On the similarities of representations in artificial and brain neural networks for speech recognition

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# Abstract

How the human brain supports speech comprehension is an important question in neuroscience. Studying the neurocomputational mechanisms underlying human language is not only critical to understand and develop treatments for many human conditions that impair language and communication but also to inform artificial systems that aim to automatically process and identify natural speech. In recent years, intelligent machines powered by deep learning have achieved near human level of performance in speech recognition. The fields of artificial intelligence and cognitive neuroscience have finally reached a similar phenotypical level despite of their huge differences in implementation, and so deep learning models can—in principle—serve as candidates for mechanistic models of the human auditory system. Utilizing high-performance automatic speech recognition systems, and advanced noninvasive human neuroimaging technology such as magnetoencephalography and multivariate pattern-information analysis, the current study aimed to relate machine-learned representations of speech to recorded human brain representations of the same speech. In one direction, we found a quasi-hierarchical functional organisation in human auditory cortex qualitatively matched with the hidden layers of deep neural networks trained in an automatic speech recognizer. In the reverse direction, we modified the hidden layer organization of the artificial neural network based on neural activation patterns in human brains. The result was a substantial improvement in word recognition accuracy and learned speech representations. We have demonstrated that artificial and brain neural networks can be mutually informative in the domain of speech recognition.

# Author summary

The human capacity to recognize individual words from the sound of speech is a cornerstone of our ability to communicate with one another, yet the processes and representations underlying it remain largely unknown. Software systems for automatic speech-to-text provide a plausible

model for how speech recognition can be performed. In this study, we used an automatic speech recogniser model to probe recordings from the brains of participants who listened to speech. We found that the parts of the dynamic, evolving representations inside the machine system were a good fit for representations found in the brain recordings, both showing similar hierarchical organisations. Then, we observed where the machine's representations diverged from the brain's, and made experimental adjustments to the automatic recognizer's design so that its representations might better fit the brain's. In so doing, we substantially improved the recognizer's ability to accurately identify words.

# <sup>1</sup> Introduction

Speech comprehension—the ability to accurately identify words and meaning in a continuous 2 auditory stream—is a cornerstone of the human communicative faculty. Nonetheless, there is still 3 limited understanding of the neurocomputational representations and processes in the human 4 brain which underpin it. One way to approach this question is in reverse: to find artificial systems 5 which can accomplish the task, and use them to model and probe the brain's solution. In the 6 domain of engineering, automatic speech recognition (ASR) systems are designed to identify 7 words from recorded speech audio. In this way, ASR systems provide a computationally explicit 8 account of how speech recognition can be achieved, so correspondences between the human 9 and machine systems are of particular interest; specifically, the question of whether the learned 10 representations in an ASR can be linked to those found in human brains. Modern advances 11 in high-resolution neuroimaging and multivariate pattern-information analysis have made this 12 investigation feasible. 13

In the present research, we took a bidirectional approach, relating machine-learned represen-14 tations of speech to recorded brain representations of the same speech. First, we used the 15 representations learned by an ASR system with deep neural network (DNN) acoustic models 16 [24] to probe the representations of heard speech in the brains of human participants undergoing 17 continuous brain imaging. This provided a mechanistic evidence of speech responses in human 18 auditory cortex. Then, in the opposite direction, we used the architectural patterns of neural 19 activation we found in the brains to refine the DNN architecture and demonstrated that this im-20 proves ASR performance. This bidirectional approach was made possible by recently developed 21 multivariate pattern analysis methods capable of comparing learned speech representations in 22 living brain tissue and computational models. 23

# 24 A computational model of speech recognition

ASR encompasses a family of computationally specified processes which perform the task of converting recorded speech sounds to the underlying word identities. Modern ASR systems employing DNN acoustic and language models now approach human levels of word recognition accuracy on specific tasks. For instance, regarding English, the word error rate (WER) of transcribing careful reading speech with no background noise can be lower than 2% [35, 48], and the WER of transcribing spontaneous conversational telephone speech can be lower than 6% [52, 66].

For the present study, our ASR system was constructed based on a set of hidden Markov 32 models (HMMs). For each, a designated context-dependent phonetic unit handled the transitions 33 between the hidden states. A DNN model was used to provide the observation probability of a 34 speech feature vector given each HMM state. This framework is often called a "hybrid system" 35 in the ASR literature [6, 24]. The Hidden Markov Model Toolkit (HTK: [67, 70]), among the most 36 widely used ASR software, was used to train the DNN-HMMs and construct the overall ASR 37 pipeline of audio to text. A version of this model comprised a key part of the first-place winner 38 of the multi-genre broadcast (MGB) challenge of the IEEE Automatic Speech Recognition and 39

Understanding Workshop 2015 [4, 64]. In this paper, all ASR systems were built in HTK using 200 hours of training data from the MGB challenge. We designed the experimental setup carefully to use only British English speech and reduce the channel difference caused by different recording devices. 43

Of particular importance for the present study is the inclusion of a low-dimensional *bottleneck* 44 layer in the DNN structure of our initial model. Each of the first five hidden layers contains 45 1000 nodes, while the sixth hidden layer has just 26 nodes. Since the DNN layers are feed-46 forward and fully connected, each node in each layer is connected only with the nodes from 47 its immediately preceding layer, and as such the acoustic feature representations of the input 48 speech are forced to pass through each layer in turn to derive the final output probabilities of the 49 context-dependent phonetic units. The bottleneck layer representations are highly compressed 50 and discriminative, and are therefore widely used as an alternative type of input features to 51 acoustic models in ASR literature [21, 60, 64]. In addition, the inclusion of this bottleneck layer 52 greatly reduces the number of DNN parameters without significantly diminishing the accuracy 53 of word recognition [64], since it can prevent the model from over-fitting to the training data [5]. 54 Thus, the bottleneck layer representation provides a learned, low-dimensional representation of 55 speech which is both parsimonious and sufficient for high-performance speech recognition. This 56 is especially interesting for the present study, given the inherently low-dimensional parametri-57 sation of speech that is given by articulatory features, which are a candidate characterisation of 58 responses to speech in human auditory cortex. 59

## Speech responses in human auditory cortex

Recent electrocorticography (ECoG; [9, 18, 37, 38, 43, 44]) and functional magnetic resonance <sup>61</sup> imaging (fMRI; [1, 13]) studies in humans show differential responses to speech sounds exhibiting <sup>62</sup> different articulatory features in superior temporal speech areas. Heschl's gyrus (HG) and <sup>63</sup> surrounding areas of the bilateral superior temporal cortices (STC) have also shown selective <sup>64</sup> sensitivity to perceptual features of speech sounds earlier in the recognition process [8, 40, 50, 56, <sup>65</sup> 57]. Building on our previous work investigating phonetic feature sensitivity in human auditory <sup>66</sup> cortex [63], we focus our present analysis within language-related brain regions: STC and HG. <sup>67</sup>

The neuroimaging data used in this study comes from electroencephalography and magnetoen-68 cephalography (EMEG) recordings of participants listening to spoken words in a magnetoen-69 cephalography (MEG) brain scanner. High-resolution magnetic resonance imaging (MRI) was 70 acquired using a 3T MRI scanner for better source localization. As in our previous studies [19, 71 56, 63], the data (EMEG and MRI) has been combined to generate a source-space reconstruction 72 of the electrophysiological activity which gave rise to the measurements at the electroencephalog-73 raphy (EEG) and MEG sensors. Using standard minimum-norm estimation (MNE) procedures 74 guided by anatomical constraints from structural MRIs of the participants [20, 23], sources were 75 localised to a cortical mesh at the grey-matter-white-matter boundary. Working with source-76 space activity allows us to retain the high temporal resolution of EMEG, while gaining access 77 to resolved spatial pattern information. It also provides the opportunity to restrict the analysis 78 to specific regions of interest on the cortex, where an effect of interest is most likely to be found. 79

# Multivariate methods for modelling dynamic brain states

Recent developments in multivariate neuroimaging pattern analysis methods have made it possible to probe the representational content of recorded brain activity patterns. Among these, representational similarity analysis (RSA: [33]) provides a flexible approach which is well suited to complex computational models of rich stimulus sets. The fundamental principle of our RSA procedures was the computation of the similarity structures of the brain's response to experimental stimuli, and comparing the similarity structures with those derived from computational models. In a typical RSA study, this similarity structure is captured in a representational dis-

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similarity matrix (RDM), a square symmetric matrix whose rows and columns are indexed by

<sup>89</sup> the experimental stimuli, and whose entries give values for the dissimilarity of two conditions,

<sup>90</sup> as given by their correlation distance in the response space.

