

Weighted Finite-State Transducers in Speech Recognition

Part I. Mathematical Foundation and Algorithms

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Why Weighted Finite-State Transducers?

1. **Efficiency and Generality of Classical Automata Algorithms**

- Efficient algorithms for a variety of problems (e.g. string-matching, compilers, Unix, design of controllability systems in aircrafts).
- General algorithms: rational operations, intersection.

2. **Weights**

- Handling uncertainty: text, handwritten text, speech, image, biological sequences.
- Increased generality: finite-state transducers, multiplicity.

3. **Applications**

- Text: pattern-matching, indexation, compression.
- Speech: Large-vocabulary speech recognition, speech synthesis.
- Image: image compression, filters.

Software Libraries

- **FSM Library:** Finite-State Machine Library – general software utilities for building, combining, optimizing, and searching weighted automata and transducers.
<http://www.research.att.com/sw/tools/fsm/>
- **GRM Library:** Grammar Library – general software collection for constructing and modifying weighted automata and transducers representing grammars and statistical language models.
<http://www.research.att.com/sw/tools/grm/>

FSM Library

The FSM utilities construct, combine, minimize, and search *weighted finite-states machines (FSMs)*.

- **User Program Level:** Programs that read from and write to files or pipelines, *fsm(1)*:

```
fsmintersect in1.fsm in2.fsm >out.fsm
```

- **C(++) Library Level:** Library archive of C(++) functions that implements the user program level, *fsm(3)*:

```
Fsm in1 = FSMLoad("in1.fsm");
```

```
Fsm in2 = FSMLoad("in2.fsm");
```

```
Fsm out = FSMIntersect(fsm1, fsm2);
```

```
FSMDump("out.fsm", out);
```

- **Definition Level:** Specification of *labels*, of *costs*, and of kinds of FSM representations.

FSM File Types

- **Textual Format:** Used for manual inputting and viewing of FSMs
 - Acceptor Files
 - Transducer Files
 - Symbols Files
- **Binary Format:** ‘Compiled’ representation used by all FSM utilities.

Compiling, Printing, and Drawing FSMs

- **Compiling**

```
fsmcompile -s tropical -iA.syms <A.txt >A.fsm
```

```
fsmcompile -s log -iA.syms -oA.syms -t <T.txt >T.fsm
```

- **Printing**

```
fsmprint -iA.syms <A.fsm >A.txt
```

```
fsmprint -iA.syms -oA.syms <T.fsm >T.txt
```

- **Drawing**

```
fsmdraw -iA.syms <A.fsm | dot -Tps >A.ps
```

```
fsmdraw -iA.syms -oA.syms <T.fsm | dot -Tps >T.ps
```

Weight Sets: Semirings

A *semiring* $(\mathbb{K}, \oplus, \otimes, \bar{0}, \bar{1})$ = a ring that may lack negation.

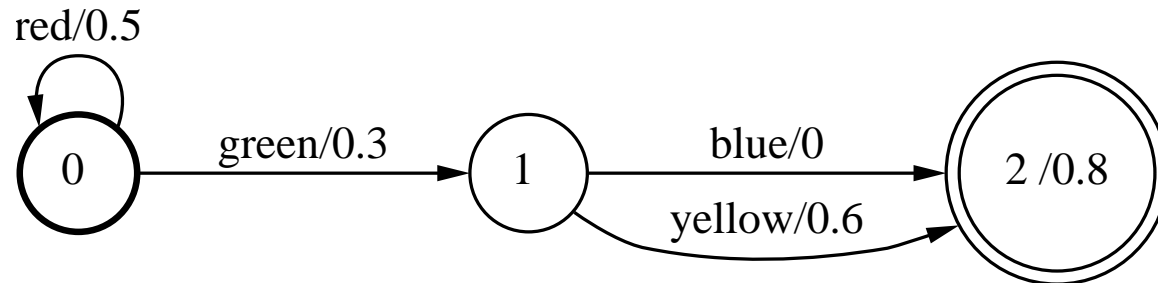
- **Sum:** to compute the weight of a sequence (sum of the weights of the paths labeled with that sequence).
- **Product:** to compute the weight of a path (product of the weights of constituent transitions).

SEMIRING	SET	\oplus	\otimes	$\bar{0}$	$\bar{1}$
Boolean	$\{0, 1\}$	\vee	\wedge	0	1
Probability	\mathbb{R}_+	$+$	\times	0	1
Log	$\mathbb{R} \cup \{-\infty, +\infty\}$	\oplus_{\log}	$+$	$+\infty$	0
Tropical	$\mathbb{R} \cup \{-\infty, +\infty\}$	\min	$+$	$+\infty$	0

with \oplus_{\log} defined by: $x \oplus_{\log} y = -\log(e^{-x} + e^{-y})$.

Automata/Acceptors

- **Graphical Representation** (A.ps):



- **Acceptor File** (A.txt):

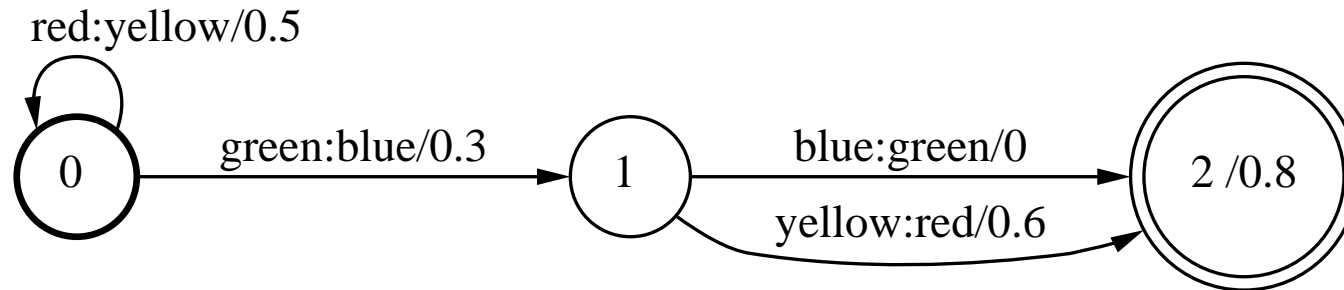
0	0	red	.5
0	1	green	.3
1	2	blue	
1	2	yellow	.6
2	.8		

- **Symbols File** (A.syms):

red	1
green	2
blue	3
yellow	4

Transducers

- **Graphical Representation** (T.ps):



- **Transducer File** (T.txt):

0	0	red	yellow	.5
0	1	green	blue	.3
1	2	blue	green	
1	2	yellow	red	.6
2	.8			

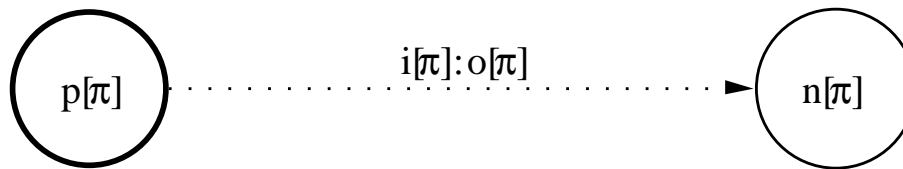
- **Symbols File** (T.syms):

red	1
green	2
blue	3
yellow	4

Definitions and Notation – Paths

- **Path π**

- Origin or previous state: $p[\pi]$.
- Destination or next state: $n[\pi]$.
- Input label: $i[\pi]$.
- Output label: $o[\pi]$.



- **Sets of paths**

- $P(R_1, R_2)$: set of all paths from $R_1 \subseteq Q$ to $R_2 \subseteq Q$.
- $P(R_1, x, R_2)$: paths in $P(R_1, R_2)$ with input label x .
- $P(R_1, x, y, R_2)$: paths in $P(R_1, x, R_2)$ with output label y .

Definitions and Notation – Automata and Transducers

1. General Definitions

- Alphabets: input Σ , output Δ .
- States: Q , initial states I , final states F .
- Transitions: $E \subseteq Q \times (\Sigma \cup \{\epsilon\}) \times (\Delta \cup \{\epsilon\}) \times \mathbb{K} \times Q$.
- Weight functions:
 initial weight function $\lambda : I \rightarrow \mathbb{K}$
 final weight function $\rho : F \rightarrow \mathbb{K}$.

2. Machines

- Automaton $A = (\Sigma, Q, I, F, E, \lambda, \rho)$ with for all $x \in \Sigma^*$:

$$\llbracket A \rrbracket(x) = \bigoplus_{\pi \in P(I, x, F)} \lambda(p[\pi]) \otimes w[\pi] \otimes \rho(n[\pi])$$

- Transducer $T = (\Sigma, \Delta, Q, I, F, E, \lambda, \rho)$ with for all $x \in \Sigma^*, y \in \Delta^*$:

$$\llbracket T \rrbracket(x, y) = \bigoplus_{\pi \in P(I, x, y, F)} \lambda(p[\pi]) \otimes w[\pi] \otimes \rho(n[\pi])$$

