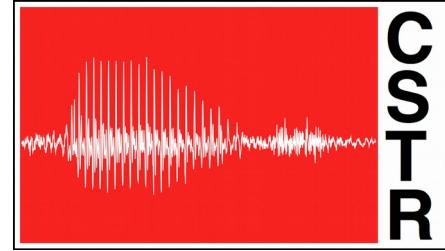




THE UNIVERSITY *of* EDINBURGH  
**informatics**



# Kernel Approximation Methods for Speech Recognition

Erfan Loweimi

Centre for Speech Technology Research (CSTR)

# Kernel Approximation Methods for Speech Recognition

Avner May<sup>1†</sup>, Alireza Bagheri Garakani<sup>2‡</sup>, Zhiyun Lu<sup>2‡</sup>, Dong Guo<sup>2‡</sup>, Kuan Liu<sup>2‡</sup>,  
Aurélien Bellet<sup>3</sup>, Linxi Fan<sup>4</sup>, Michael Collins<sup>1\*</sup>, Daniel Hsu<sup>1</sup>, Brian Kingsbury<sup>5</sup>,  
Michael Picheny<sup>5</sup>, Fei Sha<sup>2</sup>

<sup>1</sup>Dept. of Computer Science, Columbia University, New York, NY 10027, USA

{avnermay, mcollins, djhsu}@cs.columbia.edu, 1f2422@columbia.edu

<sup>2</sup>Dept. of Computer Science, University of Southern California, Los Angeles, CA 90089, USA

{bagherig, zhiyunlu, dongguo, kuanl, feisha}@usc.edu

<sup>3</sup>INRIA, 40 Avenue Halley, 59650 Villeneuve d'Ascq, France

aurelien.bellet@inria.fr

<sup>4</sup>Dept. of Computer Science, Stanford University, Stanford, CA 94305, USA

jimfan@cs.stanford.edu

<sup>5</sup>IBM T. J. Watson Research Center, Yorktown Heights, NY 10598, USA

{bedk, picheny}@us.ibm.com

<sup>†‡</sup>: Contributed equally as the first and second co-authors, respectively

# Kernel Approximation Methods for Speech Recognition

**Avner May**

Submitted in partial fulfillment of the  
requirements for the degree  
of Doctor of Philosophy

in the Graduate School of Arts and Sciences

**COLUMBIA UNIVERSITY**

2018

## A COMPARISON BETWEEN DEEP NEURAL NETS AND KERNEL ACOUSTIC MODELS FOR SPEECH RECOGNITION

Zhiyun Lu<sup>1†</sup>      Dong Guo<sup>2‡</sup>      Alireza Bagheri Garakani<sup>2‡</sup>      Kuan Liu<sup>2‡</sup>

Avner May<sup>3‡</sup>      Aurélien Bellet<sup>4‡</sup>      Linxi Fan<sup>2</sup>

Michael Collins<sup>3\*</sup>      Brian Kingsbury<sup>5</sup>      Michael Picheny<sup>5</sup>      Fei Sha<sup>1</sup>

<sup>1</sup>U. of California (Los Angeles)    <sup>2</sup> U. of Southern California    <sup>3</sup>Columbia U.

<sup>4</sup>Team Magnet, INRIA Lille - Nord Europe    <sup>5</sup> IBM T. J. Watson Research Center (USA)

<sup>†‡</sup>: contributed equally as the first and second co-authors, respectively

## COMPACT KERNEL MODELS FOR ACOUSTIC MODELING VIA RANDOM FEATURE SELECTION

Avner May<sup>\*</sup>      Michael Collins<sup>\*1</sup>      Daniel Hsu<sup>\*</sup>      Brian Kingsbury<sup>†</sup>

\* Department of Computer Science, Columbia University, New York, NY 10025, USA

†IBM T. J. Watson Research Center, Yorktown Heights, NY 10598, USA



# Outlines

- Kernel Methods for Pattern Recognition
- How to Scale-up
- Application in ASR → Acoustic Modelling
- Novelties
- Experimental Results
- Conclusion



# Kernel Methods



# Kernel Methods for Pattern Recognition

- Advantages:
  - Handle Non-linear data, Interpretable, learning guarantees



# Kernel Methods for Pattern Recognition

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  - Handle Non-linear data, Interpretable, learning guarantees
- Representer Theorem

$$f^* = \underset{f}{\operatorname{argmin}} \frac{1}{N} \sum_{n=1}^N L(y_n, f(x_n)) + \Phi(\|f\|^2)$$

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Empirical Risk

Regulariser

$$f^*(x) = \sum_{n=1}^N \alpha_n K(x, x_n) \quad \Bigg| \quad K(x, x_n) = \langle \phi(x), \phi(x_n) \rangle$$

Kernel function

Feature map

# Kernel Methods for Pattern Recognition

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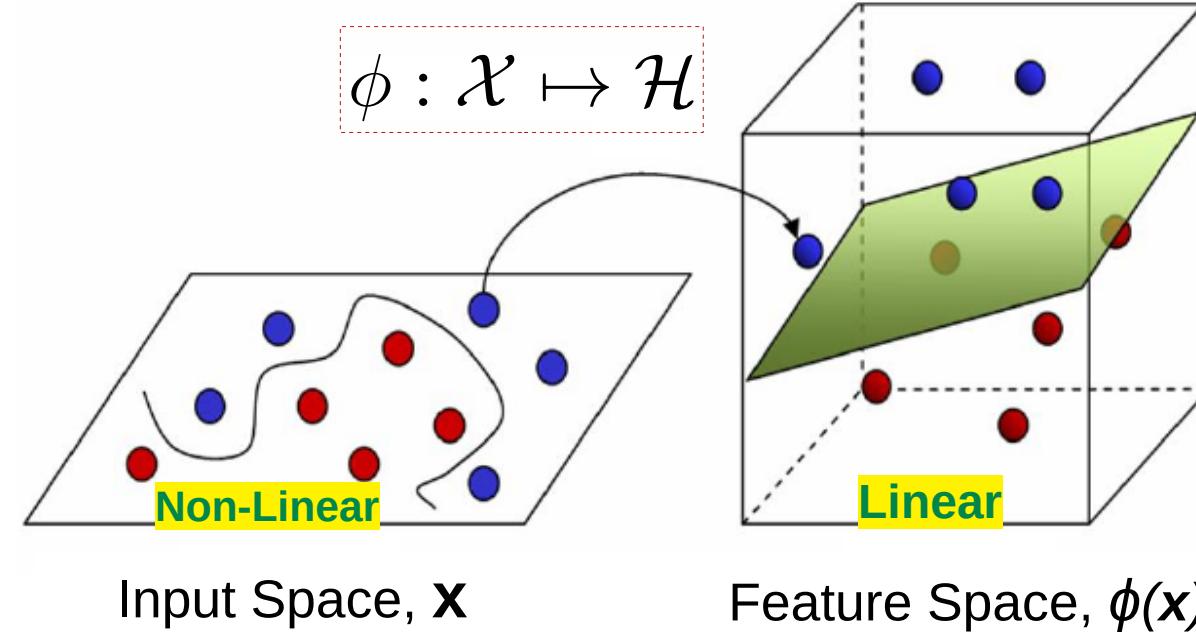
Kernel function

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$K(x, x_n) = \langle \phi(x), \phi(x_n) \rangle$

Optimise for  $\alpha$

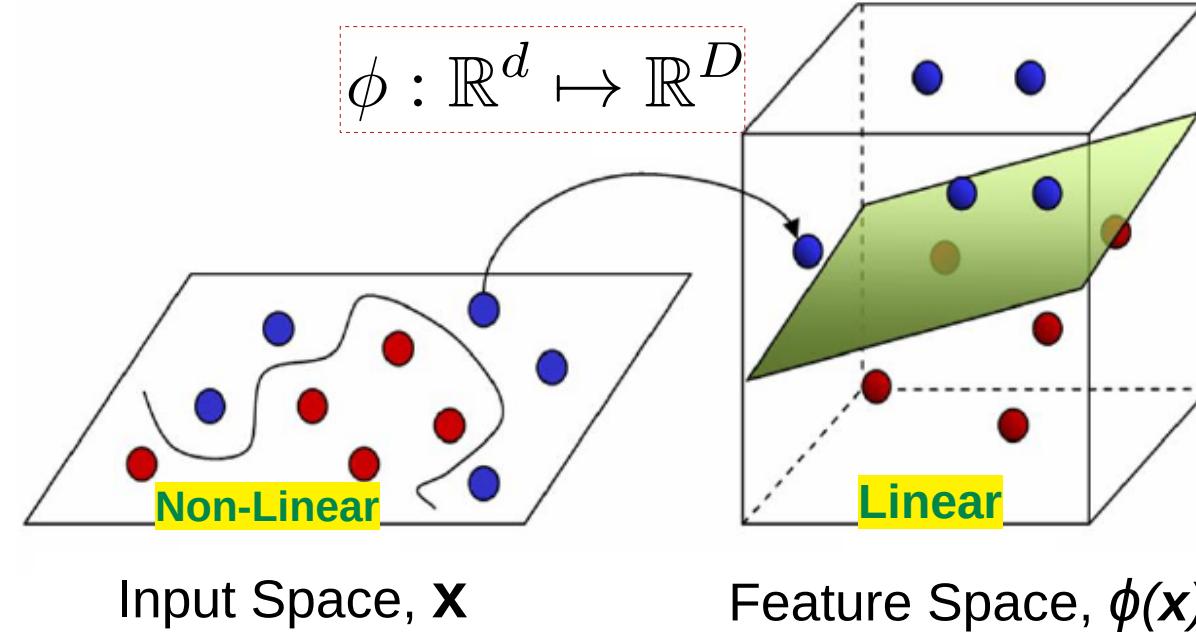
# Linearity in high-dimensional Space



$$f(\mathbf{x}) = \sum_{n=1}^N \alpha_n K(\mathbf{x}, \mathbf{x}_n) = \mathbf{W}^T \phi(\mathbf{x})$$

E. Loweimi

# Linearity in high-dimensional Space

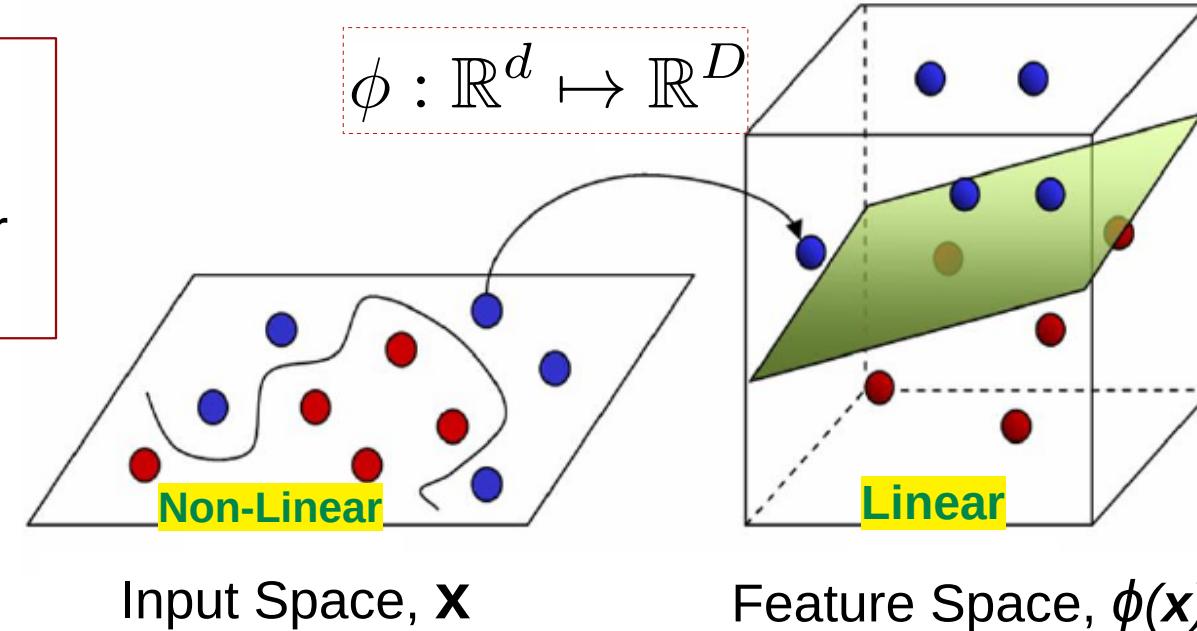


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# Linearity in high-dimensional Space

- D may tend to  $\infty$
- Higher D  $\Rightarrow$  better linearly separability

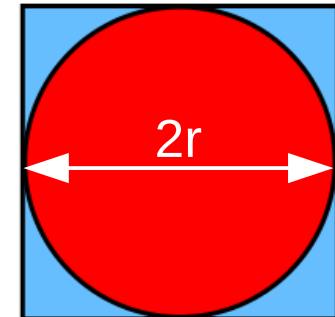
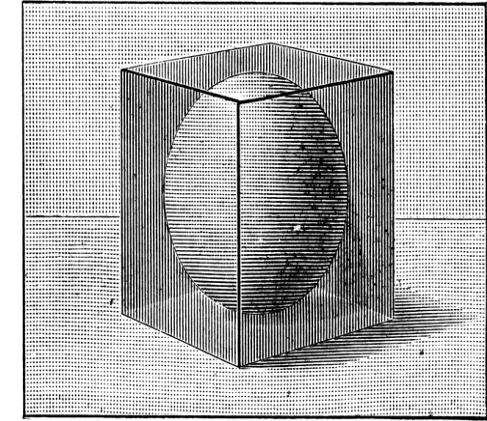


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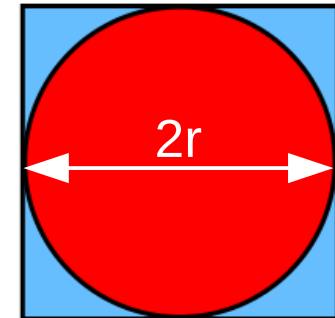
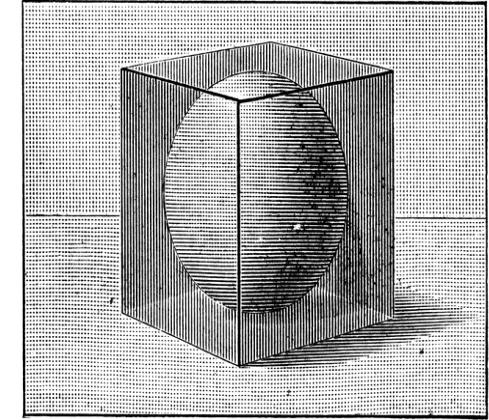
# Linearity in high-dimensional Space

- $\mathbb{R}^{D=3}$ 
  - Hyper-cube Volume =  $(2r)^3$
  - Hyper-sphere Volume =  $\frac{4}{3}\pi r^3$



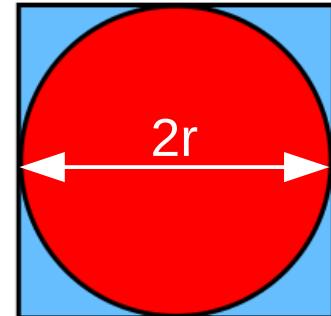
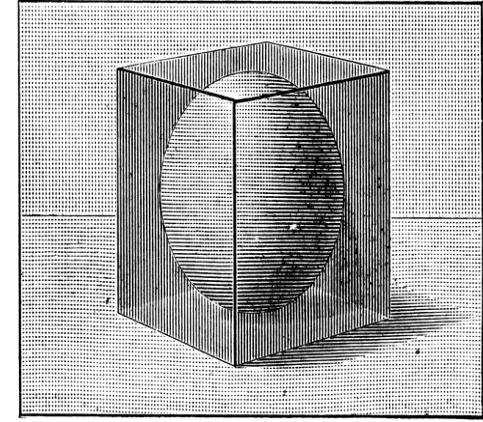
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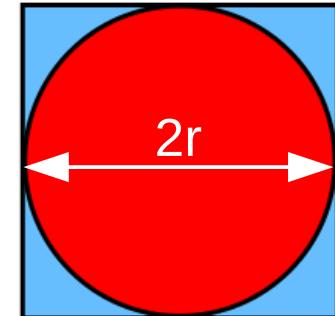
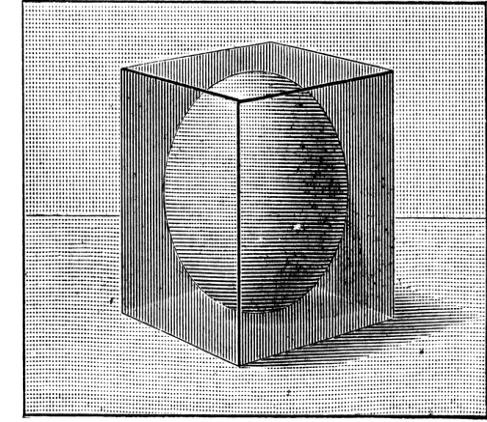
# Linearity in high-dimensional Space

- $\mathbb{R}^{D \rightarrow \infty}$ 
  - Hyper-cube Volume = ?
  - Hyper-sphere Volume = ?



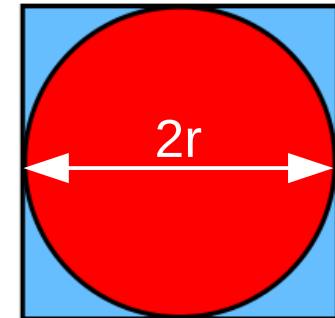
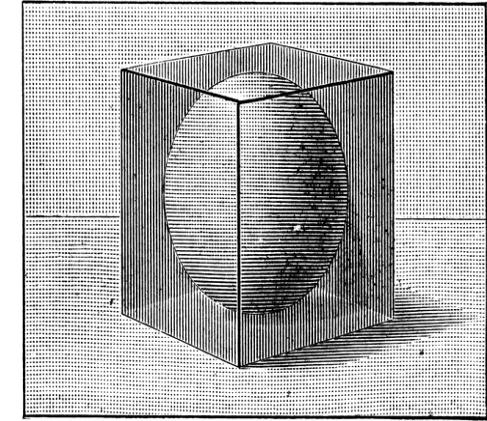
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- $\mathbb{R}^{D \rightarrow \infty}$ 
  - Hyper-cube Volume  $\rightarrow \infty$
  - Hyper-sphere Volume  $\rightarrow 0$
  - Proof in Appendix 1



# Linearity in high-dimensional Space

- $\mathbb{R}^{D \rightarrow \infty}$ 
  - Hyper-cube Volume  $\rightarrow \infty$
  - Hyper-sphere Volume  $\rightarrow 0$
  - Proof in Appendix 1
- Linear separability ↑





# Kernel Trick

$$f(\mathbf{x}_i) = W^T \phi(\mathbf{x}_i) = \sum_{n=1}^N \alpha_n \phi^T(\mathbf{x}_i) \phi(\mathbf{x}_n)$$



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Gaussian Kernel (RBF)

$$K(x, y) = \langle \phi(x), \phi(y) \rangle = \sum_{k=0}^{\infty} \phi_k(x) \phi_k(y) = \exp(-\|x - y\|^2)$$

$$\phi_k(x) = \exp(-x^2) \sqrt{\frac{2^k}{k!}} x^k, \quad k = 0, 1, \dots, \infty$$

Proof → Taylor Series Expansion

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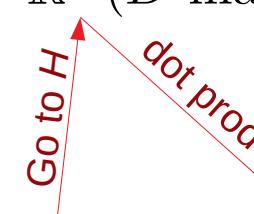
$$x \in \mathbb{R}^{d < \infty}$$

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$\mathbb{R}^D (D \text{ may } \rightarrow \infty)$

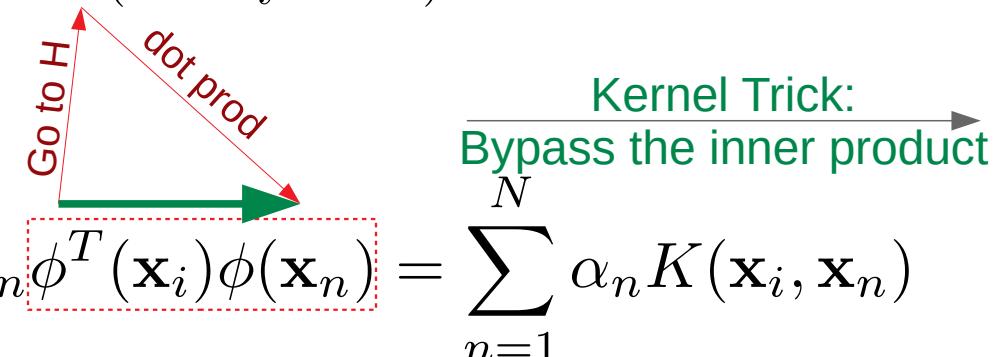


$$\begin{aligned}\phi : \mathcal{X} &\mapsto \mathcal{H} \\ x \in \mathbb{R}^{d < \infty} \\ \phi(x) \in \mathbb{R}^{D \rightarrow \infty}\end{aligned}$$

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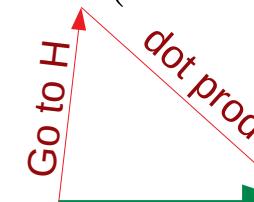
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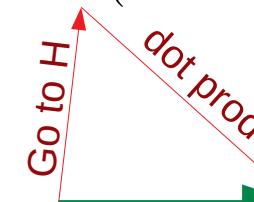
$\mathbb{R}^D (D \text{ may } \rightarrow \infty)$   
  
**Kernel Trick:**  
 Bypass the inner product

$$K(x, y) = \langle \phi(x), \phi(y) \rangle = \sum_{k=0}^{\infty} \phi_k(x) \phi_k(y) = \exp\left(\frac{\|x - y\|^2}{2\sigma^2}\right)$$

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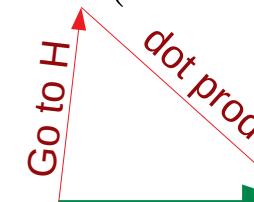
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RBF

**Kernel Trick:** Instead of  $D$  (may  $D \rightarrow \infty$ ) products/sums, simply use the kernel function  $K(x, y)$  to compute the inner product in  $H$  space.