<sup>91</sup> A key strength of RSA is that RDMs abstract away from the specific implementation of the

<sub>92</sub> DNN model or measured neural response, allowing direct comparisons between artificial and

<sup>93</sup> human speech recognition systems; the so-called "dissimilarity trick" [32]. The comparison

- between RDMs computed from the ASR model and RDMs from human brains take the form of
- a Spearman's rank correlation  $\rho$  between the two [46].

<sup>96</sup> RSA has been extended using the fMRI searchlight-mapping framework [31, 46] so that represen-

<sup>97</sup> tations can be mapped through image volumes. Subsequently, searchlight RSA has been further

 $_{98}$   $\,$  extended into the temporal dimension afforded by EMEG data: spatiotemporal searchlight RSA  $\,$ 

<sup>99</sup> (ssRSA: [55, 56]). Here, as in other studies using computational cognitive models (e.g. [27, 36]),

 $_{100}$  ssRSA facilitates the comparison to a machine representation of the stimulus space which may

<sup>101</sup> otherwise be incommensurable with a distributed brain response.

## 102 Outline

In the machine-to-human direction, using ssRSA and the ASR system as a reference, we found 103 that the early layers of the DNN corresponded to early neural activation in primary auditory 104 cortex, *i.e.* bilateral Heschl's gyrus, while the later layers of the DNN corresponded to late 105 activation in higher level auditory brain regions surrounding the primary sensory cortex. This 106 finding reveals that the neural network located within HG is likely to have a similar functional 107 role as early layers of the DNN model, extracting basic acoustic features. The neurocomputa-108 tional function of superior temporal gyrus regions is akin to later layers of the DNN, computing 109 complex auditory features such as articulation and phonemic information. 110

In the reverse human-to-machine direction, using the pattern of results in the brain-image analy-111 sis, we improved the architecture of the DNN. The spatial extent of neural activation explained 112 by the hidden-layer representations progressively reduced for higher layers, before expanding 113 again for the bottleneck layer. This pattern, which mirrored the structure of the DNN itself, 114 and (assuming an efficient and parsimonious processing stream in the brain) suggests that some 115 pre-bottleneck layers might be superfluous in preparing the low-dimensional bottleneck compres-116 sion. We restructured the DNN model with the bottleneck layer moved to more closely resemble 117 the pattern of activation observed in the brain, hypothesising that this would lead to a better 118 transformation. With this simple, brain-inspired modification, we significantly improved the 119 performance of the ASR system. It is notable that similar DNN structures have been developed 120 independently elsewhere in order to optimise the low-dimensional speech feature representations 121 from the DNN bottleneck layer. However, "reverse-engineer" human learning systems imple-122 mented in brain tissue in such a bidirectional fashion provides a complementary approach in 123 developing and refining DNN learning algorithms. 124

# 125 **Results**

# <sup>126</sup> DNN bottleneck layer activations are organized by articulatory features

A DNN acoustic model was trained to classify each input frame into one of the triphone units at each time step. The DNN had five 1000-node hidden layers followed by a single 26-node bottleneck (BN) layer, and is therefore denoted as DNN-BN<sub>7</sub> since the bottleneck layer is the seventh layer (L7). We used it as the acoustic model of our DNN-HMM ASR system to estimate the triphone unit likelihoods corresponding to each frame. The log-Mel filter bank (FBK) acoustic features were used throughout the paper, which were extracted with a 25 ms duration and 10 ms frame shift. The first order differentials of the FBK features were also included to

extend the acoustic feature vectors. Nine consecutive frames of the acoustic features centred at the current time step were stacked to form the DNN input vector, which covers a total range of 125 ms of the speech signal. More details about the DNN acoustic model can be found in the Methods Section.

Our hypothesis was that the representations in auditory cortex would be organised according 138 to phones and features [63]. To investigate how the assignment of phonetic and featural labels 139 to each segment of the stimuli could explain hidden-layer representations in  $DNN-BN_7$ , we 140 computed Davies–Bouldin clustering indices for representational spaces at each layer. Davies– 141 Bould clustering indices give an indication of the degree to which a layer's response to each 142 segment of audio form clusters which correspond to a set of category labels. This in turn serves 143 as an indication of how suitably phonetic and feature labels might be assigned to hidden-layer 144 representations. 145

Davies–Bouldin indices for each layer and categorisation scheme are shown in Fig 1A. Of partic-146 ular interest is the improvement of feature-based clustering in bottleneck layer L7 of DNN-BN<sub>7</sub>, 147 which shows that it is, in some sense, reconstructing the featural *articulatory* dimensions of 148 the the speaker. That is, though this was not included in the teaching signal, when forced 149 to parsimoniously pass comprehension-relevant information through the bottleneck, DNN-BN<sub>7</sub> 150 finds a representation of the input space which maps well onto the constraints on speech sounds 151 inherent in the mechanics of the speaker. L7 showed the best clustering indices out of all lay-152 ers for manner and place features and phone labels, and the second-best for frontness features. 153 For closeness alone, L7 was not the best, but was still better than its adjacent layer L6. The 154 general trend was that clustering improved for successively higher layers. Layers prior to the 155 bottleneck tended to have larger clustering indices, indicating that their activations were not as 156 well accounted for by phonetic or featural descriptions. 157

To further illustrate and visualise the representational space for L7, we used the phonetic partitioning of our stimuli provided by HTK, and averaged the activation across hidden nodes in L7 for each window of our 400 stimulus words which was eventually labeled with each phone. This gave us an average L7 response vector for each phone. We visualised this response space using Sammon nonlinear multidimensional scaling (MDS; [51]). Place/position features are highlighted in Fig 1B, and manner features are highlighted in Fig 1C.

To be clear, the presence of these feature clusters does not imply that there are individual nodes <sup>164</sup> in L7 which track specific articulatory features. However, using the reasoning of RSA, we can <sup>165</sup> see that articulatory features are descriptive of the overall arrangement of phones in the L7 <sup>166</sup> response space. This ability to characterize and model an overall pattern ensemble in a way <sup>167</sup> abstracted from the specific response format and distributed neural representations is one of the <sup>168</sup> strengths of the RSA technique. <sup>169</sup>

# Hidden-layer representations differentially explain early human auditory cortex representations through space and time

We used the dynamic representations from each layer of DNN-BN<sub>7</sub> to model spatiotemoral <sup>172</sup> representations in the auditory cortices of human participants in an EMEG study by applying <sup>173</sup> ssRSA. Areas of auditory cortex (Fig 2A) were defined using the Desikan–Killiany Atlas (STC <sup>174</sup> and HG). <sup>175</sup>

Fig 2 shows the left hemisphere results of this analysis. The brain maps in Fig 2B show thresholdfree-cluster-enhanced t-maps [54] computed from the model RDMs of each hidden layer, thresholded at p < 0.01. Model RDMs computed from all DNN layers except L5 showed significant fit in left STC and HG. Input layer FBK peaked early in left posterior STC at 0–70 ms, and later in left anterior STC and HG at 140–210 ms. Hidden-layer models L2–L4 and L6–L7 peaked later than FBK, achieving maximum cluster size at approximately 170 ms. Layers L5 and TRI 181

