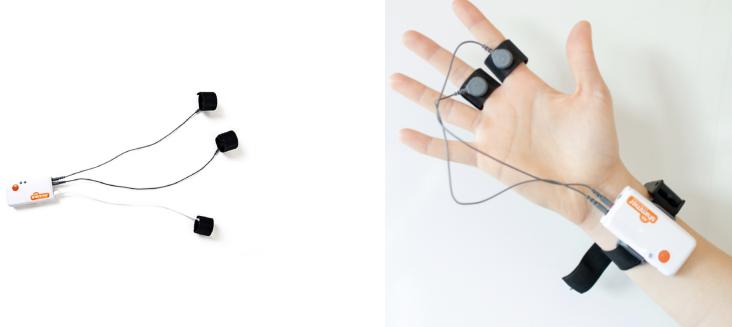


Figure 3.6: Bitbrain wearable devices

Caused by a stimulus the sweat glands become more active, increasing moisture on the skin and allowing the current to flow more readily by changing the balance of positive and negative ions in the secreted fluid (increasing skin conductance).

### 3.3 EDA preprocessing

EDA data is often captured by wearable devices, which makes the signal collected vulnerable to several types of noise. Artifacts can be generated from electronic noise or variation in the contact between the skin and

<sup>5</sup><https://www.bitbrain.com>

<sup>6</sup><https://imotions.com>

the recording electrode caused by pressure, excessive movement or adjustment of the device [3].

They may be mistaken for a skin conductance response, and this must be avoided.

Typically, as Boucsein [20] report, the shape of an SCR lasts between 1s to 5s, has a steep onset and an exponential decay and reaches an amplitude of at least  $0.01\mu S$ . An example of a typical SCR in figure 3.7.

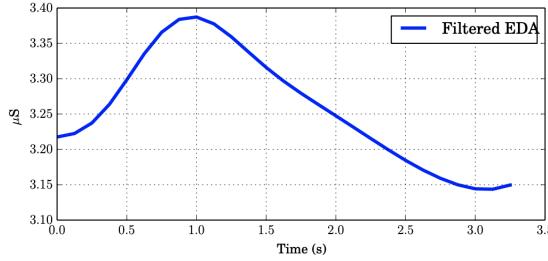


Figure 3.7: Example of a SCR shape

Currently, many researchers deal with signal artifacts and noise by applying exponential smoothing or low-pass filtering.

Additionally, filter cutoff frequencies are based only loosely on prior knowledge of typical characteristics of SCR shape, and vary widely study to study (from  $1Hz$  to  $5Hz$ ). The cutoff frequency ultimately chosen for a study is specific to that particular study, making generalization difficult.

There are much relevant techniques that are also able to recognize and compensate for large-magnitude artifacts that can result from pressure or movement of the device during recordings.

In [3] is presented a figure reported at figure 3.8, which shows a portion of signal that contains three artifacts, in which the fast decrease could not be produced by human physiology. Comparing the raw signal and the filtered version, the low-pass filter has not removed the artifacts.

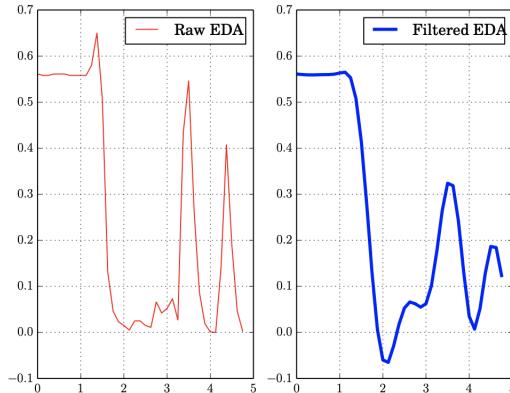


Figure 3.8: Portion of an EDA signal, the raw signal on the left in red, a  $1Hz$  low-pass filter applied on the signal to the left in blue in [3]

Some researchers, as Boucsein analysis [20], develop heuristic techniques for removing atypical portion of the **EDA** signal. Someone decide to discard portion of their data where the signal increased more than 20% per second or decreased more than 10% per second.

In another case, a study which collected **EDA** from two sensors (on both the ankle and wrist) [25] was able to detect artifacts by looking for epochs when only one of the two sensors had an abnormally low signal, or showed an unusually rapid increase or decrease.

In [3] developed a **ML** algorithm for automatically detecting **EDA** artifacts, providing empirical evaluation of classification performances.

### 3.4 EDA features

As for **MER** analysis, also in **EDA** data analysis, is important to find which features need to be extracted and then which feature selection method must be carried.

Emotion recognition from **EDA** has been commonly used for the assessment of user's experience in a variety of contexts such as recreational and games [26] and driving [27]. Previous research has explored the predictive power of a diverse set of **EDA** features of different types, including time domain, frequency domain, and time-frequency domain features.

Regarding time domain features, most usually features considered are the statistical parameters of the signal as:

- Mean value:  $\mu$  is the central value of a discrete set of numbers  $x_1, x_2, \dots, x_n$ , specifically, the sum of the values divided by the number of values:

$$\mu = \frac{1}{n} \sum_{i=1}^n x_i \quad (3.1)$$

- Standard deviation: is a measure of the amount of variation or dispersion of a set of values:

$$\sigma = \sqrt{\frac{1}{n} \sum_{i=1}^n (x_i - \mu)^2} \quad (3.2)$$

- Kurtosis: is a measure of the "tailedness" of the probability distribution of a real-valued random variable:

$$kurt = \frac{\frac{1}{n} \sum_{i=1}^n (x_i - \mu)^4}{\sigma^4} \quad (3.3)$$

- Skewness: is a measure of the asymmetry of the probability distribution of a real-valued random variable about its mean:

$$skew = \frac{\frac{1}{n} \sum_{i=1}^n (x_i - \mu)^3}{\sigma^3} \quad (3.4)$$

In [6], as an example, were extracted the features for **EDA** data shown in table 3.1, where **Discrete Wavelet Transform (DWT)** is an implementation of the wavelet transform using a discrete set of wavelet scales.

Domain	Feature vector	Number of features
Time	<b>SCR</b> related	7
	Statistical features	8
	Hjorth features	2
	Higher Order Crossing	5
Frequency	Statistical features	8
	Band power	9
Time-Frequency	<b>DWT</b> coefficients	56
	<b>SWT</b> features	40
	<b>MFCC</b>	481
	Statistical features <b>MFCC</b>	5

Table 3.1: Features extracted in [6]

Other cases, researchers have focused on event-related features of **EDA**. They are useful when are presented to the subjects some events, stimulus, like images or sounds.

Examples of event-related aspects of **EDA** considered in other studies are **SCR** amplitude, **SCR** peak count, mean **SCR** rise time, or the sum of **SCR** areas.

Fewer researches, as [6] remarks, has focused on the predictive power of **EDA** related to the frequency domain. The frequency domain analysis has shown superior capability for the gradient component's detection of individual **SCR**.

Due to the different rate of physiological process, **EDA** signals vary significantly with the frequency [28].

Frequency oscillations of **EDA** signals can be divided into different frequency sub-bands to analyze it. Indeed previous researchers has considered statistical aspects (variance, range, signal magnitude area, skewness, kurtosis, harmonics summation) and spectrum power of five frequency bands, as well as their minimum, maximum, and variance.

As for audio, also for **EDA** data, after constructing a feature matrix, need to apply an algorithm of feature selection to improve data reliability.

Some examples of feature selection could be:

- **Joint Mutual Information (JMI)**: focuses on the increasing complementary information between features.
- **Conditional Mutual Information Maximization (CMIM)**: it can properly identify truly redundant features and noisy features, and gives preference to informative, uncorrelated features.

- Double Input Symmetrical Relevance (DISR): a normalized variant of JMI.

In general it is not known which features are most appropriate for emotion recognition from EDA and previous works have made limited contributions on a systematic comparison of EDA features.

In [6] there is a table showing various features extracted for EDA signals already presented in table 3.1 with also references in the literature.

# 4

## State of the Art

This chapter introduces the readers to a complete review of the problem and all the different resolution possibilities.

### 4.1 Physiological signals

In this section will be defined a general overview on physiological signals that can be used in order to achieve a solution to the MER problem.

Emotions, which affect both human physiological and psychological status, play a very important role in human life. Positive emotions help improve human health and work efficiency, while negative emotions may cause health problems. Long term accumulations of negative emotions are predisposing factors for depression, which might lead to suicide in the worst cases.

The emotion often refers to a mental state that arises spontaneously rather than through conscious effort and it is accompanied by physical and physiological changes, relevant to the human organs and tissues such as brain, heart, skin, blood flow, muscle, facial expressions, voice, etc. [29].