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$$\phi : \mathcal{X} \mapsto \mathcal{H}$$

$$x \in \mathbb{R}^{d < \infty}$$

$$\phi(x) \in \mathbb{R}^{D \rightarrow \infty}$$

No need to visit the feature space ( $\mathcal{H}$ )!

# Kernel Methods do NOT Scale Well

$$\phi : \mathcal{X} \rightarrow \mathcal{H}$$
$$f(x) = W^T \phi(x) = \sum_{n=1}^N \alpha_n K(x, x_n)$$
$$K_{ij} = \phi^T(x_i) \phi(x_j)$$

$$\begin{bmatrix} K_{11} & \cdots & K_{1N} \\ \vdots & \ddots & \vdots \\ K_{N1} & \cdots & K_{NN} \end{bmatrix}$$



# Kernel Methods do NOT Scale Well

- Training complexity

- Time:  $O(N^2) < < O(N^3)$
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- Training complexity
  - Time:  $O(N^2) < < O(N^3)$
  - Space:  $O(N^2)$
  - One Hour Speech
    - $N = 360,000$
    - Kernel mat size = 230Mbit  
(16x40xN)

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    - $N = 360,000$
    - Kernel mat size = 230Mbit (16x40xN)
- Test Complexity
  - $O(N)$
  - #SVs increases linearly by  $N$   
*(Steinwart et al, 2008)*

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# Scaling Up the Kernel Machines

# How to Scale-up -- Kernel Approximation

- Kernel matrix approximation
- Kernel function approximation

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$$K \approx \begin{array}{c|c} & \\ & \end{array}$$

- Kernel function approximation

$$\begin{aligned} K(\mathbf{x}_i, \mathbf{x}_j) &= \phi^T(\mathbf{x}_i)\phi(\mathbf{x}_j) \\ &\approx \hat{\phi}^T(\mathbf{x}_i)\hat{\phi}(\mathbf{x}_j) \end{aligned}$$

# How to Scale-up -- Kernel Approximation

- Kernel matrix approximation
  - Nyström approximation

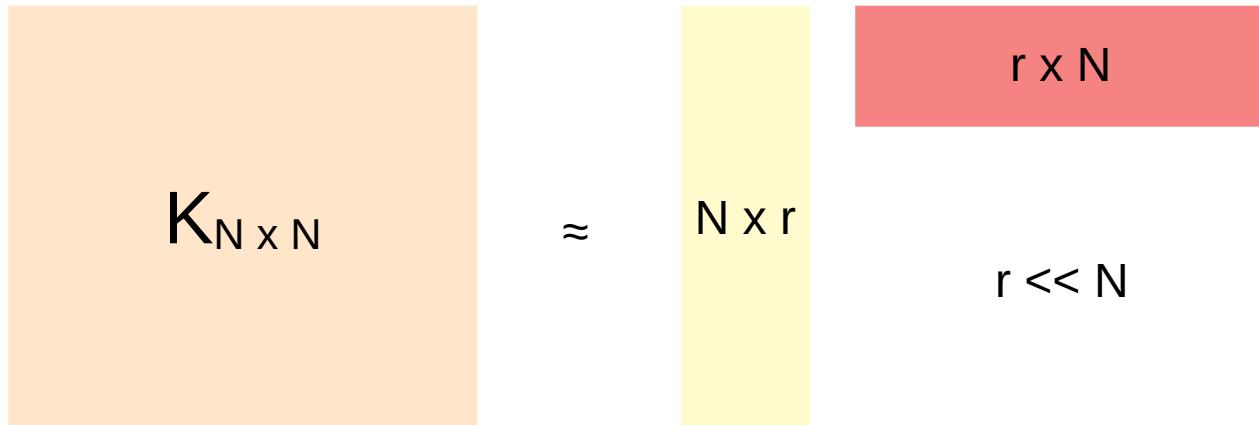
$$K \approx \begin{matrix} \text{orange box} \\ \approx \\ \text{yellow box} \end{matrix} \quad \text{red box}$$

- Kernel function approximation
  - Random Fourier Features

$$\begin{aligned} K(\mathbf{x}_i, \mathbf{x}_j) &= \phi^T(\mathbf{x}_i)\phi(\mathbf{x}_j) \\ &\approx \hat{\phi}^T(\mathbf{x}_i)\hat{\phi}(\mathbf{x}_j) \end{aligned}$$

# Nyström Approximation

- Consider low-rank matrix decomposition, e.g. SVD:  $K = U\Sigma V^T$

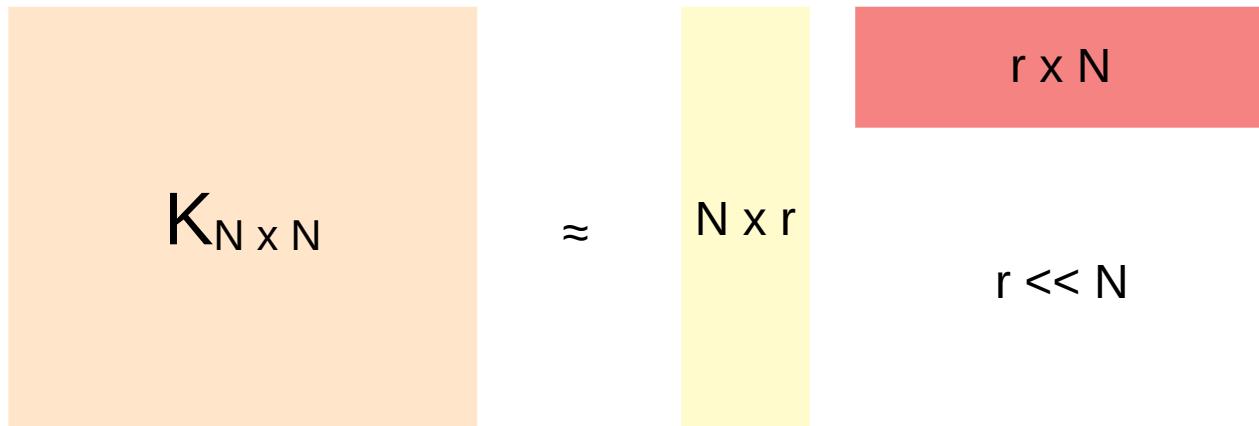


#parameters:  $N \times N$

#parameters:  $2rN$   
E. Loweimi

# Nyström Approximation

- Consider low-rank matrix decomposition, e.g. SVD:  $K = U\Sigma V^T$
- $K$  must be formed explicitly, challenging when  $N \rightarrow \infty$

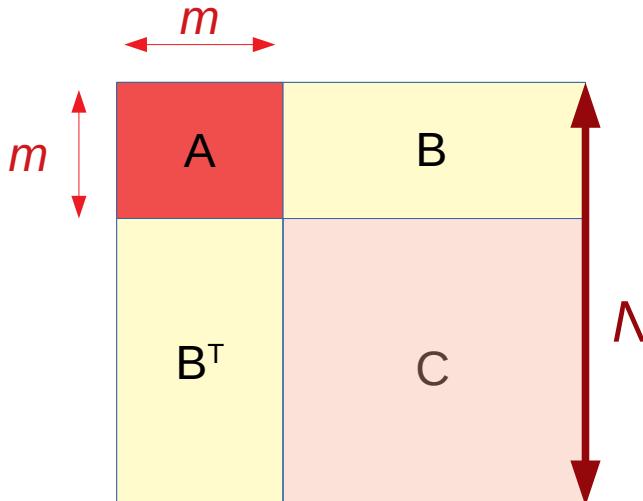


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# Nyström Approximation

- Nyström Approximation  $\rightarrow$  no need to form  $K$  explicitly
- ONLY save  $A$  and  $B$ !



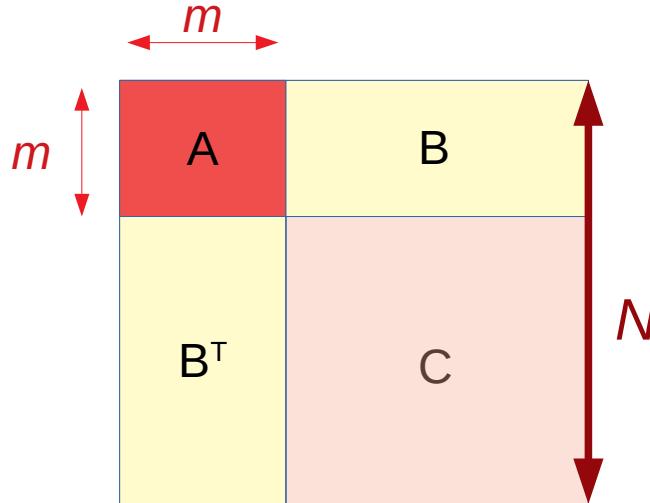
$$K = K^T$$

$$m \ll N$$

#parameters:  $N^2 \rightarrow mN$

# Nyström Approximation

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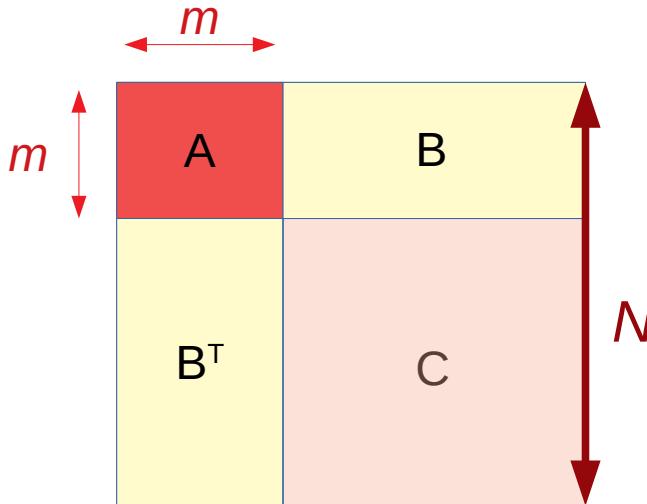
$$C \approx B^T A^{-1} B$$

$$m \ll N$$

$$K = K^T$$

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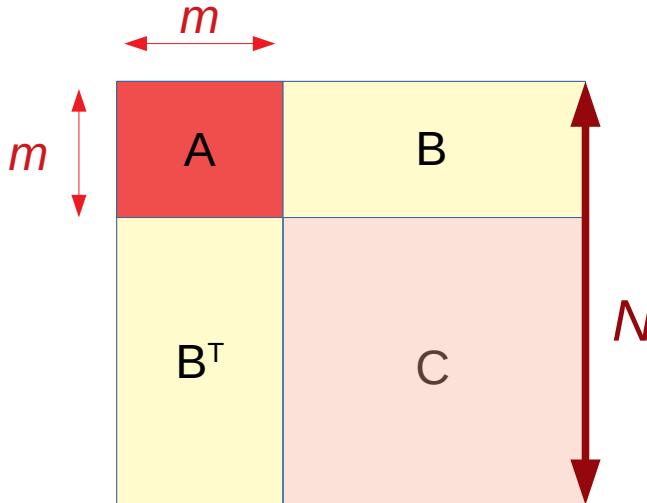
$$C \approx B^T A^{-1} B$$

$$m \ll N$$

$$m \geq r$$

# Nyström Approximation

- Nyström Approximation → no need to form  $K$  explicitly
- Challenges: choosing  $m$  value and  $m$  landmark points



$$K = K^T$$

$$C \approx B^T A^{-1} B$$

$$m \ll N$$

$$m \geq r$$

# Random Fourier Features

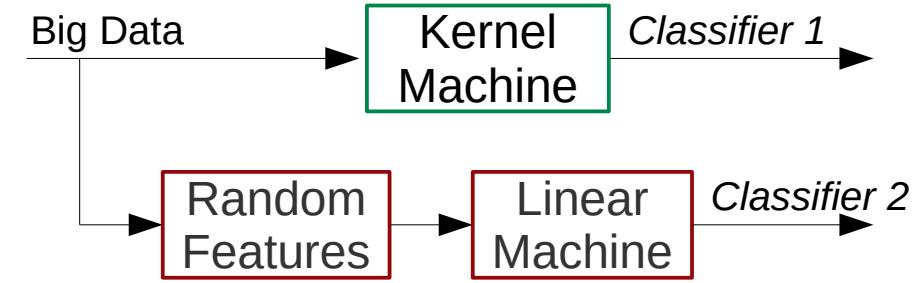
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$$\begin{cases} \phi : \mathbb{R}^d \rightarrow \mathbb{R}^D \\ \hat{\phi} : \mathbb{R}^d \rightarrow \mathbb{R}^{\hat{D}} \end{cases}, \hat{D} \ll D$$

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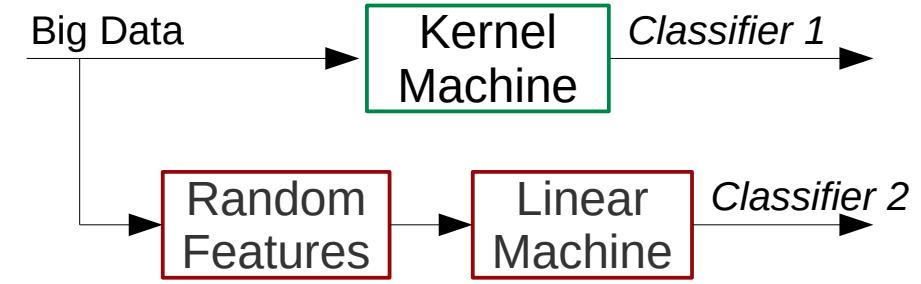
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$$\text{Classifier 1} = W^T \phi(x) = \sum_{n=1}^N \alpha_n K(x, x_n)$$

$$\text{Classifier 2} = \hat{W}^T \hat{\phi}(x)$$

# Random Fourier Features

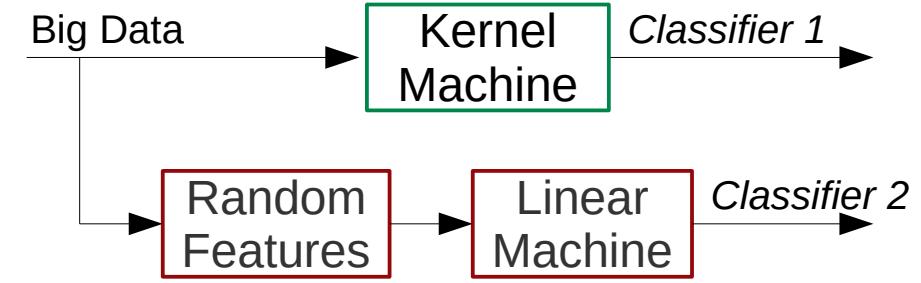
$$\begin{aligned} K(\mathbf{x}_i, \mathbf{x}_j) &= \langle \phi(x_i), \phi(x_j) \rangle \\ &\approx \langle \hat{\phi}(\mathbf{x}_i), \hat{\phi}(\mathbf{x}_j) \rangle \end{aligned}$$

$$\begin{cases} \phi : \mathbb{R}^d \rightarrow \mathbb{R}^D \\ \hat{\phi} : \mathbb{R}^d \rightarrow \mathbb{R}^{\hat{D}} \end{cases}, \quad \hat{D} \ll D$$

GOAL: Find  $\hat{\phi}$

such that

Classifier1  $\equiv$  Classifier2



$$\text{Classifier 1} = W^T \phi(x) = \sum_{n=1}^N \alpha_n K(x, x_n)$$

$$\text{Classifier 2} = \hat{W}^T \hat{\phi}(x)$$

# Random Fourier Features – Theory

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  - A continuous shift-invariant kernel function  $K(x,y)=K(x-y,0)=K(\delta)$

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# Random Fourier Features – Approximation

$$k(\omega) \geq 0$$





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Without loss of generality  
assume  $Z=1$

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$$K(\delta) = \mathbb{E}_\omega [e^{-j\delta^T \omega}] \approx \frac{1}{\hat{D}} \sum_{i=1}^{\hat{D}} e^{-j\delta^T \omega_i} \Bigg|_{\omega_i \sim p(\omega)}$$

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Monte Carlo Method (MC)

Draw  $\hat{D}$  iid samples from  $p(\omega)$

# Random Fourier Features – Kernelisation

$$K(\vec{x}, \vec{y}) = K(\overbrace{\vec{x} - \vec{y}}^{\delta}, 0) \approx \frac{1}{\hat{D}} \sum_{i=1}^{\hat{D}} e^{-j(\vec{x} - \vec{y})^T \omega_i} \Big|_{\vec{\omega}_i \sim p(\vec{\omega})}$$

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Turn it into an inner product

$$K(\mathbf{x}_i, \mathbf{x}_j) \approx \hat{\phi}^T(\mathbf{x}_i) \hat{\phi}(\mathbf{x}_j)$$

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Turn it into an inner product

$$\vec{\Omega} = \begin{bmatrix} \vec{\omega}_1 \\ \vdots \\ \vec{\omega}_m \\ \vdots \\ \vec{\omega}_{\hat{D}} \end{bmatrix} \rightarrow K(\mathbf{x}_i, \mathbf{x}_j) \approx \hat{\phi}^T(\mathbf{x}_i) \hat{\phi}(\mathbf{x}_j) \quad \hat{\phi}(x) = \begin{bmatrix} \hat{\phi}_1(x) \\ \vdots \\ \hat{\phi}_m(x) \\ \vdots \\ \hat{\phi}_{\hat{D}}(x) \end{bmatrix}$$

$\hat{\phi}_m(\mathbf{x}) = \sqrt{\frac{2}{\hat{D}}} \cos(\vec{\omega}_m^T \mathbf{x} + b_m)$   
 $\vec{\omega}_m \sim p(\vec{\omega}) \quad b \sim \mathcal{U}(0, 2\pi)$   
Uniform

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Details in the [Appendix A](#) of the paper