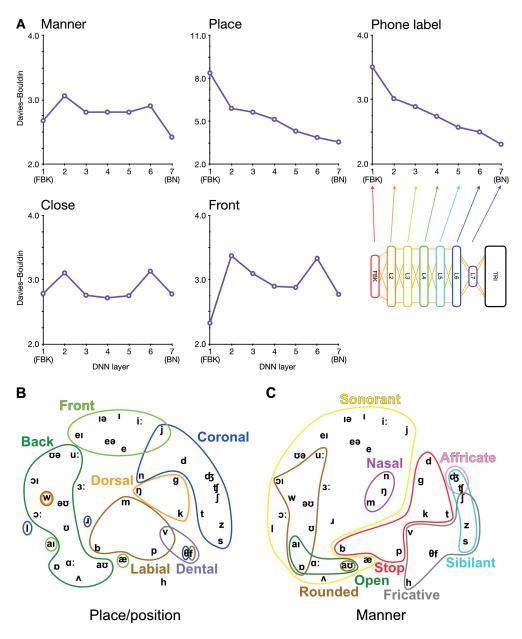


Figure 1: Arrangement of phonetic space represented in DNN-BN<sub>7</sub>. (A) Davies–Bouldin clustering indices for hidden-layer representations. Each plot shows the Davies–Bouldin clustering index for the average hidden-layer representation for each phonetic segment of each stimulus. Lower values indicate better clustering. Indices were computed by labelling each segment by its phonetic label (top right panel), or by place, manner, frontness or closeness features (other panels). Colored shapes on the DNN-layer axis indicate the placement of the bottleneck layer for each System. (B) Average activation of phones for L7 Sammon nonlinear multidimensional scaling (MDS) of average pattern of activation over phones, annotated with features describing place and position of articulation. (C) The same MDS arrangement annotated with features describing manner of articulation.

showed no significant fit in the regions of interest. Overall, significant cluster size increased <sup>182</sup> between layers FBK–L3, diminished for L4 and L5, and re-emerged for L6 and L7. <sup>183</sup>

The line graphs in Fig 2C show the time-courses of each layer as they attain their maximum <sup>184</sup> cluster extent. In general, there appeared to be two distinct peaks across the superior temporal <sup>185</sup> region: an early peak in left posterior STC for the DNN input layer FBK, and another late <sup>186</sup> peak in left anterior STC for DNN layers L1–L4 and L6–L7, throughout the whole epoch, but <sup>187</sup> attaining a maximum cluster size at approx 170 ms. Details of timings for each layer are shown <sup>188</sup> in S2 Table. Right hemisphere results are included in S3 Fig. <sup>189</sup>

# Repositioning the DNN bottleneck layer to match human brain improves ASR 190 performance and featural organization 191

The overall minimal spatiotemporal clusters for L5 of DNN-BN<sub>7</sub> suggested that while early 192 layers (L2–L3) were performing analogous transformations to early auditory cortex, and that 193 the bottleneck (L7) was representing speech audio with a similarly parsimonious basis as left 194 auditory cortex, there was a divergence of representation at intermediate layers (L4-L6). With 195 the supposition that the arrangement of auditory cortex would be adapted specifically to speech 196 processing, we hypothesised that by moving the bottleneck layer into the positions occupied by 197 divergent layers in DNN-BN<sub>7</sub>, the network might learn representations that closer resemble those 198 of human cortex, and thus improve the performance of the model. To this end, we built and 199 studied another DNN model, DNN-BN<sub>5</sub>, which has the same number of parameters as DNN-BN<sub>7</sub> 200 but has the bottleneck layer moved from L7 to L5 (see Fig 3C. For purposes of comparison, and 201 following the same naming convention, we expanded our investigation with another two DNN 202 models,  $DNN-BN_4$  and  $DNN-BN_6$  were also built for DNNs whose bottleneck layers are L4 and 203 L6 respectively. In all models the number of parameters was kept to 5.0 million, matching the 204 4.9 million parameters of DNN-BN<sub>7</sub>. 205

As shown in Table 1 and Fig 4C, adjusting the design of the DNN structure to better fit with the representations exhibited in the human subjects led to improved DNN performance in terms of WER in (DNN-BN<sub>6</sub>). The MGB Dev set contains sufficient testing samples with diversified speaker and genre variations. The 1.0% absolute WER reduction (relatively 3.3%) obtained by comparing DNN-BN<sub>7</sub> with DNN-BN<sub>5</sub> is substantial [4, 64]. Regarding the stimulus set, the changes of WERs are consistent with those on the MGB Dev set. 211

What is not immediately clear, however, is whether this improvement in performance arises from 212 a corresponding improvement in the model's ability to extract a feature-based representation. 213 In other words, if the bottleneck layer learns a representation akin to articulatory features, by 214 moving the layer to improve performance does this enhance this learned representation? To 215 answer this question, we investigated how the assignment of phonetic and featural labels to each 216 segment of the stimuli could explain their hidden-layer representations. As before, we probed 217 the organization of the representational space of each hidden layer according to phones and 218 features using Davies–Bouldin clustering indices. 219

The clustering results exhibited two overall patterns of note. First, clustering (*i.e.* suitability of <sup>220</sup> assignment of phonetic and featural labels to hidden layer representations) was improved on the <sup>221</sup> DNNs whose design had been inspired by the human brains. Second, the optimum clustering <sup>222</sup> level was often found in the bottleneck layer itself (highlighted on the graphs in Fig 4A). The <sup>223</sup> clustering index at the bottleneck layers alone are separately graphed in inset panels in Fig 4A, <sup>224</sup> and show that bottleneck layer clustering was also improved in DNN-BN<sub>5</sub> and DNN-BN<sub>6</sub>. <sup>225</sup>

In other words, the placement of the bottleneck layer in position 5 and 6 yielded, as predicted, the best clustering results both overall and in the bottleneck layer itself. Moving the bottleneck layer too far back (DNN-BN<sub>4</sub>) yielded worse clustering results generally and in the bottleneck layer—indicated by the characteristic U-shaped curves in Fig 4B. 229



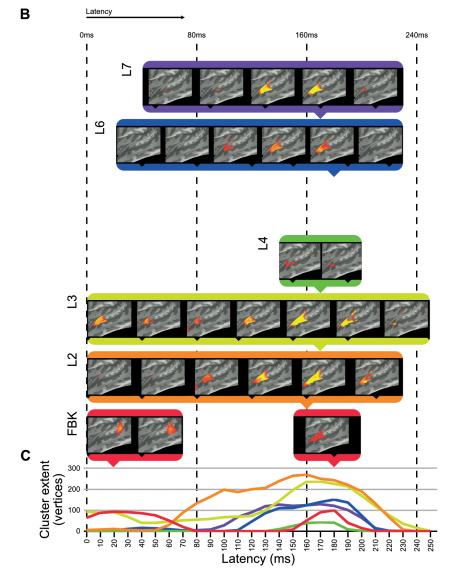


Figure 2: Clusters of significant fit of hidden-layer models to left-hemisphere EMEG data. (A) Location of region of interest mask for auditory cortex. (B) Maps describing fit of DNN layer models to EMEG data. Latency represents the time taken for the brain to exhibit neural representations that fit the DNN model prediction. All maps thresholded at p < 0.01 (corrected). (C) Line graphs showing the time-courses of cluster extents for each layer which showed significant fit.

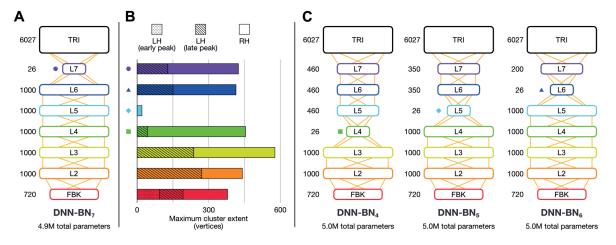


Figure 3: Brain-informed DNN design refinement. (A) Original DNN-BN<sub>7</sub> design. Numbers beside layers indicate number of nodes. (B) Degree of fit with EMEG brain representations. Shapes here and other panels indicate bottleneck positions for DNN-BN<sub>4-7</sub> (C) Candidates for adjusted DNN design: DNN-BN<sub>4</sub> (bottleneck at L4), DNN-BN<sub>5</sub> (bottleneck at L5) and DNN-BN<sub>6</sub> (bottleneck at L6).