Rational Operations – Algorithms

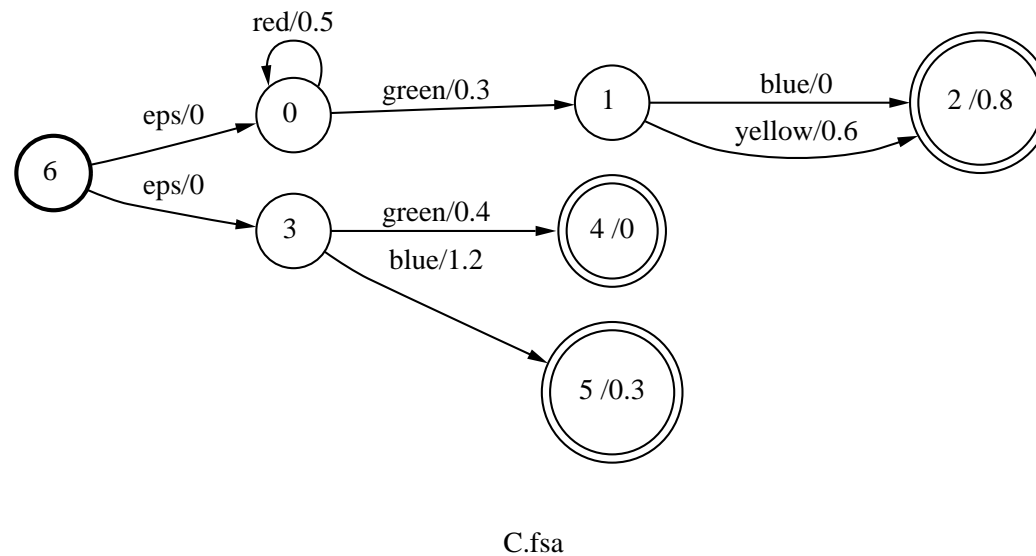
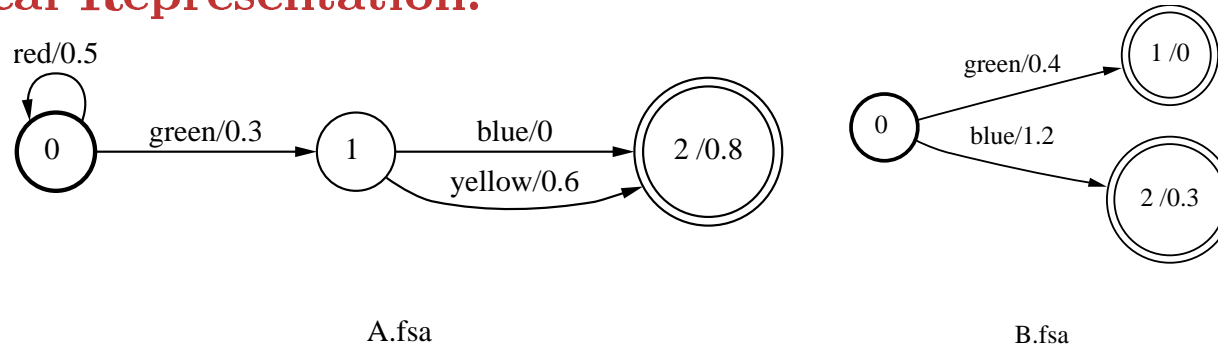
- Definitions**

OPERATION	DEFINITION AND NOTATION
Sum	$\llbracket T_1 \oplus T_2 \rrbracket(x, y) = \llbracket T_1 \rrbracket(x, y) \oplus \llbracket T_2 \rrbracket(x, y)$
Product	$\llbracket T_1 \otimes T_2 \rrbracket(x, y) = \bigoplus_{x=x_1 x_2, y=y_1 y_2} \llbracket T_1 \rrbracket(x_1, y_1) \otimes \llbracket T_2 \rrbracket(x_2, y_2)$
Closure	$\llbracket T^* \rrbracket(x, y) = \bigoplus_{n=0}^{\infty} \llbracket T \rrbracket^n(x, y)$

- Conditions on the closure operation:** condition on T : e.g. weight of ϵ -cycles = $\bar{0}$ (*regulated transducers*), or semiring condition: e.g. $\bar{1} \oplus x = \bar{1}$ as with the tropical semiring (*locally closed semirings*).
- Complexity and implementation**
 - Complexity (linear): $O((|E_1| + |Q_1|) + (|E_2| + |Q_2|))$ or $O(|Q| + |E|)$.
 - Lazy implementation.

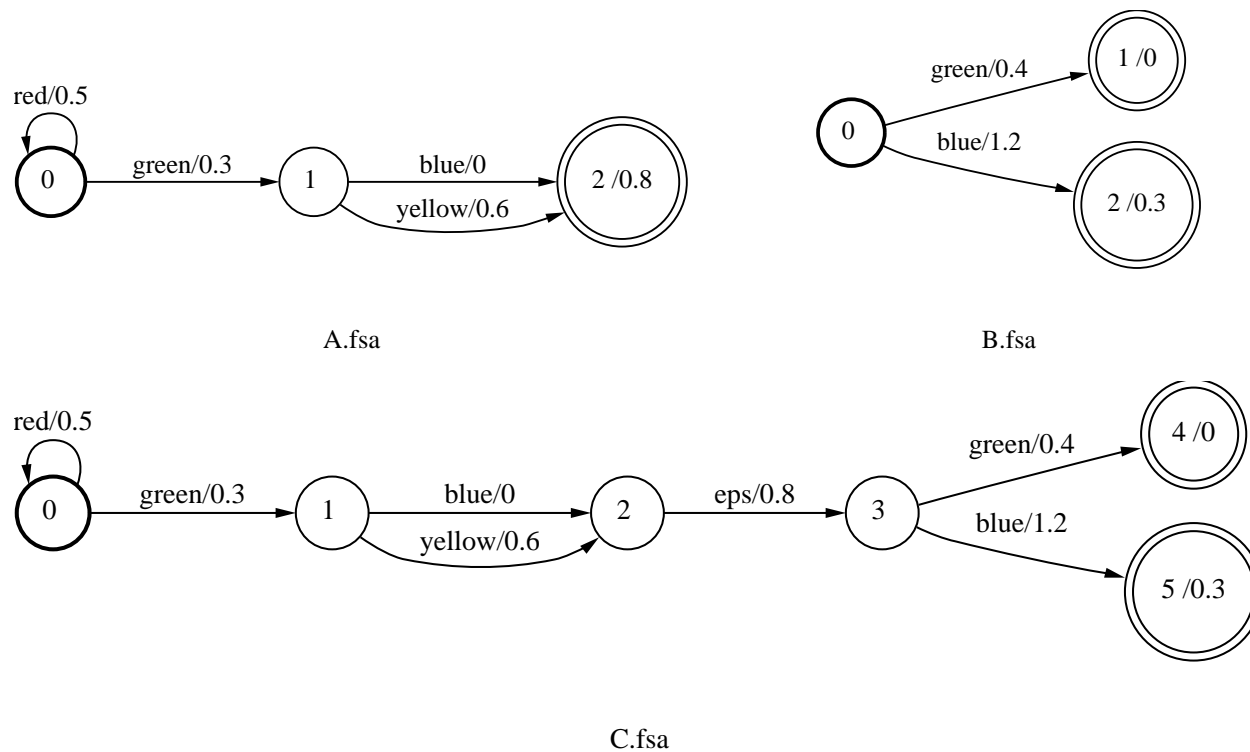
Sum – Illustration

- **Program:** fsmunion A.fsm B.fsm >C.fsm
- **Graphical Representation:**



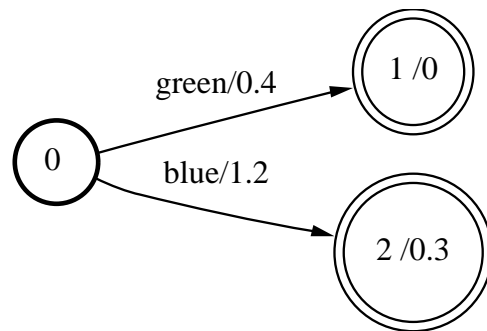
Product – Illustration

- **Program:** fsmconcat A.fsm B.fsm >C.fsm
- **Graphical Representation:**

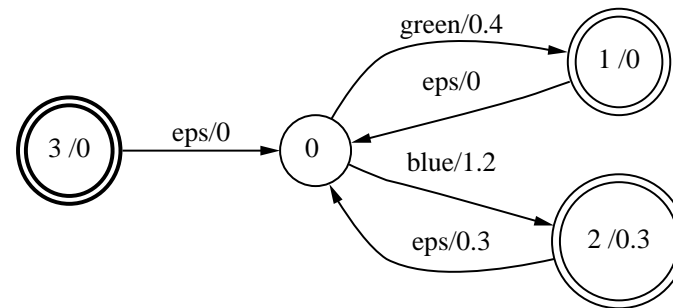


Closure – Illustration

- **Program:** `fsmclosure B.fsm >C.fsm`
- **Graphical Representation:**



B.fsa



C.fsa

Some Elementary Unary Operations – Algorithms

- Definitions**

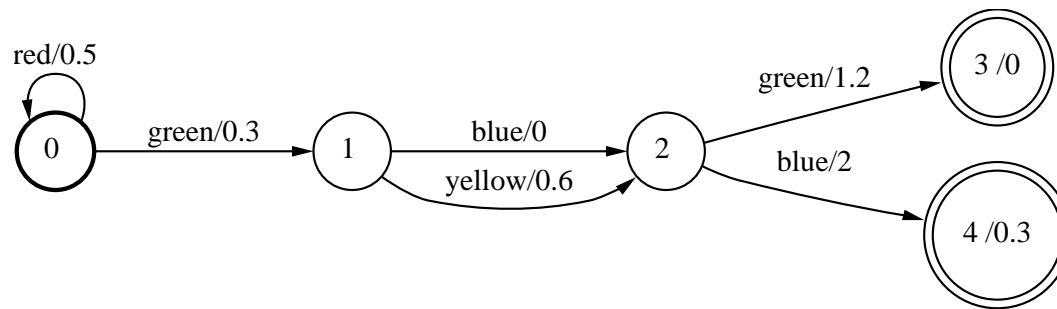
OPERATION	DEFINITION AND NOTATION	LAZY IMPLEMENTATION
Reversal	$\llbracket \tilde{T} \rrbracket(x, y) = \llbracket T \rrbracket(\tilde{x}, \tilde{y})$	No
Inversion	$\llbracket T^{-1} \rrbracket(x, y) = \llbracket T \rrbracket(y, x)$	Yes
Projection	$\llbracket A \rrbracket(x) = \bigoplus_y \llbracket T \rrbracket(x, y)$	Yes

- Complexity and implementation**

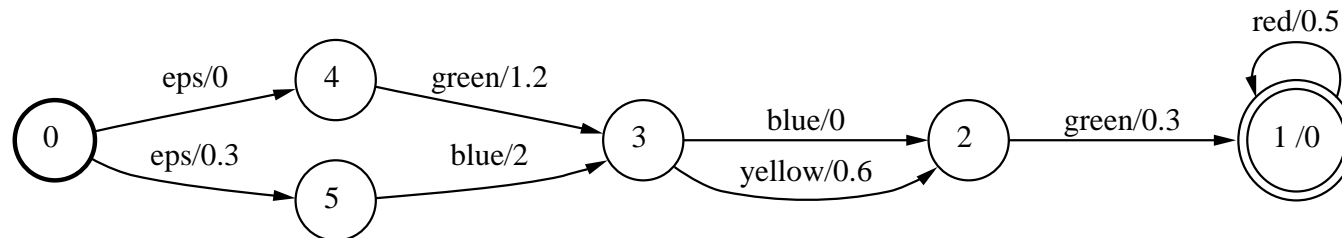
- Complexity (linear): $O(|Q| + |E|)$.
- Lazy implementation (see table).

