



# Attention based convolutional recurrent neural network for environmental sound classification

Zhichao Zhang, Shugong Xu<sup>\*</sup>, Shunqing Zhang, Tianhao Qiao, Shan Cao

Shanghai Institute for Advanced Communication and Data Science, Shanghai University, Shanghai 200444, China

## ARTICLE INFO

### Article history:

Received 15 February 2020

Revised 23 July 2020

Accepted 4 August 2020

Available online 8 September 2020

Communicated by Wenguan Wang

### Keywords:

Environmental sound classification

Convolutional recurrent neural network

Attention mechanism

## ABSTRACT

Environmental sound classification (ESC) is a challenging problem due to the complexity of sounds. The classification performance is heavily dependent on the effectiveness of representative features extracted from the environmental sounds. However, ESC often suffers from the semantically irrelevant frames and silent frames. In order to deal with this, we employ a frame-level attention model to focus on the semantically relevant frames and salient frames. Specifically, we first propose a convolutional recurrent neural network to learn spectro-temporal features and temporal correlations. Then, we extend our convolutional RNN model with a frame-level attention mechanism to learn discriminative feature representations for ESC. We investigated the classification performance when using different attention scaling function and applying different layers. Experiments were conducted on ESC-50 and ESC-10 datasets. Experimental results demonstrated the effectiveness of the proposed method and our method achieved the state-of-the-art or competitive classification accuracy with lower computational complexity. We also visualized our attention results and observed that the proposed attention mechanism was able to lead the network to focus on the semantically relevant parts of environmental sounds.

© 2020 The Authors. Published by Elsevier B.V. This is an open access article under the CC BY-NC-ND license (<http://creativecommons.org/licenses/by-nc-nd/4.0/>).

## 1. Introduction

Environmental sound classification (ESC) has received increasing research attention during recent several years, which is widely applied in surveillance [22], home automation [26], scene analysis [3] and machine hearing [16]. Different from music and speech recognition tasks, ESC has quite limited pre-known knowledge with respect to the temporal and frequency characteristics. In addition, as the environmental sounds usually behaves in a variable fashion, several naive deterministic prediction schemes are often failed to obtain good performance, which leads ESC to be more challenging in nowadays.

To address this challenge, a variety of signal processing and machine learning techniques have been applied for ESC. For the former, some naive features, e.g. zero-crossing rate or short-time energy, are analyzed via some heuristic backends. With the development of signal processing skills, some dictionary-based methods, such as dictionary learning [7], matrix factorization [4], are successfully applied in ESC [18]. However, this type of schemes often requires tedious feature design process to obtain reasonable accuracy. In addition, some machine learning techniques, including

gaussian mixture model (GMM) [9] and support vector machine (SVM) [7] have been widely adopted in ESC. Since these techniques have ability to handle complex high-dimensional features, multiple feature transformation schemes have been applied, such as mel-frequency cepstral coefficient (MFCC), mel-spectrogram features [7], gammatone-spectrogram features [27] and wavelet-based features [10].

In recent years, deep neural networks (DNNs) have shown outstanding performance in feature extraction for ESC. Compared to hand-crafted feature, DNNs have the ability to extract discriminative feature representations from large quantities of training data and generalize well on unseen data. McLoughlin et al. [17] proposed a deep belief network to extract high-level feature representations from magnitude spectrum, which yielded better results than the traditional methods. Piczak [19] first evaluated the potential of convolutional neural network (CNN) in classifying short audio clips of environmental sounds and showed excellent performance on several public datasets. In order to model the sequential dynamics of environmental sound signals, Vu et al. [28] applied a recurrent neural network (RNN) to learn temporal relationships.

However, these schemes are limited to improve classification accuracy since they usually ignore the complex temporal characteristics of environmental sounds. Generally speaking, the temporal structure of environmental sounds can be transient (e.g. gun

<sup>\*</sup> Corresponding author.

E-mail address: [shugong@shu.edu.cn](mailto:shugong@shu.edu.cn) (S. Xu).

shot), continuous (e.g. *rain*) or intermittent (e.g. *dog bark*), which makes it unfeasible to simply model the temporal variations via the existing techniques like hidden markov model (HMM). In addition, sound clips usually contain many periods of silence in public ESC datasets, with only a few intermittent frames associated with the characteristics of sound classes. Fig. 1 shows some examples of log gammatone spectrogram in ESC-50 dataset. We see that some salient and semantically relevant features only distribute in a few frames and the features usually contain silent or noisy frames, which reduces the robustness of model and increase misclassification. To deal with the problems, we explore frame-level attention mechanisms for CNN layers and RNN layers to help the network focus on semantically relevant frames. Attention mechanisms have shown outstanding performance in learning relevant feature representations for sequence data and have been successfully applied to a wide variety of tasks, including speech recognition [6], machine translation [2,24], document classification [29] and so on. In the field of ESC, several works [11,13,23,15,32] have studied the effectiveness of attention mechanisms and have obtained promising results in several datasets.

In this paper, we proposed an attention mechanism based convolutional RNN architecture (ACRNN) in order to focus on semantically relevant frames and produce discriminative features for ESC. In our proposed technique, softmax is used as scaling function to generate attention weights [32]. However, the softmax based attention will be forced to focus on a few frames with large weights, which is not ideal for some types of environmental sounds, especially for continuous signals. It is also shown that the softmax based attention does not work well for CNN layers. Therefore, we investigated a sigmoid based attention for CNN layers and compared the classification accuracy with the softmax based one. In addition, this type of method usually requires a large amount of training data and the current public ESC datasets are quite limited. Therefore, we applied an efficient data augmentation scheme named mixup for ESC, which was originally proposed to handle image-related tasks [30]. We evaluated our proposed method on the ESC-10 and ESC-50 datasets and our model achieved the state-of-the-art or competitive performance in terms of classification accuracy. Furthermore, we visualized the learned attention results in order to give a better understanding of how the proposed frame-level attention helps recognize different environmental sounds. The main contributions of this paper are summarized as follows.

- To deal with silent frames and semantically irrelevant frames, We employ an attention model to automatically focus on the semantically relevant frames and produce discriminative features for ESC. We explore both the performance of frame-level attention mechanism for CNN layers and RNN layers. We investigate the selection of attention scaling function and visualize the attention results to have a better understanding how frame-level attention works.