# Discussion

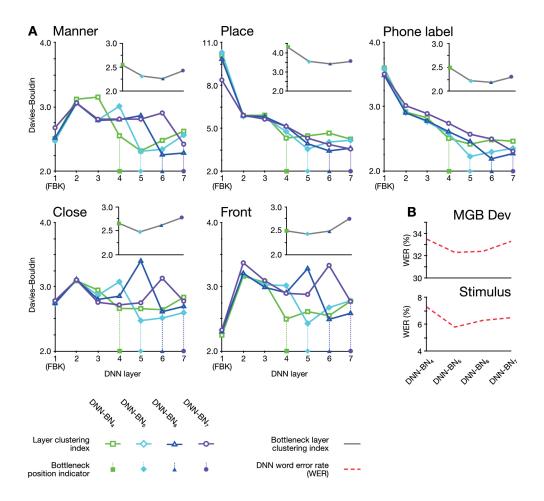
We have used a DNN-based ASR system and spatiotemporal imaging data of human auditory 231 cortex in a mutually informative study. In the machine-to-human direction, we have used a 232 computational model of speech processing to examine representations of speech throughout space 233 and time in human auditory cortex measured as source-localised EMEG data. In so doing, we 234 have produced a functional map in human subjects for each part of the multi-stage computational 235 model. We were able to relate dynamic states in the operating machine speech recognizer 236 to dynamic brain states in human participants by using ssRSA, extended to account for a 237 dynamically changing model. In a complementary analysis, we have improved the performance 238 of the DNN-based ASR model by adapting the layered network architecture inspired by the 239 staged neural activation patterns observed in human auditory cortex. 240

# Locations of spatiotemporal clusters

The input layer FBK representing purely acoustic information (*i.e.* not a learned or task-relevant 242 representation) showed a later and smaller effect (cluster in human posterior STC) than that of 243 higher layers L2 and L3. The strongest peak for FBK was early, and the later peak appears to 244 be a weaker version of those for higher hidden-layer models. The late peak for FBK indicates 245 that there is some involvement of both low-level acoustic features and higher-level phonetic in-246 formation in the later neural processes at around 170 ms. However, since there is an intrinsic 247 correlation between acoustic information and phonetic information, it is hard to completely 248 dissociate them. Another explanation for the mixture of high and low levels of speech repre-249 sentations in a single brain region at the same time is the existence of feedback connections in 250 human perceptual systems. (However, the ASR systems used in this paper can achieve high 251 degree of accuracy without the top-down feedback loop from higher to lower hidden layers.) It 252 should be noted that while the FBK, L2 and L4 clusters all register as significant at a latency of 253 0 ms, timings correspond to a 25 ms window of EMEG data being matched against model state 254 computed for the central 25 ms of 125 ms windows of audio, so only approximates the actual 255 latency. 256

Moving up to hidden layers L2 and L3, we saw later clusters which fit the brain data more 257 strongly than FBK in the left hemisphere. All hidden layers including L2 and L3 activate 258

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**Figure 4: (A) Davies–Bouldin clustering indices for hidden-layer representations.** Each plot shows the Davies–Bouldin clustering index for the average hidden-layer representation for each phonetic segment of each stimulus. Lower values indicate better clustering. Indices were computed by labelling each segment by its phonetic label (top right panel), or by place, manner, frontness or closeness features (other panels). Colored shapes on the DNN-layer axis indicate the placement of the bottleneck layer for each System. Inset axes show clustering indices for bottleneck-layers only. Each plot shows the clustering index for the average bottleneck-layer representation for each phonetic segment of each stimulus. Indices were computed by labeling each segment by its phonetic label (top right), or by place, manner, frontness or closeness features. Colored shapes on the DNN-layer axis indicate the placement of the bottleneck layer for each System or closeness features. Colored shapes on the DNN-layer axis indicate the placement of the bottleneck layer for each System. (B) WERs for each DNN system. Upper panel shows WERs on the MGB Dev set. Lower panel shows WERs for the stimuli.

Guatam	Dottlon ools losson	Accura	acy%	WER%	
System	Bottleneck layer	Train	HV	MGB Dev	Stimuli
DNN-BN <sub>7</sub>	L7	44.0	41.5	33.3	6.5
$DNN-BN_6$	L6	44.6	42.3	32.4	6.3
$\text{DNN-BN}_5$	L5	44.2	42.3	32.3	5.8
$DNN-BN_4$	L4	42.6	41.1	33.5	7.3

**Table 1:** The performance of DNN-HMM systems with different bottleneck layer positions. The WERs (the lower the better) were given on both the MGB challenge official development subset (MGB Dev), which is a general purpose large vocabulary continuous speech recognition testing set, as well as the 400 isolated words used as the stimuli in our listening experiments to derive the RDM (Stimuli). The MGB Dev WERs are reliable indicators for the general performance of the systems in realistic ASR tasks. The Stimuli WERs are the most direct indicators of the model performance on the data used in our brain-machine comparison experiments. The classification accuracy values (the higher the better) were obtained by classifying each frame into one of the 6,027 triphonetic DNN output units were obtained on both the training and held-out validation (HV) sets. For fair comparisons, DNN structures of all systems were constrained to have the same amount of model parameters (about 5M for each model, as shown in Figure 3). Accuracy can be considered as an auxiliary performance metric, which indicates that DNN-BN<sub>6</sub> suffered more from over-fitting compared to DNN-BN<sub>5</sub>, since DNN-BN<sub>6</sub> is better in the training accuracy but not in the HV accuracy.

according to learned parameters. Progressively higher layers L4 and L5 fit with smaller clusters <sup>259</sup> in human STC, with L5 showing no significant vertices at any time point (p > 0.01) in the left hemisphere but a very small cluster in the right hemisphere. However, the highest hidden layers <sup>261</sup> L6 and L7 once again showed string fit with activations in left anterior STC. <sup>262</sup>

Of particular interest is this re-emergence of fit in anterior STC to the representations in the 263 bottleneck layer L7. In this layer of the DNN, the 1000-node representation of L6 is substantially 264 constrained by the reduced size of the 26-node L7. In particular, the fact that ASR accuracy 265 is not greatly reduced by the inclusion of this bottleneck layer indicates that, for the machine 266 solution, 26 nodes provide sufficient degrees of freedom to describe a phonetic space for purposes 267 of word recognition. This, in conjunction with the re-emergence of fit for L7 to STC represen-268 tations makes the representations of this layer of particular interest. The hidden layers in the 269 DNN learn to sequentially transform acoustic information into phonetic probabilities in a way 270 which generalises across speakers and background acoustic conditions. There is no guarantee 271 that the features the DNN learns to identify for recognition are comparable to those learned by 272 the brain, so the fact that significant matches in the RDMs were found between machine and 273 human solutions of the same problem is worthy of further consideration. 274

# Brain-informed ASR architecture

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Artificial Intelligence (AI) and machine learning have already been extensively applied in neu-276 roscience primarily in analysing and decoding large and complex neuroimaging or cell recording 277 data sets. Here, DNN-based ASR systems were used as a model for developing and testing 278 hypothesis and neuroscientific theories about how human brains perform speech recognition. 279 This type of mechanistic or generative model—where the computational model can perform 280 the behavioral task with realistic data (in this case, spoken word recognition)—can serve as a 281 comprehensive framework for testing claims about neurocognitive functional organization [30] 282 Moreover, insights can flow both ways; the neuroimaging data can also guide the exploration of 283 the model space and lead to improvements in model performance, as we have seen. 284

While our use of neurological data only indirectly informed the improvements to ASR architec- 285

ture, the present work can be seen as an initial step toward extracting system-level designs for neuromorphic computing from human auditory systems. This goal in itself is not new (see e.g. [58]), however the key novel element of our approach is the ability to relate the machine and human solutions in complementary directions. The power of RSA, and in particular ssRSA, to relate the different forms of representations in these systems is key in this work. In summary, the methodology illustrated here paves the way for future integration of neuroscience and AI with the two fields driving each other forwards.