Emotion recognition has been applied in many areas such as safe driving [30], health care especially mental health monitoring [31], social security [32], and so on.

In general, emotion recognition methods could be classified into two major categories:

- Using human physical signals such as facial expression [33], speech [34], gesture, posture, etc. This method has the advantage of easy collecting and is a chapter which has been studied for years. On

the other side, the reliability cannot be guaranteed, as it is relatively easy for people to control the physical signals like facial expression or speech to hide real emotions, especially during social communications.

- Using internal signals as:

- Electroencephalogram (EEG)
- Electrocardiogram (ECG)
- Electromyogram (EMG)
- Blood Pressure (BP)
- Heart Rate Variability (HRV)
- EDA as:
  - \* Skin Resistance (SR)
  - \* Skin Temperature (ST)
  - \* SC
  - \* GSR
- Respiration (RSP)

These signals are produced by the Nervous System which is divided into:

- Central Nervous System (CNS)
- Peripheral Nervous System (PNS): consist of the Autonomic Nervous System (ANS) and Somatic Nervous System (SNS).

EEG, ECG, EMG, GSR and RSP change in a certain way when people face some specific situations. Physiological signals are in response to the CNS and ANS. Due to the fact that CNS and ANS are involuntarily activated, they cannot be controlled.

In the table 4.1 is shown a summary of various papers using different biological signals.

Biological signal	Paper
ECG	[35], [36], [37], [38], [39]
ECG, EMG, RSP	[40]
ECG, GSR	[41]
HRV, SR	[42]
EEG	[43]
HRV	[44]

Table 4.1: Papers with correspondent biological signal used

In table 4.2 is presented the relationship between emotions and physiological features, thanks to [29]. Arrows indicate increased ( $\uparrow$ ), decreased ( $\downarrow$ ), no change in activation from the baseline (-) or both increases and decreases in different studies ( $\uparrow\downarrow$ ).

Signal	Anger	Anxiety	Embarrassment	Fear	Amusement	Happiness	Joy
<b>Cardiovascular</b>							
HR	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow\downarrow$	$\uparrow$	$\uparrow$
HRV	$\downarrow$	$\downarrow$	$\downarrow$	$\downarrow$	$\uparrow$	$\downarrow$	$\uparrow$
LF		$\uparrow$		(-)		(-)	
LF/HF		$\uparrow$			(-)		
PWA				$\uparrow$			
PEP	$\downarrow$		$\downarrow$	$\downarrow$	$\uparrow$	$\uparrow$	$\uparrow\downarrow$
SV	$\uparrow\downarrow$	(-)		$\downarrow$		(-)	$\downarrow$
CO	$\uparrow\downarrow$	$\uparrow$	(-)	$\uparrow$	$\downarrow$	(-)	(-)
SBP	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$
DBP	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	(-)
MAP			$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	
TPR	$\uparrow$			$\downarrow$	$\uparrow$	$\uparrow$	(-)
FPA	$\downarrow$	$\downarrow$		$\downarrow$	$\downarrow$	$\uparrow\downarrow$	
FPTT	$\downarrow$	$\downarrow$		$\downarrow$		$\uparrow$	
EPTT		$\downarrow$		$\downarrow$		$\uparrow$	
FT	$\downarrow$	$\downarrow$		$\downarrow$	(-)	$\uparrow$	
<b>Electrodermal</b>							
SCR	$\uparrow$	$\uparrow$		$\uparrow$	$\uparrow$		
nSRR	$\uparrow$	$\uparrow$		$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$
SCL	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$	(-)
<b>Respiratory</b>							
RR	$\uparrow$	$\uparrow$		$\uparrow$	$\uparrow$	$\uparrow$	$\uparrow$
Ti	$\downarrow$	$\downarrow$		$\downarrow$	$\downarrow$		$\downarrow$
Te	$\downarrow$	$\downarrow$		$\downarrow$			$\downarrow$
Pi	$\uparrow$			$\uparrow$			$\downarrow$
Ti/Ttot				$\uparrow$	$\downarrow$		
Vt	$\uparrow\downarrow$	$\downarrow$		$\uparrow\downarrow$	$\uparrow\downarrow$	$\uparrow\downarrow$	
Vi/Ti							$\uparrow$
<b>Electroencephalography</b>							
PSD( $\alpha$ wave)	$\uparrow$	$\uparrow$		$\downarrow$	$\uparrow$	$\uparrow$	$\uparrow$
PSD( $\beta$ wave)	$\downarrow$				$\uparrow$		
PSD( $\gamma$ wave)				$\downarrow$	$\uparrow$	$\uparrow$	$\uparrow$
DE (avg)	$\uparrow$	(-)		$\downarrow$		$\uparrow$	$\uparrow$
DASM (avg)	(-)			$\uparrow$	$\downarrow$	$\downarrow$	$\downarrow$
RASMs (avg)	$\uparrow$			$\uparrow$			$\downarrow$

Table 4.2: Relationship between emotions and physiological features

The position of different biosensors is shown in figure 4.1.

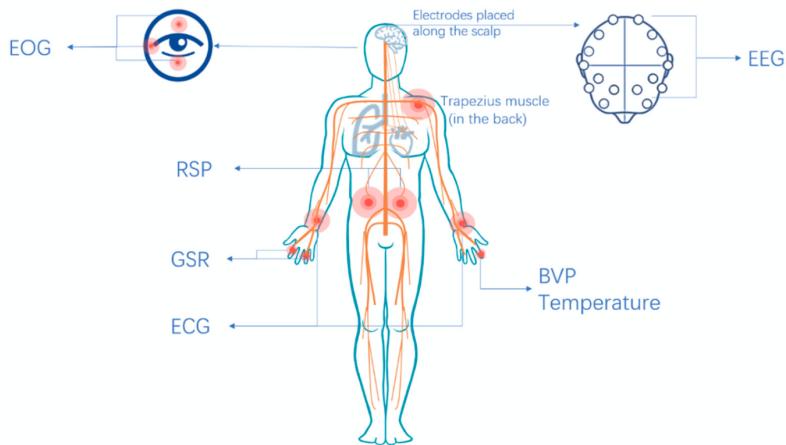


Figure 4.1: Position of the bio-sensors

#### 4.1.1 Electroencephalogram

**EEG** is an electrophysiological monitoring method to record electrical activity of the brain. **EEG** measures voltage fluctuations resulting from ionic current within the neurons of the brain. Clinically, **EEG** refers to the recording of the brain's spontaneous electrical activity over a period of time, as recorded from multiple electrodes placed on the scalp.

**EEG** is most often used to diagnose epilepsy, which causes abnormalities in **EEG** readings. It is also used to diagnose sleep disorders, depth of anesthesia, coma, encephalopathies, and brain death.

Many studies have indicated that the physiological correlates of emotions are likely to be found in the central nervous system rather than simply in peripheral physiological responses. Researchers have supported this viewpoint using **EEG** or other neuroimaging (e.g., functional Magnetic Resonance Imaging) approaches to investigate the specificity of brain activity associated with different emotional states.

However, most of the available studies on emotion-specific **EEG** response have focused on **EEG** characteristics at the single-electrode level, rather than at the level of **EEG**-based functional connectivity.

#### 4.1.2 Electrocardiogram

**c** is a recording of the electrical activity of the heart using electrodes placed on the skin. These electrodes detect small electrical changes that are a consequence of cardiac muscle depolarization followed by repolarization during each cardiac cycle, the heartbeat.

There are three main components to an **EEG**: the P wave, which represents the depolarization of the atria; the QRS complex, which represents the depolarization of the ventricles; and the T wave, which represents the repolarization of the ventricles, as in figure 4.2.

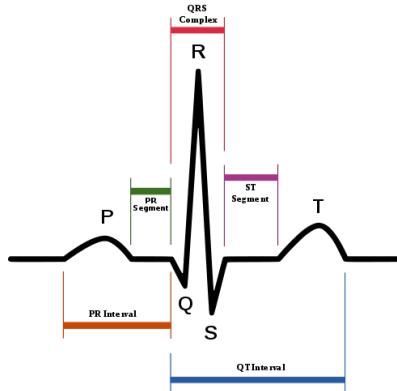


Figure 4.2: ECG of a heart in normal sinus rhythm, PQRST wave

### 4.1.3 Electromyogram

**EMG** is an electrodiagnostic medicine technique for evaluating and recording the electrical activity produced by skeletal muscles.

An electromyograph detects the electric potential generated by muscle cells when these cells are electrically or neurologically activated. The signals can be analyzed to detect medical abnormalities, activation level, or recruitment order, or to analyze the biomechanics of human or animal movement.