Reversal – Illustration

- **Program:** `fsmreverse A.fsm >C.fsm`
- **Graphical Representation:**



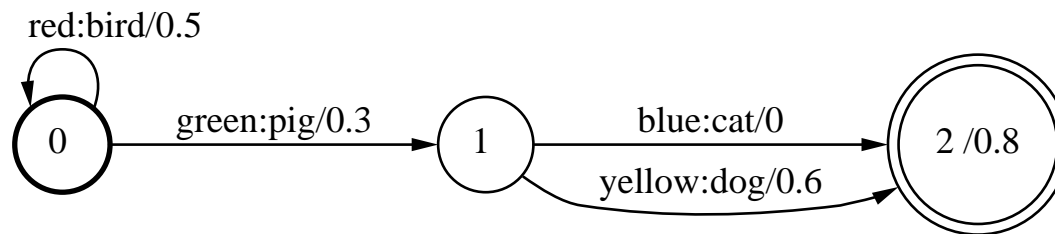
A.fsa



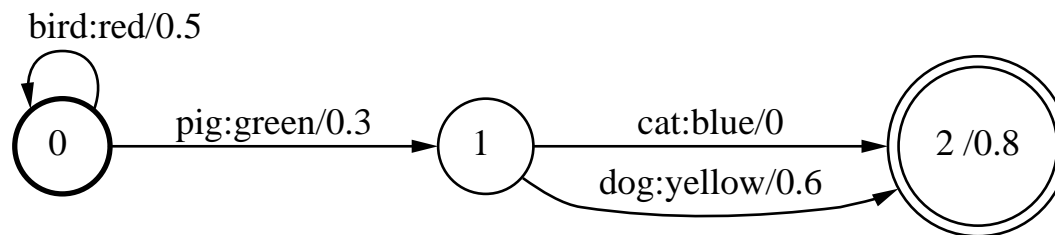
C.fsa

Inversion – Illustration

- **Program:** `fsminvert A.fsm >C.fsm`
- **Graphical Representation:**



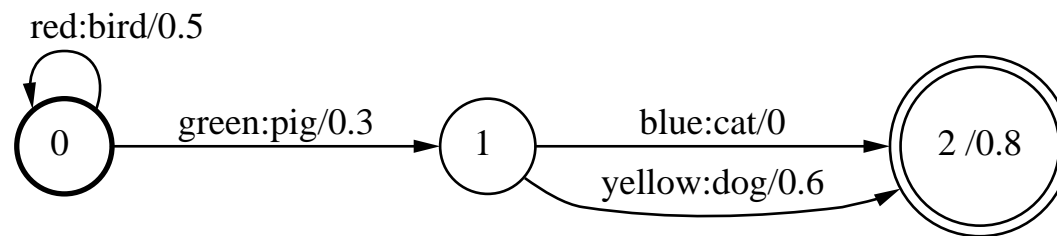
A.fst



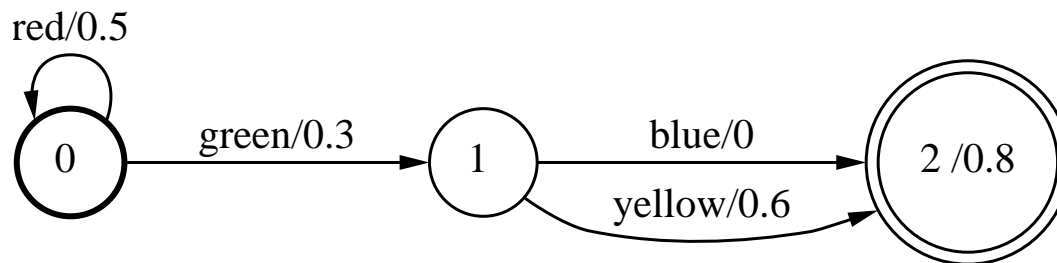
C.fst

Projection – Illustration

- **Program:** `fsmproject -1 T.fsm >A.fsm`
- **Graphical Representation:**



T.fst



A.fsa

Some Fundamental Binary Operations – Algorithms

- **Definitions**

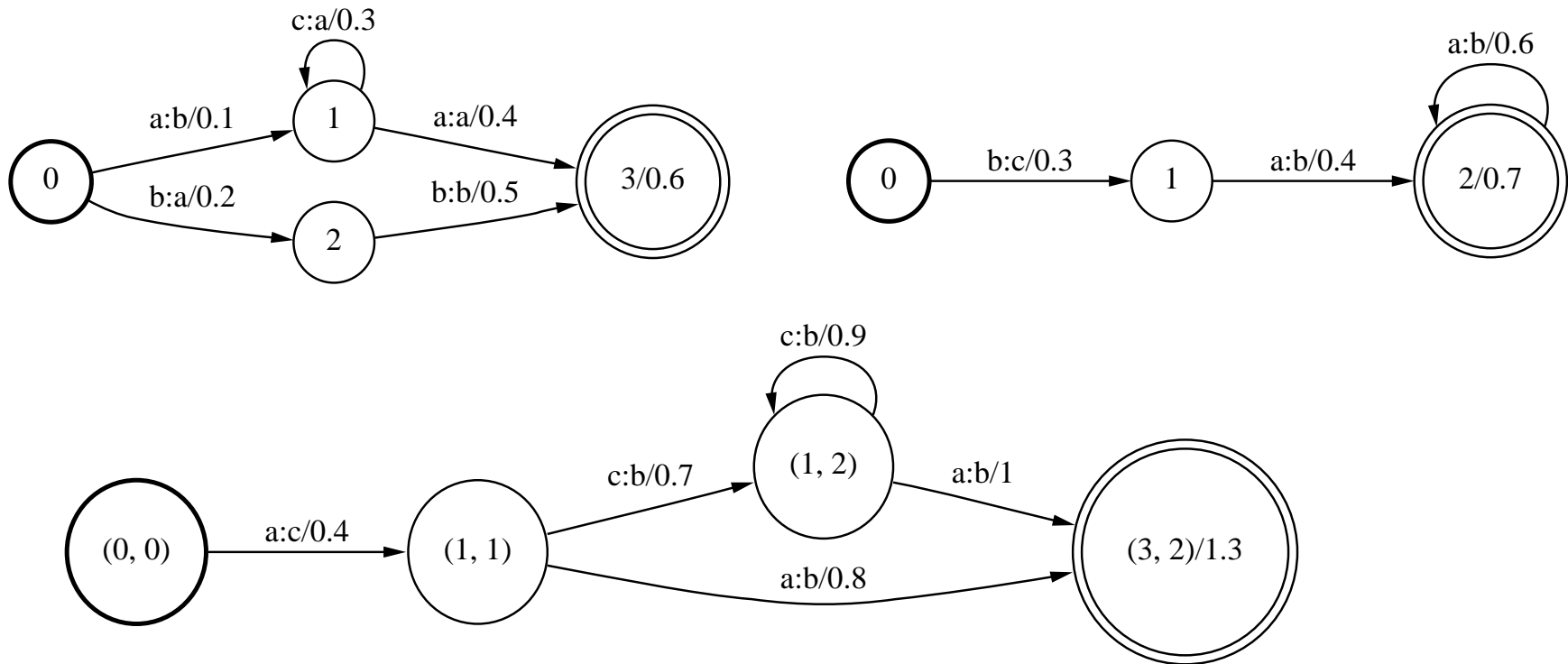
OPERATION	DEFINITION AND NOTATION	CONDITION
Composition	$\llbracket T_1 \circ T_2 \rrbracket(x, y) = \bigoplus_z \llbracket T_1 \rrbracket(x, z) \otimes \llbracket T_2 \rrbracket(z, y)$	\mathbb{K} commutative
Intersection	$\llbracket A_1 \cap A_2 \rrbracket(x) = \llbracket A_1 \rrbracket(x) \otimes \llbracket A_2 \rrbracket(x)$	\mathbb{K} commutative
Difference	$\llbracket A_1 - A_2 \rrbracket(x) = \llbracket A_1 \cap \overline{A_2} \rrbracket(x)$	A_2 unweighted & deterministic