# Relating dynamic brain and machine states: comparing and contrasting com putational models in vision and audition

There has been some recent successes in comparing machine models of perception to human neuroimaging data. This has primarily been in the domain of visual object perception (e.g. [7, 11, 12, 17, 22, 27–29, 34]), with less progress made in speech perception (though see our previous work; [56, 63]).

The visual systems of humans and other primates are highly related, both in their architecture and in accounts of the neurocomputational processes they facilitate. There is evidence of a hierarchical organisation of cortical regions in the early visual systems of human and nonhuman primates. There are also detailed accounts of process sequencing from early visual cortex through higher perceptual and semantic representation which exist for visual object perception in several primate models (e.g. [16, 34, 47, 59, 61]). This is not so the case for speech processing and audition to the same degree.

In parallel, machine models for vision have often been designed based on theories of primate 306 cortical processing hierarchies. This extends to recent work employing deep convolutional neural 307 networks (CNN) for visual object processing, in particular those featuring layers of convolution 308 and pooling. Furthermore, the convolutional layers in CNNs appear to learn features resembling 309 those in the receptive fields of early visual cortex, and higher layers' representational spaces also 310 match those found in higher visual cortex, and other regions in the visual object perception 311 networks [22, 27, 62]. Importantly, this means that the internal structures of machine vision 312 systems are potentially informative and relevant to our understanding of the neurocomputational 313 architecture of the natural system (and vice versa), and not just whether they generate equivalent 314 outputs (for example in object classification tasks). To date, these common features are not well 315 established for DNNs or other type of acoustic models widely used for ASR systems. 316

Certain aspects of the human auditory processing system have resemblances to those in other primate models [3, 49]. However, no non-human primate supports anything like human speech communication, where intricately modulated sequences of speech sounds map onto hundreds of thousands of learned linguistic elements (words and morphemes), each with its own combination of acoustic-phonetic identifiers.

Perhaps due to this lack of neurocomputationally explicit models of spoken word recognition, the design of ASR systems has typically not been guided by existing biological models. Rather, by optimising for engineering-relevant properties such as statistical learning efficiency, they have nonetheless achieved impressive accuracy and robustness.

It is striking, therefore, that we have been able to show that the regularities that successful ASR systems encode in the mapping between speech input and word-level phonetic labelling can indeed be related to the regularities extracted by the human system. In addition, like animal visual systems have inspired the field of computer vision, we have demonstrated that human auditory cortex can improve ASR systems using ssRSA.

# Conclusion and future work

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We have shown that our deep artificial neural network model of speech processing bears resem-332 blance to patterns of activation in the human auditory cortex using the combination of ssRSA 333 with multimodal neuroimaging data. The results also showed that the low-dimensional bot-334 tleneck layer in the DNN could learn representations that characterize articulatory features of 335 human speech. In ASR research, although the development of systems based around the extrac-336 tion of articulatory features has a long history (e.g. [15]), except for a small number of exemplars 337 (e.g. [39, 69]), recent studies mostly rely on written-form-based word piece units [53, 65] that 338 are not directly associated with phonetic units. Our findings imply that developing appropriate 339 intermediate representations for articulatory features may be central to speech recognition in 340 both human and machine solutions. In human neuroscience studies, this account is consistent 341 with previous findings of articulatory feature representation in the human auditory cortex [13, 342 37, 63], but awaits further investigation and exploitation in machine solutions for speech recog-343 nition. Recently, large deep artificial neural network models pre-trained on a massive amount of 344 unlabelled waveform features (e.g. [2, 10, 25]), have demonstrated strong generalisation abilities 345 to ASR and many para-linguistic speech tasks [41]. It would be useful to apply our methods 346 used in this paper to study similar types of models and tasks. This may contribute to under-347 standing the hierarchical structures in the human auditory cortex and improve such large scale 348 speech-based computational models. 349

# Materials and methods

# Deep neural networks for automatic speech recognition

We have presented four DNNs which can each be included as a component in the hybrid DNN-HMM set-up of HTK. This is a widely used speech recognition set-up in both academic and industrial communities [24], whose architecture is illustrated in Fig 5. Each network comprises an input layer, six hidden layers, and an output layer, which are all fully-connected feed-forward layers. 356

# Building DNN-HMM acoustic models for $\ensuremath{\mathsf{ASR}}$

As introduced previously, the input audio stream is divided into 25 ms-long overlapping windows. 358 Each of these windows is transformed into a 40-dimensional FBK feature vector representing 359 a speech frame with an offset of 10 ms. When being fed into the DNN input layer, the 40-360 dimensional feature vectors are augmented with their first-order time derivatives (also termed 361 as delta features in speech recognition literature) to form an 80-dimensional vector  $o_t$  for the t-th 362 frame. The final DNN input feature vector,  $x_t$ , is formed by stacking nine consecutive acoustic 363 vectors around t, *i.e.*  $x_t = \{o_{t-4}, o_{t-3}, \dots, o_{t+4}\}$ . Therefore, the DNN input layer (denoted as 364 the FBK layer from Figure 1 to Figure 5) has 720 nodes and covers a 125 ms long input window 365 starting at  $(10 \times t - 50)$  ms and ending at  $(10 \times t + 75)$  ms. Where this wider context window 366 extended beyond the limits of the recording (*i.e.* at the beginning and end of the recording), 367 boundary frames were duplicated to make up the nine consecutive frames. 368

Following the input layer FBK, there are five 1000-node hidden layers (L2–L6), a 26-node "bot-369 tleneck" layer (L7), and the output layer (TRI). All hidden nodes use a sigmoid activation 370 function and the output layer uses a softmax activation function to estimate pseudo posterior 371 probabilities for 6,027 output units. There are 6,026 such units corresponding to the tied tri-372 phone HMM states which are obtained by the decision tree clustering algorithm [68]. The last 373 output unit is relevant to the non-speech HMM states. The DNN was trained on a corpus con-374 sisting of 200 hours of British English speech selected from 7 weeks of TV broadcast shows by the 375 BBC covering all genres. Using such a training set with a reasonably large amount of realistic 376 speech samples guarantees our DNN model to be properly trained and close to the models used 377

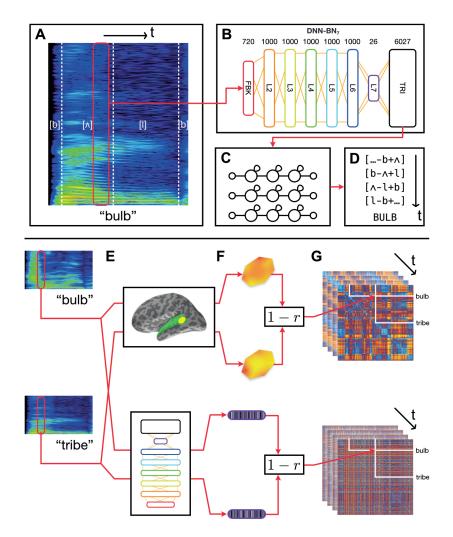


Figure 5: Schematic of the overall procedure. A–D: Automatic speech recognition system HTK. Our ASR model is a hybrid DNN–HMM system built with HTK. (A) An acoustic vector is built from a window of recorded speech. (B) This is used as an input for a DNN acoustic model which estimates posterior probabilities of triphonetic units. Numbers above the figure indicate the size of each layer. Hidden layer L7 is the bottleneck layer for DNN-BN<sub>7</sub>. (C) The triphone posteriors (TRI) are converted into log likelihoods, and used in a set of phonetic HMMs. (D) A decoder computes word identities from the HMM states. E–G: Computing dynamic RDMs. (E) A pair of stimuli is presented to each subject, and the subjects' brain responses are recorded over time. The same stimuli are processed using HTK, and the hidden-layer activations recorded over time. (F) The spatiotemporal response pattern within a patch of each subject's cortex is compared using correlation distance. The same comparison is made between hidden-layer activation vectors. (G) This is repeated for each pair of stimuli, and distances entered into a pairwise comparison matrix called a representational dissimilarity matrix (RDM). As both brain response and DNN response evolve over time, additional frames of the dynamic RDM are computed.