Therefore, the best readings are obtained when the sensor is placed on the muscle belly and its positive and negative electrodes are parallel to the muscle fibers. Since the number of muscle fibers that are recruited during any given contraction depends on the force required to perform the movement, the intensity (amplitude) of the resulting electrical signal is proportional to the strength of contraction.

In psychophysiology, **EMG** was often used to find the correlation between cognitive emotion and physiological reactions. In the work by Sloan [45], for example, the **EMG** was positioned on the face (jaw) to distinguish *smile* and *frown* by measuring the activity of zygomatic major and corrugator supercilli. In experiment of [40], bipolar electrodes were placed at the upper trapezius muscle (near the neck) in order to measure the mental stress of the subjects.

### 4.1.4 Heart Rate Variability

**HRV** measure the beat-to-beat temporal changes of the heart rate, sometimes it is calculated from **ECG**, but the usability of measuring the **ECG** is limited. **HRV** can be evaluated also through the **Blood Volume Pulse (BVP)** or **Photoplethysmography (PPG)**.

A reduced **HRV** is linked to psychiatric illness as depression, anxiety. The heart rate is the most natural choice for arousal detection using comparison of sympathetic and parasympathetic frequency bands of the time series. However, it is highly dependent on the position of the body during monitoring.

#### 4.1.5 Electrodermal Activity

As already been studied in chapter 3, EDA measures the resistance of the skin and the skin conductivity applying electrodes to the skin. The skin conductivity decreases during relaxed states, and increase when exposed to effort.

#### 4.1.6 Respiration

RSP is the process of moving air into and out of the lungs to facilitate gas exchange with the internal environment, mostly bringing in oxygen and flushing out carbon dioxide.

The respiration can be measured with a latex rubber band, the amount of stretch in the elastic is measured as a voltage change and recorded. The most common measures of RSP are the depth of breathing and the rate of RSP.

RSP rate generally decreases with relaxation, tense situations may result in momentary RSP cessation. Irregularity in the RSP pattern could be the cause of negative emotions.

Due to the fact that RSP is closely linked to the cardiac function, RSP can affect other measures like EMG and SC measurements.

Positions to the left, and typical waveform of the signals to the right are presented in the figure 4.3.

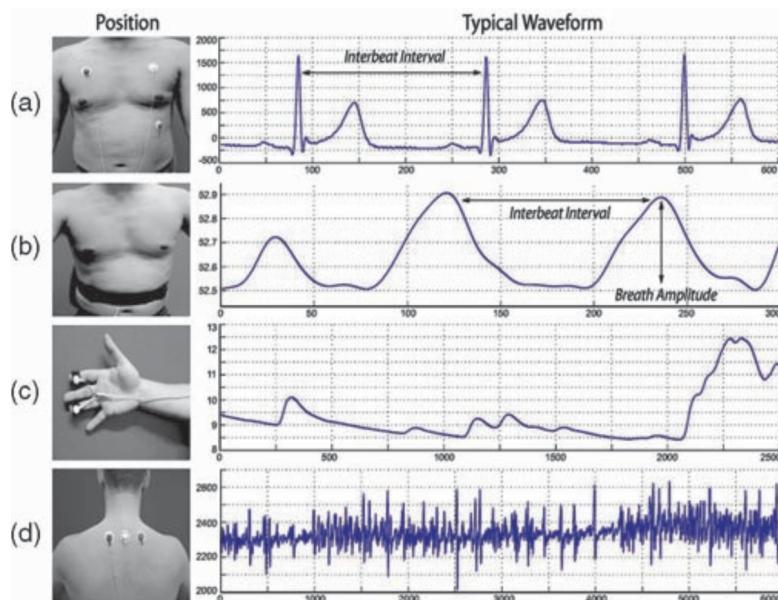


Figure 4.3: Positions (left) and waveform of the signals (right), (a) ECG, (b) RSP, (c) SC, (d) EMG

## 4.2 General methodology

For physiological signal-based emotion recognition, there is a common methodology which can be divided into two categories:

- Traditional [ML](#) methods: model specific methods, which require carefully designed hand-crafted features and feature optimization methods.
- Deep learning methods, model-free methods, which can learn the inherent principle of the data and extract features automatically.

The whole emotion recognition framework is shown in figure [4.4](#).

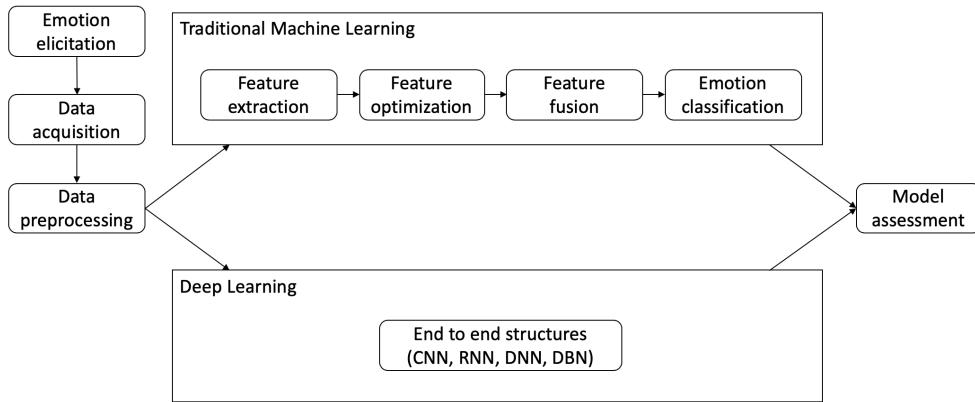


Figure 4.4: Emotion recognition process using physiological signals under target emotion stimulation

### 4.2.1 Preprocessing

After the part of data acquisition, which is different for each physiological signal, there is the data preprocessing step. It is necessary to eliminate the noise effect, artifacts and other signal parts that may lead to wrong results. Due to the complex and subjective nature of raw physiological signals and the sensitivity to noises, electromagnetic interference, movement artifacts, ... this step is mandatory.

Some of the common steps can be summarized in:

- Filtering: is commonly used a low-pass filter to remove noises, or also adaptive band pass filters to remove artifacts.
- [DWT](#): used to reduce the noise of physiological signals
- [ICA](#): used to extract and remove respiration sinus arrhythmia from [ECG](#).
- [Empirical Mode Decomposition \(EMD\)](#): used to remove the eye-blink from [EEG](#).

### 4.2.2 Traditional Machine Learning

Main steps for traditional [ML](#) methods, as already presented in [2.6](#). There are processes including feature extraction, feature selection and classification as reviewed in [\[46\]](#).

#### Feature extraction

Feature extraction plays a fundamental role in the emotion recognition model. Several major features are extracted for each physiological signal, because it is important to extract the most prominent features for emotion recognition. For example [EEG](#) is a complex and non-stationary signal, so some statistical features like [Power Spectral Density \(PSD\)](#) and [Spectral Entropy \(SE\)](#) are commonly used.

Often are extracted statistical features as mean, standard deviation, Kurtosis, Skewness, entropy.

However, each bio-signal has to be investigated separately as extracted features might vary in their usefulness for the classification of emotions.

#### Feature selection

After the feature extraction process, there might be a quantity of features, some of which may be irrelevant, some that are probably correlated each other, there might be some redundant features.

It lead to a long time of analyzing the features and train the model and it is easy to produce overfitting problem and another problem of sparse features, called *curse of dimensionality*, which results in the decrease of the model performance.

Some of the main feature selection algorithms are [Rfelfieff](#), [mRMR](#), [SBS](#) and [SFS](#), [PCA](#), ...

In general there are several feature selection alforithms, some reduce the dimensionality by taking out some redundant or irrelevant featuresm other transform the original one into a new set of features. Performances of the feature selection algorithm depends on the classifier and the dataset, due to this, the perfect feature selection algorithm do not exist.

#### Classification

In emotion recognition, the major task is to assign the input signal to one of the given class sets. There are several classification models like [Linear Discriminant Analysis \(LDA\)](#), [k-NN](#), [SVM](#), [Random Forest \(RF\)](#), ...

### 4.2.3 Deep Learning

[Deep Learning \(DL\)](#) methods have the benefits to be model-free methods, so they do not depends on the specific model considered.

Examples of [DL](#) algorithms are [Convolutional Neural Network \(CNN\)](#), [Recurrent Neural Network \(RNN\)](#), ... Neural network in general are particular types of [ML](#) methods which have as fundamental unit the node, loosely based on the biological neuron.

The relevant aspect of [DL](#) is that it can learn the inherent principle of the data and extract features automatically, so there is no need to extract feature and select the most relevant ones, which could lead to a better generalization of the problem.