- To analyze temporal relations, We propose a novel convolutional RNN model which first uses CNN to extract high level feature representations and then inputs the features to bidirectional GRUs for temporal summarization. We combine the convolutional RNN and attention model in a unified architecture.
- To further improve classification performance, we apply a data augmentation pipeline which is applied directly to audio spectrogram of ACRNN via mixup and helps the network learn useful features.

The rest of this paper is organized as follows. Recent related works of ESC are introduced in Section 2. Section 3 provides detailed description about the proposed methods, including feature extraction, network architecture, frame-level attention mechanism and data augmentation. Section 4 provides the experimental settings and results on the ESC-10 and ESC-50 datasets. Finally, Section 5 concludes the paper.

## 2. Related work

In this section we introduce the recent deep learning methods for environmental sound classification.

The 2-D CNNs are originally used to analyze spectrogram-like features. Piczak [19] first proposed to apply a 2-D CNN to learn the log mel spectrogram features and obtained a significant improvement than KNN, SVM and random forest. Since log mel spectrogram could be considered as a 2-D image, several well-known image recognition networks, including AlexNet and GoogleNet, have been adopted to classify the input spectrogram features for ESC [5]. More recently, Zhang et al. [31] compared the performance between log mel spectrogram and log gammatone spectrogram features for ESC and reported that the log gammatone spectrogram based system performed better in terms of classification accuracy.

Some researchers also proposed to learn the representations directly from 1-D raw waveform data. Dai et al. [8] proposed to use 1-D convolution and pooling to learn classification model and showed competitive accuracy with log mel spectrogram based methods, however, required more convolutional layers (up to 34 layers). Tokozume et al. [25] proposed an end-to-end network named EnvNet, which first used 1-D convolution to learn 2-D feature maps that were then classified via 2-D convolution and pooling. In [1], Aytar et al. proposed to learned rich sound features from a large amount of unlabeled videos and then adapted the learned sound features to target datasets, where the sound recognition network utilized 1-D convolution.

Recently, attention mechanisms have been incorporated to improve classification performance in the field of ESC [13,23,15,11,32]. Guo et al. [11] proposed to apply attention to a convolutional LSTM network, where the attention is calculated

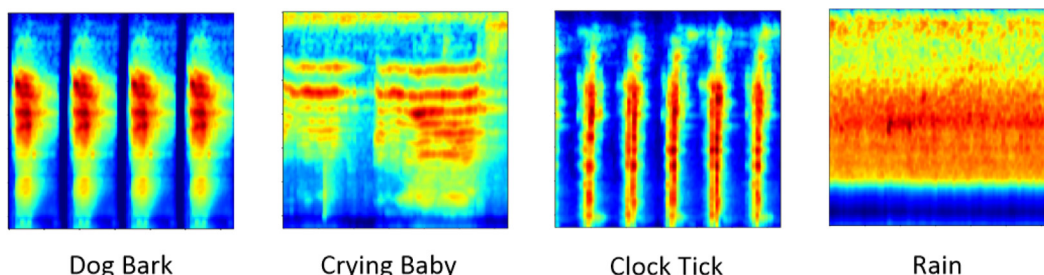


Fig. 1. Examples of log gammatone spectrogram in ESC-50 dataset. From left to right, the class is *dog bark*, *crying baby*, *clock tick* and *rain*.

via a weighted sum up of the output of LSTM layers along time dimension. Closed to [11], Wang et al. [13] proposed to stack multiple attention network to get more powerful representations. In addition, Li et al. [15] proposed a temporal attention mechanism for convolutional layers to enhance the representative ability of CNN, which was calculated from input spectrogram and re-weighted the CNN feature maps via dot-product operation along the time dimension. In this paper, we investigate the frame-level attention mechanism for CNN layers and RNN layers and provide a visualization results of our attention to give a better understanding how frame-level attention helps recognize different environmental sounds.

### 3. Methods

In this section, we introduce the proposed method for ESC. Firstly, we describe how to generate log gammatone spectrogram (Log-GTs) features from environmental sounds. Then, we introduce the architecture of ACRNN which combines convolutional RNN and a frame-level attention mechanism. The architecture of proposed ACRNN is shown in Fig. 2. And we will give a detailed description about the architecture of convolutional RNN and the attention mechanism, respectively. Finally, the data augmentation methods are introduced.

#### 3.1. Feature extraction and preprocessing

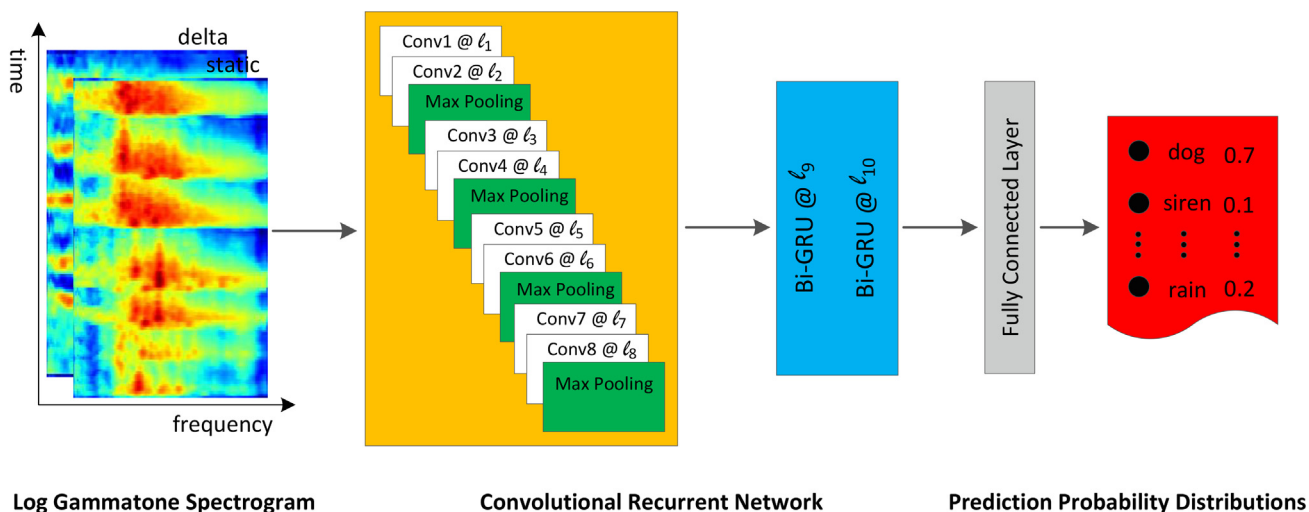
Given a signal, we first use short-time Fourier transform (STFT) with hamming window size of 23 ms (1024 samples at 44.1 kHz) and 50% overlap to extract the energy spectrogram. Then, we apply a 128-band gammatone filter bank [27] to the energy spectrogram and the resulting spectrogram is converted into logarithmic scale. In order to make efficient use of limited data, the spectrogram is split into 128 frames (approximately 1.5s in length) with 50% overlap. The delta information of the original spectrogram is calculated, which is the first temporal derivative of the static spectrogram. Afterwards, we concatenate the static log gammatone spectrogram and its delta information to a 3-D feature representation  $X \in \mathbb{R}^{128 \times 128 \times 2}$  (Log-GTs) as the input of the network.