in real-world speech recognition applications. The DNN model was trained to classify each of the speech frames in the training set into one of the output units based on the cross-entropy loss function. 380

When performing speech recognition at test-time, the posterior probabilities,  $P(s_k \mid x_t)$ , are converted to log-likelihoods to use as the observation density probabilities of the triphone HMM states. Specifically, the conversion is performed by

$$\ln p(x_t \mid s_k) = \ln P(s_k \mid x_t) + \ln p(x_t) - \ln P(s_k),$$

where  $s_k$  is a DNN output for target k, and  $P(s_k)$  is the frequency of frames corresponding to  $_{381}$ the units associated with target k in the frame-to-HMM-state alignments of the training set [24].  $_{382}$ 

#### **Recorded speech stimuli**

This study used speech stimulus recordings from [19], which consists of 400 English words spoken by a native British English female speaker. The set of words consisted of nouns and verbs (e.g. *talk*, *claim*), some of which were past-tense inflected (e.g. *arrived*, *jumped*). We assume that the words' linguistic properties are independent of the acoustic-phonetic properties presently under investigation. We also assume that this sample of recorded speech provides a reasonable representation of naturally occurring phonetic variants of British English, with the caveat that the sampled utterances are restricted to isolated words and a single speaker.

Audio stimuli, which were originally recorded and presented to subjects with a 22.1 kHz sampling 391 rate, were down-sampled to 16 kHz before building models, as the DNN was trained on a 16 kHz 392 audio training set. After the DNN was first trained on the data from BBC TV programs, it was 393 further adapted to fit the characteristics of the speaker and the recording channel of the stimuli 394 data using an extra adaptation stage with 976 isolated words (see [71] for details of the approach). 395 This is to avoid any potential bias to our experimental results caused by the differences between 396 the DNN model training set and the stimuli set, without requiring the collection of a large 397 amount of speech samples in the same setting as the stimuli set to build a DNN model from 398 scratch. There are no overlapping speech samples (words) between the adaptation and stimuli 399 sets. This guarantees that the model RDM obtained using our stimuli set is not over-fitted into 400 the seen data, and guarantees our results and conclusions to be as general as possible. 401

#### **Evaluating clustered representations**

Davies–Bouldin indices [14] indicate the suitability of category label assignment to cluster high-403 dimensional data, with lower values indicating better suitability (and with 0 the minimum 404 possible value). To compute Davies–Bouldin indices, we recorded the vector of hidden-layer 405 activations elicited by each input time window of the stimuli for each layer in each DNN. There 406 was a high level of correlation between many activation vectors resulting from overlapping ad-407 jacent input vectors. To minimise the effect of this, we used average vectors from each hidden 408 layer over each contiguous phonetic segment. For example, in the word "bulb", the hidden-409 layer representations associated with each frame corresponding to the acoustic implementation 410 of the first [b] were combined, and separately the representations for the final [b] were com-411 bined. Then, to each combined vector, we assigned a label under five separate labeling schemes: 412 closeness features, frontness features, place features, manner features, and phonetic label. For 413 place and manner features, we considered only phones which exhibited a place or manner feature 414 (*i.e.* obstruents). For frontness and closeness features, we likewise considered only phones which 415 exhibited frontness or closeness features (*i.e.* syllabic vowels). Where a phone had more than 416 one appropriate feature assignment, we used the most appropriate feature. The full assignment 417 of feature labels for phones used in the clustering analysis is given in S1 Fig. 418

We computed *p*-values for each Davies–Bouldin index calculation using a permutation procedure <sup>419</sup> in which phone labels were randomized after averaging activation vectors for each segment of <sup>420</sup>

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<sup>421</sup> input (5,000 permutations). *p*-values were computed by randomizing the labels and recomputing

422 Davies–Bouldin indices 5,000 times, building a distribution of Davies–Bouldin indices under the

null hypothesis that phone and feature labels did not systematically explain differences in hidden-

<sup>424</sup> layer activations. In all cases, the observed Davies–Bouldin index was lower than the minimum

value in the null distribution, yielding an estimated *p*-value of exactly 0.0002. Since the precision of this value is limited by the number of permutations performed, we report it as p < 0.001. All

<sup>426</sup> of this value is limited by the number of permutations performed, we report if <sup>427</sup> Davies–Bouldin index values reported were significant at the p < 0.001 level.

#### 428 Computing model RDMs from incremental machine states

To encapsulate the representational space of each of the DNN's hidden layer representations through time, we computed model RDMs from the activation of each layer using the following procedure, illustrated in Fig 5. RSA computations were performed in Matlab using the [46] RSA toolbox.

As described previously, the input layer of the DNN had access to 125 ms of audio input at each time step, to estimate the triphone-HMM-state likelihoods. Since we can only compute model RDMs where the DNN has activations for every word in the stimuli set, only the activations corresponding to the frames whose ending time is smaller than 285 ms (the duration of the shortest word) are used in our experiments Since each frame has a 25 ms duration and a 10 ms shift, only the activations of the first 27 frames of each word are reserved to construct our model RDMs (as the frame index t is required to satisfy  $10 \times t + 25 \leq 285$ ).

For each fixed position of the sliding time window on each pair of our 400 stimulus words, we 440 obtained the pattern of activation over the nodes in a particular layer of the DNN. By computing 441 Pearson's correlation distance (1-r) between activation pattern for each pair of words, we built 442 a  $400 \times 400$  model RDM whose rows and columns were indexed by the stimulus words. Then, 443 by moving the sliding time window in 10 ms increments and recomputing model RDM frames 444 in this way, we produced a series of model RDMs which varied throughout the first 260 ms of 445 the stimuli. We repeated this procedure for each hidden layer L2–L7, as well as the input and 446 output layers FBK and TRI, producing in total eight series of model RDMs, or 216 individual 447 model RDM frames. When building a model RDM frame from the input layer FBK, we used 448 only the 40 log-mel filterbank values within the central 25 ms window (and did not include the 449 first derivatives or overlapping context windows). 450

# 451 Brain mapping

# 452 EMEG data collection

Sixteen right-handed native speakers of British English (six male, aged 19–35 years, self-reported 453 normal hearing) participated in the study. For each participant, recordings of 400 English words, 454 as spoken by a female native British English speaker, were presented binaurally. Each word was 455 repeated once. The study was approved by the Peterborough and Fenland Ethical Committee 456 (UK). Continuous MEG data were recorded using a 306 channels VectorView system (Elektra-457 Neuromag, Helsinki, Finland). EEG was recorded simultaneously from 70 Ag-AgCl electrodes 458 placed within an elastic cap (EASYCAP GmbH, Herrsching-Breitbrunn, Germany) according 459 to the extended 10/20 system and using a nose electrode as the recording reference. All data 460 were sampled at 1 kHz with a band-pass filter from 0.03 Hz to 330 Hz. Details of the EMEG 461 procedure can be found in [19]. 462

# 463 EMEG source estimation

In order to track the cortical locations of brain-model correspondence, we estimated the location of cortical sources using the anatomically constrained MNE [23] with identical parameters to those used in [19, 56, 63]. MR structural images for each participant were obtained using a