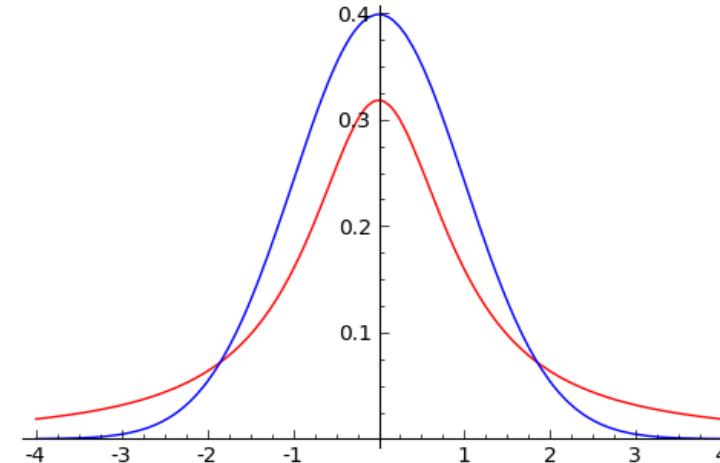
# Kernels Associated PDFs

- Kernel PDF = Inverse Fourier transform of  $K(x-y, 0)$



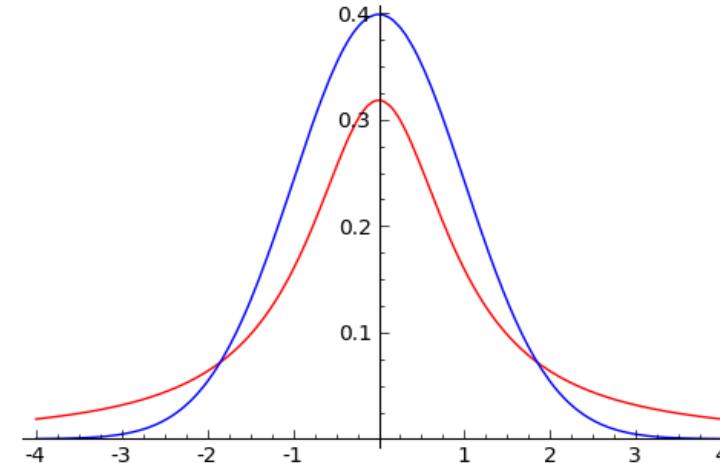
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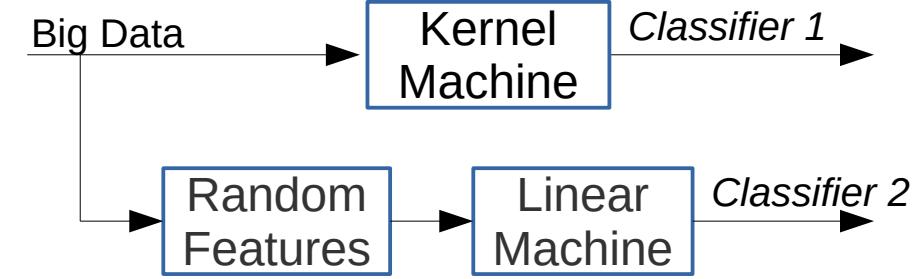
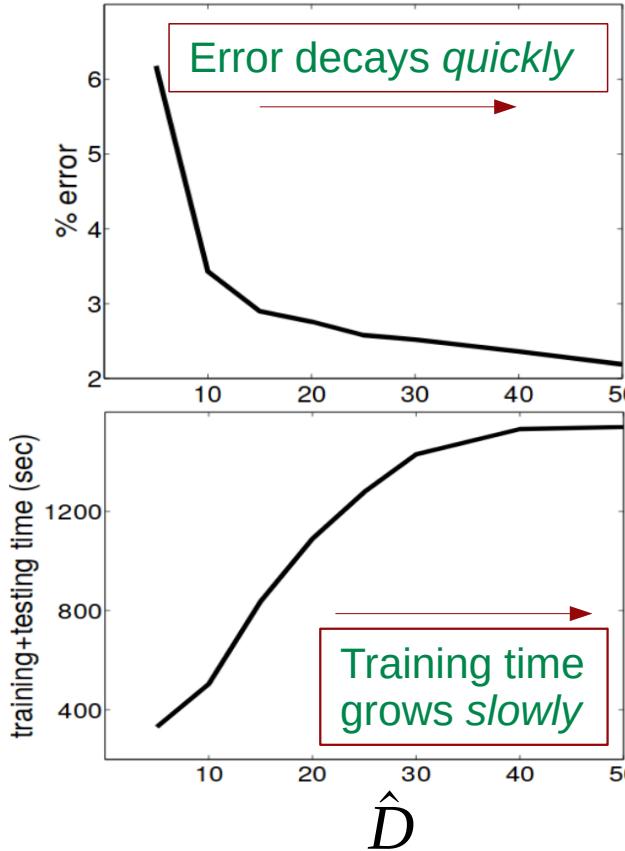


# Kernels Associated PDFs

- Kernel PDF = Inverse Fourier transform of  $K(x-y, 0)$ 
  - Gaussian kernel  $\rightarrow$   $\text{Normal}(0_d, \sigma^{-2} I_d)$   $\rightarrow$  thin-tailed
  - Laplacian kernel  $\rightarrow$   $\text{Cauchy}(0_d, \lambda)$   $\rightarrow$  fat-tailed



# Computational Gain



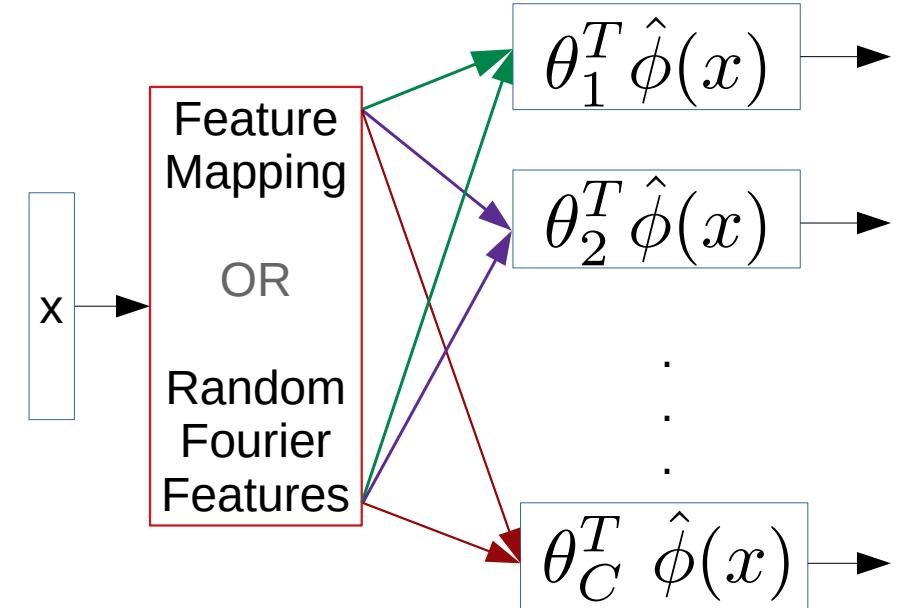
$$\text{Classifier 1} = \boxed{W^T \phi(x)} = \sum_{n=1}^N \alpha_n k(x, x_n)$$

$$\text{Classifier 2} = \boxed{\hat{W}^T \hat{\phi}(x)}$$

$O(D)$        $O(N)$   
 $O(\hat{D})$

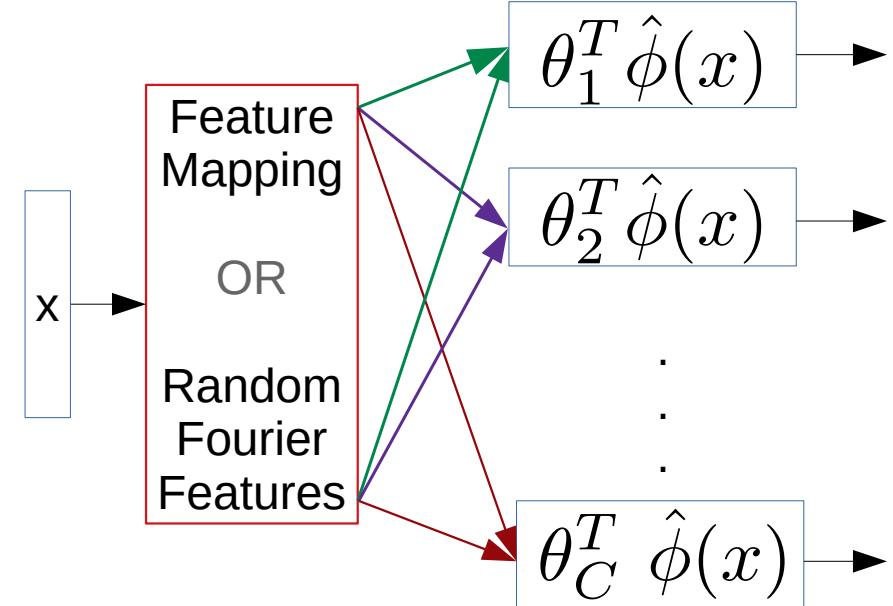
# Acoustic Modelling Using Kernel Methods

# Kernel Machine as a Classifier



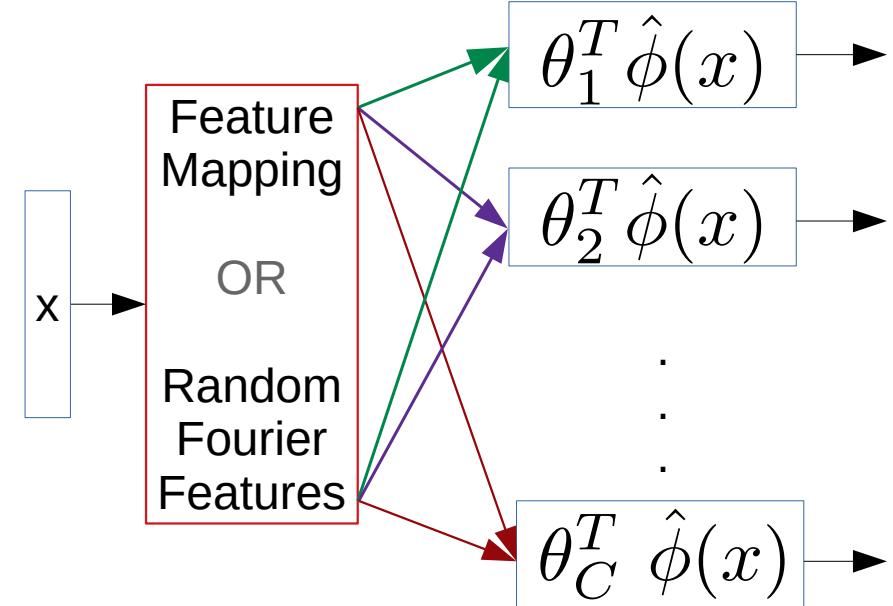
# Kernel Machine as a Classifier

$$p(y = c|x) \propto \exp(\theta_c^T \hat{\phi}(x))$$



# Kernel Machine as a Classifier

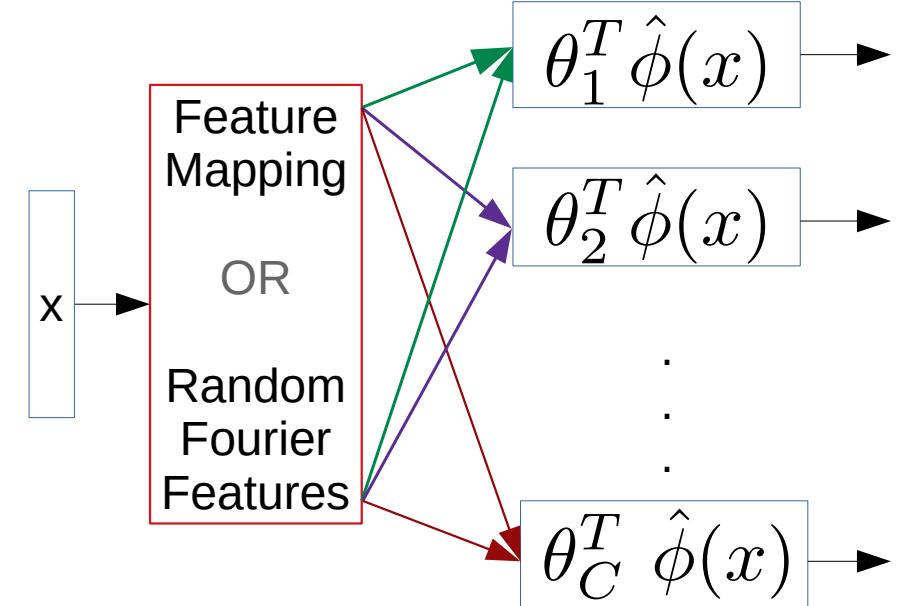
$$p(y = c|x) = \frac{\exp(-E(\theta_c))}{Z}$$



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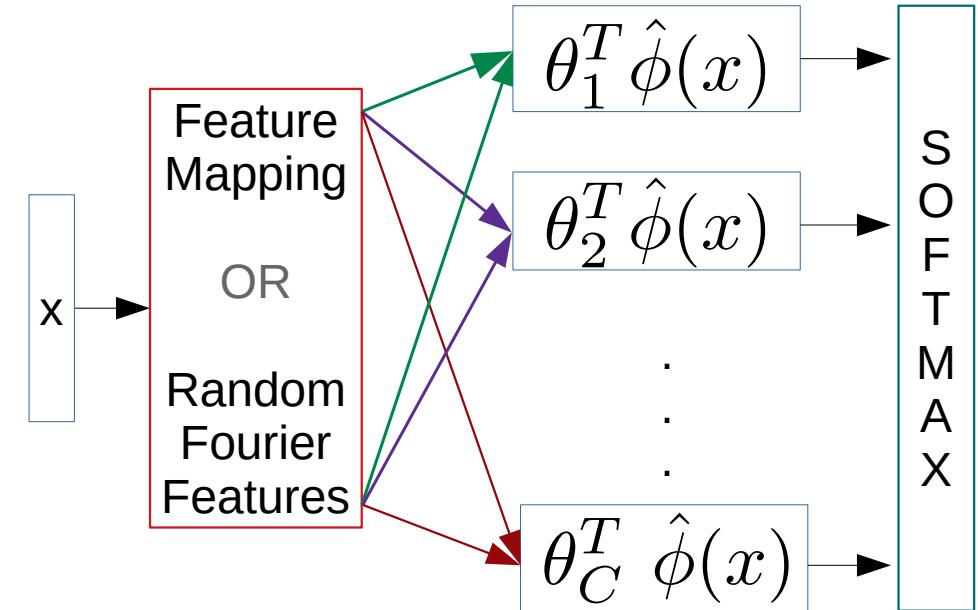
$$p(y = c|x) \propto \exp(\underbrace{\theta_c^T \hat{\phi}(x)}_{-E})$$



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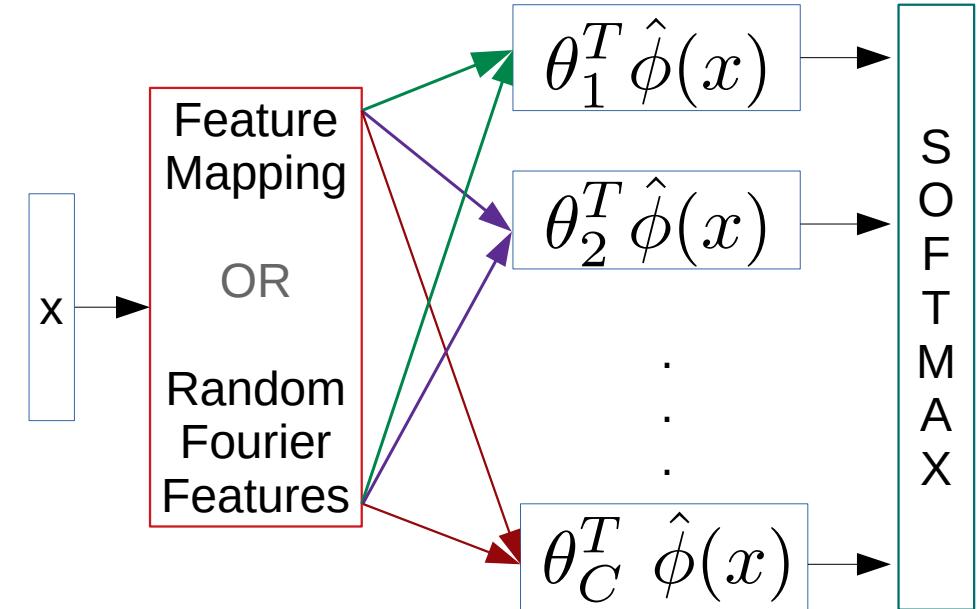
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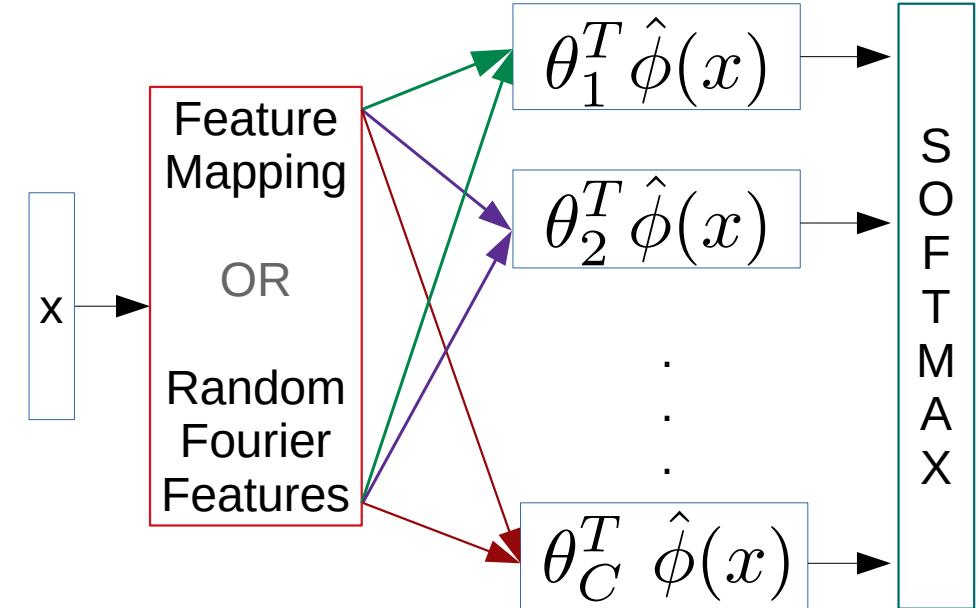
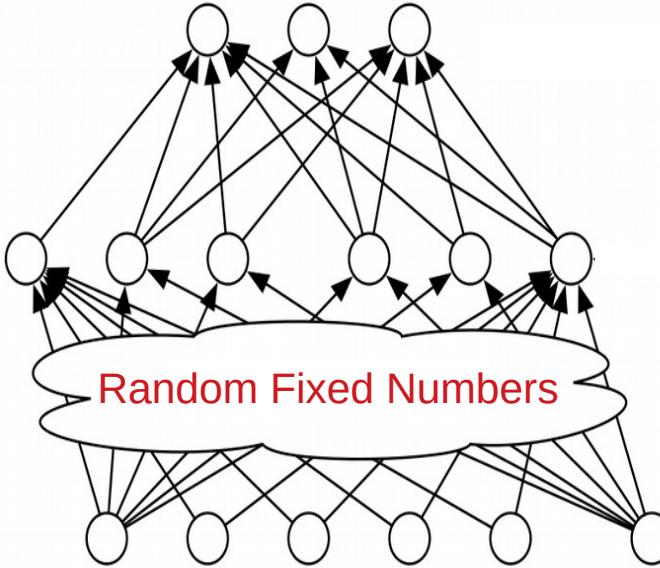
$$p(y = c|x) = \frac{\exp(\theta_c^T \hat{\phi}(x))}{\sum_{c'} \exp(\theta_{c'}^T \hat{\phi}(x))}$$

$$L(\Theta; (x, y)) = -\log(p(y|x; \Theta))$$

$$= -\Theta_y^T \hat{\phi}(x) + \log \sum_{c=1}^C \exp(\Theta_c^T \hat{\phi}(x))$$