#### 3.2. Architecture of convolutional RNN

In this section, we introduce the proposed convolutional RNN which is used to analyze Log-GTs for ESC. We first use CNN to learn high level feature representations from the Log-GTs. Then, the CNN-learned features are fed into bidirectional gated recurrent unit (Bi-GRU) layers which are used to learn the temporal correlation information. Finally, these features are fed into a fully connected layer with a softmax function to output the probability distribution of different classes. In this paper, the convolutional RNN is comprised of eight convolutional layers ( $l_1$ – $l_8$ ) and two Bi-GRU layers ( $l_9$ – $l_{10}$ ). The architecture and parameters of network are as follows:

- $l_1$ – $l_2$ : The first two stacked convolutional layers use 32 filters with a receptive field of (3,5) and stride of (1,1). This is followed by a max-pooling with a (4,3) stride to reduce the dimensions of feature maps. ReLU activation function is used.
- $l_3$ – $l_4$ : The next two convolutional layers use 64 filters with a receptive field of (3,1) and stride of (1,1), and is used to learn local patterns along the frequency dimension. This is followed by a max-pooling with a (4,1) stride. ReLU activation function is used.
- $l_5$ – $l_6$ : The following pair of convolutional layers uses 128 filters with a receptive field of (1,5) and stride of (1,1), and is used to learn local patterns along the time dimension. This is followed by a max-pooling with a (1,3) stride. ReLU activation function is used.
- $l_7$ – $l_8$ : The subsequent two convolutional layers use 256 filters with a receptive field of (3,3) and stride of (1,1) to learn joint time–frequency characteristics. This is followed by a max-pooling of a (2,2) stride. ReLU activation function is used.
- $l_9$ – $l_{10}$ : Two Bi-GRU layers with 256 cells are used for temporal summarization, and tanh activation function is used. Dropout with probability of 0.5 is used for each Bi-GRU layer to avoid overfitting.

Batch normalization [12] is applied to the output of the convolutional layers to speed up training. L2-regularization is applied to the weights of each layer with a coefficient 0.0001.



**Fig. 2.** Architecture of convolutional recurrent neural network for environmental sound classification. We extract log gammatone spectrogram and its delta information (Log-GTs) as input to our convolutional recurrent neural network, where the convolutional recurrent neural network consists of eight convolutional layers ( $l_1$ – $l_8$ ) and two bidirectional GRU layers ( $l_9$ – $l_{10}$ ).

### 3.3. Frame-level attention mechanism

Environmental sounds have quite complicated temporal structure and not all frame-level features contribute equally to representations of environmental sounds. Therefore, we apply frame-level attention mechanisms to force model to automatically focus on the meaningful frames and to produce discriminative representations for ESC. In this paper, we investigate frame-level attention mechanisms for CNN layers and RNN layers, respectively.

#### 3.3.1. Attention for CNN layers

As shown in Fig. 3(a), given CNN features  $M \in R^{F \times T \times C}$ , we first use a 3x3 convolution filter to learn a hidden representation. This is followed by a average-pool with  $(F, 1)$  size in order to reduce the frequency dimension to one. Then, we use a scaling function to form a normalized attention map  $A \in R^{1 \times T \times 1}$ , which holds the frame-level attention weights for CNN features. The process can be expressed as,

$$A = \sigma \left( \text{AvgPool} \left( \text{Conv}^{3 \times 3}(M) \right) \right) \quad (1)$$

where  $\sigma$  denotes scaling function. With attention map  $A$ , the attention weighted CNN features are obtained as,

$$M' = M \cdot A \quad (2)$$

The attention is applied by multiplying the attention vector  $A$  to each feature vector of  $M$  along frequency dimension and channel dimension.

#### 3.3.2. Attention for RNN layers

As shown in Fig. 3(b), we first feed the Bi-GRU output  $h_t = [\vec{h}_t, \overleftarrow{h}_t]$  through a one-layer MLP to obtain a hidden representation of  $h_t$ , then we calculate the normalized importance weights  $\beta_t$  as,

$$\beta_t = \frac{\exp(W * h_t)}{\sum_{t=1}^T \exp(W * h_t)} \quad (3)$$

where  $W$  is the weight matrix of the MLP. After that, we compute the feature vector  $v$  through a weighted sum of the frame-level convolutional RNN features based on the weights  $\beta_t$  as,