GRAPPA 3D MPRAGE sequence (TR = 2250 ms; TE = 2.99 ms; flip-angle = 9 deg; acceleration 467 factor = 2) on a 3 T Trio (Siemens, Erlangen, Germany) with 1 mm isotropic voxels. From the 468 MRI data, a representation of each participant's cerebral cortex was constructed using FreeSurfer 469 software (https://surfer.nmr.mgh.harvard.edu/). The forward model was calculated with a 470 three-layer boundary element model using the outer surface of the scalp as well as the outer and 471 inner surfaces of the skull identified in the anatomical MRI. This combination of MRI, MEG, 472 and EEG data provides better source localization than MEG or EEG alone [42]. 473

The constructed cortical surface was decimated to yield approximately 12,000 vertices that were 474 used as the locations of the dipoles. This was further restricted to the bilateral superior temporal 475 mask as discussed previously. After applying the bilateral region of interest mask, 661 vertices 476 remained in the left hemisphere and 613 in the right. To perform group analysis, the cortical 477 surfaces of individual subjects were inflated and aligned using a spherical morphing technique 478 implemented by MNE [20]. Sensitivity to neural sources was improved by calculating a noise 479 covariance matrix based on the 100 ms pre-stimulus period. The activations at each location of 480 the cortical surface were estimated over 1 ms windows. 481

This source-reconstructed representation of the electrophysiological activity of the brain as the listeners heard the target set of 400 words was used to compute brain RDMs.

## Computing brain RDMs in a spatiotemporal searchlight

To match the similarity structures computed from each layer of the DNN to those found in 485 human participants, in the ssRSA procedure, RDMs were calculated from the EMEG data 486 contained within a regular spatial searchlight patch and fixed-width sliding temporal window. 487 We used a patch of vertices of radius 20 mm, and a 25 ms sliding window to match the 25 ms 488 frames used in ASR. The searchlight patch was moved to centre on each vertex in the masked 489 source mesh, while the sliding window is moved throughout the epoch in fixed time-steps of 490 10 ms. From within each searchlight patch, we extracted the spatiotemporal response pattern 491 from each subject's EMEG data. We computed word-by-word RDMs using Pearson's correlation 492 distance (1-r) on the resulting response vectors. These RDMs were averaged across subjects, 493 resulting in one brain RDM for each within-mask vertex. Our 25 ms ssRSA sliding window 494 moved in increments of 10 ms throughout an EMEG epoch of [0, 540] ms, giving us a series of 495 RDMs at each vertex for sliding windows [t, t+25] ms for each value of  $t = 0, 10, \ldots, 510$ . In 496 total, this resulted in a total of 66,300 brain RDM frames. By using the ssRSA framework, we 497 make this vast number of comparisons tractable by systematising the comparison. 498

#### Systematic brain-model RDM comparisons

The model RDMs computed from the DNN layer activations describe the changing represen-500 tational dissimilarity space of each layer throughout the duration of the stimulus words. We 501 can think of this as a dynamic model timeline for each layer; a collection of RDMs indexed by 502 time throughout the stimulus. Similarly, the brain data-derived RDMs computed from brain 503 recordings describe the changing representational dissimilarity space of the brain responses at 504 each searchlight location throughout the epoch, which we can think of as a dynamic data time-505 line. It takes non-zero time for vibrations at the eardrum to elicit responses in auditory cortex 506 (Fig 6A). Therefore, it does not make sense to only compare the DNN RDM from a given time 507 window to the precisely corresponding brain RDM for the same window of stimulus: to do so 508 would be to hypothesize instantaneous auditory processing in auditory nerves and in the brain. 509

Instead, we offset the brain RDM's timeline by a fixed latency, k ms (Fig 6B). Then, matching corresponding DNN and brain RDMs at latency k tests the hypothesis that the DNN's representations explain those in auditory cortex k ms later. By systematically varying k, we are able to find the time at which the brain's representations are best explained by those in the DNN 512

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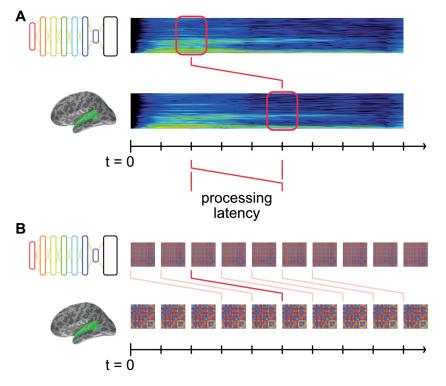


Figure 6: Matching model and data RDMs at systematic latencies. (A) Both DNN and brain representations change throughout the time-course of the stimulus, and are aligned to the start of the stimulus at t = 0. Some amount of time ("processing latency") elapses between the sound reaching the participants' eardrums and the elicited response in auditory cortex. Thus the brain representations recorded at time t were elicited by the stimulus earlier in time. (B) For a given hypothesized processing latency, we RDMs from DNN layers and brain recordings are matched up, and an overall level of fit is computed. This modelled latency is systematically varied, the resultant level of fit thereby indicating how well the DNN's representation matches the brain's at that latency.

514 layers.

<sup>515</sup> Thus, for each such potential processing latency, we obtain a spatial map describing the degree

to which a DNN layer explains the brain's representations at that latency (i.e. mean Spearman's rank correlation coefficient between DNN and brain RDMs at that latency). Varying the latency then adds a temporal dimension to the maps of fit.

This process is repeated for each subject, and data combined by a *t*-test of the  $\rho$  values across subjects at each vertex within the mask and each latency. This resulted in one spatiotemporal *t*-map for each layer of the DNN. For this analysis, we used latencies ranging from 0 ms to 250 ms, in 10 ms increments.

We applied threshold-free cluster enhancement (TFCE: [54]) to the *t*-maps from each layer of the DNN. TFCE is an image-enhancement technique which enables the use of cluster-sensitive statistical methods without the requirement to make an arbitrary choice of initial cluster-forming threshold and is used as the standard statistical method by the FSL software package [26]. All *t*-maps presented for the remainder of this paper have TFCE applied (see S4 Appendix for details).

#### 529 Group statistics and correction for multiple comparisons

To assess the statistical significance of the *t*-maps, we converted the *t*-values to p values using a random-effects randomisation method over subjects, under which p-values are corrected for multiple spatiotemporal comparisons [45, 54, 55]. In the random-effects test, a null-distribution

of t-values is simulated under the null hypothesis that Spearman's rank correlation values  $\rho$ 533 are symmetrically distributed about 0 (*i.e.* no effect). By randomly flipping the sign of each 534 individual subject's  $\rho$ -maps before computing the *t*-tests across subjects and applying the TFCE 535 transformation, we simulate t-maps under the null hypothesis that experimental conditions are 536 not differentially represented in EMEG responses. From each such simulated map, we record the 537 map-maximum t-value, and collect these into a null distribution over all permutations. For this 538 analysis we repeated the randomisation 1000 times, and collected separate null distributions for 539 each hemisphere. To assess the statistical significance of a true t-value, we see in which quantile 540 it lies in the simulated null distribution of map-maximum randomisation t-values. 541

We performed this procedure separately for the models derived from each layer of the DNN,  $_{542}$  allowing us to obtain *t*-maps which could be easily thresholded at a fixed, corrected *p*-value.  $_{543}$ 

# Improving DNN design

From the maximum cluster extents of the DNN layers shown in Figure 2, the activations of the DNN acoustic model significantly correspond to the activity in the left-hemisphere of human brain when listening to the same speech samples. This suggests that the DNN and human brain rely on similar mechanisms and internal representations for speech recognition. 548

Human speech recognition still has superior performance and robustness in comparison to even the most advanced ASR systems, so we reasoned that it could be possible to improve the DNN model structure based on the evidence recorded from the brain.