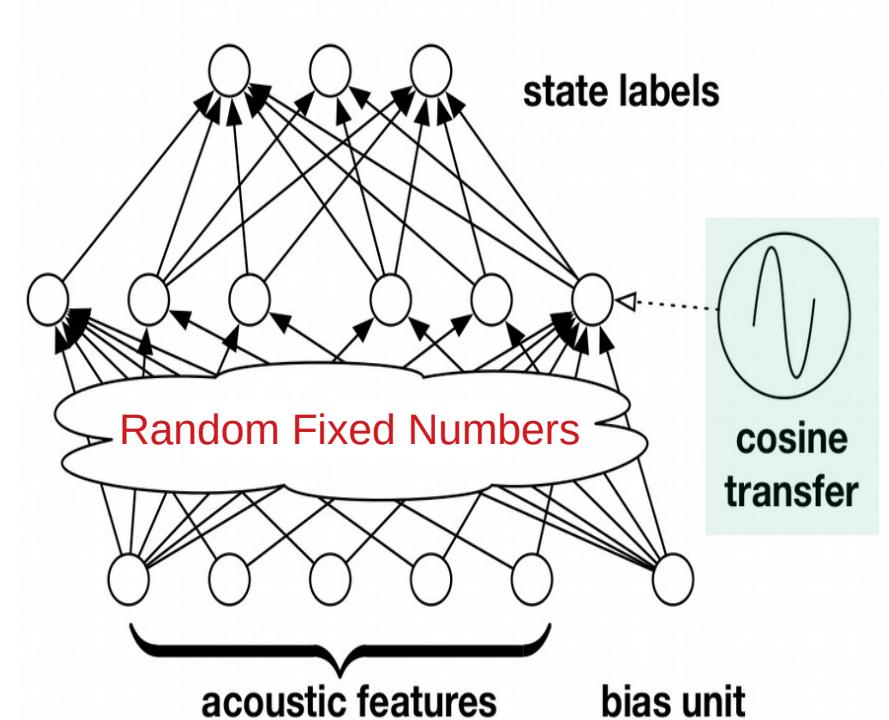


# Kernel Machines as a Shallow NN



# Kernel Machines as a Shallow NN

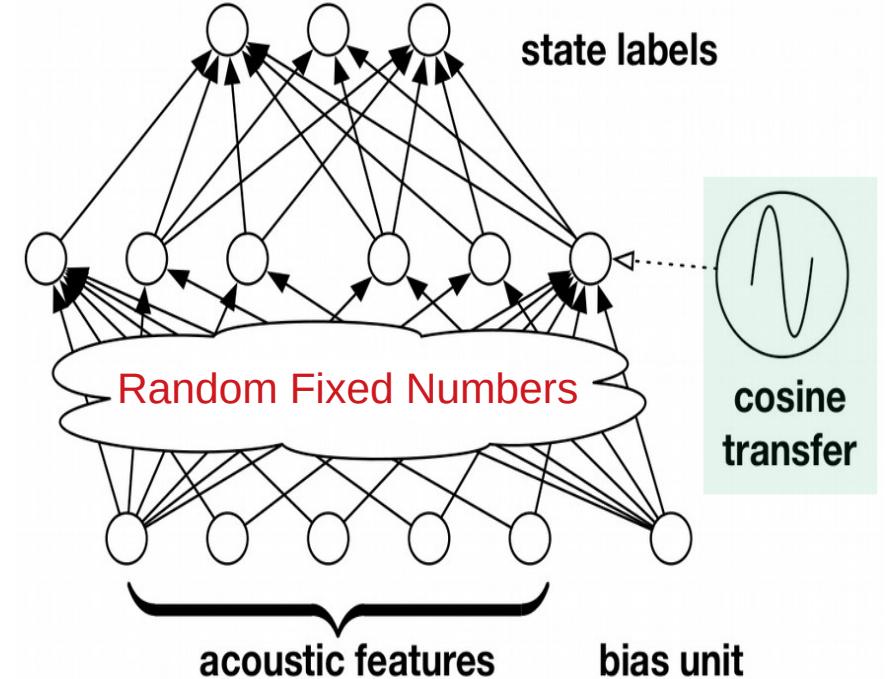
- Objective function → Convex
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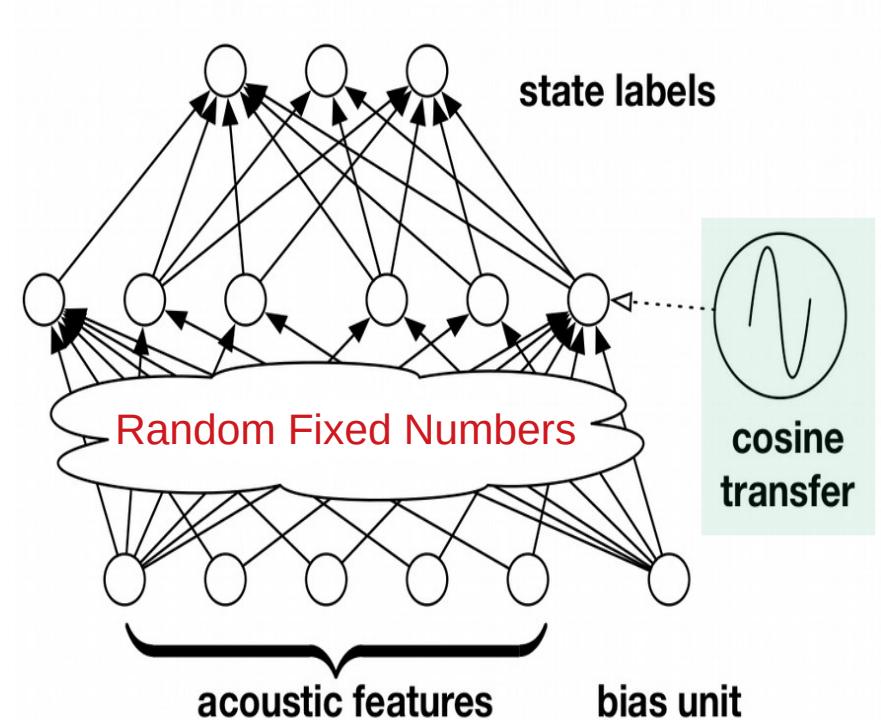
- Objective function → Convex
- Optimisation: SGD
- Kernel Machines are discriminative → Posterior
  - Likelihood?

http://www.cs.cmu.edu/~bhargav/pubs/thesis.pdf



# Kernel Machines as a Shallow NN

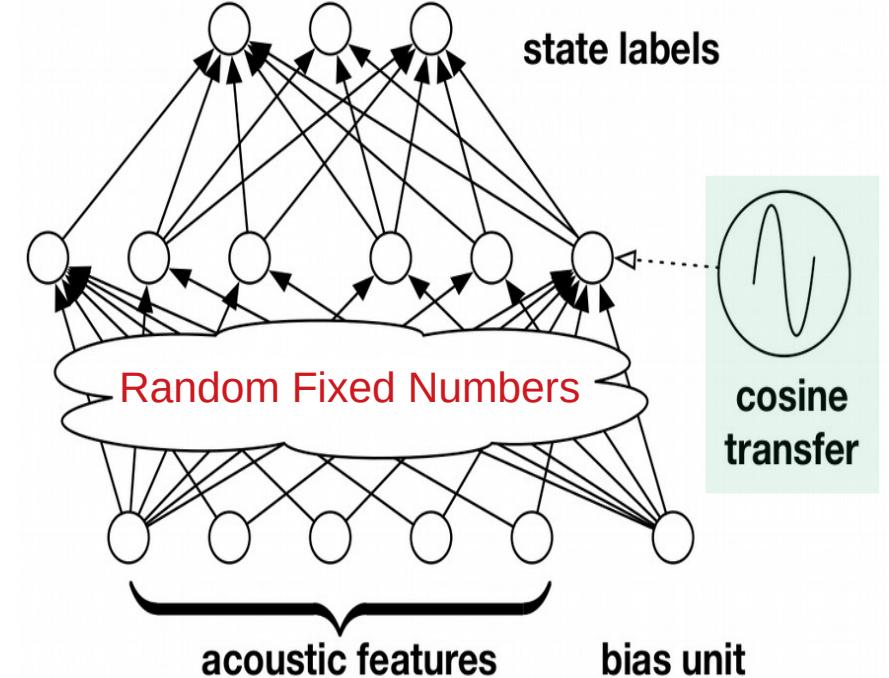
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# Kernel Machines as a Shallow NN

- Objective function → Convex
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- Kernel Machines are discriminative → Posterior
- Bayes' rule + forced alignment → *scaled-likelihood*
- Classes: context-dependent phonetic states

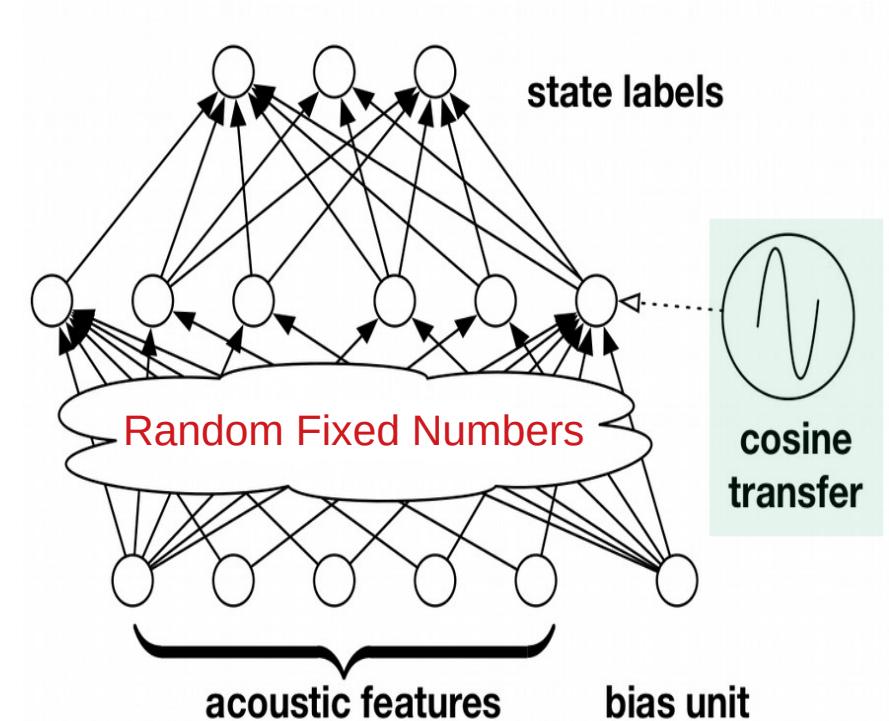
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# Kernel Machines as a Shallow NN

$$\begin{aligned} & \mathbb{R}^C \\ & \Theta \in \mathbb{R}^{\hat{D} \times C} \\ & \mathbb{R}^{\hat{D}} \\ & \Theta_{FS} \in \mathbb{R}^{d \times \hat{D}} \\ & \mathbb{R}^d \end{aligned}$$

**Feature Selection**

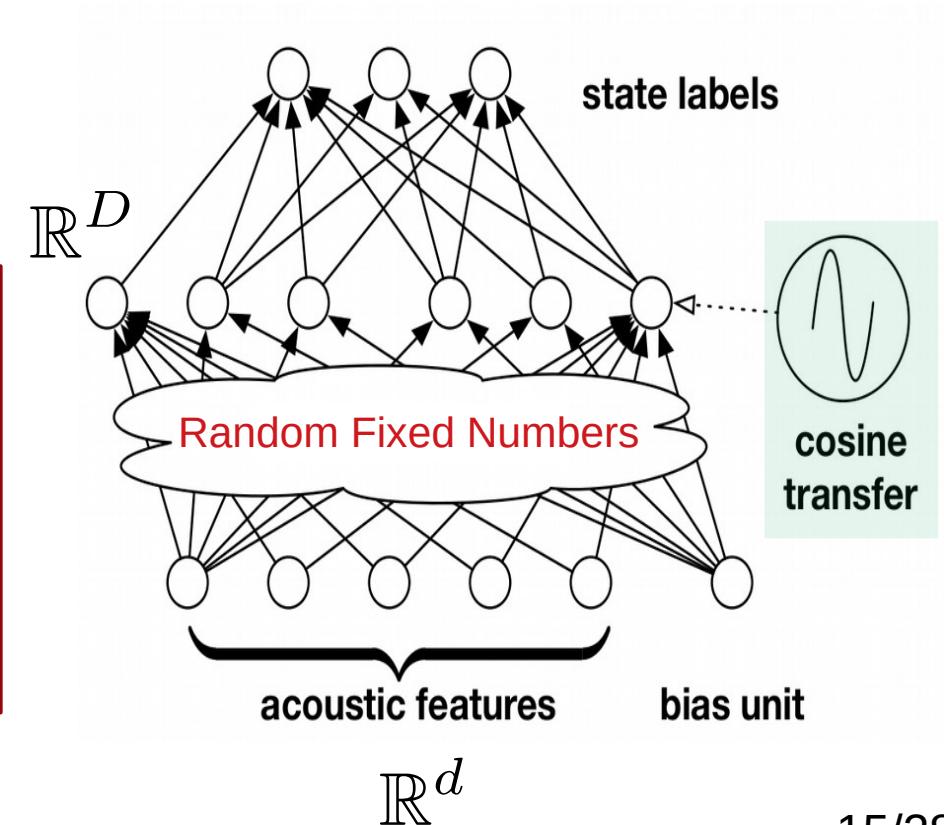


# Kernel Machines as a Shallow NN

Without Random Features and  $D \gg d$

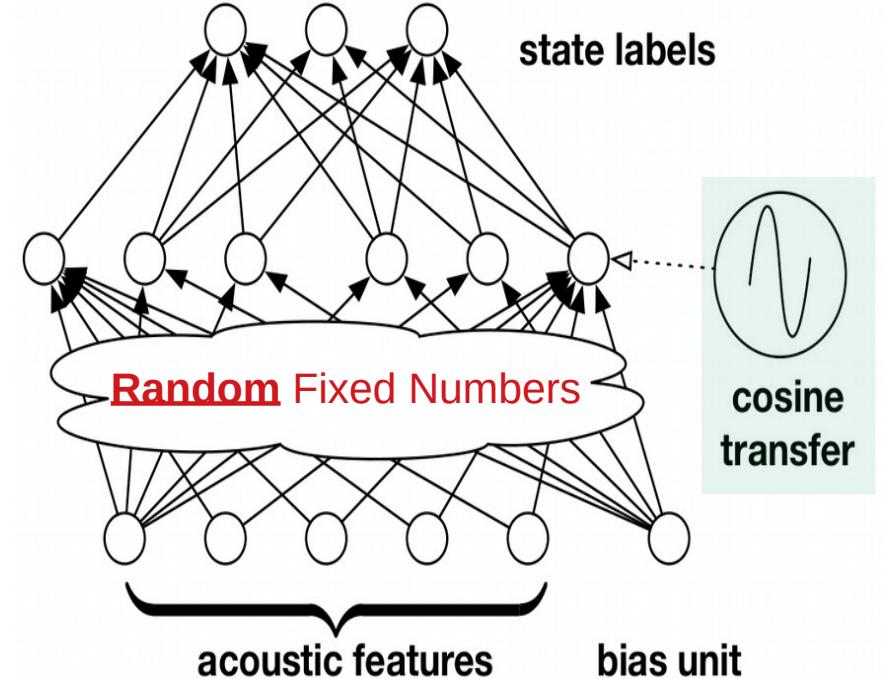
Cybenko  
Theorem  $\equiv$  Representer  
Theorem

$$f(\mathbf{x}) \approx \sum_i \alpha_i \sigma(\mathbf{x})$$



# Randomness in NNs

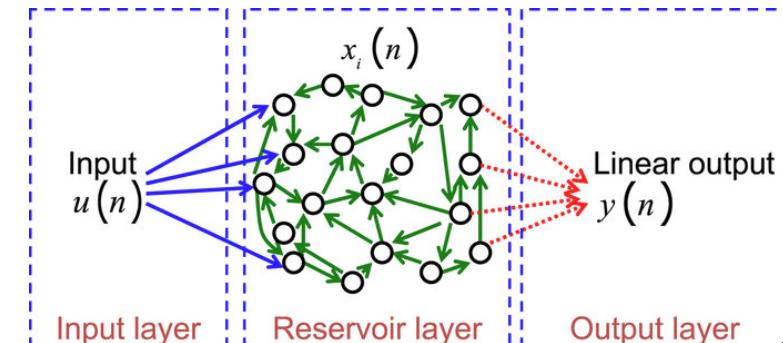
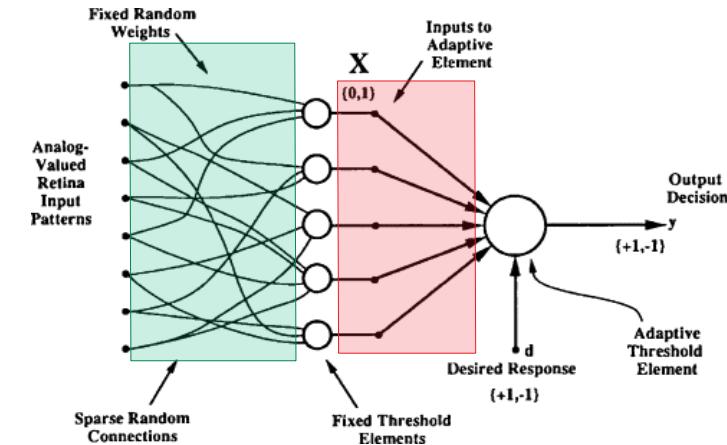
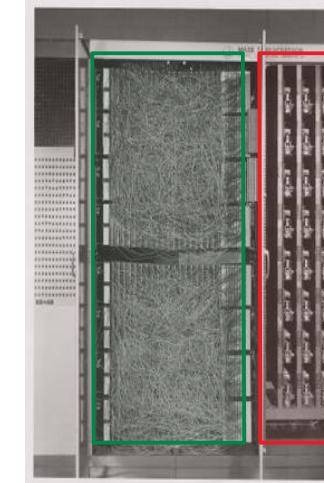
http://www.cs.cmu.edu/~bhiksha/courses/15-778/lectures/lec10.pdf



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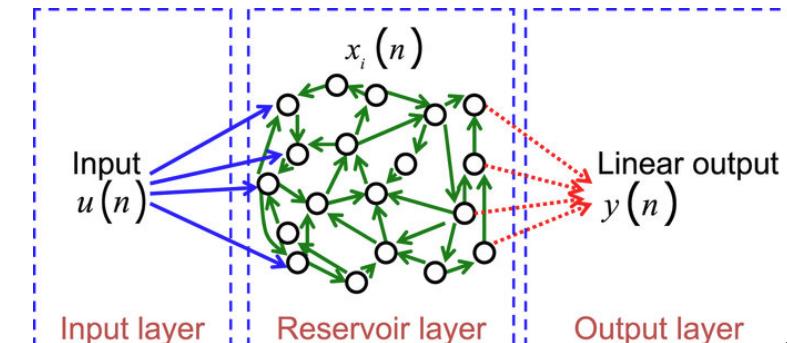
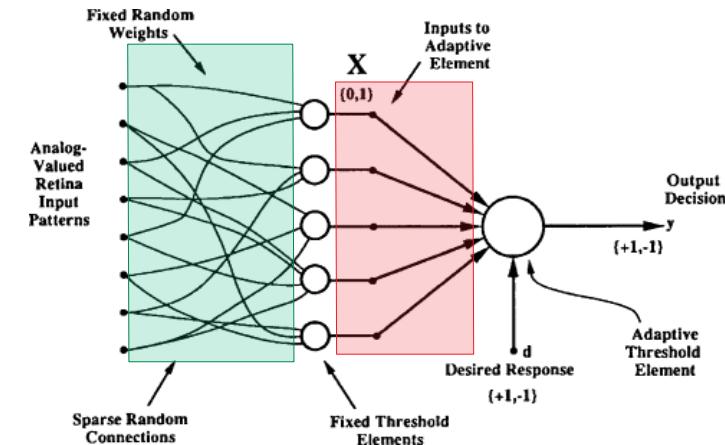
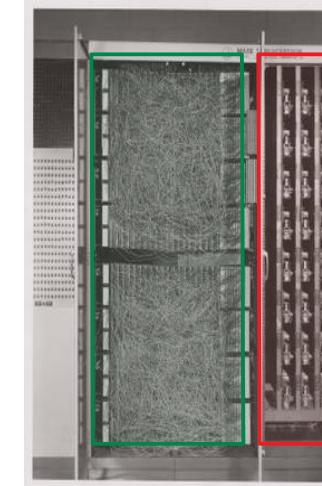
- Examples