$$v = \sum_{t=1}^T \beta_t h_t \quad (4)$$

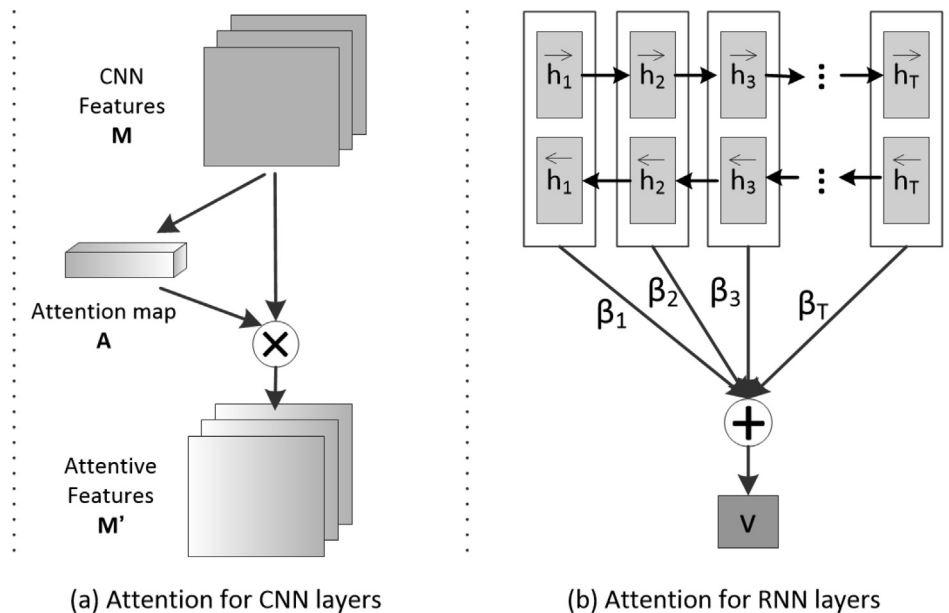
The feature vector  $v$  is forwarded into the fully connected layer for final classification.

### 3.4. Data augmentation

Limited data easily leads model towards overfitting. In this paper, we use time stretch with a factor randomly selected from  $[0.8, 1.3]$  and pitch shift with a factor randomly selected from  $[-3.5, 3.5]$  to increase raw training data size. In addition, an efficient mixup [30] augmentation method is used to construct virtual training data and extend the training distribution. In mixup, the training feature-target pair  $(\hat{x}, \hat{y})$  is generated by mixing two feature-target samples, which is determined by

$$\begin{cases} \hat{x} = \lambda x_i + (1 - \lambda) x_j \\ \hat{y} = \lambda y_i + (1 - \lambda) y_j \end{cases} \quad (5)$$

where  $x_i$  and  $x_j$  are two features randomly selected from the original training Log-GTs,  $y_i$  and  $y_j$  are their one-hot labels. The mixing factor  $\lambda$  is determined by a hyper-parameter  $\alpha$  and  $\lambda \sim \text{Beta}(\alpha, \alpha)$ . The training targets used for the mixed samples are produced with the same proportion. The mixing between features and corresponding one-hot labels encourages the model to learn linear interpolated characteristics in-between training examples, which can reduce the amount of undesirable oscillations when we predict samples outside the training examples [30]. For example, suppose that there is a *dog bark* Log-GTs and a *rain* Log-GTs, whose one-hot labels are  $y_1 = [1, 0, 0, 0, 0, 0, 0, 0, 0, 0]$  and  $y_2 = [0, 1, 0, 0, 0, 0, 0, 0, 0, 0]$  respectively. If we mix the *dog bark* Log-GTs and the *rain* Log-GTs with  $\lambda$  equal to 0.7, the training target for the mixed sample should be set as  $\hat{y} = [0.7, 0.3, 0, 0, 0, 0, 0, 0, 0, 0]$ .



**Fig. 3.** Frame-level attention for (a) CNN layers and (b) RNN layers. For CNN layers, we use frame-level attention to obtain attention map, which is multiplied in frame-wise of CNN features, resulting the attention weighted features. For RNN layers, we utilize frame-level attention to obtain attention weights, which is multiplied in frame-wise of input features. Then, we aggregate these attention weighted representations to form a feature vector, which can be seen as a high-level representation of a sound like *dog bark*.



## 4. Experiments and results

### 4.1. Experiment setup

To evaluate the performance of our proposed method, we carry out experiments on two publicly available datasets: ESC-50 and ESC-10 [20]. ESC-50 is a collection of 2000 environmental recordings containing 50 classes in 5 major categories, including *animals*, *natural soundscapes and water sounds*, *human non-speech sounds*, *interior/domestic sounds*, and *exterior/urban noises*. All audio samples are 5 s in duration with a 44.1 kHz sampling rate. ESC-10 is a subset of 10 classes (400 samples) selected from the ESC-50 dataset (*dog bark*, *rain*, *sea waves*, *baby cry*, *clock tick*, *person sneeze*, *helicopter*, *chainsaw*, *rooster*, *fire crackling*).

In this paper, we use a sampling rate of 44.1 kHz for all samples in order to use rich high-frequency information. For training, all models optimize cross-entropy loss using mini-batch stochastic gradient descent with Nesterov momentum of 0.9. Each batch consists of 64 segments randomly selected from the training set without repetition. All models are trained for 300 epochs by beginning with an initial learning rate of 0.01, and then divided the learning rate by 10 every 100 epochs. We initialize the network weights to zero mean Gaussian noise with a standard deviation of 0.05. In the test phase, we evaluate the whole sample prediction with the highest average prediction probability of each segment. Both the training and testing features are normalized by the global mean and standard deviation of the training set. All models are trained using Keras library with TensorFlow backend on a Nvidia P100 GPU with 12 GB memory.

### 4.2. Experiment results

We compare our model with existing methods reported as PiczakCNN [19], SoundNet [1], WaveMsNet [33], EnvNet-v2 [25] and Multi-Stream CNN [15]. According to [19], PiczakCNN consists of two convolutional layers and three fully connected layers. The input features of CNN are generated by combining log mel spectrogram and its delta information. We refer PiczakCNN as a baseline method.

The results are summarized in Table 1. We see that ACRNN outperforms PiczakCNN and obtains an absolute improvement of 13.2% and 21.2% on ESC-10 and ESC-50 datasets, respectively. Then, we compare our model with several state-of-the-art methods: SoundNet8 [1], WaveMsNet [33], EnvNet-v2 [25] and Multi-Stream CNN [15]. We observe that on both ESC-10 and ESC-50 datasets, ACRNN obtains the highest classification accuracy. Note that WaveMsNet [33] and Multi-Stream CNN [15] achieve the

same classification accuracy as ACRNN on ESC-10 but using feature fusion (raw data and spectrogram features), whereas ACRNN only utilizes spectrogram features.