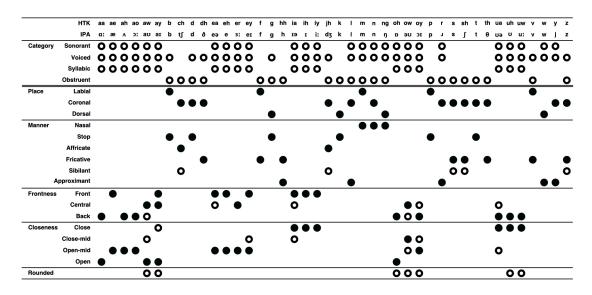
From the maximum cluster extents of layer L5 in Figure 3A and Figure 3B, hidden layer L5 of 552 the DNN model has a much smaller overall fit to both the left and right hemisphere, compared 553 to the other layers. This indicates the possibility that the calculations in DNN layer L5 are 554 less important for recognising the speech accurately since brain does not appear to use such 555 representations in the recognition process. On the other hand, although a bottleneck layer is 556 positioned at L7, its strong correspondence to the brain reveals the importance of the calculations 557 performed in that layer. Thus, it is natural to assume that more parameters and calculations 558 in important layers can improve speech recognition performance, while fewer calculations can 559 reduce the complexity of the model DNN structure without sacrificing the performance too 560 much. 561

We verified this by building new DNN models with the bottleneck layer in different positions, controlling the number of parameters by scaling the sizes of the hidden layers in the new DNNs. All the training and test procedures are kept to be the same as previously described. The details of the new DNN structures are shown in Figure 3C.

We tested the derived DNN models with different bottleneck layer positions using two tasks: 566 general large-vocabulary continuous speech recognition with recordings from BBC TV programs, 567 and in-domain isolated-word recognition using the stimuli set. The MGB Dev set was derived 568 as a subset of the official development set of the MGB speech recognition challenge [4], which 569 includes 5.5 hours of speech. Since the MGB testing set involves sufficient samples (8,713 570 utterances and 1.98M frames) from 285 speakers and 12 shows with diversified genres, and the 571 related WER results are reliable metrics to evaluate the general performance of the DNN models 572 for speech recognition. In contrast, the WERs on the stimuli set are much more noisier since it 573 only consists of 400 isolated words from a single female speaker. However, the stimuli set WERs 574 are still important metrics since the same 400 words are used to build the RDMs used in the 575 key experiments. These results are presented in Table 1 and Fig 4C. 576

# 577 Supporting information

578 S1 Fig. Phone-feature matrix: Assignment of features to phones. Empty circles 579 indicate presence of the feature for a phone. Where a phone has more than one feature for a 580 given category, full circles indicate the dominant feature, used in clustering analysis.



<sup>581</sup> S2 Table. Clusters of fit for DNN-BN<sub>7</sub> in EMEG study. Latencies for left- and right-<sup>582</sup> hemisphere clusters (p < 0.01) for each hidden-layer model.

S3 Fig. Clusters of significant fit of hidden-layer models to right-hemisphere EMEG data. (a) Location of region of interest mask for auditory cortex. (b) Maps describing fit of DNN layer models to EMEG data. All maps thresholded at p < 0.01 (corrected). (c) Line graphs showing the time-courses of cluster extents for each layer which showed significant fit.

S4 Appendix. Threshold-free cluster enhancement Threshold-free cluster enhancement (TFCE: [54]) transforms a statistical image in such a way that the value at each point becomes a weighted sum of local supporting clustered signal. Importantly, the shape of isocontours, and hence locations of local maxima, are unchanged by the TFCE transformation. For a *t*-map comprised of values  $t_{v,k}$  for vertices v and latencies k, the TFCE transformation is given by

$$\text{TFCE}\left(t_{v,k}\right) = \int_{0}^{t_{v,k}} h^2 \sqrt{e(h)} \, \mathrm{d}h \tag{1}$$

where e(h) is the cluster extent of the connected component of (v, k) at threshold h. We approximated (1) with the sum

$$\sum_{i=0}^{i\Delta h \leq t_{v,k} < (i+1)\Delta h} (i\Delta h)^2 \sqrt{e(i\Delta h)}$$
(2)

where  $\Delta h$  was set to 0.1. The choice of  $\Delta h$  affects the accuracy of the approximation (2) but should not substantially bias the results.

#### Left hemisphere

Cluster latency (ms)						
DNN layer model	Start	Max	End	Peak extent (vertices)		
FBK (early cluster)	0	20	70	93		
FBK (late cluster)	150	180	200	100		
L2	0	160	230	270		
L3	0	170	250	237		
L4	140	170	200	43		
L5			(n	u.s.)		
L6	20	180	230	151		
m L7	40	170	230	129		
TRI			(n	1.S.)		

#### **Right hemisphere**

	Cluster latency (ms)			
DNN layer model	Start	Max	End	Peak extent (vertices)
FBK	0	170	120	186
L2	0	70	110	172
L3	0	0	110	341
L4	0	0	110	411
L5	0	50	70	20
L6	0	50	120	264
m L7	0	40	120	286
TRI			(n	n.s.)

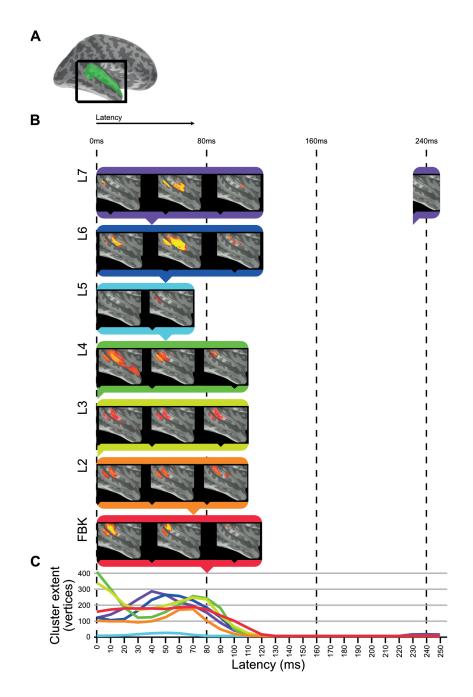
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Author contributions			
${\bf CW}$ Conceptualization, formal analysis, software, methodology, writing, editing.	608		
${\bf CZ} \ \ {\rm Conceptualization,\ formal\ analysis,\ software,\ methodology,\ writing,\ editing,\ data\ curation.}$	609		
<b>BD</b> Methodology, editing.	610		
<b>EF</b> Data acquisition, data curation, editing.	611		

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- <sup>612</sup> **AT** Software, data curation, editing.
- <sup>613</sup> XL Software, methodology, editing.
- <sup>614</sup> **PW** Conceptualization, funding acquisition, supervision, editing.
- 615 WMW Conceptualization, funding acquisition, supervision, editing.
- 616 LS Conceptualization, software, methodology, funding acquisition, supervision, writing, editing.

# 617 Data availability

The 200 hours Multi-genre Broadcast (MGB) dataset used to train the ASR model was only available to the 2015 MGB-1 Challenge (http://www.mgb-challenge.org/) participants with copyright restrictions from BBC. The 26-dimensional hidden layer representations extracted from the L7 layer of the DNN-BN<sub>7</sub> model can be found in (http://mi.eng.cam.ac.uk/~cz277/stimuli).

Masked, preprocessed human neuroimaging data used for this analysis is available from figshare 622 (https://doi.org/10.6084/m9.figshare.5313484.v1). 623

# Code availability

The DNN-based ASR system was created using an open-source toolkit, the HTK toolkit ver-625 sion 3.5 (https://htk.eng.cam.ac.uk/). The RSA procedure for this paper was performed using 626 the open-source RSA toolbox (https://github.com/rsagroup/rsatoolbox\_matlab), with the ad-627 dition of specific extensions for ssRSA for EMEG (https://github.com/lisulab/rsatoolbox and 628 https://github.com/lisulab/rsa-dnn-mapping). RDMs were computed from DNN layer repre-629 sentations using publicly available scripts (https://github.com/lisulab/htk-postprocessing). 630

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