- **Complexity and implementation**

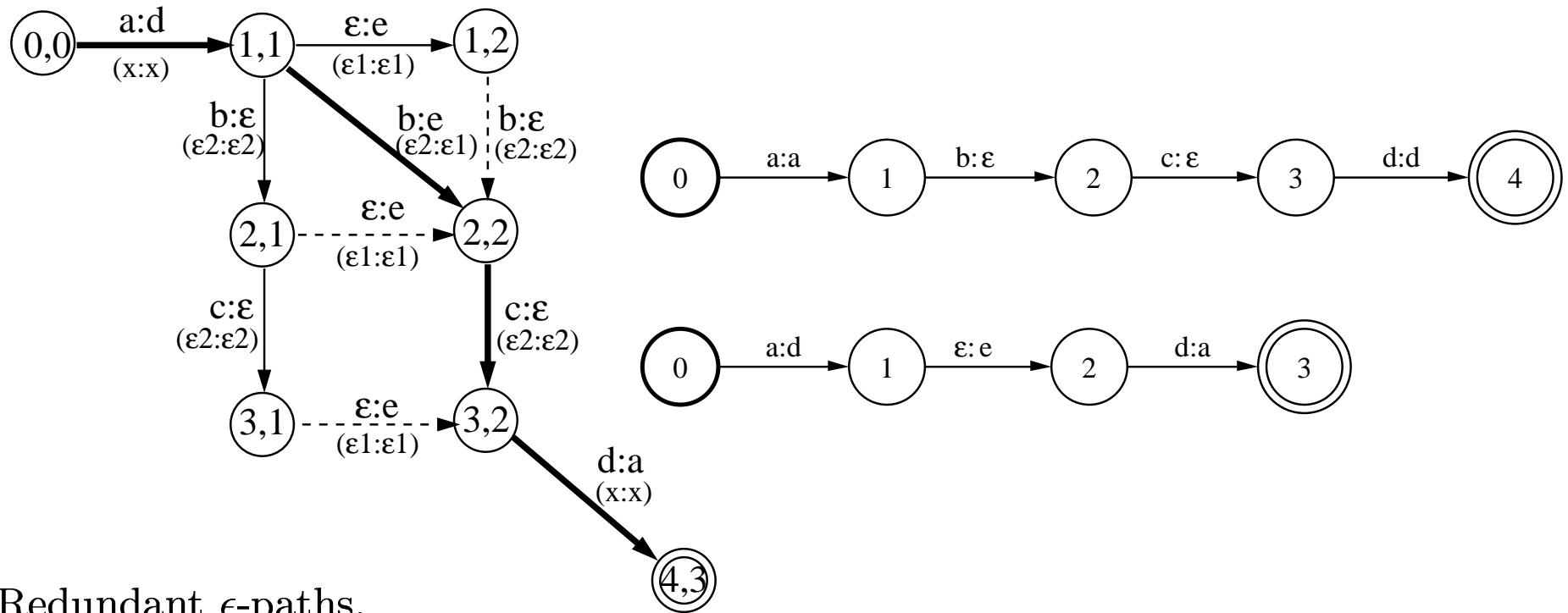
- Complexity (quadratic): $O((|E_1| + |Q_1|)(|E_2| + |Q_2|))$.
- Path multiplicity in presence of ϵ -transitions: ϵ -filter.
- Lazy implementation.

Composition – Illustration

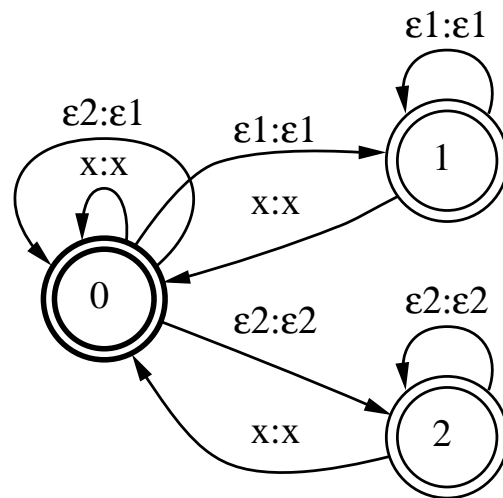
- **Program:** `fsmcompose A.fsm B.fsm >C.fsm`
- **Graphical Representation:**



Multiplicity & ϵ -Transitions – Problem



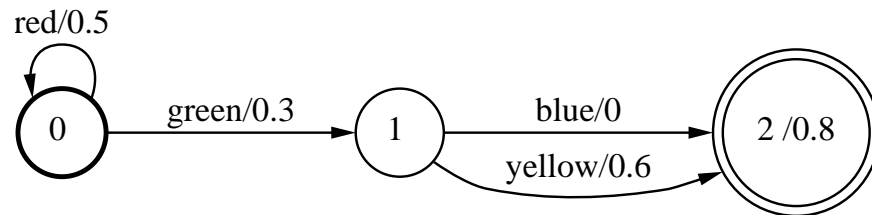
Solution – Filter F for Composition



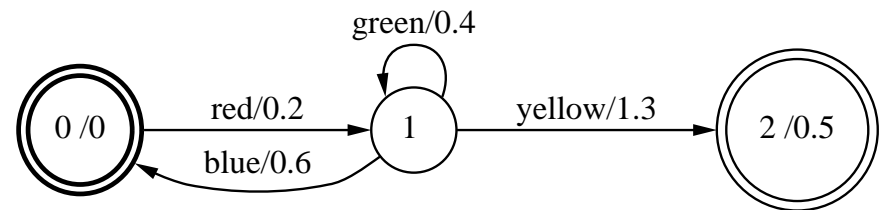
Replace $T_1 \circ T_2$ by $T_1 \circ F \circ T_2$.

Intersection – Illustration

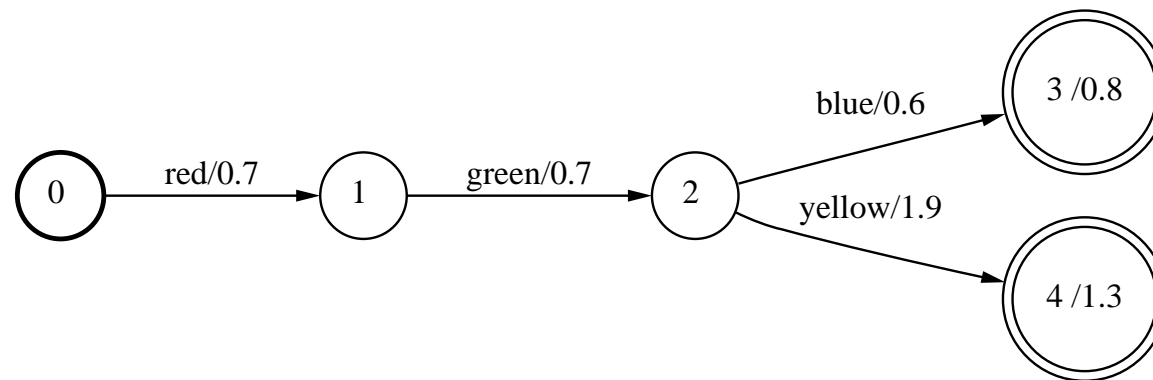
- **Program:** `fsmintersect A.fsm B.fsm >C.fsm`
- **Graphical Representation:**



A.fsa



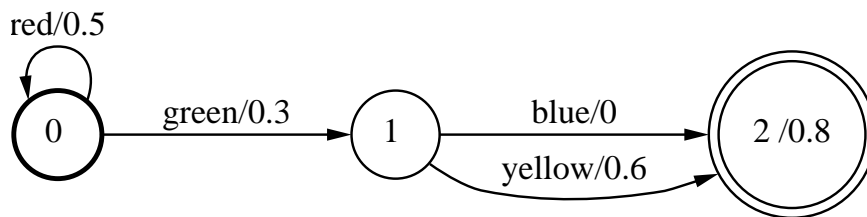
B.fsa



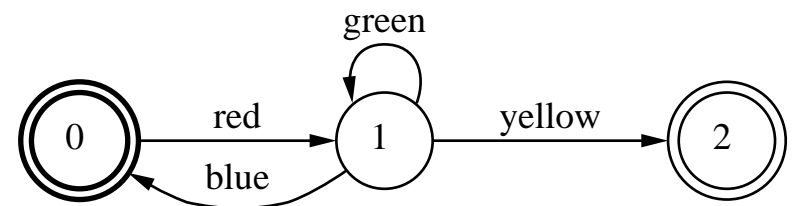
C.fsa

Difference – Illustration

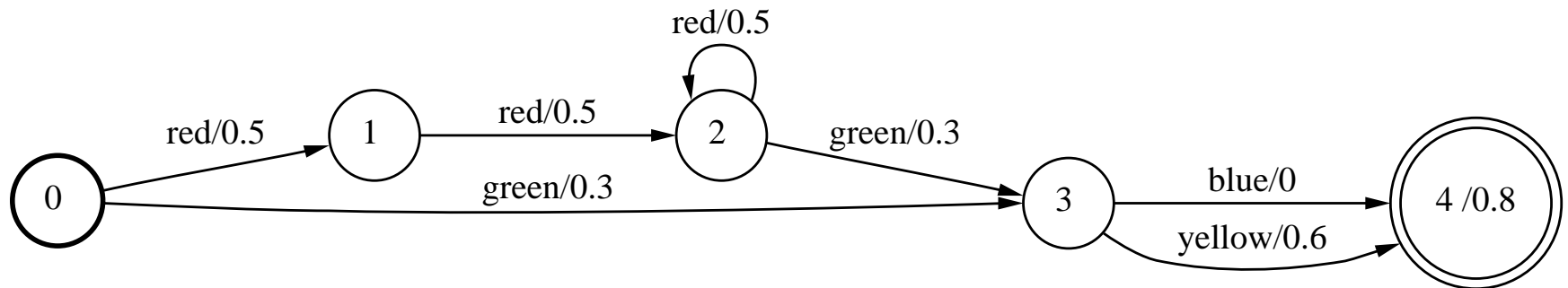
- **Program:** `fsmdifference A.fsm B.fsm >C.fsm`
- **Graphical Representation:**



A.fsa



B.fsa



C.fsa

Optimization Algorithms – Overview

- **Definitions**

OPERATION	DESCRIPTION
Connection	Removes non-accessible/non-coaccessible states
ϵ -Removal	Removes ϵ -transitions
Determinization	Creates equivalent deterministic machine
Pushing	Creates equivalent pushed/stochastic machine
Minimization	Creates equivalent minimal deterministic machine

- **Conditions:** There are specific semiring conditions for the use of these algorithms. E.g. not all weighted automata or transducers can be determinized using the determinization algorithm.

Connection – Algorithm

- **Definition**

- Input: weighted transducer T_1 .
- Output: weighted transducer $T_2 \equiv T_1$ with all states connected.