In Fig. 4, we provide the confusion matrix generated by ACRNN for ESC-50 dataset. We see that most classes achieve higher accuracy than 80%(32/40). Particularly, *church bells* obtains a 100% recognition rate. However, we observe that only 52.5%(21/40) *helicopter* samples are correctly recognized with 17.5%(7/40) samples misclassified as *airplane*. We attribute this mistakes to the similar characteristics between the two environmental sounds.

In order to further demonstrate the efficiency of the proposed method, we compare the computational complexity of our proposed approach and PiczakCNN [19] that is usually referred as a baseline of neural network methods for ESC tasks. We reproduced the network architecture of PiczakCNN according to the description provided by [19]. Table 2 shows the number of model parameters and floating point operations (FLOPs) of the proposed method and PiczakCNN. From Table 2, we can see that the total parameters and FLOPs of ACRNN are significantly lower than PiczakCNN, while ACRNN outperforms PiczakCNN in terms of classification accuracy. In addition, we also compare the computational complexity of the convolutional RNN (without attention) and ACRNN (with attention at  $l_{10}$ ). The result shows that the model parameters of the two models are almost same with 3.81 million and the FLOPs of ACRNN is only 0.01 million more than convolutional RNN, which indicates that with the computational complexity almost unchanged, the proposed method can effectively improve the classification accuracy.

### 4.3. Effects of attention mechanism

To investigate the effect of the attention mechanism, we compare the results of proposed convolutional RNN with and without the attention mechanism. In Table 3, the results show that the attention mechanism delivers a significantly improved accuracy even when we use a data augmentation scheme. In addition, the data augmentation boosts an improvement of 2.0% and 4.8% on ESC-10 and ESC-50 datasets, respectively.

### 4.4. Where and how to apply attention

In this section, we first investigate the classification performance when applying frame-level attention mechanism to the different layers of CNN and RNN. Specifically, we conduct experiments about applying frame-level attention mechanism to  $l_2$ ,  $l_4$ ,  $l_6$ ,  $l_8$  and  $l_{10}$  layers of our convolutional RNN network. As shown in Table 4, our model obtains the highest classification accuracy and boosts an absolutely improvement of 0.7% and 1.5% when applying the attention mechanism at  $l_{10}$  on both ESC-10 and ESC-50 datasets, respectively. For CNN layers, applying the attention mechanism at  $l_2$  layer can obtain better classification accuracy than others. In addition, we observe that applying the attention mechanism at lower-layers ( $l_2$  and  $l_4$ ) will obtain better performance than applying it at higher-level layers ( $l_6$  and  $l_8$ ). We argue that lower-level features usually keep the basic and useful characteristics of environmental sounds and the attention mechanism can help preserve them.

In addition, we evaluate the effect of scaling function on classification accuracy. Specifically, we select softmax and sigmoid function as scaling function and compare their classification accuracy. From Table 4 we can see that when we select softmax as scaling function, our model only obtains a slight improvement with the attention mechanism applied at  $l_2$  and  $l_8$  on ESC-50 dataset and  $l_2$  on ESC-10 dataset. When applying attention mechanism at other

**Table 1**

Comparison of ACRNN and existing methods. We perform 5-fold cross validation (CV) by using the official fold settings. The average results of CV are recorded.

Model	ESC-10	ESC-50
KNN [21]	66.7%	32.3%
SVM [21]	67.5%	39.6%
Random Forest [21]	72.7%	44.3%
AlexNet [5]	78.4%	78.7%
Google Net [5]	63.2%	67.8%
PiczakCNN [19]	80.5%	64.9%
SoundNet [1]	92.1%	74.2%
WaveMsNet [33]	93.7%	79.1%
EnvNet-v2 [25]	91.4%	84.9%
ProCNN [14]	92.1%	82.8%
Multi-Stream CNN [15]	93.7%	83.5%
ACRNN	<b>93.7%</b>	<b>86.1%</b>

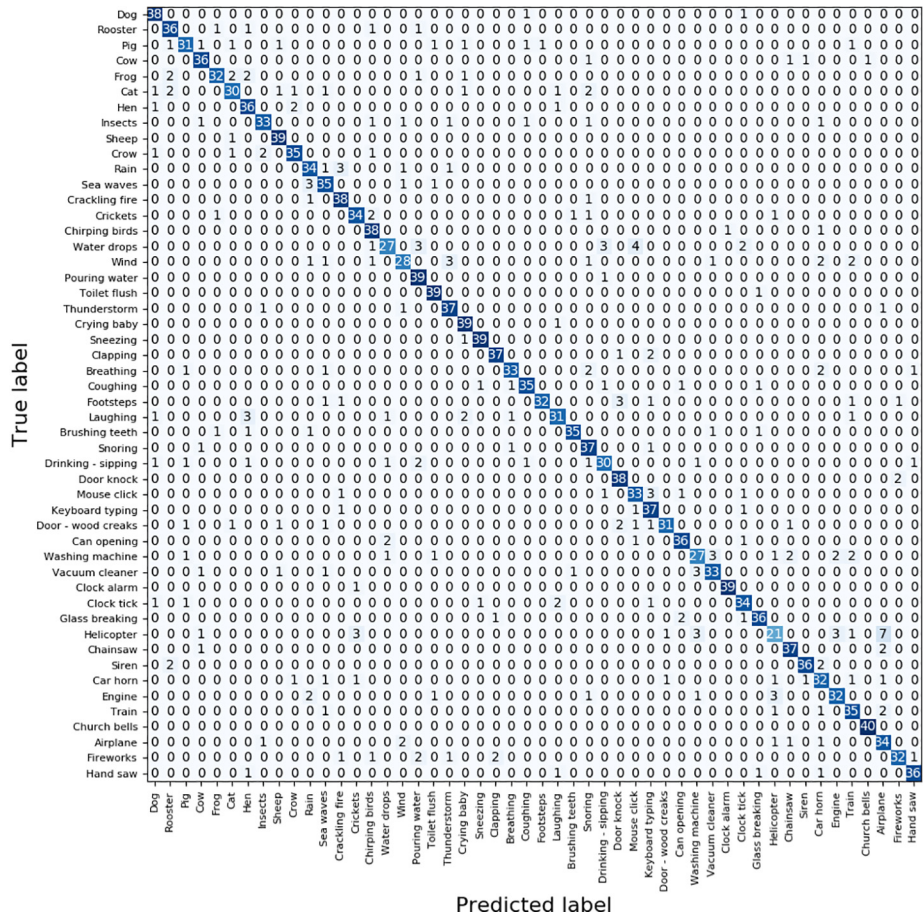


Fig. 4. Confusion matrix of ACRNN with an average classification accuracy 86.1% on ESC-50 dataset.