### 4.2.4 Model assessment and selection

The generalization error of the classifier can be evaluated by experiments, where a testing set should be used to test the ability of the classifier to classify the new samples, and the testing error on the testing set could be viewed approximately as the generalization error.

The dataset is divided into two mutually exclusive sets, the training and the testing set. It is important to maintain the consistency of the data distribution as much as possible. In general, the experiment need to repeat several times with random division and then calculate the average value as the evaluation result.

There is also k-fold crossing-validation. the initial sampling is divided into  $K$  sub-samples. One sub-sample is used as the testing set and the other  $K - 1$  samples are used for training. Cross-validation is repeated  $K$ -times. Each sub-sample is validate once and the average result of  $K$  times is used as the final result. The most common is the 10-fold cross-validation.

To evaluate the performance of the experiment there is the accuracy, which is the proportion of samples that are correctly classified to the total samples.

## 4.3 Issues of physiological signals

A lot of efforts have been made in revealing the relationships between explicit physiological signals and implicit psychological feelings. However, there are still several challenges in emotion recognition based on physiological signals:

- Need a very well designed setup in order to obtain high quality physiological data. The standard setup is the standard lab setting with subjects with earphones sit motionless in front of a screen where the emotion stimuli materials are played. This system is fixed, data are noiseless and stable, but the issue of obtaining gen-

uine emotions which is dependent heavily on the emotion stimulated materials is hard to deal with it.

- The stimulus materials are artificially selected, labels of the materials are manually set, while for the same thing human emotions vary from each other, this may lead to a large deviation in the rating of the material. In [47], the author showed that different introduction ways led to different physiological responses.
- There is no still clear evidence that what feature combination of what physiological signal combinations are the most significantly relevant to emotion changes.
- For most studies, the number of subjects is small. Due to limited samples, the performance of the classifier with subjects who have not been trained would be poor. The clear efficient method is to include more subjects from different ages and backgrounds.
- Emotion perception and experience lead to strong differences.
- The reliability of facial expressions cannot be guaranteed sometimes.

## 4.4 Related works

In this section will be presented some works done during the last years on all physiological signals that tries to understand the relationship of physiology and human emotions.

### 4.4.1 ECG and GSR signal emotion recognition

In the work [41] **ECG** and **GSR** of 11 healthy students were collected while subjects were listening to emotional music clips. They extracted **Matching Pursuit (MP)** coefficients from **ECG** and **GSR** signals.

Than were calculated some statistical indices from the **MP** coefficients and three dimensionality reduction method were applied, **PCA**, kernel **PCA** and **LDA**. These features were fed into the **Probabilistic Neural Network (PNN)** in subject-dependent and subject-independent modes.

The **PNN** is feed with a feature vector in the input layer, is determined a distance between the input and the weight vector. Is calculated the summation of these contributions for each input class to yield the probability. Finally is selected the maximum of these probabilities by a competitive layer and assigned 1 for that class and 0 elsewhere.

They achieved, using **PNN**, the highest recognition rate of 100% for  $\sigma = 0.01$ .

#### 4.4.2 ECG sensors for human emotion recognition

The research of [35], they suggest an ensemble learning approach for developing a machine learning model that can recognize four major human emotions (anger, sadness, joy and pleasure) incorporating **ECG** signals.

As feature extraction method, the analysis combines four **ECG** signals techniques. Several ML methods have been applied to the model, the most accurate (with an accuracy of 70%) is achieved by using an Extra Tree Classifier (a variant of the **RF** that introduce more variation in the ensemble).

#### 4.4.3 Automatic ECG emotion recognition

In [36] is presented an automatic **ECG**-based emotion recognition algorithm. They recorded **ECG** signal from subjects and extracted some features from the signal from the time and frequency domain. Then performed an algorithm of feature selection, a sequential forward floating selection-kernel-based class separability-based.

Valence and arousal and four types of emotions are recognized using Least Square-**SVM** recognizer. They gained a classification rate for positive/negative valence, high/low arousal, and four types of emotion classification tasks are 82.78%, 72.91%, and 61.52%, respectively.

#### 4.4.4 Classification of music emotions with forehead biosignals and ECG

In the work of [37] to recognize music-induced emotions is used a fusion of three-channel forehead biosignals (left and right temporal channel and frontalis) and **ECG**. They employed two parallel **SVM** as arousal and valence classifiers.

The inputs of the classifiers were obtained by applying a fuzzy-rough model feature evaluation criterion and sequential forward floating selection algorithm.

The average classification accuracy was of 88.78% (valence classification accuracy of 94.91% and arousal classification accuracy of 93.63%).

#### 4.4.5 Emotion classification with forehead biosignals

In [38] investigates the feasibility of usign 3-channel forehead bisignals. Classification in valence arousal space is performed by employing two parallel cascade-forward **NN**.

The inputs of the classifiers were obtained by applying a fuzzy rough model feature evaluation criterion and sequential forward floating selection algorithm. An averaged classification accuracy of 87.05% was achieved, corresponding to average valence classification accuracy of 93.66 % and average arousal classification accuracy of 93.29 %.

#### 4.4.6 Physiological changes in music listening

The paper [40] investigates the potential of physiological signals as reliable channels for emotion recognition. Were used four-channel biosensors to measure **EMG**, **ECG**, **SC** and **RSP** changes as can be seen in figure 4.3. They extracted some features in various analysis domain, the time/frequency, entropy, geometric analysis, subband spectra.

Classification of four musical emotion (one for each quadrant of the valence-arousal diagram) is performed by using an extended **LDA** (**pLDA**). They also provided a novel scheme of emotion-specific multilevel dichotomous classification, gaining an accuracy of 95% for subject-dependent and 70% for subject-independent classification.

#### 4.4.7 NN based emotion estimation

In order to build a human-computer interface that is sensitive to a user's expressed emotion, in [42] propose a neural network based emotion estimation algorithm using **HRV** and **GSR**. In this study, a video clip method was used to elicit basic emotions from subjects while **ECG** and **GSR** signals were measured. These signals reflect the influence of emotion on the autonomic nervous system. The extracted features that are emotion-specific characteristics from those signals are applied to an artificial neural network in order to recognize emotions from new signal collections. Results show that the proposed method is able to accurately distinguish a user's emotion.

They gain a total accuracy of 80.2%.

#### 4.4.8 Recognize emotions by affective sound through HRV

The research in [44] reports on how emotional states elicited by affective sounds can be effectively recognized by means of estimates of ANS dynamics.

The ANS dynamics is estimated through standard and nonlinear analysis of **HRV** exclusively, which is derived from the ECG. A group of 27 people were administered with ECG recordings, then **HRV** features showing significant changes between valence and arousal dimensions were used as input of an automatic classification system.

The best accuracy was achieved for a quadratic discriminant classifier, to 84.72% on the valence dimension and 84.26% on the arousal one.

#### 4.4.9 Emotion recognition from ECG

In [39] carried out the work of affective **ECG** signal acquisition from 391 subjects through stimulation of film clips. They recognized emotions divided into Joy and Sadness.

Than, is implemented features extraction and feature selection algorithms based on the [DWT](#) and a Fisher-[k-NN](#) to classify the test data.

#### 4.4.10 Relationship between music emotion and physiological signals

In [7] the study explore the possibility of using physiological signals to detect users emotion response to music, considering individual characteristics (as personality, music preferences, etc.).

A user experiment was conducted with 23 participants, during music listening, a series of physiological signals like HR and SC were recorded using a wearable wristband.

Here, arousal and mood values rated by participants were grouped into three main categories (i.e. positive, negative, neutral), for mood ratings, they combined the mood categories into positive, negative and neutral moods.

After some data preprocessing, were extracted the features in table 4.3:

Category	Features
Descriptive statistics of raw signal	Mean, Standard deviation, median, range
Time series features	Means of the abs of the $1^{st}/2^{nd}$ differences of the raw/normalized signals
Physiological signal specific features	<a href="#">SCR</a> , <a href="#">HRV</a>

Table 4.3: Features extracted from physiological signals in [7]

A [ML](#) approach was applied to measure the extent to which physiological signals could be used to recognize users' emotion responses to music listening, in positive and negative categories of arousal and mood. Specifically, they trained and compared the performance of several classification models, namely decision tree, [k-NN](#), naïve Bayes and [SVM](#).

#### 4.4.11 DL model for human emotion recognition with EDA

The work in [48] had the main objective of ensure that elderly and/or disabled people perform/live well in their immediate environments; this can be monitored by among others the recognition of emotions based on non-highly intrusive sensors such as [EDA](#) sensors.

However, designing a learning system or building a machine-learning model to recognize human emotions while training the system on a specific group of persons and testing the system on a totally a new group of persons is still a serious challenge in the field, as it is possible that the

second testing group of persons may have different emotion patterns.