- **Description**

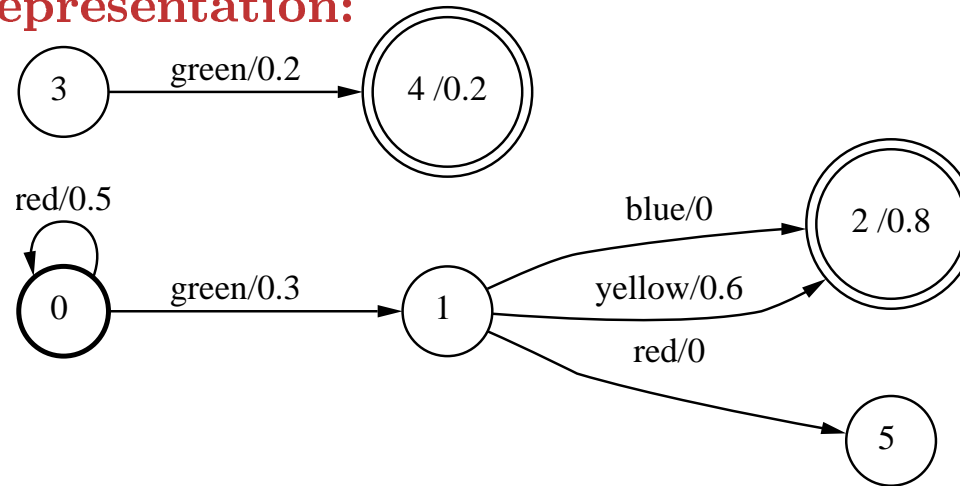
1. Depth-first search of T_1 from I_1 .
2. Mark accessible and coaccessible states.
3. Keep marked states and corresponding transitions.

- **Complexity and implementation**

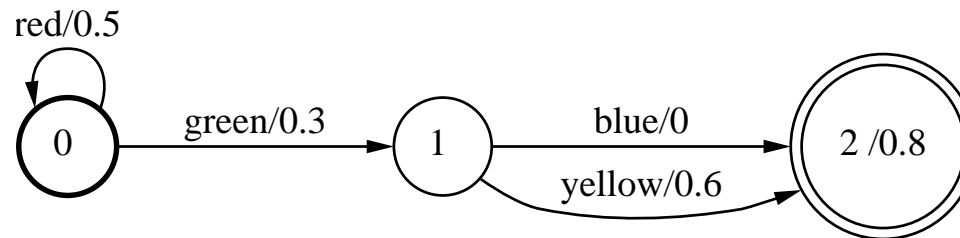
- Complexity (linear): $O(|Q_1| + |E_1|)$.
- No natural lazy implementation.

Connection – Illustration

- **Program:** `fsmconnect A.fsm >C.fsm`
- **Graphical Representation:**



A.fsa



C.fsa

ϵ -Removal – Algorithm

- **Definition**

- Input: weighted transducer T_1 with ϵ -transitions.
- Output: weighted transducer $T_2 \equiv T_1$ with no ϵ -transition.

- **Description** (two stages):

1. **Computation of ϵ -closures**: for any state p , states q that can be reached from p via ϵ -paths and the total weight of the ϵ -paths from p to q .

$$C[p] = \{(q, w) : q \in \epsilon[p], d[p, q] = w \neq \bar{0}\}$$

with:

$$d[p, q] = \bigoplus_{\pi \in P(p, \epsilon, q)} w[\pi]$$

2. **Removal of ϵ 's**: actual removal of ϵ -transitions and addition of new transitions.

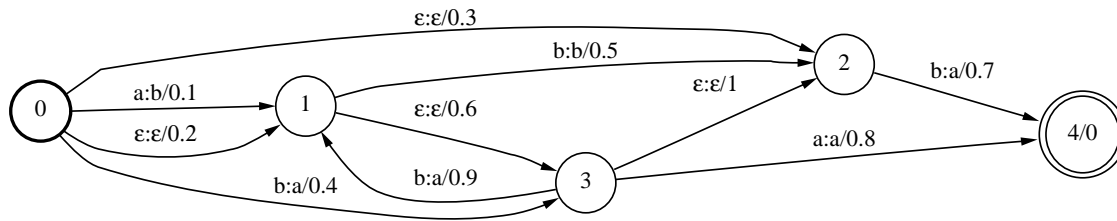
\implies All-pair \mathbb{K} -shortest-distance problem in T_ϵ (T reduced to its ϵ -transitions).

- **Complexity and implementation**

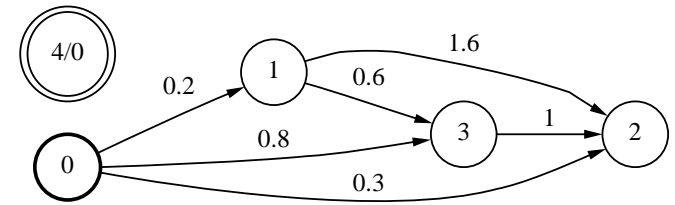
- All-pair shortest-distance algorithm in T_ϵ .
 - * k -Closed semirings (for T_ϵ) or approximation: generic sparse shortest-distance algorithm [See references].
 - * Closed semirings: Floyd-Warshall or Gauss-Jordan elimination algorithm with decomposition of T_ϵ into strongly connected components [See references],
 - space complexity (quadratic): $O(|Q|^2 + |E|)$.
 - time complexity (cubic): $O(|Q|^3(T_\oplus + T_\otimes + T_*))$.
- Complexity:
 - * Acyclic T_ϵ : $O(|Q|^2 + |Q||E|(T_\oplus + T_\otimes))$.
 - * General case (tropical semiring): $O(|Q||E| + |Q|^2 \log |Q|)$.
- Lazy implementation: integration with on-the-fly weighted determinization.

ϵ -Removal – Illustration

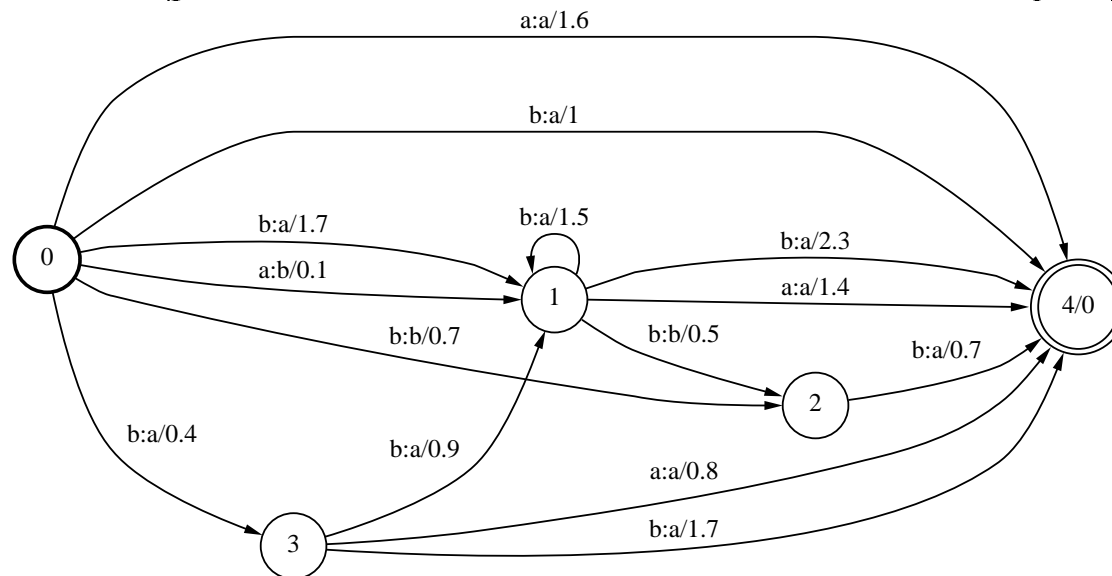
- **Program:** fsmrmepsilon T.fsm >TP.fsm
- **Graphical Representation:**



T.fsm



ϵ -Distances



TP.fsm

Determinization – Algorithm

- **Definition**

- Input: *determinizable* weighted automaton or transducer M_1 .
- Output: $M_2 \equiv M_1$ *subsequential* or *deterministic*: M_2 has a unique initial state and no two transitions leaving the same state share the same input label.

- **Description**

1. **Generalization of subset construction**: weighted subsets $\{(q_1, w_1), \dots, (q_n, w_n)\}$, w_i remainder weight at state q_i .
2. **Weight of a transition in the result**: \oplus -sum of the original transitions pre- \otimes -multiplied by remainders.

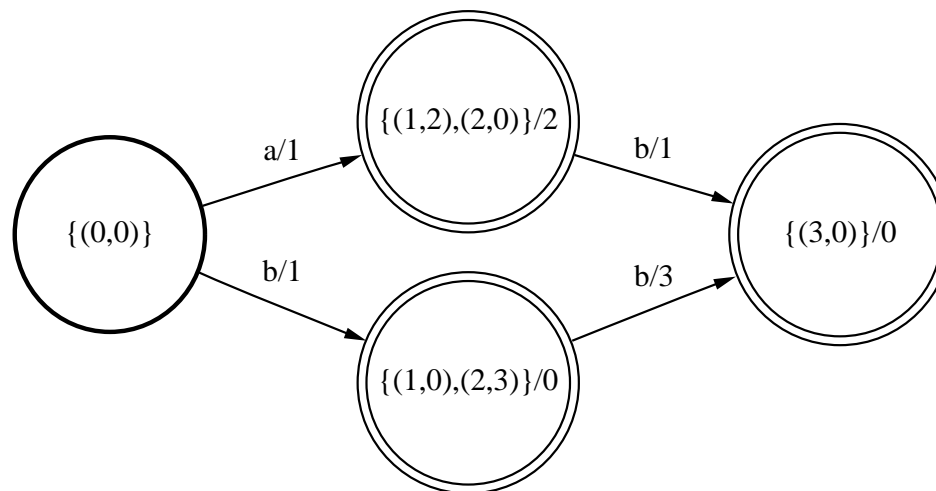
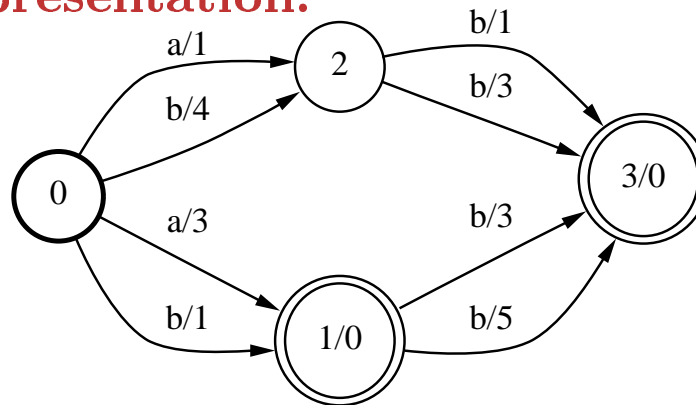
- **Conditions**

- Semiring: weakly left divisible semirings.
- M is determinizable \equiv the determinization algorithm applies to M .
- All unweighted automata are determinizable.
- All acyclic machines are determinizable.