Table 2

Computational complexity of PiczakCNN and proposed ACRNN. "Params" denotes the number of model parameters and "FLOPs" denotes the number of floating point operations. Note that the input shape of PiczakCNN is  $60 \times 41 \times 2$ .

Model	Params (M)	FLOPs (M)
PiczakCNN [19]	31.53	63.27
convolutional RNN (Ours)	3.81	9.17
ACRNN (Ours)	3.81	9.18

Table 3

Classification accuracy of proposed convolutional RNN with and without the attention mechanism. 'augment' denotes a combination of time stretch, pitch shift and mixup.

Model Settings	ESC-10	ESC-50
convolutional RNN	89.2%	79.9%
+ attention	91.7%	81.3%
+ augment	93.0%	84.6%
+ attention + augment	<b>93.7%</b>	<b>86.1%</b>

CNN layers, the classification accuracy decreased. However, when we select sigmoid as scaling function, the proposed frame-level attention can always improve the classification accuracy on ESC-10 and ESC-50 datasets. One main reason for this phenomenon is that softmax will force the attention to focus on a few frames with larger weight values for CNN features, which is not ideal for continuous signals. In contrast, sigmoid just scales an attention value to the range from 0 to 1 without considering other attention values.

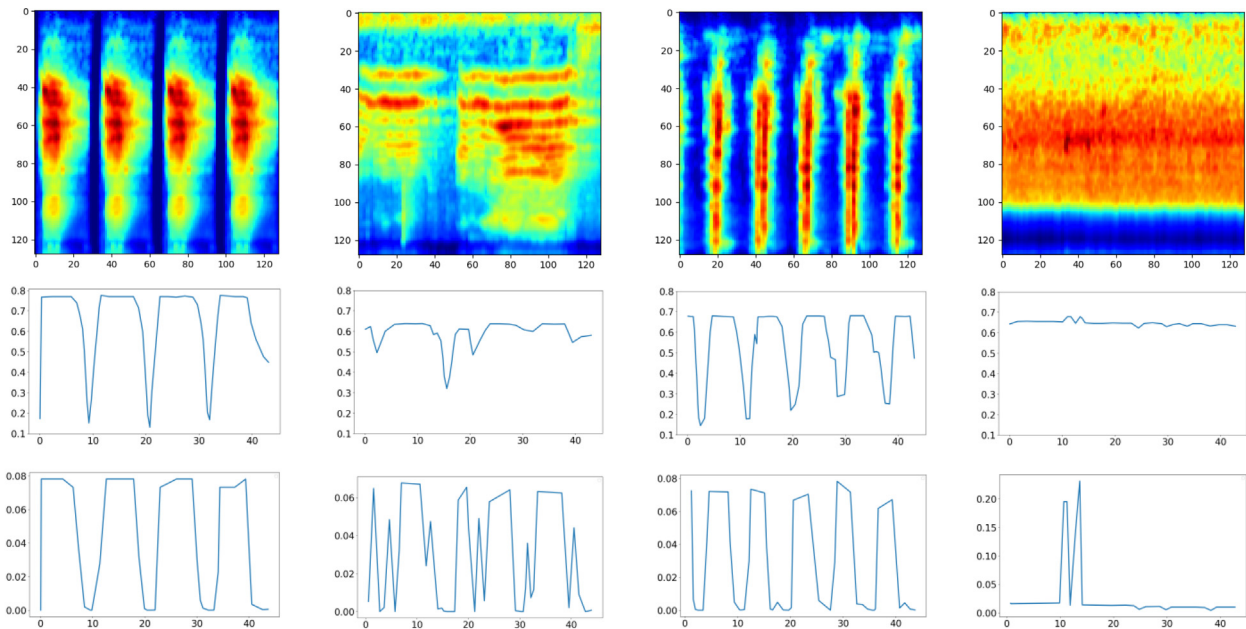
Table 4

Classification accuracy of applying the attention mechanism to the output of different layers of the proposed convolutional RNN and using different scaling functions.

Model Settings	ESC-10	ESC-50
no attention	93.0%	84.6%
attention at $l_2$ (softmax)	93.5%	85.2%
attention at $l_2$ (sigmoid)	93.5%	85.6%
attention at $l_4$ (softmax)	92.7%	83.8%
attention at $l_4$ (sigmoid)	93.5%	85.0%
attention at $l_6$ (softmax)	92.7%	84.4%
attention at $l_6$ (sigmoid)	93.0%	84.8%
attention at $l_8$ (softmax)	92.5%	84.9%
attention at $l_8$ (sigmoid)	93.2%	85.0%
attention at $l_{10}$	<b>93.7%</b>	<b>86.1%</b>

#### 4.5. Visualization of attention

To have a better understanding how the proposed frame-level attention helps recognize different environmental sounds, we visualize the attention results for different sound classes (*dog bark*, *crying baby*, *clock tick* and *rain*). From Fig. 5, we can see that the proposed frame-level attention mechanism is capable of focusing on the important temporal events while reducing the impact of background noise. However, we find that the weight value of softmax based attention is too small, which is due to the fact that the sum of softmax based weight value is equal to one. In addition, we see that the attention for *rain* class only focus on a few frames, which may reduce model robustness.



**Fig. 5.** Visualization of frame-level attention results with sigmoid (second row) and softmax (third row) as scaling function at  $l_2$  layer. The first row represents the log gammatone spectrogram of dog bark, crying baby, clock tick and rain, the second row indicates the learned frame-level attention weights.