They contributed to the field of human emotion recognition by proposing a **CNN** architecture which promise robustness for both subject-dependent and subject independent human emotion recognition.

Authors converted **EDA** signals into matrices whereby the goal is to make the application of CNN model possible.

They tested the **CNN** on two datasets, MAHNOB and DEAP, which are four-classes labeled and they increased the accuracy up to 78% for MAHNOB and 82% for DEAP in subject-independent classification, while up to 81% for MAHNOB and 85% for DEAP in subject-dependent classification.

For the sake of clarity, subject-independent emotion recognition is a challenging field due to:

- Physiological expressions of emotion depend on age, gender, culture and other social factors.
- Depends on the environment in which a subject lives.
- The lab-setting independent nature of emotion recognition is related to the fact that the classifier can/will be trained locally once using sensors of a given lab-setting and after that tested considering different datasets that are collected based on different lab settings.

#### 4.4.12 VA recognition of affective sounds based on EDA

In [49] tried to automatically classify the emotional state of healthy subjects. They proposed the use of convex optimization based on **EDA** framework and clustering algorithms to automatically discern arousal and valence levels induced by affective stimuli.

**EDA** recordings were gathered from 25 healthy volunteers, using only one **EDA** sensor to be placed on fingers.

In model-based approaches, models describe and estimate the underlying psychological process that generates the observed data (**EDA** measurements).

The model based analysis of **EDA** has fundamental advantages, such as a propensity to reduce the effects of measurement noise and the essential ability to improve the temporal resolution of inference in rapid event-related paradigms.

**EDA** data, in this experiment was analyzed with the *cvxEDA*<sup>1</sup> algorithm, presented in [50], which proposed a representation of the **SCR** parts of **EDA** as the ouput of a linear time-invariant system to a sparse non-negative driver signal.

The model of the *cvxEDA* assumes that the observed **SCR** ( $y$ ) is the sum

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<sup>1</sup><https://github.com/Iciti/cvxEDA>

of the phasic activity ( $r$ ), a slow tonic component ( $t$ ), and an additive independent and identically distributed zero-average Gaussian noise term ( $\varepsilon$ ):

$$y = r + t + \varepsilon \quad (4.1)$$

Physiologically-plausible characteristics (temporal scale and smoothness) of the tonic input signal can be achieved by means of a cubic spline with equally-spaced knots every 10s, an offset and a linear trend term:

$$t = Bl + Cd \quad (4.2)$$

where:

- $B$  is a tall matrix whose columns are cubic B-spline basis functions
- $l$  is the vector of spline coefficients
- $C$  is a  $N \times 2$  matrix with  $C_{i,1} = 1$ , and  $C_{i,2} = \frac{i}{N}$
- $d$  is a  $2 \times 1$  vector with the offset and slope coefficients for the linear trend

Phasic component is the result of a convolution between the [SudoMotor Nerve Activity \(SMNA\)](#)  $p$  and an impulse response  $h(t)$  shaped as a biexponential Bateman function:

$$h(t) = (e^{-t/\tau_1} - e^{-t/\tau_2})u(t) \quad (4.3)$$

where  $\tau_1$  and  $\tau_2$  are the slow and the fast time constants of the phasic curve shape and  $u(t)$  is the unitary step function.

Referring to [49], the final model can be written as:

$$y = Mq + Bl + Cd + \varepsilon \quad (4.4)$$

Given the EDA model 4.4, *cvxEDA* formulated the problem as a minimization problem as:

$$\text{minimize } \frac{1}{2} \|Mq + Bl + Cd - y\|^2 + \alpha \delta \|Aq\|_1 + \frac{\gamma}{2} \|l\|_2^2 \quad (4.5)$$

$$\text{subject to } Aq \geq 0$$

This problem can be solved using one of the many sparse-QP solvers in order to find the optimal  $[q, l, d]$ , than find tonic component  $t$  from 4.2. They extracted several features form EDA both from phasic and tonic components output of the *cvxEDA*. For each feature, two levels of valence (positive and negative) and three levels of arousal (low, medium and high) were compared.

The supervised classification was implemented using a [k-NN](#) classifier.

Results, thanks to *cvxEDA* showed a recognition accuracy of 80 % on the arousal dimension and 84 % in valence classification.

## 4.5 Conclusions

In this chapter was shown a review of the state of the art about human emotion recognition based on physiological data. A schematic block of the general algorithm can be seen in figure 4.4.

Summing up, the majority of the works deal with a small number of subjects (25/30 maximum) and they evaluated their accuracy based on valence-arousal space grouped in four main labels as schematized in figure 4.5.

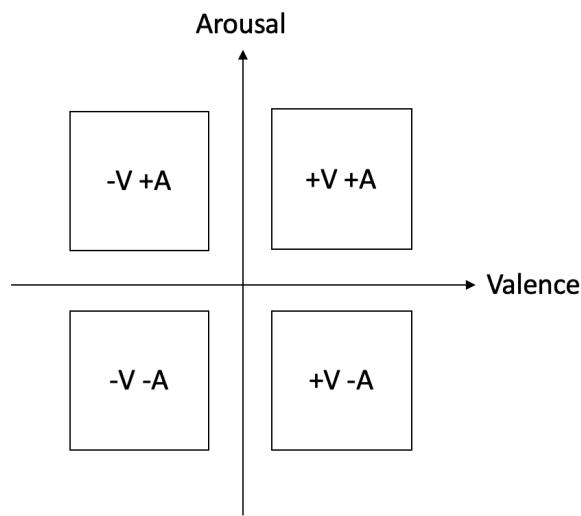


Figure 4.5: Valence and Arousal space divided in four main groups

# 5

## Implementation and Results

In this chapter is presented the overall description of the dataset used in the experiment and the related work already done.

### 5.1 PMEmo dataset

This thesis is based on the paper *The PMEmo dataset for Music Emotion Recognition* [8]. K. Zhang, H. Zhang and S.Li created a novel dataset called [Popular Music with Emotional annotations \(PMEmo\)](#) containing emotions of 794 songs as well as [EDA](#) signals.

Most researchers working on [MER](#) adopt methods in supervised [ML](#) to implement music emotion prediction [51], which usually need a large number of songs with emotion labels provided by listeners to train the models.

A musical experiment was well-designed for collecting the affective annotated music corpus oh high quality, which recruited 457 subjects. The dataset (about 1.3Gb) is publicly available to the research community at [this link](#)<sup>1</sup>.

It is intended for benchmarking in [MIR](#) and [MER](#), it involves precomputed audio features sets and manually selected chorus excerpts (in .mp3) of songs, to facilitate the development of chorus-related research.

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<sup>1</sup><https://drive.google.com/drive/folders/1qDk6hZDGVIvXgckjLq9LvXLZ9EgK9gw0>

### 5.1.1 Dataset structure

The dataset contain 794 music clips annotated by 457 subjects, where participants come from different countries and majors, in order to eliminate the effects of cultural and educational background [52].

Chorus parts are manually selected from students majoring in music.

Meanwhile, the EDA of subjects when listening to these music are also recorded, making it possible to analyze emotion states in multiple modes. All annotations are stored in CSV files delimited by comma.

The dataset is composed of:

- annotations: valence and arousal values for each song. There are:
  - *static\_annotations*: valence and arousal standard deviation values for each song, one value for each song.
  - *static\_annotations\_std*: valence and arousal mean values for each song, one value for each song.
  - *dynamic\_annotations*: valence and arousal standard deviation values for each song, acquired at a sampling rate of  $2Hz$ .
  - *dynamic\_annotations\_std*: valence and arousal mean values for each song, acquired at a sampling rate of  $2Hz$ .
- chorus: all chorus excerpts of 794 songs manually selected.
- comments: songs comments taken from NetEase<sup>2</sup> and SoundCloud<sup>3</sup>.
- EDA: EDA data for each song, each one extracted by at least 10 subjects, with a sampling rate of  $50Hz$ .
- features: all features extracted by the authors of [8]:
  - *EDA\_features*: features extracted from the EDA signals:
    - \* *EDA\_features\_static*: EDA static features for each song for each subject.
    - \* *EDA\_features\_dynamic*: EDA dynamic features for each song for each subject with a sampling rate of  $50Hz$ .
    - \* *static\_features*: audio static features for each song.
    - \* *dynamic\_features*: audio dynamic features for each song with a sampling rate of  $50Hz$ .
- *lrc\_dataset*: lyrics text of all music excerpts.
- lyrics: lyrics text of all music excerpts divided by each timestamp.
- *metadata*: metadata of the songs, containing *music\_ID*, title, artist, album, duration, *chorus\_start\_time* and *chorus\_end\_time*.