- Not all weighted automata or transducers are determinizable.
- Characterization based on the *twins property*.
- **Complexity and Implementation**
 - Complexity: exponential.
 - Lazy implementation.

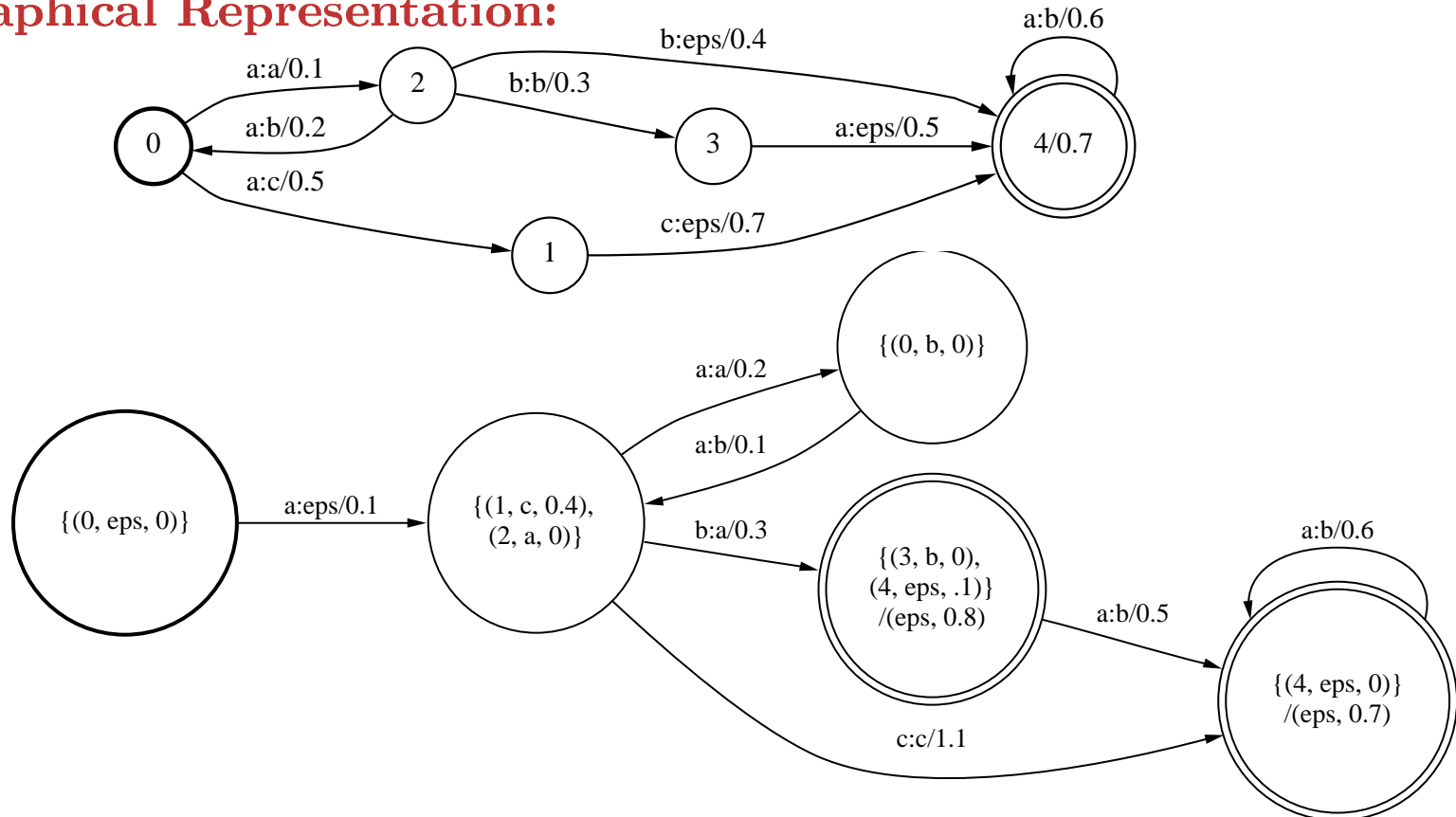
Determinization of Weighted Automata – Illustration

- **Program:** `fsmdeterminize A.fsm >D.fsm`
- **Graphical Representation:**



Determinization of Weighted Transducers – Illustration

- **Program:** `fsmdeterminize T.fsm >D.fsm`
- **Graphical Representation:**



Pushing – Algorithm

- **Definition**

- Input: weighted automaton or transducer M_1 .
- Output: $M_2 \equiv M_1$ such that the longest common prefix of all outgoing paths $= \epsilon$ or such that the \oplus -sum of the weights of all outgoing transitions $= \bar{1}$ modulo the string/weight at the initial state.

- **Description** (two stages):

1. **Single-source shortest distance computation:** for each state q ,

$$d[q] = \bigoplus_{\pi \in P(q, F)} w[\pi]$$

2. **Reweightings:** for each transition e such that $d[p[e]] \neq \bar{0}$,

$$w[e] \leftarrow (d[p[e]])^{-1} (w[e] \otimes d[n[e]])$$

- **Conditions** (automata case)

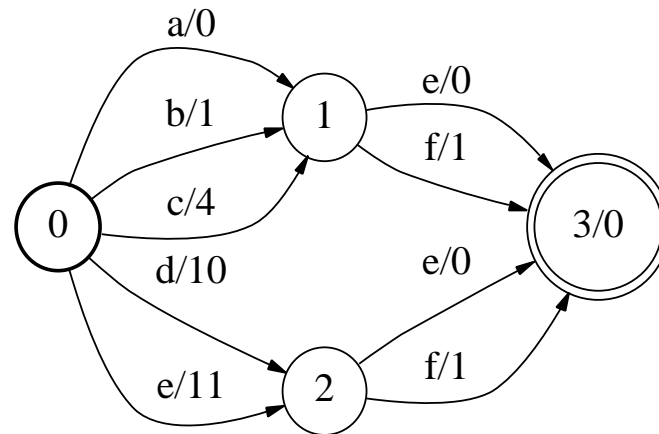
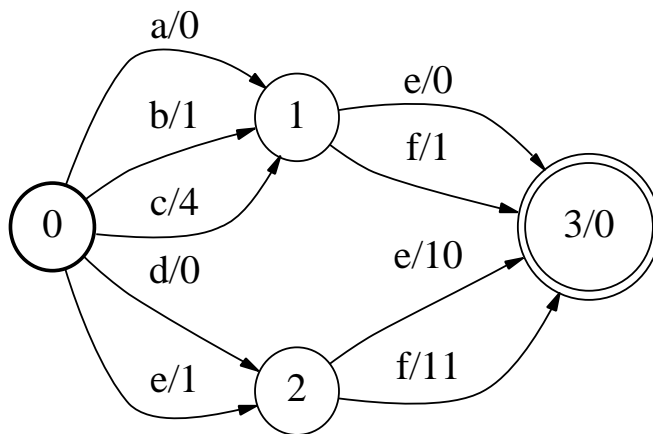
- Weakly divisible semiring.
- Zero-sum free semiring or zero-sum free machine.

- **Complexity**

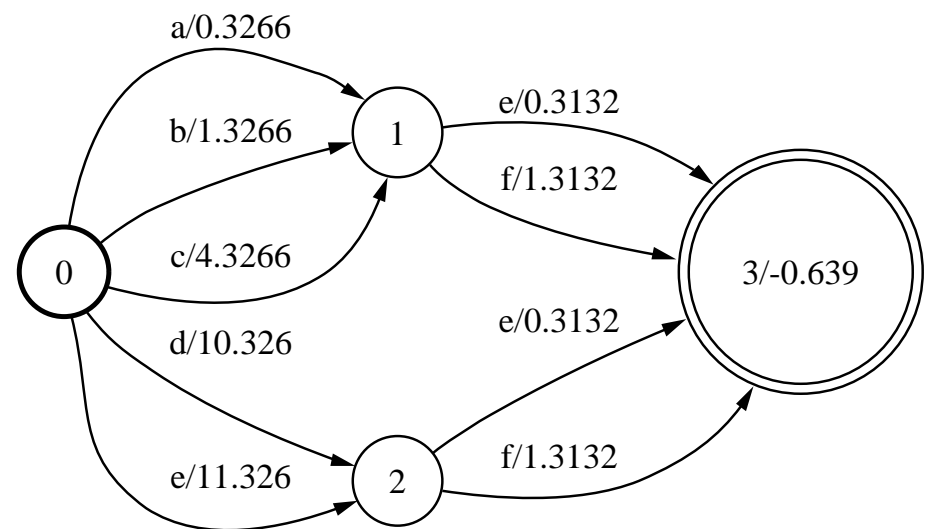
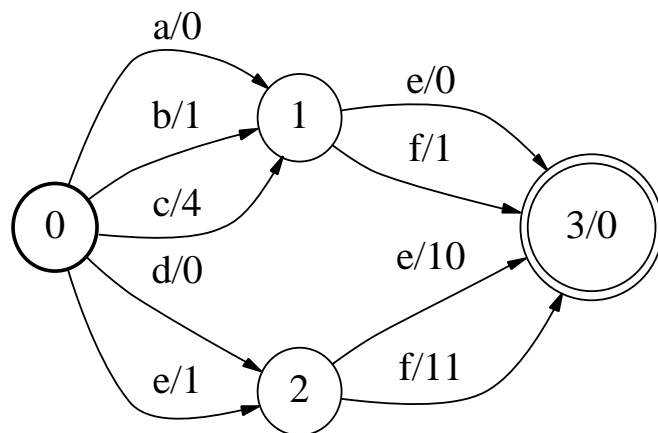
- Automata case
 - * Acyclic case (linear): $O(|Q| + |E|(T_{\oplus} + T_{\otimes}))$.
 - * General case (tropical semiring): $O(|Q| \log |Q| + |E|)$.
- Transducer case: $O((|P_{max}| + 1) |E|)$.