## 5. Conclusion

In this paper, we proposed an attention mechanism based convolutional recurrent neural network (ACRNN) for ESC. We investigated the frame-level attention mechanism for CNN layers and RNN layers. In addition, we compared the computational complexity of our proposed approach and existing work. Experimental results on ESC-10 and ESC-50 datasets demonstrated the effectiveness of the proposed method and achieved state-of-the-art or competitive classification accuracy with low computational complexity. We also compared the classification accuracy when applying different layers, including CNN layers and RNN layers. For CNN layers, we explored the effects of using different attention scaling function on classification accuracy. The experimental results showed that applying attention for RNN layers obtained highest accuracy and sigmoid worked better for generating attention weights than softmax when applying attention at CNN layers. Finally, we visualized the learned attention results to have a better understanding how attention works. While the proposed method achieves the promising results, the robustness to noise of the proposed method is not quantified in this paper. Therefore, in the future work, we will evaluate the robustness to noise of the proposed method with different types of noise with different levels of SNR.

## CRediT authorship contribution statement

**Zhichao Zhang:** Conceptualization, Methodology, Software, Writing - original draft, Investigation. **Shugong Xu:** Supervision, Conceptualization, Writing - review & editing. **Shunqing Zhang:** Conceptualization, Writing - review & editing. **Tianhao Qiao:** Software, Validation. **Shan Cao:** Writing - review & editing.

## Declaration of Competing Interest

The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

## Acknowledgement

This work was supported by the National Science and Technology Major Project 2018ZX03001009, and research funds from Shanghai Institute for Advanced Communication and Data Science (SICS).

## References

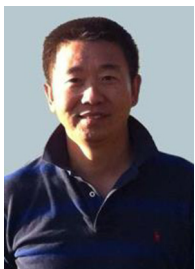
- [1] Y. Aytar, C. Vondrick, A. Torralba, Soundnet: learning sound representations from unlabeled video, in: *Proc. Int. Conf. Neural Inf. Process. Syst.*, 2016, pp. 892–900.
- [2] D. Bahdanau, K. Cho, Y. Bengio, Neural Machine Translation by Jointly Learning to Align and Translate, 2014. arXiv preprint arXiv:1409.0473.
- [3] D. Barchiesi, D. Giannoulis, D. Stowell, M.D. Plumbley, Acoustic scene classification: classifying environments from the sounds they produce, *IEEE Signal Process. Mag.* 32 (2015) 16–34.
- [4] V. Bisot, R. Serizel, S. Essid, G. Richard, Feature learning with matrix factorization applied to acoustic scene classification, *IEEE/ACM Trans. Audio Speech Language Process.* 25 (2017) 1216–1229.
- [5] V. Boddapati, A. Petef, J. Rasmussen, L. Lundberg, Classifying environmental sounds using image recognition networks, *Proc. Comput. Sci.* 112 (2017) 2048–2056.
- [6] J.K. Chorowski, D. Bahdanau, D. Serdyuk, K. Cho, Y. Bengio, Attention-based Models for Speech Recognition, in: *Proc. Int. Conf. Neural Inf. Process. Syst.*, 2015, pp. 577–585.
- [7] S. Chu, S. Narayanan, C.C.J. Kuo, Environmental sound recognition with time-frequency audio features, *IEEE Trans. Audio Speech Language Process.* 17 (2009) 1142–1158.
- [8] W. Dai, C. Dai, S. Qu, J. Li, S. Das, Very Deep Convolutional Neural Networks for Raw Waveforms, in: *Proc. Int. Conf. Acoust., Speech, Signal Process.*, 2017, pp. 421–425.
- [9] P. Dhanalakshmi, S. Palanivel, V. Ramalingam, Classification of audio signals using AANN and GMM, *Appl. Soft Comput.* 11 (2011) 716–723.
- [10] J.T. Geiger, K. Helwani, Improving event detection for audio surveillance using gabor filterbank features, *Proc. Euro. Signal Process. Conf.* (2015) 714–718.
- [11] J. Guo, N. Xu, L.J. Li, A. Alwan, Attention based CLDNNs for short-duration acoustic scene classification, *Proc. Interspeech* (2017) 469–473.
- [12] S. Ioffe, C. Szegedy, Batch Normalization: Accelerating Deep Network Training by Reducing Internal Covariate Shift, 2015. arXiv preprint arXiv:1502.03167.
- [13] W. Jun, L. Shengchen, Self-Attention Mechanism Based System for DCASE2018 Challenge Task1 and Task4, *DCASE2018 Challenge*, Tech. Rep, 2018.
- [14] S. Li, Y. Yao, J. Hu, G. Liu, X. Yao, J. Hu, An ensemble stacked convolutional neural network model for environmental event sound recognition, *Appl. Sci.* 8 (2018) 1152.
- [15] X. Li, V. Chebiyyam, K. Kirchhoff, Multi-stream Network with Temporal Attention for Environmental Sound Classification, 2019. arXiv preprint arXiv:1901.08608.