- FFNN → Perceptron
- RNN → Reservoir Computing



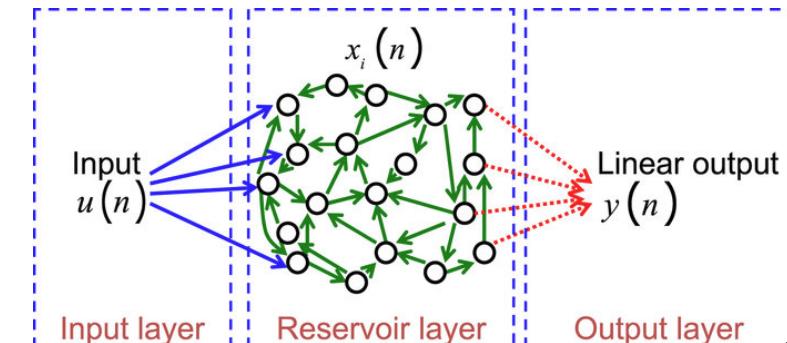
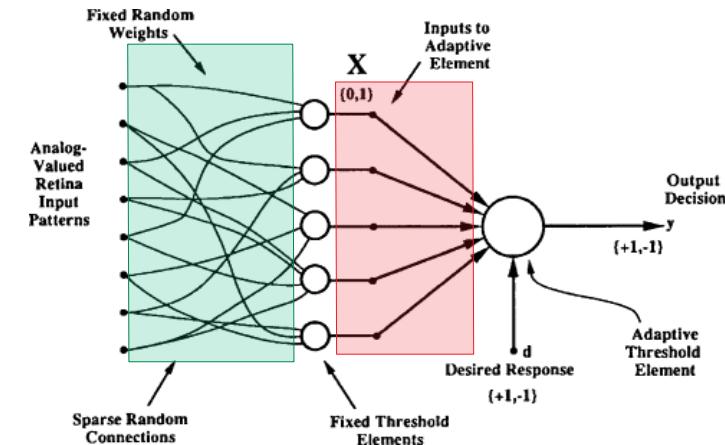
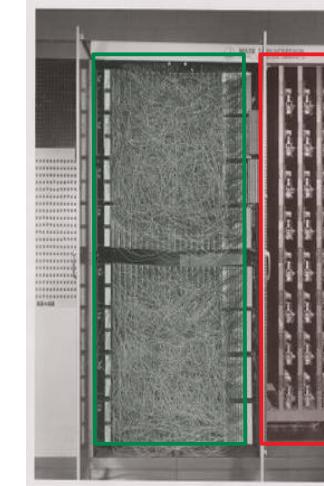
# Randomness in NNs

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  - FFNN → Perceptron
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- Advantages
  - Sparse high-dim feature space → better learning
  - Easier/scalable optimisation



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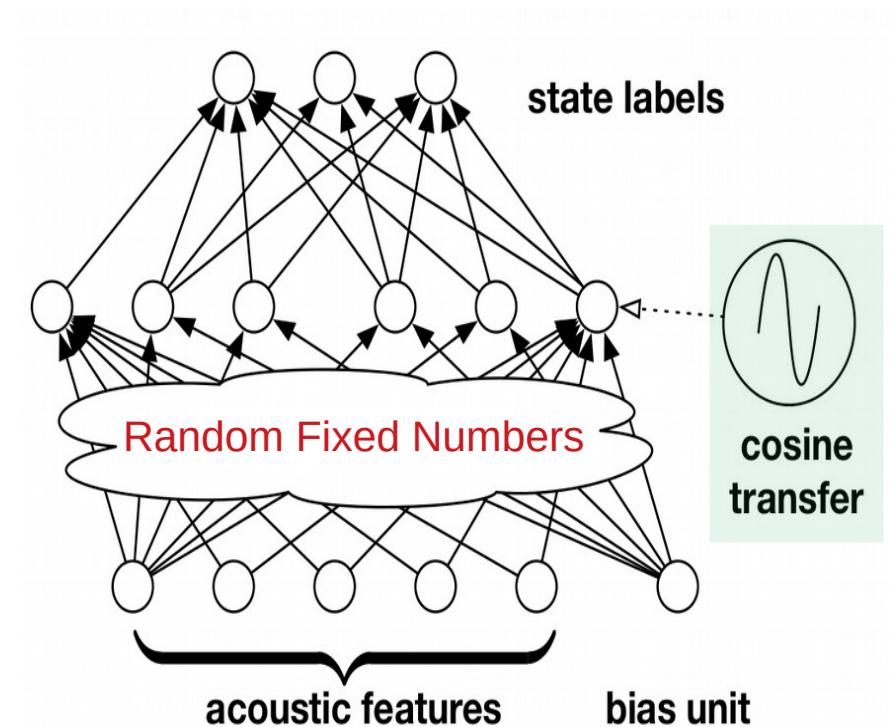
Rahimi and Recht “randomisation is [...] cheaper than optimisation.”

Advances in Neural Information Processing Systems (2009)

E. Loweimi

# Linear Bottlenecks

- #parameters:  $D \times C$ 
  - $10^4 \times 10^3$



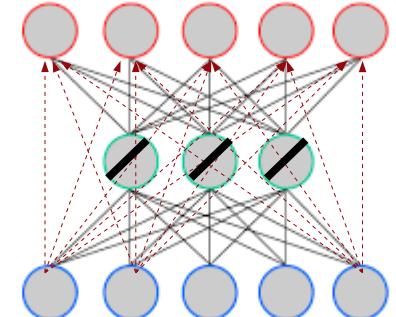
# Linear Bottlenecks

- **GOAL:** Reducing #parameters ( $D \times C \geq 10^7$ )



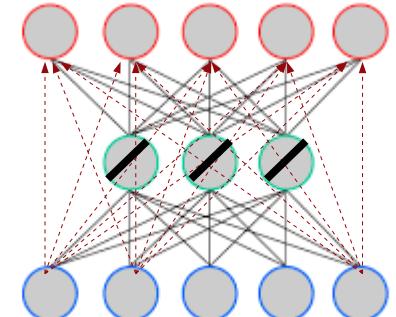
# Linear Bottlenecks

- **GOAL:** Reducing #parameters ( $D \times C \geq 10^7$ )
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- **DISADVANTAGE:** Less modelling power + non-convex optim.
  - Success depends on weights correlation
  - NOT useful for low layers

# (Iterative) Random Feature Selection

$$\vec{\Omega} = \begin{bmatrix} \vec{\omega}_1 \\ \vdots \\ \vec{\omega}_m \\ \vdots \\ \vec{\omega}_{\hat{D}} \end{bmatrix}$$

$$\vec{\omega}_m \sim p(\vec{\omega})$$

# (Iterative) Random Feature Selection

Random Fourier  
feature is too random!

How to draw/find better  
random samples/features?

$$\vec{\Omega} = \begin{bmatrix} \vec{\omega}_1 \\ \vdots \\ \vec{\omega}_m \\ \vdots \\ \vec{\omega}_{\hat{D}} \end{bmatrix}$$



$$K(\mathbf{x}_i, \mathbf{x}_j) \approx \hat{\phi}^T(\mathbf{x}_i)\hat{\phi}(\mathbf{x}_j)$$



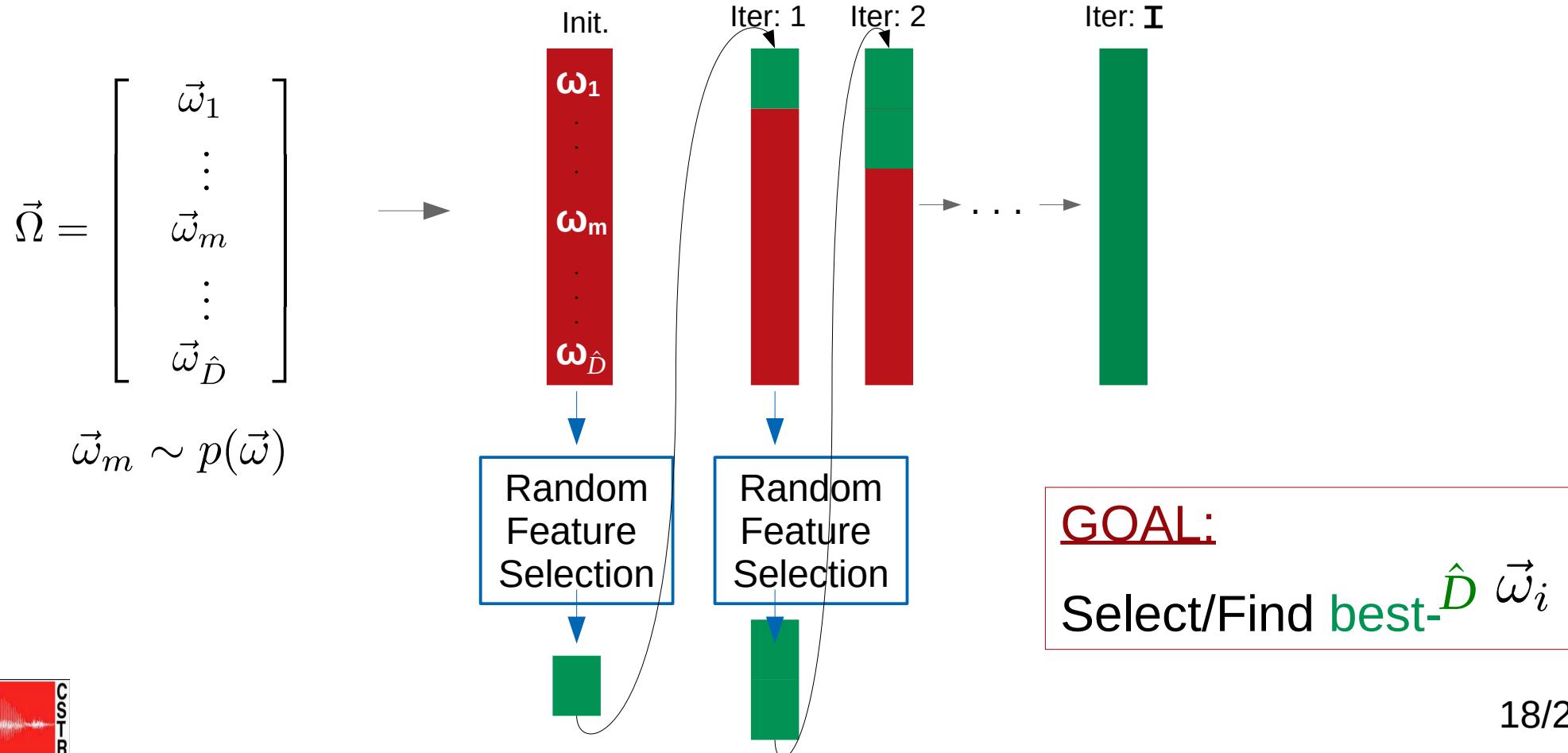
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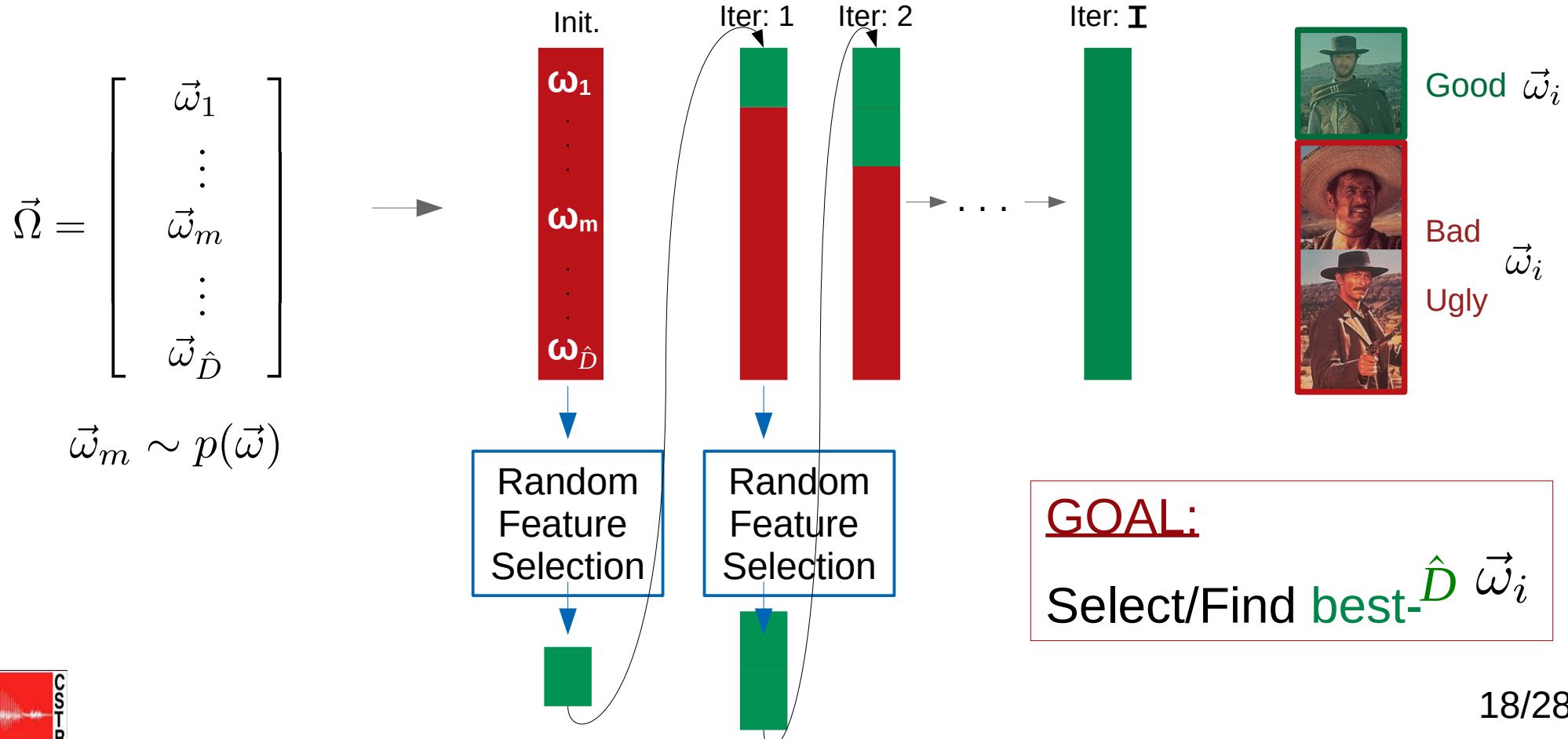
E. Loweimi

$$\hat{\phi}(x) = \begin{bmatrix} \hat{\phi}_1(x) \\ \vdots \\ \hat{\phi}_m(x) \\ \vdots \\ \hat{\phi}_{\hat{D}}(x) \end{bmatrix}$$

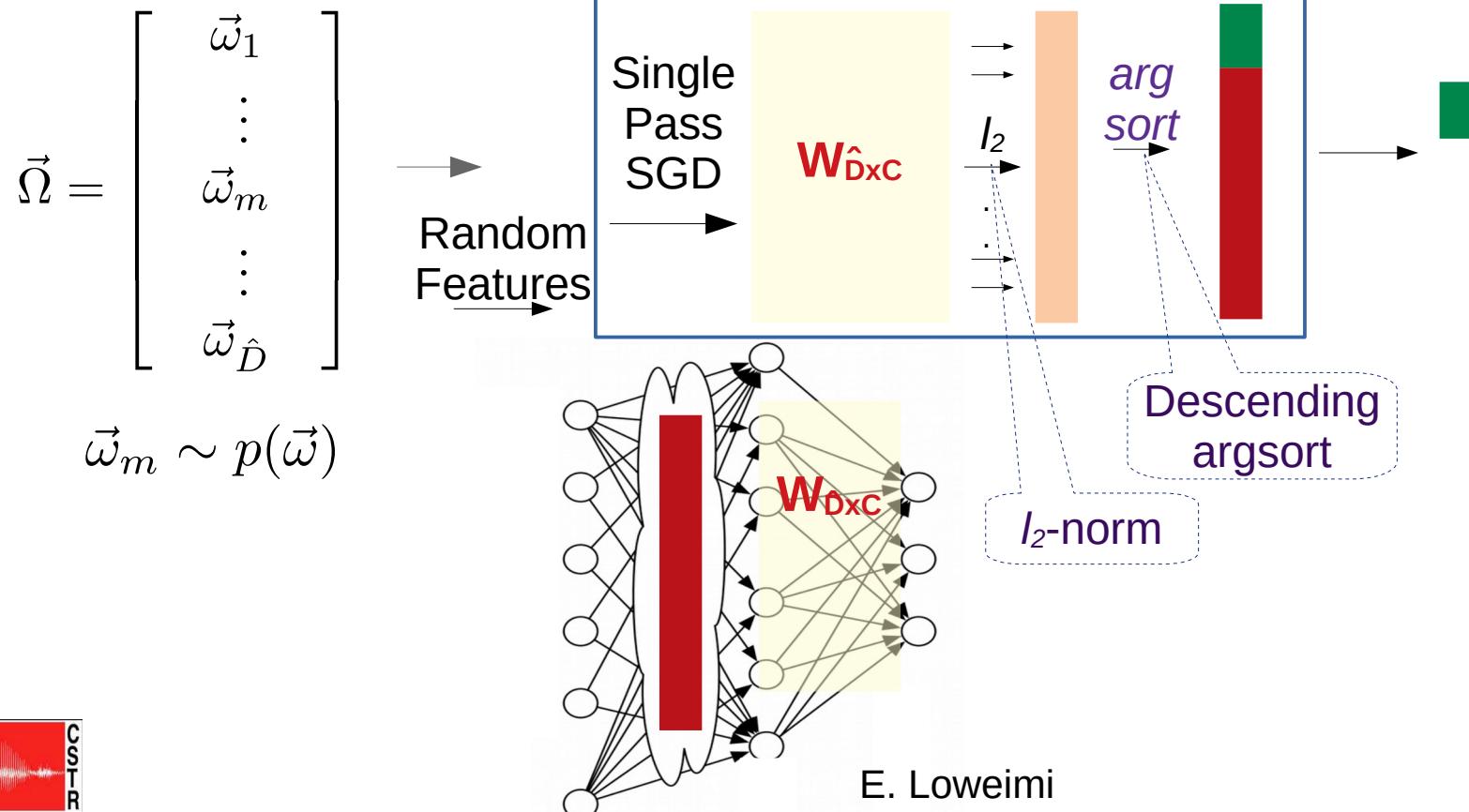
# (Iterative) Random Feature Selection



# (Iterative) Random Feature Selection

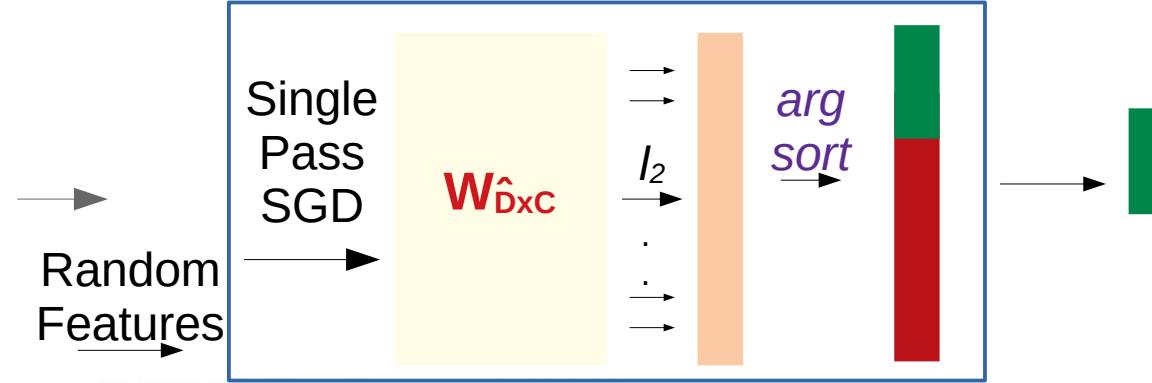


# (Iterative) Random Feature Selection

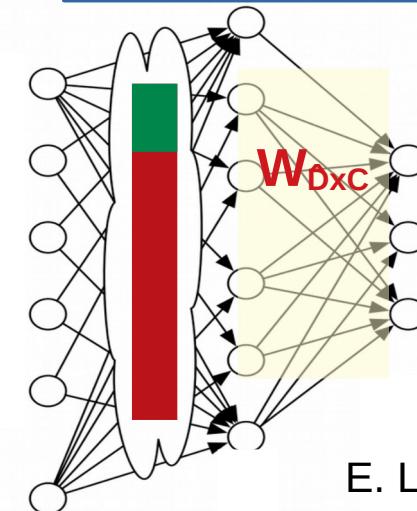


# (Iterative) Random Feature Selection

$$\vec{\Omega} = \begin{bmatrix} \vec{\omega}_1 \\ \vdots \\ \vec{\omega}_m \\ \vdots \\ \vec{\omega}_{\hat{D}} \end{bmatrix}$$