Weight Pushing – Illustration

- **Program:** `fsmpush -ic A.fsm >P.fsm`
- **Graphical Representation:**
 - **Tropical semiring**

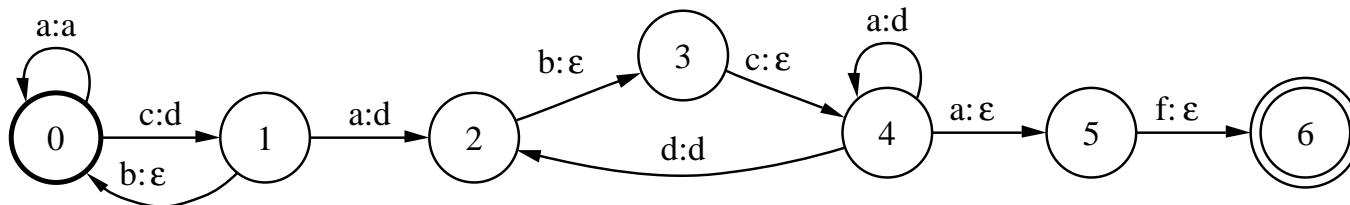
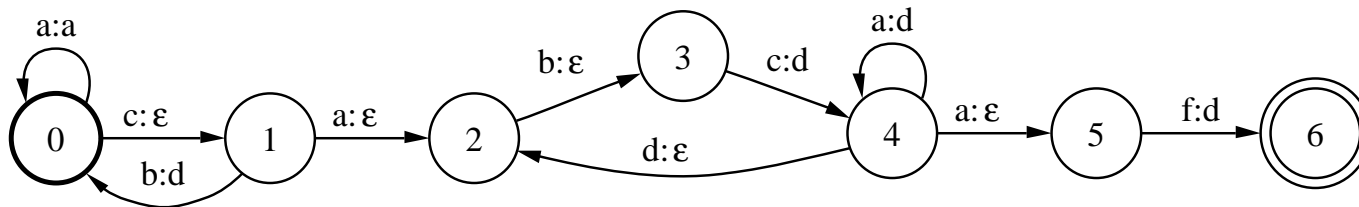


– **Log semiring**



Label Pushing – Illustration

- **Program:** `fsmpush -il T.fsm >P.fsm`
- **Graphical Representation:**



Minimization – Algorithm

- **Definition**

- Input: deterministic weighted automaton or transducer M_1 .
- Output: deterministic $M_2 \equiv M_1$ with minimal number of states and transitions.

- **Description:** two stages

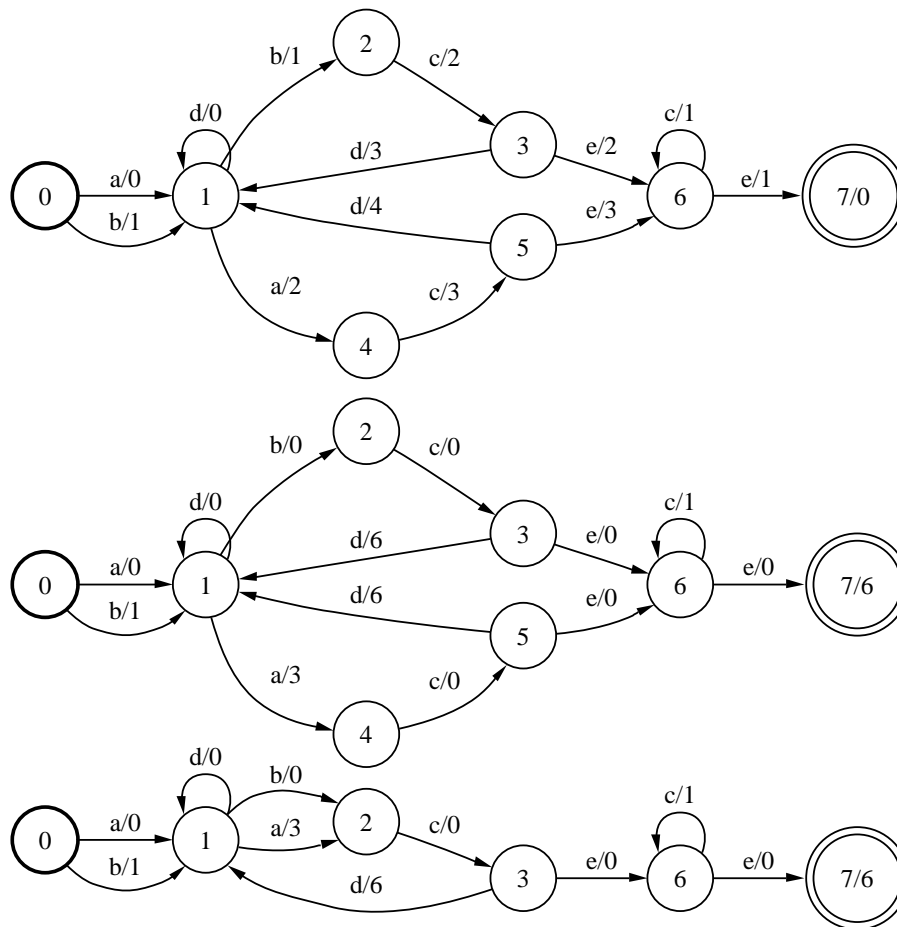
1. **Canonical representation:** use pushing or other algorithm to standardize input automata.
2. **Automata minimization:** encode pairs (label, weight) as labels and use classical unweighted minimization algorithm.

- **Complexity**

- Automata case
 - * Acyclic case (linear): $O(|Q| + |E|(T_{\oplus} + T_{\otimes}))$.
 - * General case (tropical semiring): $O(|E| \log |Q|)$.
- Transducer case
 - * Acyclic case: $O(S + |Q| + |E|(|P_{max}| + 1))$.
 - * General case: $O(S + |Q| + |E|(\log |Q| + |P_{max}|))$.

Minimization – Illustration

- **Program:** fsmminimize D.fsm >M.fsm
- **Graphical Representation:**

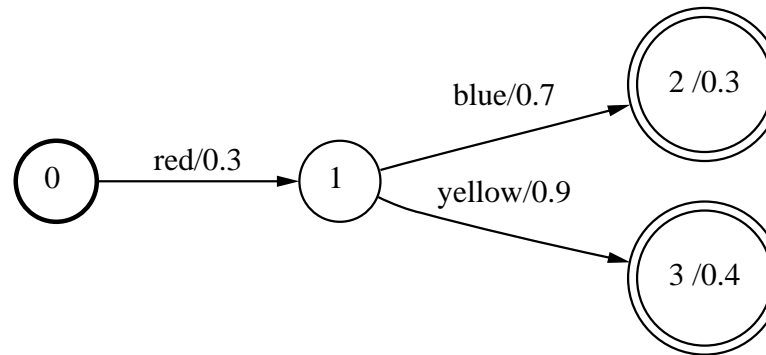


Equivalence – Algorithm

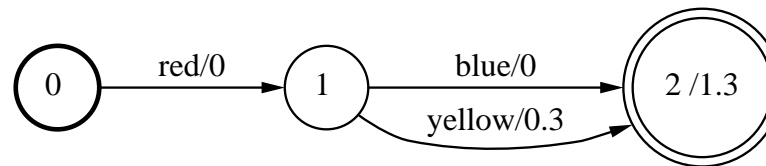
- **Definition**
 - Input: deterministic weighted automata A_1 and A_2 .
 - Output: TRUE if $A_2 \equiv A_1$, FALSE otherwise.
- **Description**: two stages
 1. **Canonical representation**: use pushing or other algorithm to standardize input automata.
 2. **Test**: encode pairs (label, weight) as labels and use classical algorithm for testing the equivalence of unweighted automata.
- **Complexity**
 - First stage: $O((|E_1| + |E_2|) + (|Q_1| + |Q_2|) \log(|Q_1| + |Q_2|))$ if using pushing in the tropical semiring.
 - Second stage (quasi-linear): $O(m \alpha(m, n))$ where $m = |E_1| + |E_2|$ and $n = |Q_1| + |Q_2|$, and α is the *inverse of Ackermann's function*.

Equivalence – Illustration

- **Program:** `fsmequiv [-v] D.fsm M.fsm`
- **Graphical Representation:**



D.fsa
=?



