# INTENT RECOGNITION AND UNSUPERVISED SLOT IDENTIFICATION FOR LOW-RESOURCED SPOKEN DIALOG SYSTEMS

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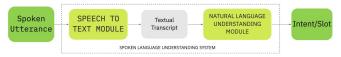
## **ABSTRACT**

Intent Recognition and Slot Identification are crucial components in spoken language understanding (SLU) systems. In this paper, we present a novel approach towards both these tasks in the context of low-resourced and unwritten languages. We use an acoustic based SLU system that converts speech to its phonetic transcription using a universal phone recognition system. We build a word-free natural language understanding module that does intent recognition and slot identification from these phonetic transcription. Our proposed SLU system performs competitively for resource rich scenarios and significantly outperforms existing approaches as the amount of available data reduces. We train both recurrent and transformer based neural networks and test our system on five natural speech datasets in five different languages. We observe more than 10% improvement for intent classification in Tamil and more than 5% improvement for intent classification in Sinhala. Additionally, we present a novel approach towards unsupervised slot identification using normalized attention scores. This approach can be used for unsupervised slot labelling, data augmentation and to generate data for a new slot in a one-shot way with only one speech recording.

*Index Terms*— Intent Recognition, Spoken Language Understanding, Transformers, low-resourced, Multilingual

## 1. INTRODUCTION

Spoken dialog systems are slowly integrating themselves in everyday human lives, being used for various applications that include accessing information, doing transactions, tutoring and entertainment. Speech is presumably the most natural form of interaction for humans. Spoken dialog systems not only create a very natural interface for humans to interact with technology, but also overcome the barriers posed by a written interface. Thus, access to technology is not restricted by literacy and can also be done in unwritten languages. Currently, spoken dialog systems are available only in a limited number of languages. A major bottleneck in extending these systems



(a) Block diagram of a typical spoken language understanding system



(b) Block diagram representing our proposed SLU system.

**Fig. 1**: Diagrammatic description of a typical SLU system and our proposed SLU system.

to other low-resourced, local and unwritten languages is the lack of availability annotated data in these languages.

Spoken language understanding (SLU) systems are fundamental building blocks of spoken dialog systems. A typical SLU pipeline, shown in Figure 1a, comprises of a Speechto-Text (STT) module followed by a Natural Language Understanding (NLU) module. STT modules convert speech to textual transcriptions and NLU modules perform downstream tasks like intent recognition and slot filling from the transcripts obtained. Creating language specific automatic speech recognition (ASR) modules for each language requires a large amount labelled data, which is usually not available for most languages. Language specific ASR systems thus form a bottleneck for creating SLU systems for low-resourced languages.

In this paper, we present a novel acoustics based SLU system where we bypass the need to create a language specific ASR system. A block diagram representing our proposed system is shown in Figure 1b. We replace language specific STT modules with Allosaurus [1], which is a universal phone recognition system that creates phonetic transcription of input speech. We then create language and task specific, word-free, natural language understanding modules that perform NLU tasks like intent recognition and slot filling from phonetic transcriptions.

In this paper, we show that our proposed SLU system performs competitively with current state of the art SLU systems

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in high resource setting, and gets better as the amount of data available to the system reduces. We train both recurrent and transformer based neural networks and compare their performance for the task of intent classification. We work with natural speech datasets in five languages - English, Belgian Dutch, Mandarin, Sinhala and Tamil. Our system improves on the state of the art intent classification accuracy by approximately 5% for Sinhala and 11% for Tamil in low resource settings. We also propose an unsupervised slot value identification algorithm based on the self-attention mechanism. This enables one-shot data generation for a new slot value, where only one speech utterance is needed to generate new data.

### 2. RELATED WORK

Spoken language understanding (SLU) systems are a vital component of spoken dialog systems. These systems are responsible for understanding the meaning of a spoken utterance. Doing so requires identifying speaker intent, a task which sometimes requires slot filling. Current research in spoken language understanding is moving towards creating End-to-End (E2E) SLU systems [2] [3] [4] which have various advantages over conventional SLU systems [5]. To aid development in SLU, various speech to user intent datasets have been created in different languages including English [5] [6] [7] [8], Sinhala [9] [10], Tamil [10], Belgian Dutch [11] [12], Mandarin [13] and French [8]. For our work, we choose English, Sinhala, Tamil, Belgian Dutch and Mandarin datasets.