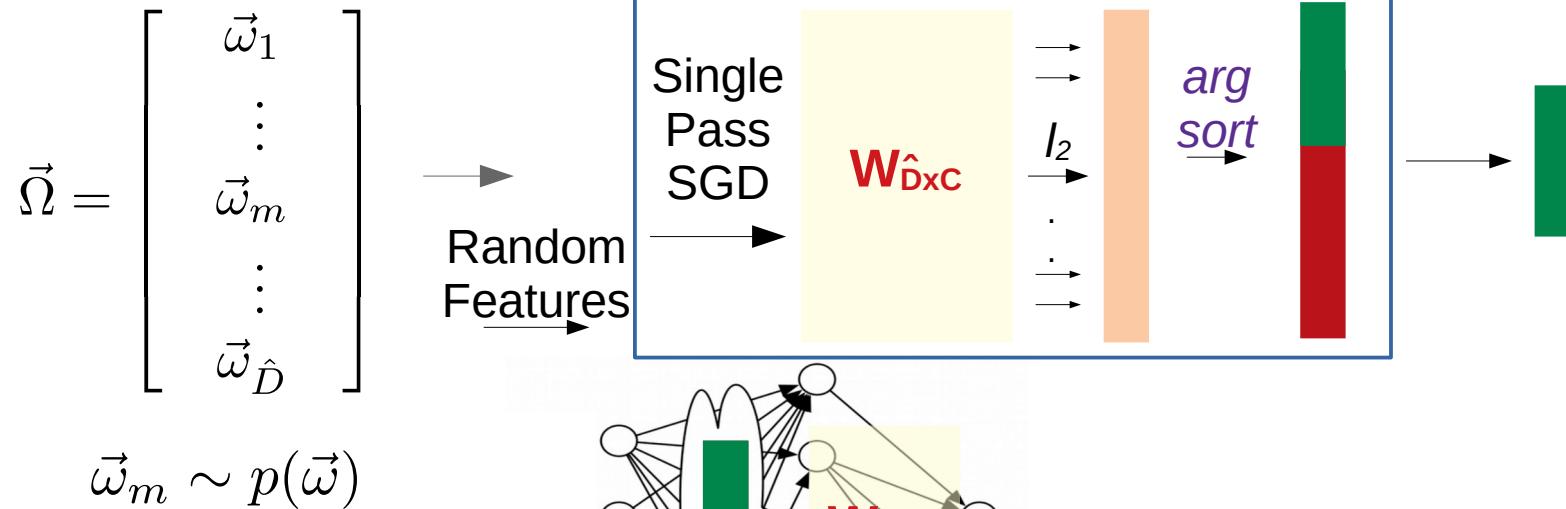


$$\vec{\omega}_m \sim p(\vec{\omega})$$



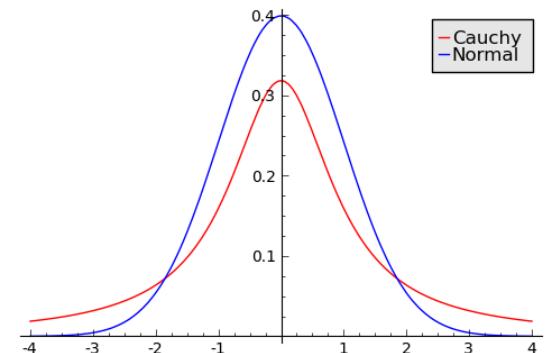
E. Loweimi

# (Iterative) Random Feature Selection



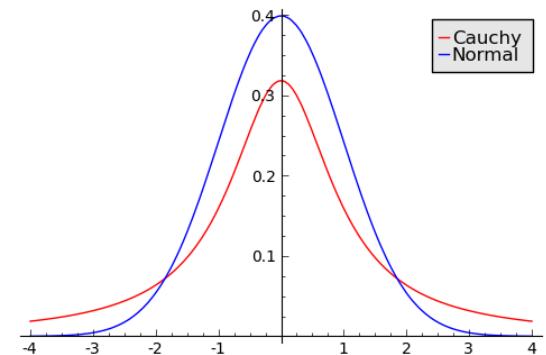
# Sparse Gaussian Kernel

- Laplacian Kernel  $\leftrightarrow$  Cauchy density  $\rightarrow$  Fat tail



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- Laplacian Kernel  $\leftrightarrow$  Cauchy density  $\rightarrow$  Fat tail
- Fat tail  $\rightarrow$  extreme events occur



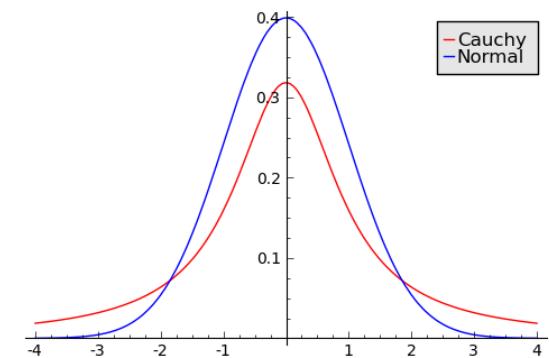
# Sparse Gaussian Kernel

- Laplacian Kernel  $\leftrightarrow$  Cauchy density  $\rightarrow$  Fat tail
- Fat tail  $\rightarrow$  extreme events occur

$$\hat{\phi}_m(\mathbf{x}) = \sqrt{\frac{2}{\hat{D}}} \cos(\vec{\omega}_m^T \mathbf{x} + b_m)$$

$$\vec{\omega} \quad \boxed{\phantom{0}} \boxed{\phantom{0}} \boxed{\phantom{0}} \boxed{\phantom{0}} \dots \boxed{\phantom{0}} \boxed{\phantom{0}}$$

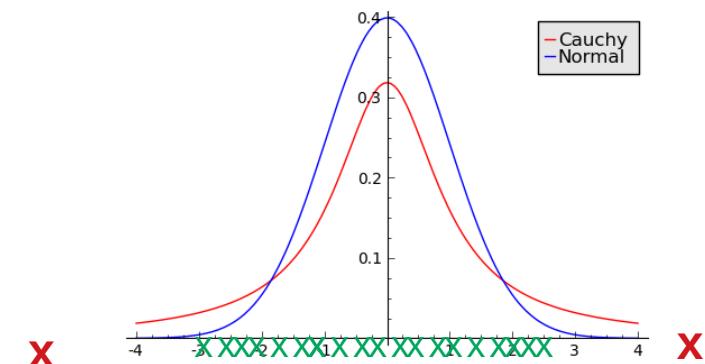
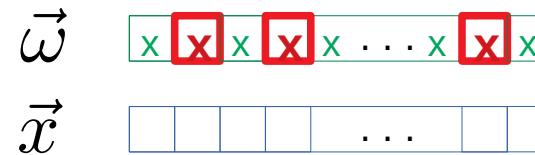
$$\vec{x} \quad \boxed{\phantom{0}} \boxed{\phantom{0}} \boxed{\phantom{0}} \dots \boxed{\phantom{0}} \boxed{\phantom{0}}$$



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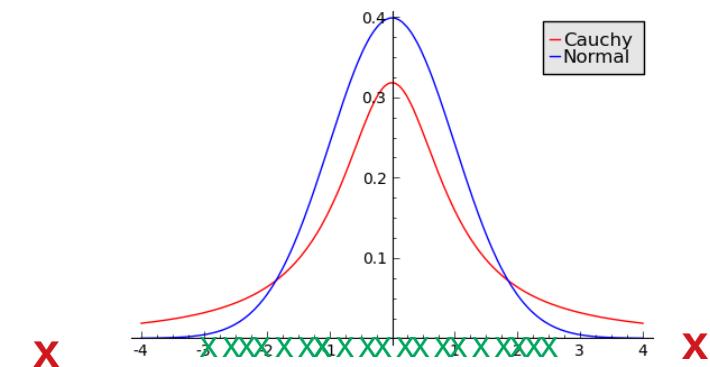


# Sparse Gaussian Kernel

- Laplacian Kernel  $\leftrightarrow$  Cauchy density  $\rightarrow$  Fat tail
- Fat tail  $\rightarrow$  extreme events occur  $\rightarrow$  Implicit sparsity

$$\hat{\phi}_m(\mathbf{x}) = \sqrt{\frac{2}{\hat{D}}} \cos(\vec{\omega}_m^T \mathbf{x} + b_m)$$

$\vec{\omega}$    
 $\vec{x}$  



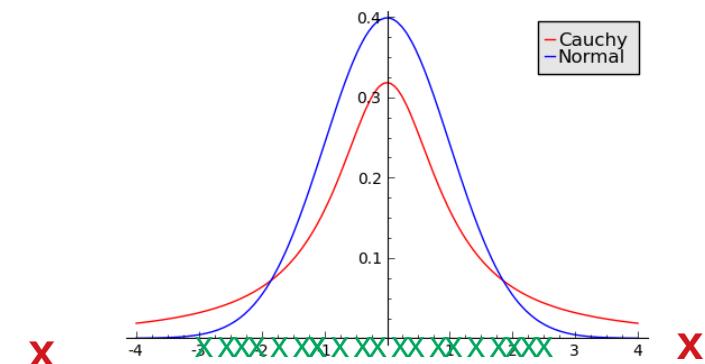
# Sparse Gaussian Kernel

- Laplacian Kernel  $\leftrightarrow$  Cauchy density  $\rightarrow$  Fat tail
- Fat tail  $\rightarrow$  extreme events occur  $\rightarrow$  Implicit sparsity
- Explicitly impose sparsity
  - Draw  $k$  samples from  $\{1, 2, \dots, d\}$ , set rest indices to zero

$$\hat{\phi}_m(\mathbf{x}) = \sqrt{\frac{2}{D}} \cos(\vec{\omega}_m^T \mathbf{x} + b_m)$$

$\vec{\omega}$  

$\vec{x}$  



# CE as Early Stopping Criterion

- CE doesn't perfectly correlate with TER

– e.g. DNNs return better TER than kernel models but worse CE

Cross Entropy

Token Error Rate

# CE as Early Stopping Criterion

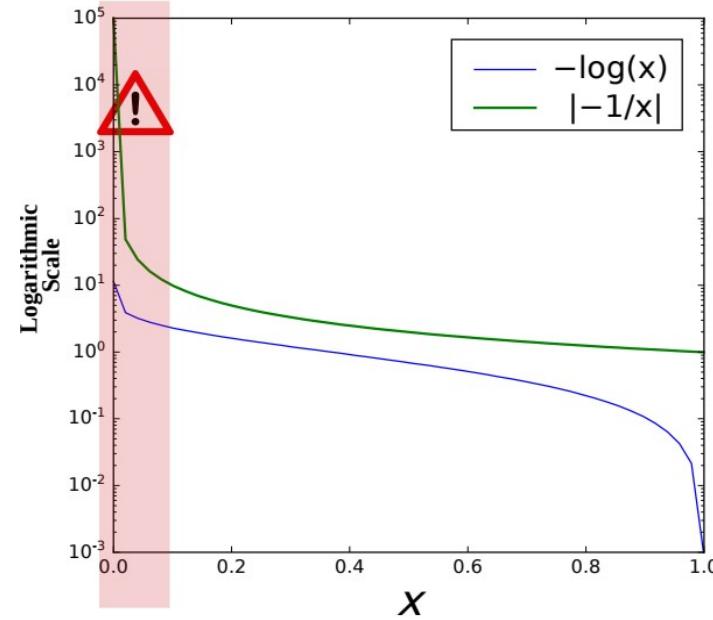
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# CE as Early Stopping Criterion

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- One point to look at
  - CE over-penalise very incorrect classification

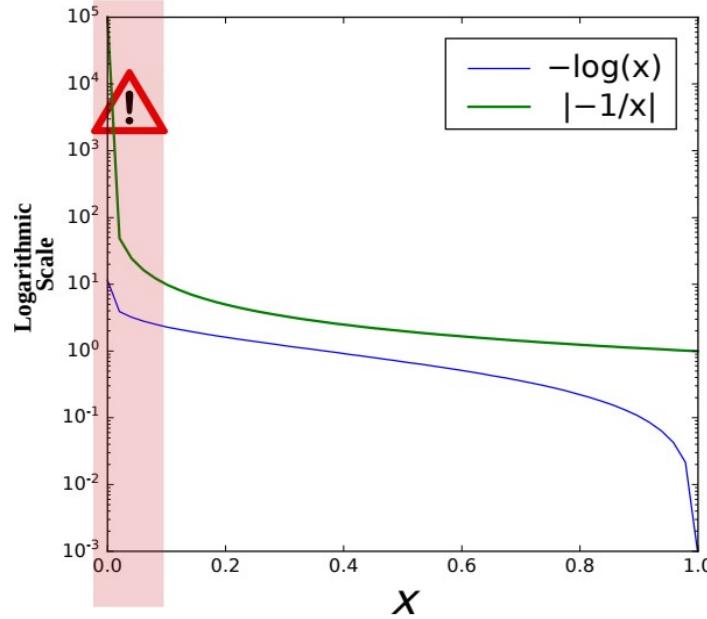
# CE as Early Stopping Criterion

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  - CE over-penalise very incorrect classification
  - Miss is more costly than False Alarm



# CE as Early Stopping Criterion

- CE doesn't perfectly correlate with TER
  - e.g. DNNs return better TER than kernel models but worse CE
- Better proxies for TER → better training
- One point to look at
  - CE over-penalise very incorrect classification
  - Example → Incorrect labels

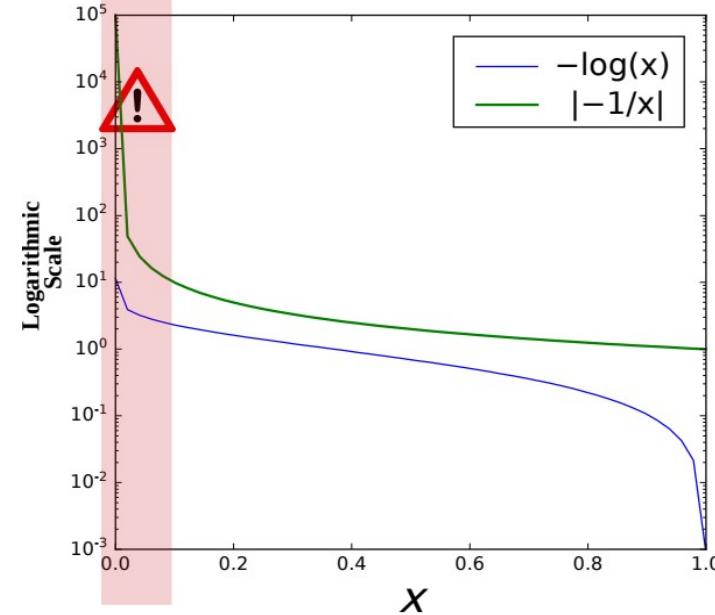


# Proposed Early Stopping Criteria

Entropy  
Regularised  
Log Loss

$$ERLL = CE + \beta ENT$$

$$= -\frac{1}{N} \sum_{i=1}^N \sum_{y=1}^C [\mathbb{I}(y = y_i) + \beta p(y|x_i)] \log(p(y|x_i))$$



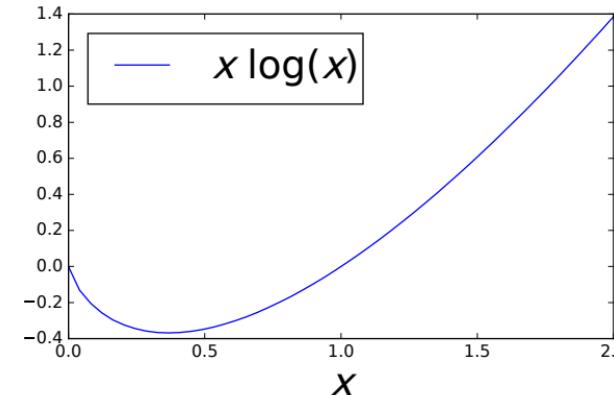
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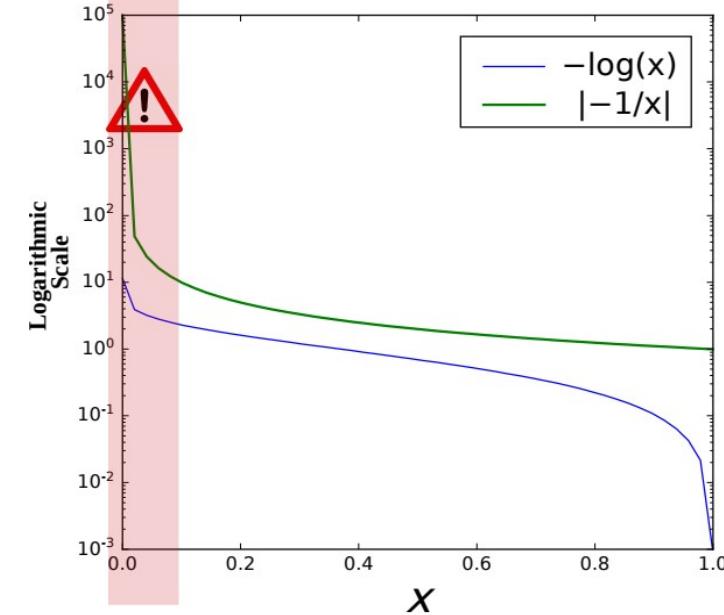
$$ERLL = CE + \beta ENT$$

$$= -\frac{1}{N} \sum_{i=1}^N \sum_{y=1}^C [\mathbb{I}(y = y_i) + \beta p(y|x_i)] \log(p(y|x_i))$$