M.fsa

Single-Source Shortest-Distance Algorithms – Algorithm

- **Generic single-source shortest-distance algorithm**

- Definition: for each state q ,

$$d[q] = \bigoplus_{\pi \in P(q, F)} w[\pi]$$

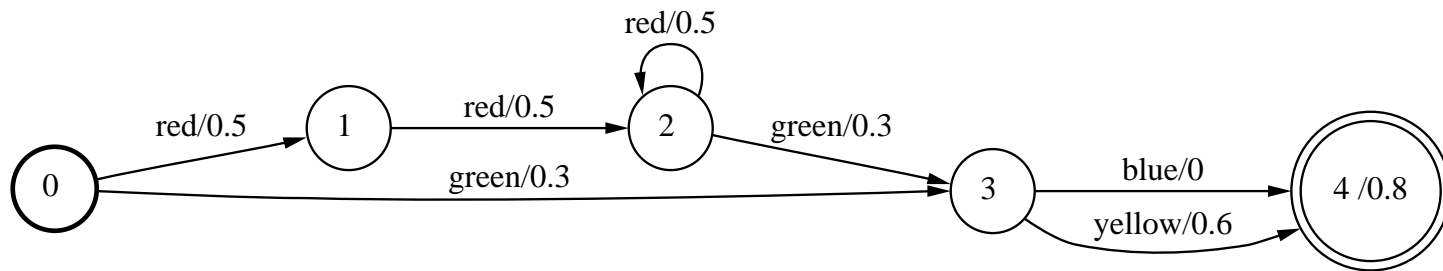
- Works with any queue discipline and any semiring k -closed for the graph.
- Coincides with classical algorithms in the specific case of the tropical semiring and the specific queue disciplines: best-first (Dijkstra), FIFO (Bellman-Ford), or topological sort order (Lawler).

- **N -best strings algorithm**

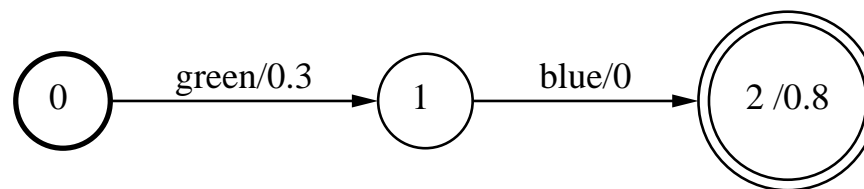
- General N -best paths algorithm augmented with the computation of the potentials.
- On-the-fly weighted determinization.

Single-Source Shortest-Distance Algorithms – Illustration

- **Program:** `fsmbestpath [-n N] A.fsm >C.fsm`
- **Graphical Representation:**



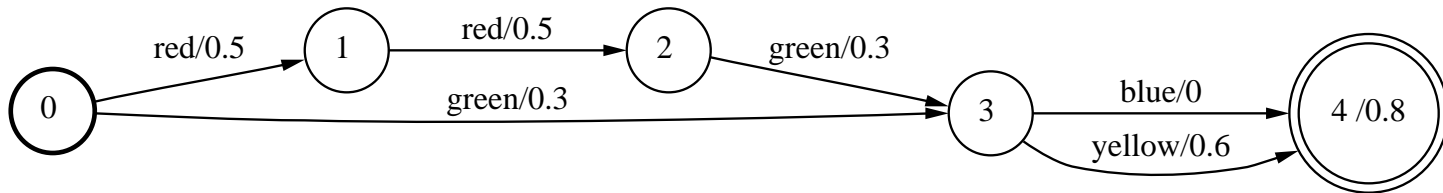
A.fsa



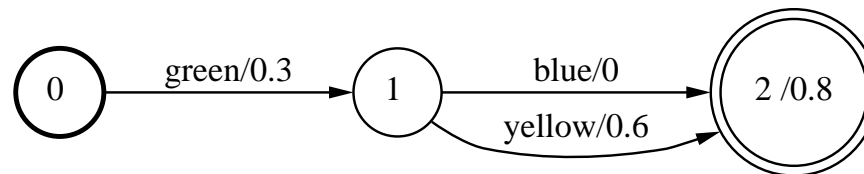
C.fsa

Pruning – Illustration

- **Program:** `fsmprune -c1.0 A.fsm >C.fsm`
- **Graphical Representation:**



A.fsa



C.fsa

Compilation of Weighted CFGs – Algorithm

- **Definition**

- Input: weighted context-free grammar G .
- Output: weighted automaton A representing G .

- **Condition:** G must be *strongly regular*, e.g. rules of each set M of mutually recursive nonterminals are either all right-linear or all left-linear.

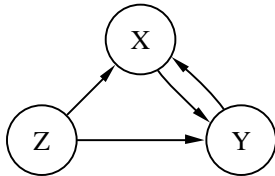
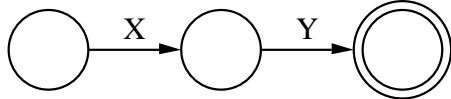
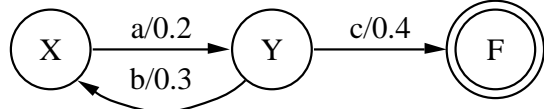
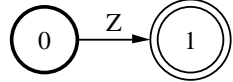
- **Description**

1. Build the dependency graph D_G of the input grammar G .
2. Compute the strongly connected components (SCCs) of D_G .
3. Construct weighted automaton $K(S)$ for each SCC S and for each non-terminal $X \in S$ a weighted automaton $M(X)$ derived from $K(S)$.
4. Create simple automaton M_G accepting exactly the set of active nonterminals A .
5. Expand M_G on-the-fly for each input string using lazy replacement and editing.

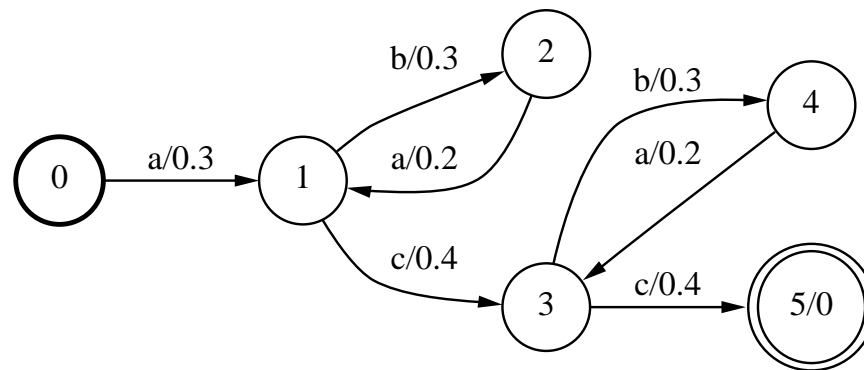
- **Complexity and Implementation**

- Compact intermediate representation of G by a weighted transducer T .
- Compilation algorithm applies to T rather than G .
- Lazy compilation algorithm, complexity (linear): $O(|T|)$.

Compilation of Weighted CFGs – Illustration

Grammar G	Dependency Graph	Weighted Automata $K(S)$	Activation Automaton M_G
$Z .1 \rightarrow XY$ $X .2 \rightarrow aY$ $Y .3 \rightarrow bX$ $Y .4 \rightarrow c$		<p>$K(\{Z\})$:</p>  <p>$K(\{X, Y\})$:</p> 	

- **Grammar G :** $Z \xrightarrow{.1} XY$ $X \xrightarrow{.2} aY$ $Y \xrightarrow{.3} bX$ $Y \xrightarrow{.4} c$
- **Program:** `grmread -i lab -w cfg.txt | grmcfcompile -i lab -s Z`
- **Graphical Representation:**



Regular Approximation of Weighted CFGs – Algorithm

- **Definition**

- Input: arbitrary weighted context-free grammar G .
- Output: G' strongly regular approximation of G with $L(G) \subseteq L(G')$.

- **Description**

1. Let M be a set of mutually recursive non-terminals.
2. For each nonterminal $A \in M$, add new nonterminal $A' \notin N$, new rule:

$$A' \rightarrow \epsilon$$

3. Replace each rule with left-hand side $A \in M$:

$$A \rightarrow \alpha_0 B_1 \alpha_1 B_2 \alpha_2 \cdots B_m \alpha_m$$

with $m \geq 0$, $B_1, \dots, B_m \in M$, $\alpha_0 \dots \alpha_m \in (\Sigma \cup (N - M))^*$, by:

$$\begin{array}{rcl}
 A & \rightarrow & \alpha_0 B_1 \\
 B'_1 & \rightarrow & \alpha_1 B_2 \\
 B'_2 & \rightarrow & \alpha_2 B_3 \\
 & \dots & \\
 B'_{m-1} & \rightarrow & \alpha_{m-1} B_m \\
 B'_m & \rightarrow & \alpha_m A'
 \end{array}$$

($A \rightarrow \alpha_0 A'$ when $m = 0$).

- **Complexity and Implementation**

- At most one new non-terminal symbol for any non-terminal symbol of G .
- Readable and modifiable result, structure of original grammar still apparent.
- Complexity of the simple variant of the algorithm (linear): $O(|G|)$.
- Grammar compilation algorithm directly applies to the resulting approximate grammar.

Regular Approximation of Weighted CFGs – Illustration

Grammar G	Regular Approximation	Graphical Representation
$E \rightarrow E + T$ $E \rightarrow T$ $T \rightarrow T * F$ $T \rightarrow F$ $F \rightarrow (E)$ $F \rightarrow a$	$E' \rightarrow \epsilon$ $T' \rightarrow \epsilon$ $F' \rightarrow \epsilon$ $E \rightarrow E$ $E' \rightarrow + T$ $T' \rightarrow E'$ $E \rightarrow T$ $T' \rightarrow E'$	$T \rightarrow T$ $T' \rightarrow * F$ $F' \rightarrow T'$ $T \rightarrow F$ $F' \rightarrow T'$ $F \rightarrow (E$ $E' \rightarrow) F'$ $F \rightarrow a F'$

- Program:**

```
grmcfapproximate -i lab -o nlab cfg.fsm > ncfg.txt
```

```
grmread -i nlab ncfg.txt | grmcfcompile -i nlab -s E >M
```

Conclusion

- **Generality and Efficiency**
 - Algorithms based on a general algebraic framework (semirings).
 - Algorithms applying to machines of 500M transitions.
 - Convenient combination and optimization of different information sources (components) of a complex system.
- **Speech Processing Applications**
 - Automatic Speech Recognition (see Part II).
 - Speech Synthesis.
 - Spoken-Dialog Applications.