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<sup>2</sup><https://music.163.com>

<sup>3</sup><https://soundcloud.com>

Since the early years of MER, there have been numerous efforts to build datasets with emotional annotations, to facilitate the development and evaluation of music emotion recognition. Table 5.1 from [8] summarize some works on that.

Name	Stimulus	Data	Audio
Emotify <sup>4</sup>	400 excerpts	induced emotion	yes
Moodswing <sup>5</sup>	240 excerpts (30s)	valence and arousal	no
Amg1608 <sup>6</sup>	1608 excerpts (30s)	valence and arousal	no
emoMusic <sup>7</sup>	744 excerpts (45s)	valence and arousal	yes
DEAM <sup>8</sup>	1802 excerpts	valence and arousal	yes
SoundTracks <sup>9</sup>	360 + 110 excerpts	valence, energy, tension, mood	yes
GMD <sup>10</sup>	1400 songs	genre, valence and arousal	yes
DEAPDataset <sup>11</sup>	120 music excerpts	valence, arousal, dominance and physiological data	no
PMEMo	794 music chorus	valence, arousal and physiological data	yes

Table 5.1: Some existing music datasets with emotion annotations from [8]

### 5.1.2 Song acquisition and subject selection

They collected 1000 songs from the "*Billboard Hot 100*", the "*iTunes top 100 songs*" and the "*UK top 40 single charts*". They late discovered a set of duplicates and filtered double music obtaining a full song set of 794 pop songs.

Each datasets in MER utilize music segments, here each clip is manually selected as one of the chorus parts of each song, which is implemented by university students in music major. The clips are of various length, exactly the duration of the chorus parts.

A total of 457 subjects, 236 females and 221 males were recruited to participate. Among them, 366 are Chinese university students who are in non-music majors while 44 are majoring in music recruited to ensure

<sup>4</sup><http://www.projects.science.uu.nl/memotion/emotifydata/>

<sup>5</sup><http://music.ece.drexel.edu/research/emotion/moodswingsturk>

<sup>6</sup><https://amg1608.blogspot.ca/>

<sup>7</sup><http://cvml.unige.ch/databases/emoMusic/>

<sup>8</sup><http://cvml.unige.ch/databases/DEAM/>

<sup>9</sup><https://www.jyu.fi/hytk/fi/laitokset/mutku/en/research/projects2/pastprojects/coe/materials/emotion/soundtracks/Index>

<sup>10</sup><https://hilab.di.ionio.gr/en/music-information-research/>

<sup>11</sup><http://www.eecs.qmul.ac.uk/mmv/datasets/deap/readme.html>

high quality labeling. To weaken the impact of cultural background, 47 English speakers are invited to annotate the datasets.

Each song received a total of at least 10 emotion annotations including one by music-majoring and one by English speaker.

### 5.1.3 Experiment design

To monitor and obtain EDA continuously they used **MP150 Biopac system<sup>12</sup>** with a sampling rate of  $50Hz$  and export signals from *AcqKnowledge* software.

To annotate songs was developed a desktop application shown in figure 5.1. The annotation was done with the sliding area collecting dynamics annotations , from 1 to 9, at a sampling rate of  $2Hz$ . Annotators should make a statistic annotation for the whole music excerpts on nine-point scale after the dynamic labeling. Furthermore, annotators were asked to listen to the same music twice to annotate on valence and arousal separately.

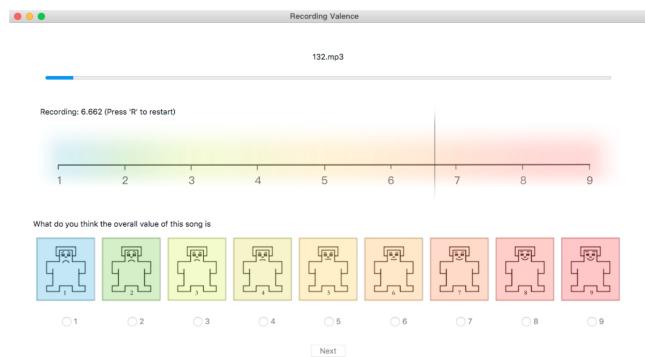


Figure 5.1: Annotation interface for PMEmo

In figure 5.2 is shown the flow diagram of the experiment, where each subject spent 50 minutes on average.

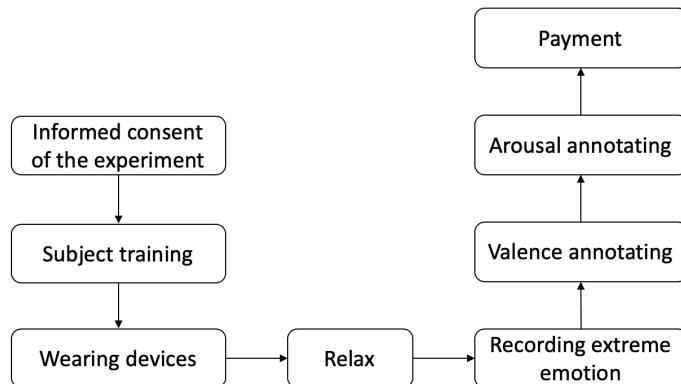


Figure 5.2: Experimental procedure for PMEmo

<sup>12</sup><https://www.biopac.com/product/eda-finger-transducer-bsl/>

Each subject listened to 20 excerpts and one of those was duplicated to guarantee the high quality data as what was done in [53]. The annotations from this subjects were accepted only if the bias between duplicate clips were within 0.25 in the VA space (they did not inform subjects about the duplicated excerpt).

In total 457 subjects have participated but 401 were considered valid annotations (87.7%). Each music clip was annotated by at least 10 subjects including English speakers and semi-experts from music academy.

### 5.1.4 Data reliability

As Initial Orientation Time (IOT) concept remarks, annotators need some preliminary time before they can give meaningful and reliable annotations. Schubert in [54] found that median IOT for valence was 8s while for arousal 12s. Other researchers showed that annotations began to converge after 10s. The PMEmo authors decided to discard first 15s for the dynamic annotations from the data.

To evaluate annotation consistency they used the Chronbach's  $\alpha$ , it represent the degree to which a set of items measures a single unidimensional latent construct. In [8] computed the Chronbach's  $\alpha$  on the sequence of annotations for each song.

They processed annotations by:

$$a_{j,i} = a_{j,i} + (\bar{A}_j - \bar{A}) \quad (5.1)$$

where:

- $a_{j,i}$  is the label annotated by subject  $j$  at time  $i$
- $\bar{A}$  is the mean of all the labels for this song by all subjects
- $\bar{A}_j$  is the mean of dynamic labels by subject  $j$

The mean (averaged across songs) and the standard deviation of the Chronbach's  $\alpha$  for the annotation in the PMEmo dataset are shown in table 5.2.

Dimension	Mean	Std Dev
Valence	0.998	0.005
Arousal	0.998	0.008

Table 5.2: Mean and standard deviation of the Chronbach's  $\alpha$  for PMEmo dataset annotations

### 5.1.5 Feature set

As already mentioned before in 2.5, for generic MER there has been no attempt made at defining a "standard" feature set. In PMEmo work [8]

they based on the INTERSPEECH 2013 [Computational Paralinguistic Evaluation \(ComPaRe\)](#) [55] and extracted a feature set of 6373-dimension scale.

They provided all 6373-dimension features in song level for the sake of static emotion task. They extracted only the core of 260-dimension features in segment level (calculated in 1s window with 0.5s overlap) for dynamic recognition task to properly reduce the computing load.

Extraction of the features is done with the open-source toolkit [openSMILE](#)<sup>13</sup> [56].

No feature selection procedure was implemented in [PMEmo](#) work.

### 5.1.6 PMEmo performances

In the article, they adopt [Multivariate Linear Regression \(MLR\)](#) and [SVR](#) as the base classifiers to model emotions in valence and arousal.

For the static part, they trained and tested the classifiers using all the 6373-dimension features  $x_1, x_2, \dots, x_{6373}$  and separate static labels of valence  $y_{valence}$  and arousal  $y_{arousal}$  respectively.

$$X_1, X_2, \dots, X_m \rightarrow e_1, e_2, \dots, e_m \quad (5.2)$$

where:

- $m$  is the number of songs
- $X_i = x_1, x_2, \dots, x_{6373}$  is the feature set of the  $i^{th}$  song
- $e_i$  is the value of valence or arousal for this song

With respect of continuous mood of a song, is natural to consider a decoupling into two scales and then recognize them separately.