Avoids over-penalisation  
when  $p(y|x_i) \rightarrow 0$



E. Loweimi



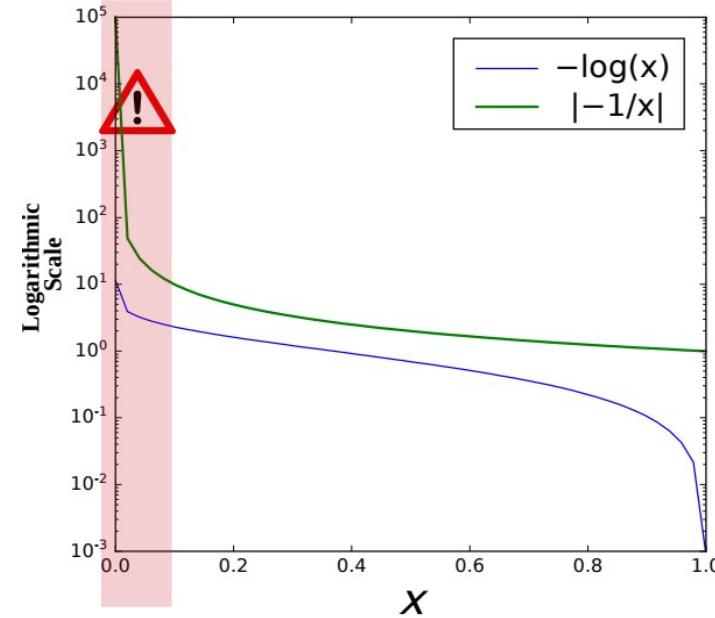
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# Proposed Early Stopping Criteria

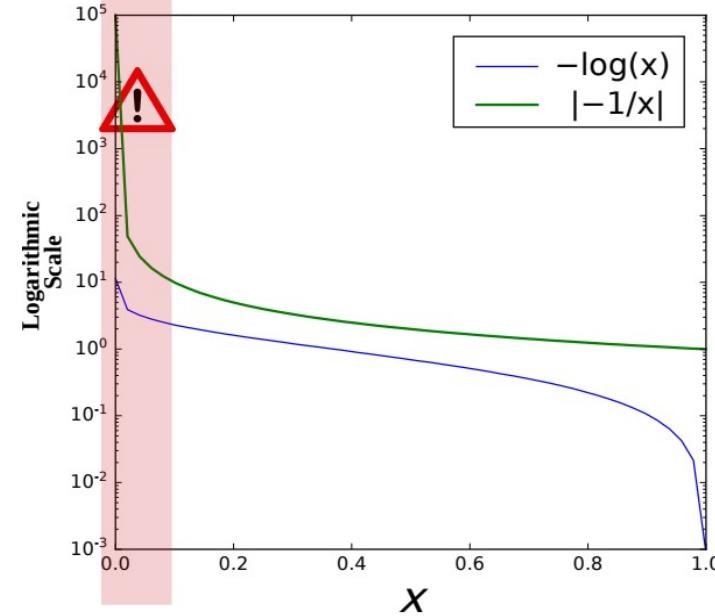
Entropy  
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$$ERLL = CE + \beta ENT$$

$$= -\frac{1}{N} \sum_{i=1}^N \sum_{y=1}^C [\mathbb{I}(y = y_i) + \beta p(y|x_i)] \log(p(y|x_i))$$

$$\text{Capped Log Loss} = -\frac{1}{N} \sum_{i=1}^N \log(p(y_i|x_i) + \lambda)$$

$$\text{Top-}k \text{ Log Loss} = -\frac{1}{k} \sum_{i=1}^k \log(p(y_i|\mathbf{x}_i))$$

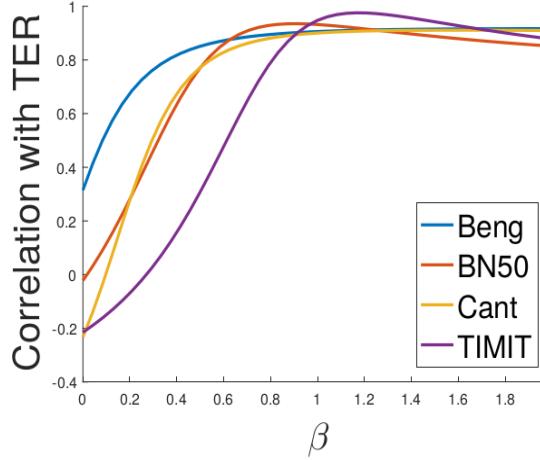


# Experimental Results

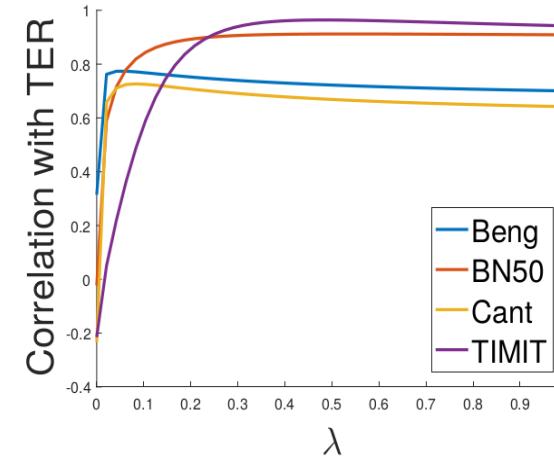
# Experimental Setup

- Initialisation → Glorot and Bengio (2010)
  - Biases: zero, Weights: random uniform ( $n_j$ : #nodes in layer  $j$ )
$$\mathcal{U}[-b, b] \leftarrow b = \frac{\sqrt{6}}{\sqrt{n_j + n_{j+1}}}$$
- DNN architecture: 4 hidden layers (#nodes: 1k → 4k), tanh activation
- Training: SGD, mini-batch size: 250, learning rate annealing (halve it at the end of epoch if  $\Delta CE\{\text{Heldout}\} < 1\%$ )
- Each test set divided into training set, held-out (hyper-parameter adjustment), dev set (LMSF and WIP adjustment) and test set (no speaker overlap between sets)
- Decoding → IBM'S Attila speech recognition toolkit
- Feature extraction:
  - 25 ms, 10 ms [TIMIT 5 ms], 13-dim PLP
  - speaker-based MVN, splice 9 frames → LDA → 40D → STC transform
  - Final feature: 360 (4x2+1 x 40) [TIMIT: 440 5x2+1 x 40]
- #Classes: context-dependent HMM state-clustered quinphones
  - Bengali and Cantonese = 1k, BN = 5k
  - TIMIT = 147 = 3 x 49 ↔ beginning, middle and end of 49 phonemes

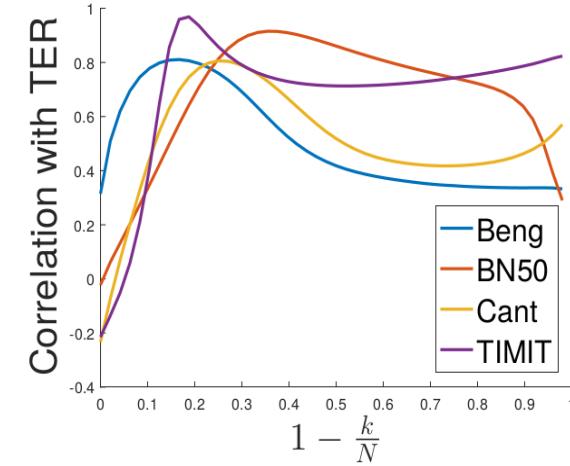
# Correlation with TER



ERLL

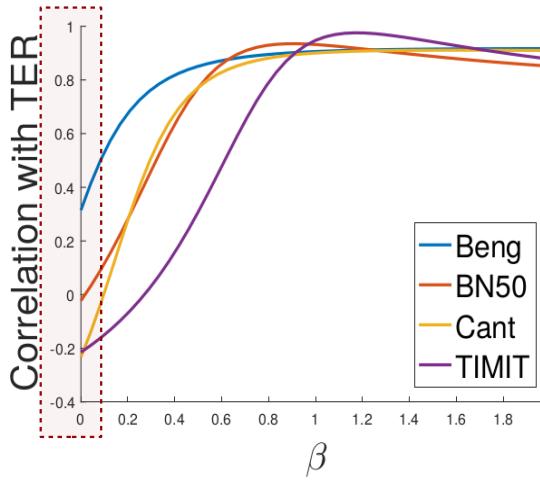


Capped log loss

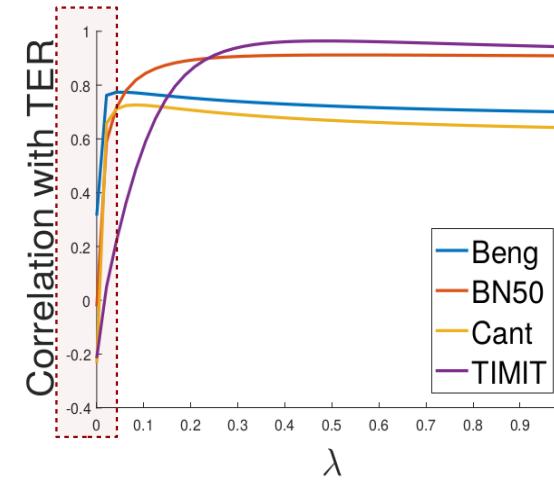


Top-k

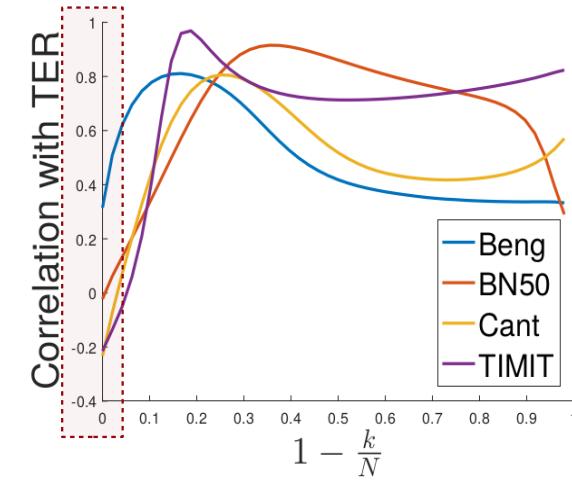
# Correlation with TER



ERLL



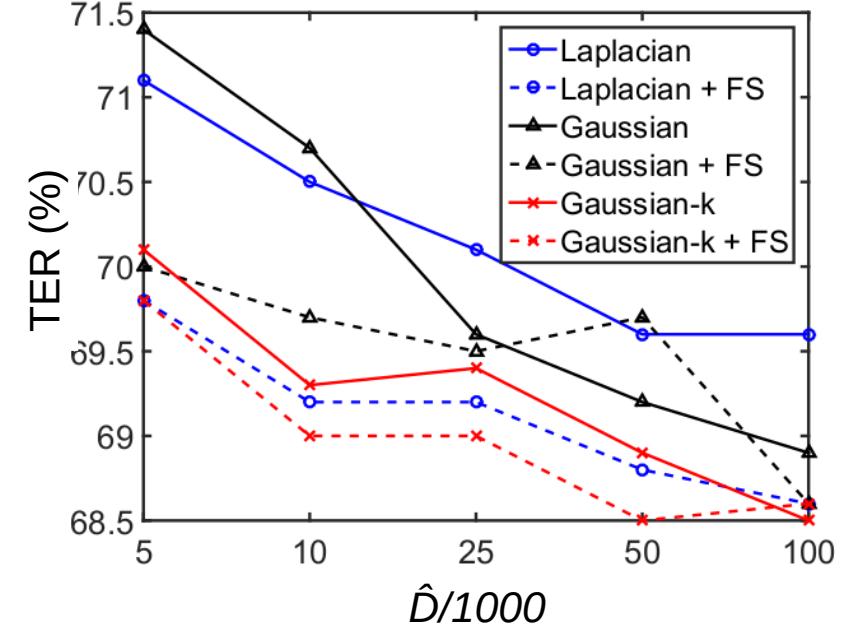
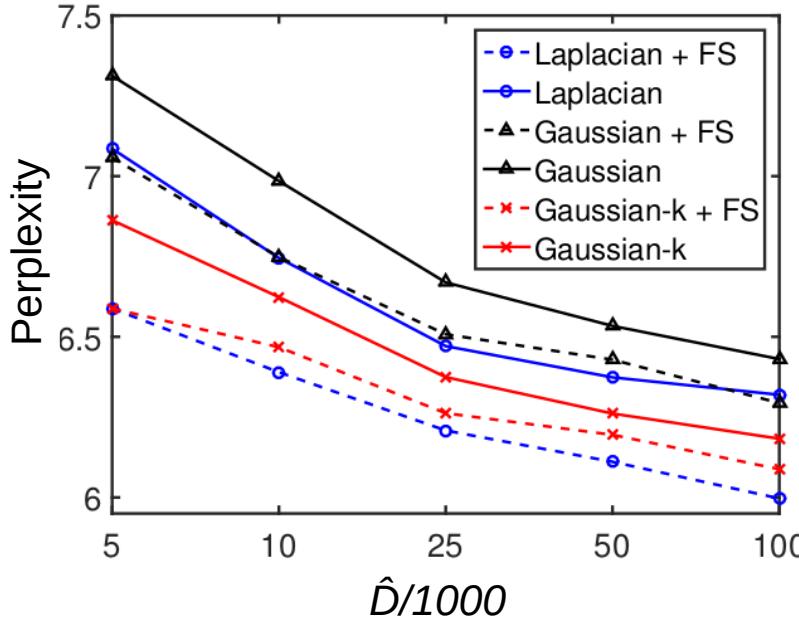
Capped log loss



Top-k

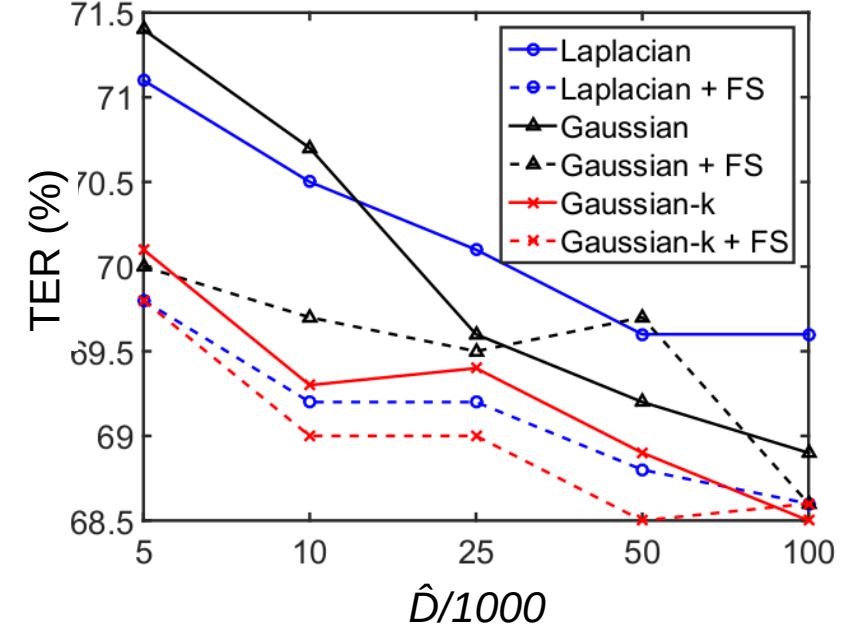
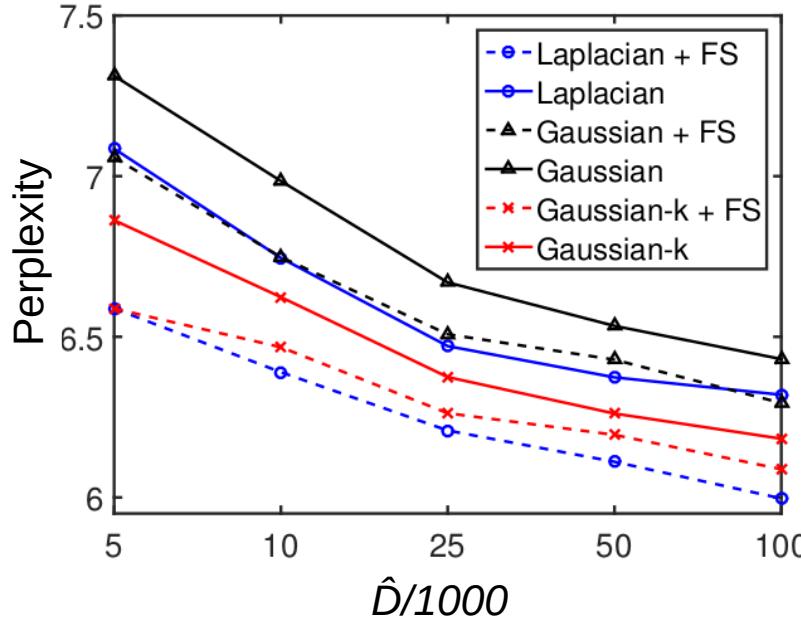
Cross entropy and TER correlation  
 $\rightarrow$  metric parameter  $\{\beta, \lambda, \kappa\} \rightarrow 0$

# Effects of Kernel Type and FS



$$Perplexity = \exp\left(-\frac{1}{M} \sum_{m=1}^M \log(p(y_m|x_m))\right)$$

# Effects of Kernel Type and FS



$$\text{Perplexity} = \exp\left(-\frac{1}{M} \sum_{m=1}^M \log(p(y_m|x_m))\right)$$



-- M: size of the held-out set

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Better than  
 -- Gaussian-k > Laplacian > Gaussian  
 -- FS helps

25/28

# Experimental Results (TER)

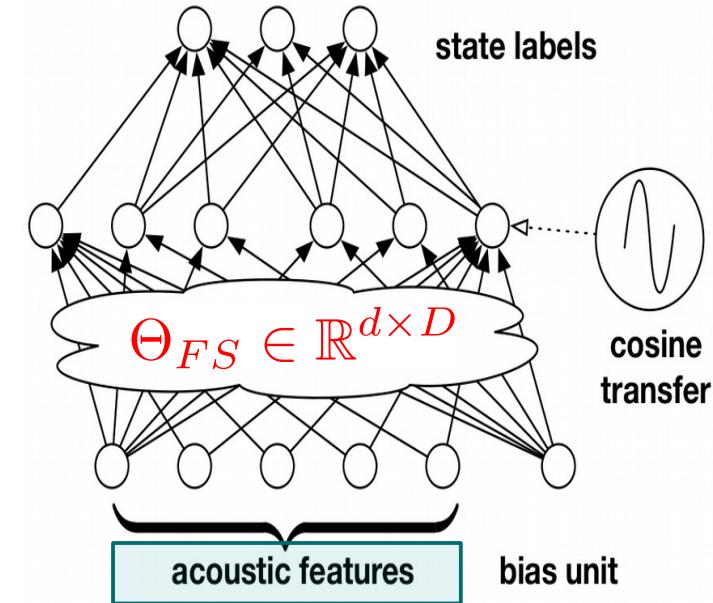
Dataset	Method	Perplexity	Collapsed	TER
Cant.	DNN	6.127	4.316	<b>67.3%</b>
	Lap+FS	<b>5.997</b>	<b>4.176</b>	68.6%
Beng.	DNN	<b>3.616</b>	3.256	<b>71.3%</b>
	Lap+FS	3.678	<b>3.233</b>	72.7%

TIMIT		Test TER (DNN)	Test TER (Kernel)
	<i>Huang et al</i>	20.5	21.3
	Lap+FS	20.5	<b>20.4</b>

- **FS**: proposed feature selection
- **Lap**: Laplace kernel
- **Collapsed**: treat all silence states as one