- [16] R.F. Lyon, Machine hearing: an emerging field [Exploratory DSP], *IEEE Signal Process. Mag.* 27 (2010) 131–139.
- [17] I. McLoughlin, H. Zhang, Z. Xie, Y. Song, W. Xiao, Robust sound event classification using deep neural networks, *IEEE/ACM Trans. Audio, Speech, Language Process.* 23 (2015) 540–552.
- [18] A. Mesaros, T. Heittola, E. Benetos, P. Foster, M. Lagrange, T. Virtanen, M.D. Plumbley, Detection and classification of acoustic scenes and events: outcome of the DCASE 2016 challenge, *IEEE/ACM Trans. Audio Speech Lang. Process.* 26 (2018) 379–393.
- [19] K.J. Piczak, Environmental Sound Classification with Convolutional Neural Networks, in: *Proc. 25th Int. Workshop Mach. Learning Signal Process.*, 2015, pp. 1–6.
- [20] K.J. Piczak, ESC: Dataset for Environmental Sound Classification, in: *Proc. 23rd ACM Int. Conf. Multimedia*, 2015, pp. 1015–1018.
- [21] K.J. Piczak, ESC: dataset for environmental sound classification, *Proc. Int. Conf. Multimedia (2015)* 1015–1018.
- [22] R. Radhakrishnan, A. Divakaran, A. Smaragdis, Audio Analysis for Surveillance Applications, in: *Proc. IEEE Workshop Appl. Signal Process. Audio Acoust.*, 2005, pp. 158–161.
- [23] Z. Ren, et. al., Attention-based Convolutional Neural Networks for Acoustic Scene Classification, *DCASE2018 Challenge*, Tech. Rep., 2018.
- [24] B. Sankaran, H. Mi, Y. Al-Onaizan, A. Ittycheriah, Temporal Attention Model for Neural Machine Translation, 2016. arXiv preprint arXiv:1608.02927.
- [25] Y. Tokozume, Y. Ushiku, T. Harada, Learning from Between-Class Examples for Deep Sound Recognition, 2017. arXiv preprint arXiv:1711.10282.
- [26] M. Vacher, J.F. Serignat, S. Chaillol, Sound classification in a smart room environment: an approach using GMM and HMM methods, *Proc. 4th IEEE Conf. Speech Technique, Human-Computer Dialogue (2007)* 135–146.
- [27] X. Valero, F. Alias, Gammatone cepstral coefficients: biologically inspired features for non-speech audio classification, *IEEE Trans. Multimedia* 14 (2012) 1684–1689.
- [28] T.H. Vu, J.C. Wang, Acoustic Scene and Event Recognition Using Recurrent Neural Networks, *DCASE2016 Challenge*, Tech. Rep., 2016.
- [29] Z. Yang, D. Yang, C. Dyer, X. He, A. Smola, E. Hovy, Hierarchical attention networks for document classification, *Proc. NAACL-HLT (2016)* 1480–1489.
- [30] H. Zhang, M. Cisse, Y.N. Dauphin, D. Lopez-Paz, Mixup: Beyond Empirical Risk Minimization, 2017. arXiv preprint arXiv:1710.09412.
- [31] Z. Zhang, S. Xu, S. Cao, S. Zhang, Deep Convolutional Neural Network with Mixup for Environmental Sound Classification, in: *Proc. Chinese Conf. Pattern Recognit. Comput. Vision*, Springer, 2018, pp. 356–367.
- [32] Z. Zhang, S. Xu, T. Qiao, S. Zhang, S. Cao, Attention Based Convolutional Recurrent Neural Network for Environmental Sound Classification, in: *Proc. Chinese Conf. Pattern Recognit. Comput. Vision*, Springer, 2019, pp. 261–271.
- [33] B. Zhu, C. Wang, F. Liu, J. Lei, Z. Lu, Y. Peng, Learning Environmental Sounds with Multi-scale Convolutional Neural Network, 2018. arXiv preprint arXiv:1803.10219.



**Zhichao Zhang** received the B.E. degree from the Department of Communication Engineering, Shanghai University, Shanghai, China, in 2017. He is currently pursuing the master degree in information and communication engineering at Shanghai University, China. His research interests include environmental sound classification, audio generation and sound source localization.



**Shugong Xu** (M'98–SM'06–F'16) graduated from Wuhan University, China, in 1990, and received his Master degree in Pattern Recognition and Intelligent Control from Huazhong University of Science and Technology (HUST), China, in 1993, and Ph.D. degree in EE from HUST in 1996. He is professor at Shanghai University, head of the Shanghai Institute for Advanced Communication and Data Science (SICS). He was the center Director and Intel Principal Investigator of the Intel Collaborative Research Institute for Mobile Networking and Computing (ICRI-MNC), prior to December 2016 when he joined Shanghai University. Before joining Intel in

September 2013, he was a research director and principal scientist at the Communication Technologies Laboratory, Huawei Technologies. Among his responsibilities at

Huawei, he founded and directed Huawei's green radio research program, Green Radio Excellence in Architecture and Technologies (GREAT). He was also the Chief Scientist and PI for the China National 863 project on End-to-End Energy Efficient Networks. Shugong was one of the co-founders of the Green Touch consortium together with Bell Labs etc, and he served as the Co-Chair of the Technical Committee for three terms in this international consortium. Prior to joining Huawei in 2008, he was with Sharp Laboratories of America as a senior research scientist. Before that, he conducted research as research fellow in City College of New York, Michigan State University and Tsinghua University. Dr. Xu published over 100 peer-reviewed research papers in top international conferences and journals. One of his most referenced papers has over 1400 Google Scholar citations, in which the findings were among the major triggers for the research and standardization of the IEEE 802.11s. He has over 20 U.S. patents granted. Some of these technologies have been adopted in international standards including the IEEE 802.11, 3GPP LTE, and DLNA. He was awarded 'National Innovation Leadership Talent' by China government in 2013, was elevated to IEEE Fellow in 2015 for contributions to the improvement of wireless networks efficiency. Shugong is also the winner of the 2017 Award for Advances in Communication from IEEE Communications Society. His current research interests include wireless communication systems and Machine Learning.



(S'05–M'09–SM'14) received the B.S. degree from the Department of Microelectronics, Fudan University, Shanghai, China, in 2005, and the Ph.D. degree from the Department of Electrical and Computer Engineering, Hong Kong University of Science and Technology, Hong Kong, in 2009. He was with the Communication Technologies Laboratory, Huawei Technologies, as a Research Engineer and then a Senior Research Engineer from 2009 to 2014, and a Senior Research Scientist of Intel Collaborative Research Institute on Mobile Networking and Computing, Intel Labs from 2015 to 2017. Since 2017, he

has been with the School of Communication and Information Engineering, Shanghai University, Shanghai, China, as a Full Professor. His current research interests include energy efficient 5G/5G+ communication networks, hybrid computing platform, and joint radio frequency and baseband design. He has published over 60 peer-reviewed journal and conference papers, as well as over 50 granted patents. He has received the National Young 1000-Talents Program and won the paper award for Advances in Communications from IEEE Communications Society in 2017.



**Tianhao Qiao** received the B.E. degree from the Department of Communication Engineering, Shanghai University, Shanghai, China, in 2018. She is currently pursuing the master degree in information and communication engineering at Shanghai University, China. Her research interests include environmental sound classification and speech enhancement.



**Shan Cao** received her B.S. degree and Ph.D. degree in Microelectronics from Tsinghua University, China, in 2009 and 2015 respectively. She was a postdoc in School of Information and Electronics, Beijing Institute of Technology during 2015 and 2017. She is currently an assistant professor in Shanghai University. Her current research interests include wireless communication systems, channel encoding and decoding, machine learning acceleration and its ASIC design.