For the dynamic emotion, defined as:

$$L_i = \bar{L}_i + D_i^{t_i} \quad (5.3)$$

where:

- $t_i$  is the number of timestamps in the  $i^{th}$  song
- $\bar{L}_i$  is the mean of dynamic emotion
- $D_i^{t_i}$  is the fluctuation at each timestamp

the global model is:

$$X_1, X_2, \dots, X_m \rightarrow \bar{L}_1, \bar{L}_2, \dots, \bar{L}_m \quad (5.4)$$

while, the local model is:

$$Y_1^{t_1}, Y_2^{t_2}, \dots, Y_m^{t_m} \rightarrow D_1^{t_1}, D_2^{t_2}, \dots, D_m^{t_m} \quad (5.5)$$

where:

---

<sup>13</sup><https://www.audeering.com/opensmile/>

- $m$  is the number of songs
- $X_i$  is the global feature set of it
- $Y_i^{t_i}$  is a matrix of 260 columns and  $t_i$  rows

Before the regression models, they resized all the annotations (both for static and dynamic annotations) into [0, 1].

Static task is to predict the overall emotion of a whole song, represented by a single valence value and arousal value. To train and test, they divided the dataset in 11 folds, 10 constituted the training set and the remaining set used to test the train model. A 10-fold-cross-validation was used for parameter optimization.

[Root Mean Square Error \(RMSE\)](#) and Pearson Correlation Coefficient ( $r$ ) were calculated separately for valence and arousal. In table 5.3 is shown results on static emotions.

Dimension	Classifier	RMSE	r
Valence	MLR	0.136	0.546
Valence	SVR	0.124	0.638
Arousal	MLR	0.111	0.719
Arousal	SVR	0.102	0.764

Table 5.3: Evaluation results on static emotions

About the dynamic case, a hierarchical regression model aiming to recognize the global trend as well as local variation was built. For Global-scale they extracted, for each song, one global feature and mapped it into one global emotion. For Local-scale operation, for each song, they divided it into 1s segment with 50% overlap, then extracting the local features from these fragments and project them onto mood space.

In table 5.4 is presented the evaluation results on dynamic emotions.

Dimension	Classifier	Scale	RMSE	r
Valence	MLR	global	0.103	0.673
Valence	MLR	local	0.016	0.047
Valence	SVR	global	0.106	0.675
Valence	SVR	local	0.016	0.095
Arousal	MLR	global	0.113	0.816
Arousal	MLR	local	0.020	0.103
Arousal	SVR	global	0.101	0.844
Arousal	SVR	local	0.019	0.115

Table 5.4: Evaluation results on dynamic emotions

In PMEmo work, as already mentioned, they also recorded [EDA](#) subjects data when they were listening to music.

On [EDA](#), they employed a low-pass filter of  $0.6\text{Hz}$  to diminish the noise due to motion artifacts. Then skin electric conductance was scaled in z-score:

$$z - \text{score} = \frac{X - \mu}{\sigma} \quad (5.6)$$

where  $\mu$  is the mean of vector  $X$  and  $\sigma$  is the standard variation. Last passage on [EDA](#) signal was to resample them, from  $50\text{Hz}$  to  $2\text{Hz}$  due to different acquisition of EDA and continuous emotions.

They trained and tested [MLR](#) and [SVR](#) with pre-processed [EDA](#) data in the dynamic case and results are shown in table [5.5](#).

Dimension	Classifier	Scale	RMSE	r
Valence	MLR	global	0.139	0.063
Valence	MLR	local	0.016	0.060
Valence	SVR	global	0.141	0.017
Valence	SVR	local	0.016	0.059
Arousal	MLR	global	0.186	0.011
Arousal	MLR	local	0.019	0.097
Arousal	SVR	global	0.194	0.040
Arousal	SVR	local	0.019	0.099

Table 5.5: Evaluation results on dynamic EDA

## 5.2 Implementation

We decided to start from the results of [PMEmo](#) and try to improve them. We will first look at a general framework description and then will follow explanation of the single parts.

### 5.2.1 General framework

As already presented in chapter [4.2](#) in figure [4.4](#) through some steps we can derive a model from the emotion elicitation. Since we will try to deal with both audio and [EDA](#) data, we decided to develop a model based on a traditional machine learning framework.

General framework implemented is in figure [5.3](#). Differently from figure [4.4](#), here, the starting point is dataset files given from the [PMEmo](#) dataset.

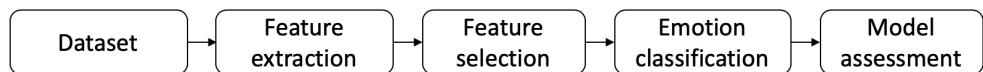


Figure 5.3: General framework

From the dataset containing audio and [EDA](#) files, we extracted a certain

number of features, creating a matrix for all the features extracted. From the feature matrix, several feature selection algorithms were applied in order to reduce the number of features, to improve the model. At last, some [ML](#) process is applied to create the model for the emotion classification task and then it is tested. In this dataset were present two different types of data, audio and [EDA](#) and our main goal was to combine:

- audio data, which gave the possibility to recognize perceived emotions
- [EDA](#) data, which are related to felt emotions

The general framework, with these two process divided is shown in figure [5.4](#) which is based on the one presented before at [5.3](#).

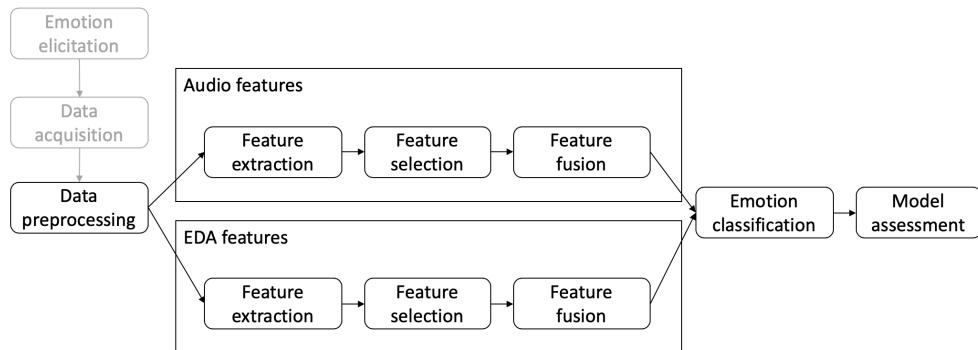


Figure 5.4: General framework with audio and EDA division

Now will be presented the first part of the general framework, feature extraction block, separated for audio and for [EDA](#), due to evident differences in data types. For the audio, there are several set of features that can be extracted, thanks to the hard work done in the past years. While [EDA](#) features are less present in the literature and they are mostly statistical features.

### 5.2.2 Audio features

For the next features explanation, will be used the song contained in the [PMEmo](#) dataset under the name *4.mp3*, *X Bitch* from *21 Savage* in the album "*Savage mode*". Its waveform and audio specs can be seen in figure [5.5](#).

#### Tempo

In musical terminology, tempo is the speed or pace of a given piece. In classical music, tempo is typically indicated with an instruction at the

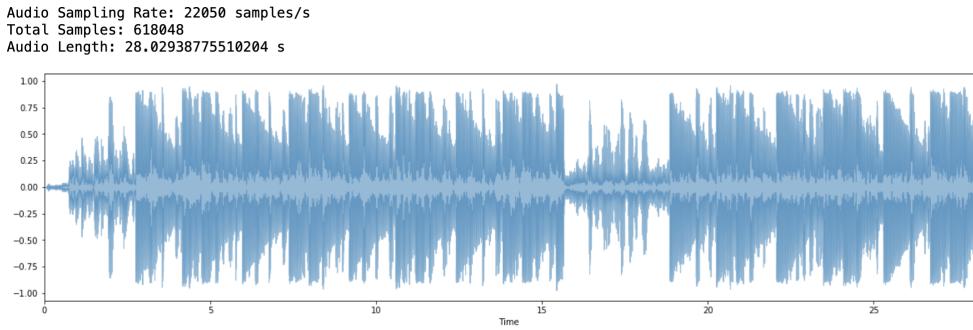


Figure 5.5: Waveform and audio specs of the song number 4

start of a piece and is usually measured in beats per minute (or bpm). Tempo for the given song is about  $152\text{bpm}$ .

## Beats

To extract beats is used a beat extractor, which output is an estimation of the tempo and an array of frame numbers corresponding to detected beat events.

Beats are detected in three stages:

1. Measure onset strength
2. Estimate tempo from onset correlation
3. Pick peaks in onset strength approximately consistent with estimated tempo

In figure 5.6 can be seen beats detected and the array of frame numbers.