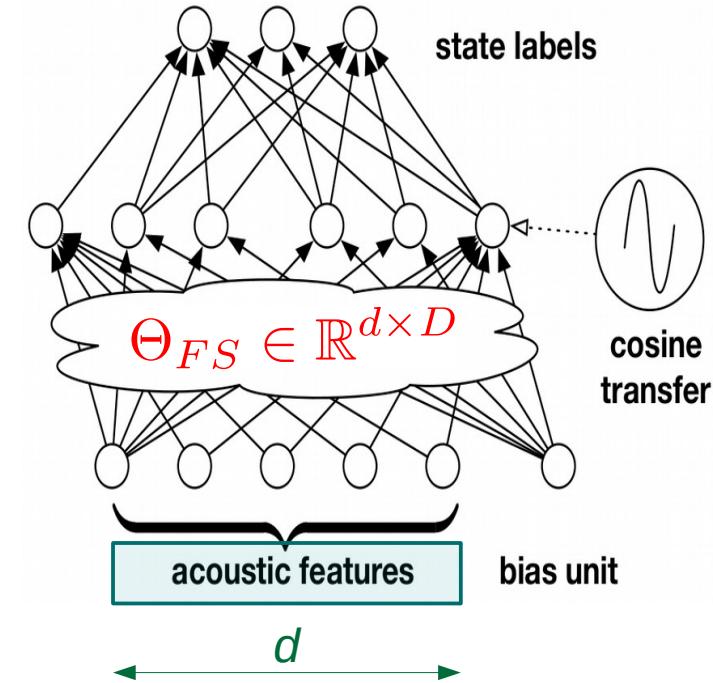
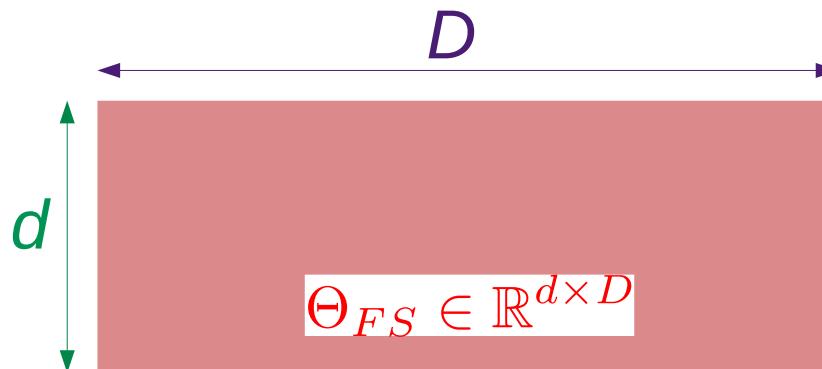
# Relative Weight of Input Features in Random Matrix

$$R_i = \frac{\sum_{j=1}^D |\Theta_{FS}[i, j]|}{\sum_i \sum_j |\Theta_{FS}[i, j]|}$$



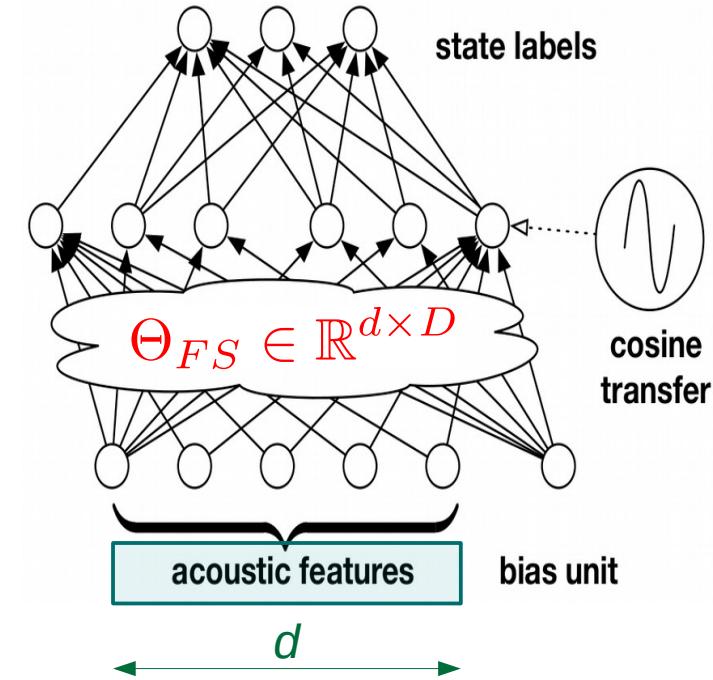
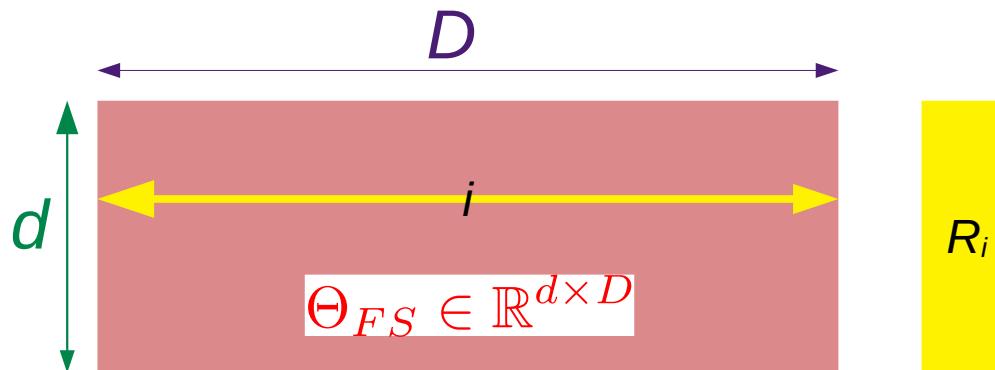
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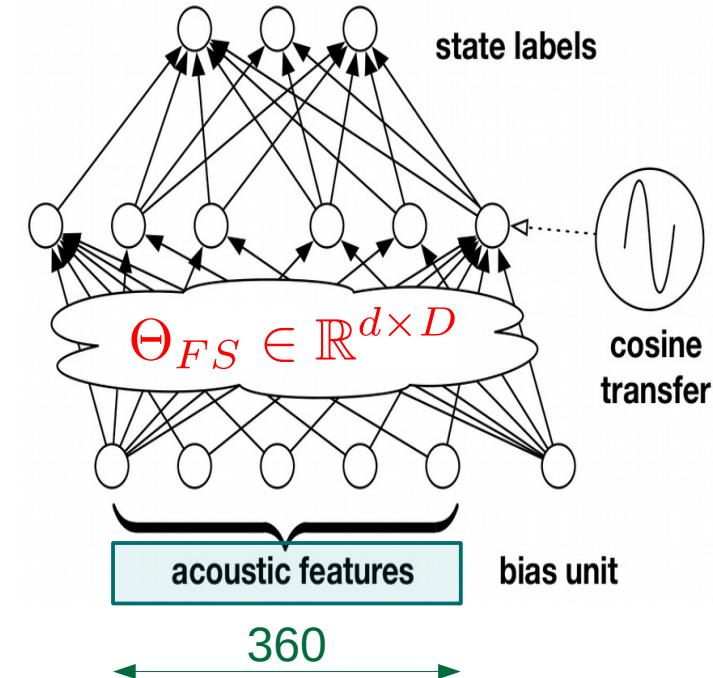
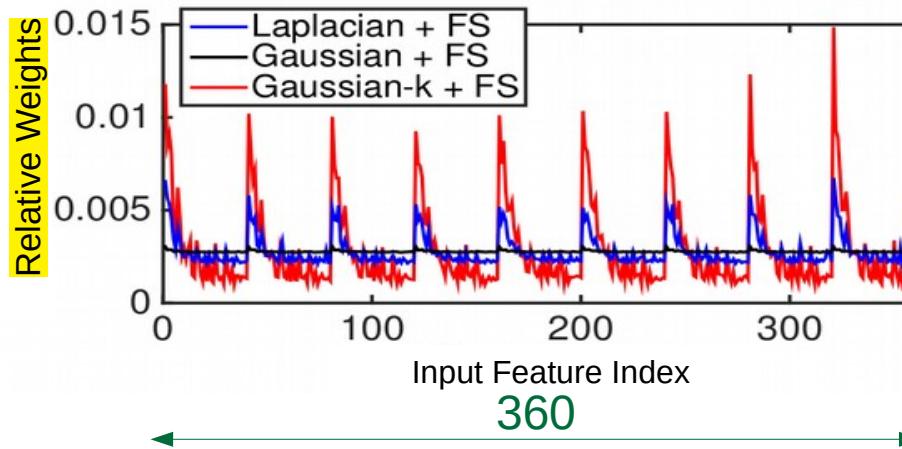
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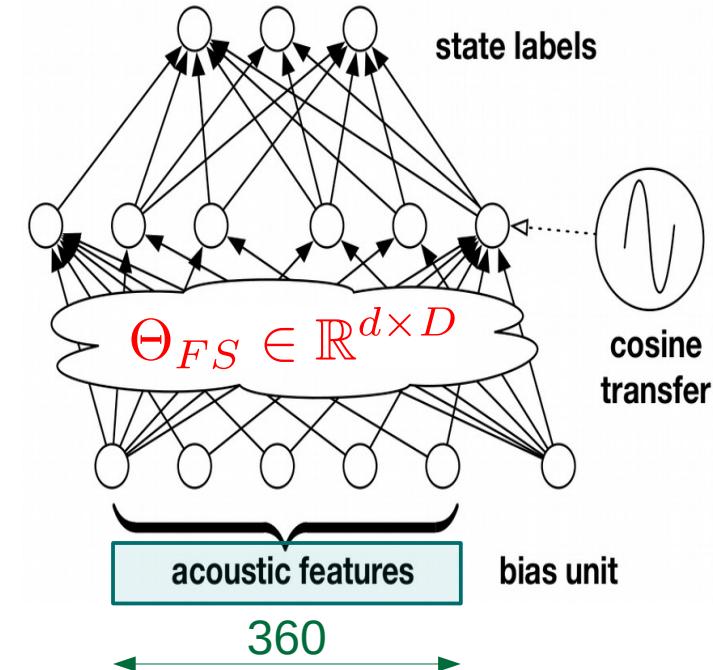
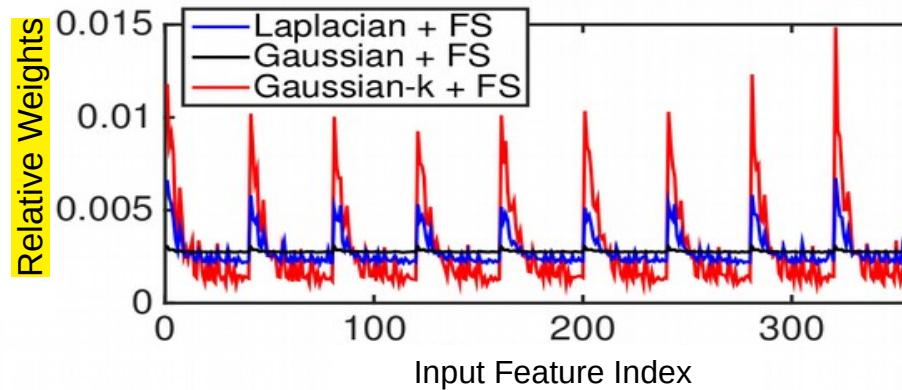
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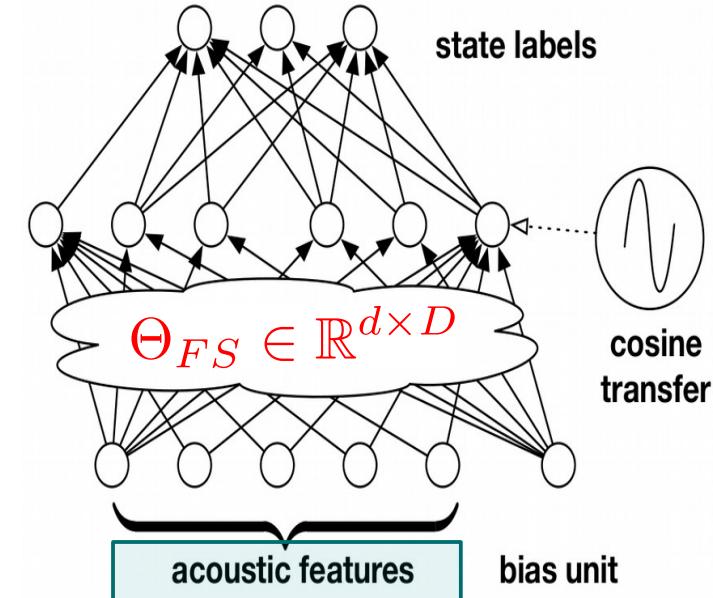
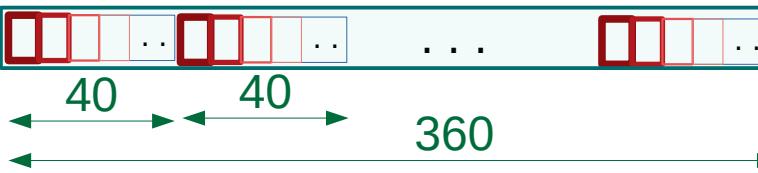
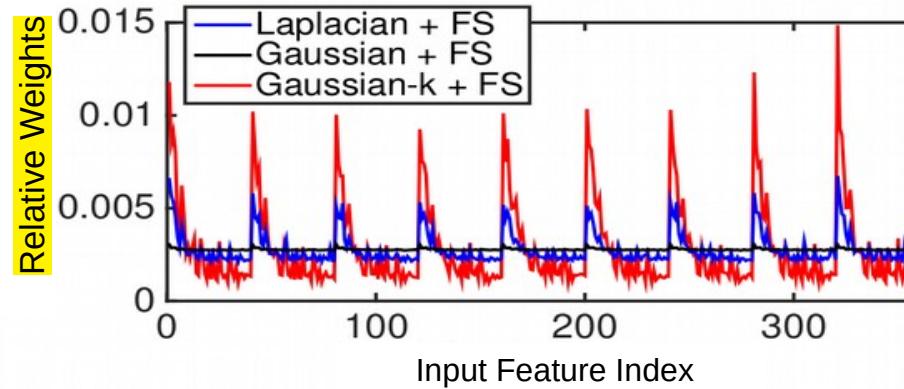
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LDA **ranks** its axes, like PCA

# Wrap-up

- Kernel machines
  - ADVANTAGES: handles non-linear data, interpretable, learning guarantees
  - DISADVANTAGE: Do not scale well
  - SOLUTIONS: Approximate kernel matrix or kernel function
- Novelties
  - Scale-up kernel methods to LVCSR level + comparable results with DNN
  - Random feature selection ( $0.2 \rightarrow 1.6$  WER  $\downarrow$ )
  - Frame-level metrics ( $0 \rightarrow 0.7$  WER  $\downarrow$ )
  - Linear bottleneck ( $0.9 \rightarrow 2.4$  WER  $\downarrow$ )

# That's it!

- Thanks for your attention
- Q & A



# Appendices

- Volume/Surface of Hyper-Sphere
- Dataset
- Kernel Results
- DNN Results
- Nyström vs Random Fourier Features

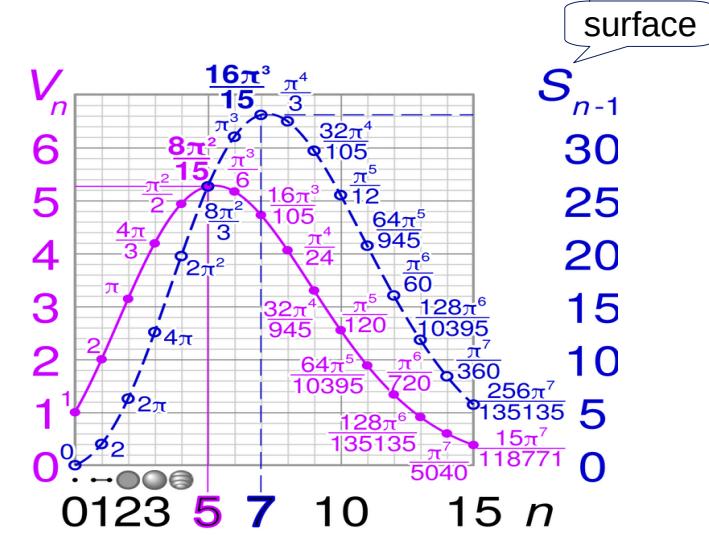


# Volume of Hypersphere (n-ball)

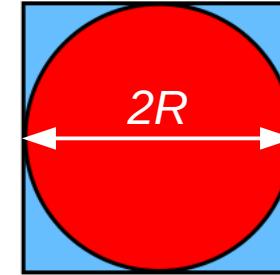
Volume      Radius  
 dimension

$$V_n(R) = \frac{\pi^{\frac{n}{2}}}{\Gamma(\frac{n}{2} + 1)} R^n$$

Gamma function (factorial)  
 Growth faster than exponential



$$\begin{aligned} \lim_{n \rightarrow \infty} \frac{\text{Volume of hypersphere in } \mathbb{R}^n}{\text{Volume of hypercube in } \mathbb{R}^n} &= \lim_{n \rightarrow \infty} \frac{\frac{\pi^{\frac{n}{2}}}{\Gamma(\frac{n}{2}+1)} R^n}{(2R)^n} \\ &= \lim_{n \rightarrow \infty} \frac{\pi^{\frac{n}{2}}}{2^n \Gamma(\frac{n}{2}+1)} = 0 \end{aligned}$$



$n \rightarrow \infty$   
 Red  $\rightarrow 0$

# Experimental Setup – Dataset/TER

Dataset	Train	Heldout	Dev	Test	# Features	# Classes
Beng.	21 hr (7.7M)	2.8 hr (1.0M)	20 hr (7.1M)	5 hr (1.7M)	360	1000
BN-50	45 hr (16M)	5 hr (1.8M)	2 hr (0.7M)	2.5 hr (0.9M)	360	5000
Cant.	21 hr (7.5M)	2.5 hr (0.9M)	20 hr (7.2M)	5 hr (1.8M)	360	1000
TIMIT	3.2 hr (2.3M)	0.3 hr (0.2M)	0.15 hr (0.1M)	0.15 hr (0.1M)	440	147

- Performance Measure → Token Error Rate (TER)
  - WER for Bengali and BN-50
  - CER (character error rate) for Cantonese
  - PER (phone error rate) for TIMIT

# Experimental Results -- Kernel

	Laplacian				Gaussian				Sparse Gaussian			
	NT	B	R	BR	NT	B	R	BR	NT	B	R	BR
Beng.	74.5	72.1	74.5	71.4	72.6	72.0	72.6	71.8	73.0	71.5	73.0	<b>70.9</b>
+FS	72.9	71.1	72.8	70.4	74.1	71.4	74.2	<b>70.3</b>	72.9	71.2	72.8	70.7
BN-50	N/A	17.9	N/A	17.7	N/A	17.3	N/A	17.1	N/A	17.3	N/A	<b>17.0</b>
+FS	N/A	17.1	N/A	<b>16.7</b>	N/A	17.5	N/A	17.0	N/A	17.1	N/A	<b>16.7</b>
Cant.	69.9	68.2	69.2	67.4	70.2	67.6	70.0	<b>67.1</b>	68.6	67.5	68.1	<b>67.1</b>
+FS	68.4	67.5	68.5	<b>66.7</b>	69.9	67.7	69.8	66.9	68.6	67.4	68.5	66.8
TIMIT	20.6	19.2	20.4	18.9	19.8	18.9	19.6	18.6	19.9	18.8	19.6	<b>18.4</b>
+FS	19.5	18.6	19.3	18.4	19.5	18.6	19.4	18.4	19.3	18.4	19.1	<b>18.2</b>

-- NT: No Trick

-- B: linear Bottleneck

-- R: ERLL

-- BR: using B & R

# Experimental Results -- DNN

#nodes hidden layer	1000				2000				4000			
	NT	B	R	BR	NT	B	R	BR	NT	B	R	BR
Beng.	72.3	71.6	71.7	70.9	71.5	71.1	70.7	70.3	71.1	70.6	70.5	<b>70.2</b>
BN-50	18.0	17.3	17.8	17.1	17.4	16.7	17.1	<b>16.4</b>	16.8	16.7	16.7	16.5
Cant.	68.4	68.1	67.9	67.5	67.7	67.7	67.2	<b>67.1</b>	67.7	<b>67.1</b>	67.2	67.2
TIMIT	19.5	19.3	19.4	19.2	19.0	18.9	19.2	19.2	<b>18.6</b>	<b>18.6</b>	18.7	18.9

- **#hidden-layers:** 4
- **NT:** No Trick
- **B:** linear Bottleneck
- **R:** Entropy Regularised Log Loss
- **BR:** using both B & R

# Nyström vs Random Fourier Features

- Kernel matrix approximation
  - Nyström approximation
    - Data-dependent
- Kernel function approximation
  - Random Fourier Features
    - Data independent
- Large eigengap ( $\lambda_{\max} - \lambda_{\min}$ ) in kernel matrix → Difference is highlighted
  - Nyström → lower generalisation error
  - Random Fourier method requires many sample to discover subspace spanned by top eigenvectors