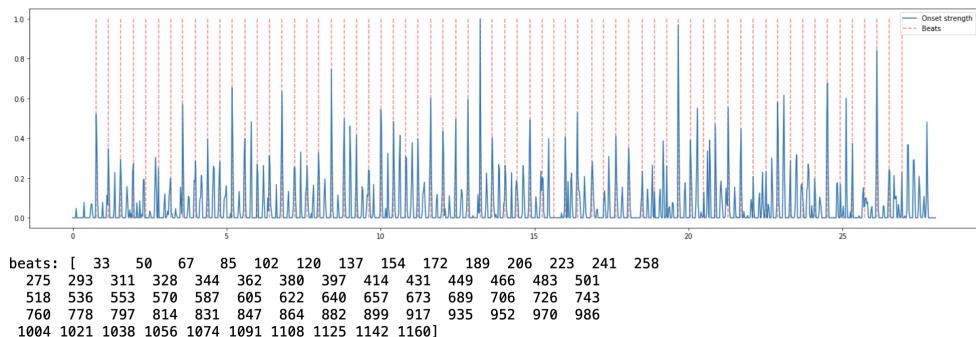


Figure 5.6: Beat and array of frames of the song number 4

After the beats extraction, summation and average of the beat events are calculated.

## Chroma

The chroma feature, also called chromagram, relates to the twelve different pitch classes. Chroma features capture harmonic and melodic characteristic of music, while being robust to changes in timbre and instrumentation.

Humans perceive two musical pitches as similar if they differ by an octave. A pitch can be separated into two components, referred as *height* (the octave where the pitch is) and *chroma*. The twelve chroma values are represented by the set:

$$C, C\#, D, D\#, E, F, F\#, G, G\#, A, A\#, B$$

that consists of the twelve pitch spelling attributes as used in Western music notation.

In the figure 5.7 from [4] can be seen a chromagram (b) obtained from the score (a) and a chromagram (d) obtained from an audio recording of the C-major scale played on a piano (c).

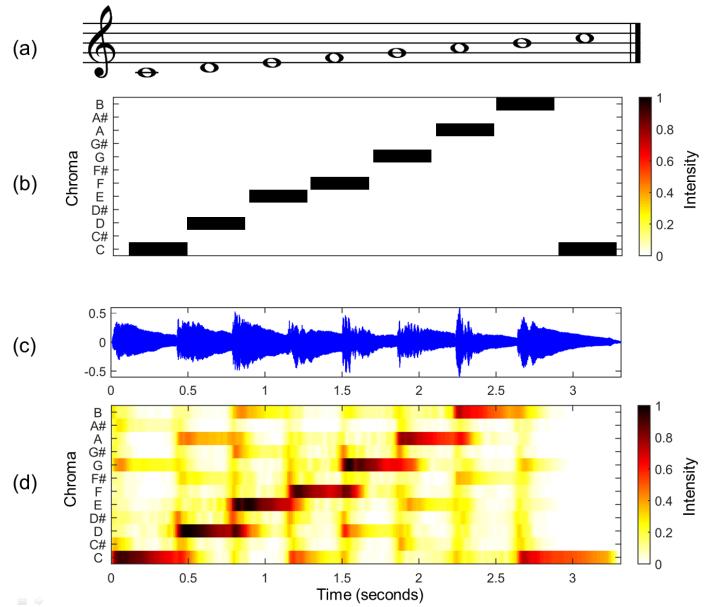


Figure 5.7: (a) Musical score of a C-major scale, (b) Chromagram obtained from the score, (c) audio recording of the C-major scale played on a piano, (d) chromagram obtained from the audio recording from [4]

There are different ways to convert an audio recording into a chromagram, as performing **Short Time Fourier Transform (STFT)** in combination with binning strategies or using multirate filter banks.

Chroma features can be significantly changed by introducing pre-processing and post-processing steps that modify spectral, temporal and dynamical aspects. This leads to a large number of chroma variants. For the chromagram, we extracted three different types of chroma:

- Chroma **STFT** extract the chromagram through the **STFT**.

- Chroma cqt extract the constant-Q chromagram, where the constant-Q transforms the data series to the frequency domain. Q stands for the quality factor, defined as:

$$Q = \frac{f_k}{\delta f_k} \quad (5.7)$$

where  $f_k$  is the  $k^{th}$  filter of a series, while  $\delta f_k$  is the bandwidth of the  $k^{th}$  filter.

- Chroma cens which add a further degree of abstraction by considering short-time statistics over energ distribution within the chroma bands. In [Chroma Energy Normalized Statistics \(CENS\)](#) features, a quantization is applied based on logarithmic thresholds, which allows to introduce a temporal smoothing.

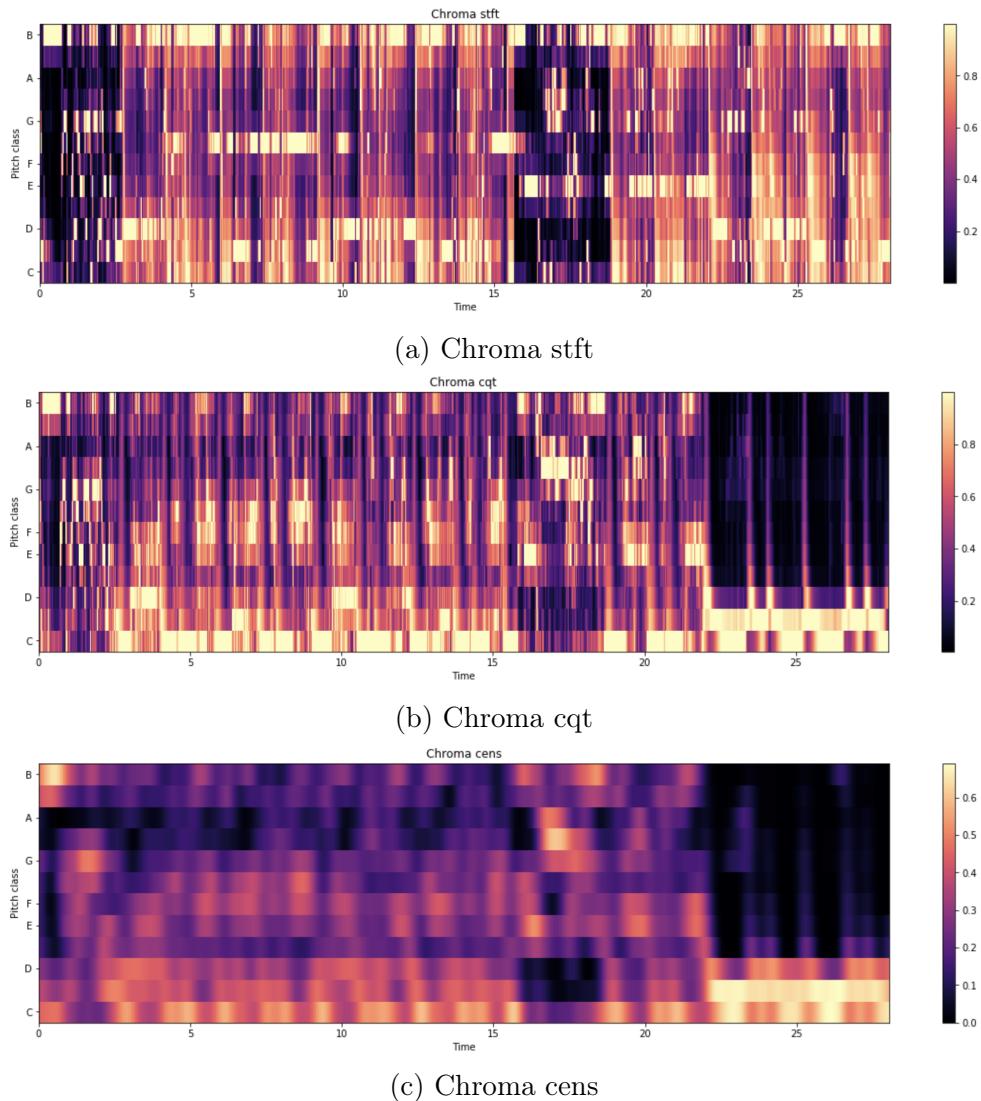


Figure 5.8: Different chromagram extracted from song number 4

# 6

## Dataset Improvements

In this chapter we present...

Then...

Finally ...

### 6.1 Some different sections

### 6.2 Conclusive Remarks

7

## Conclusions and Future Works

This work of thesis proposes a methodology for...

The devised methodology is based on...

The main advantages are...

As far as the experiments are concerned...

The proposed approach has shown promising results both in simulation and in the experiments.

## 7.1 Future Works

**Generalization** We would like to generalize...

**Challenging scenarios** Another possible improvement is related to the extension of the proposed approach to...

# Appendices

## A Equipment 1

## B Proofs of Mathematical Theories1

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