In low-resourced scenarios, building language specific ASR systems is not viable. In previous work, NLU modules have been built on top of outputs of an English ASR system, for example, using the softmax outputs of DeepSpeech [14] for Sinhala and Tamil. DeepSpeech is a character level model and the softmax outputs corresponding to the model vocabulary were used as inputs to the intent classification model [10]. Softmax outputs of an English phoneme recognition system [5] have also been used to build intent recognition systems [15] for Sinhala and Tamil. MFCC features of input speech have also been used for intent classification in Sinhala [9].

In our work, we build a unique natural language understanding module for SLU systems based on phonetic transcriptions of audio. These phonetic transcriptions were obtained from Allosaurus [1], a universal phone recognition system that gives language and speaker independent phonetic transcriptions of input audio. These transcriptions are finer grained when compared to a language specific phonemic transcription. This can be seen in the experiments sections where using only the top-1 prediction made by Allosaurus improves the performance on Sinhala and Tamil, which previously used the entire softmax vector of an English ASR system. The advantage of using Allosaurus to generate phonetic transcriptions are manifold. Allosaurus is trained to perform universal

phone recognition, and is not a language specific model. This means the phonetic transcriptions encode finer grained information when compared to English phonemic representations. Also, these phonetic transcriptions incorporate language specific nuances and is expected to generalize better to novel languages, especially to languages that are phonetically different from English.

A prototypical intent classification system was built for banking domain in Hindi from these phonetic transcriptions [16]. In this work, a small natural speech dataset was used with Naive Bayes classifier as the intent recognition model. [17] showed that such intent recognition systems built on top of phonetic transcriptions work for a large number of languages, including various Indic and Romance languages. They also showed that multilingual training helps in building more robust systems and improves performance on an unknown language within the same language family. The intent classification system described in [17] was built for a large dataset with multiple intents, but this system was built using synthetic speech. In this paper, we perform intent classification and slot identification experiments on standard SLU datasets with natural speech. These are the first results for our proposed SLU system on natural speech.

Transformer [18] based architectures have achieved state of the art performance in various speech and natural language processing tasks. BERT [19] is a transformer based contextualized word embedding model which pushed the boundaries on performance on various NLP tasks including classification, natural language inference and question answering. BERT consists of the encoder modules of the Transformer, trained on the Masked Language Modelling (MLM) and the Next Sentence Prediction (NSP) objectives. RoBERTa [20], makes various modifications to the original BERT model including removing the NSP objective. In our paper, we train a RoBERTa based model with a vocabulary of phones.

## 3. DATASETS

We work with five standard SLU datasets for five different languages. All of these are natural speech datasets. For English, we use the Fluent Speech Commands (FSC) dataset [5], which is the largest freely available speech to intent dataset. The dataset was collected using crowdsourcing and was also validated by a separate set of people by crowdsourcing. The dataset has 248 distinct sentences spoken by 97 different speakers. The FSC dataset was further divided into train, validation and test splits by the respective authors, where the validation and test sets comprised exclusively of 10 speakers which were not included in the other splits [5]. Detailed dataset statistics are shown in Table 1. Each utterance in the FSC dataset has three types of slot values for action, object and location. The dataset can be modelled as a multilabel classification problem or a standard classification problem that flattens out all the different intents and slot values [5]

Language	Number of	Number of Intents	Number of	Pre-Training
	Utterances		Speakers	Dataset Size (hrs)
English [5]	30,043	31	97	100 [21]
Sinhala [10]	7624	6	215	17 [22]
Tamil [10]	400	6	40	7[23]
Belgian Dutch [11]	5940	36	11	63 [24]
Mandarin [13]	6925	4	-	15 [25]

**Table 1**: Dataset statistics for English, Sinhala and Tamil datasets.

[26]. We have used the 31-class intent classification formulation of the problem in our work. An example utterance in the dataset is given below:

Utterance: Switch the lights on in the kitchen

(action: activate), (object: lights), (location: kitchen)

The Belgian Dutch dataset, Grabo, [11] was collected by asking users to control a service robot. There are 36 commands spoken by 11 different speakers which typically look like "move to position x" or "grab object y". The dataset was divided into a ratio of 60-20-20 for training, validation and testing. For detailed dataset statistics, please refer to Table 1. Here, each speaker was asked to say the same utterance 15 times. Thus, each intent class contains the exact same utterance repeated many times.

For Mandarin, we modify the CATSLU dataset [13] to make it suitable for intent classification. The original CAT-SLU dataset is ideal for dialog state tracking with conversations about 4 domains - Navigation, Music, Video and Weather. We convert the conversations into a 4-class intent classification dataset into the above four domains. To do this, we chose utterances corresponding to the semantic labels of the above domains as labels. The dataset statistics are shown in Table 1. This dataset contains longer and free-flowing sentences when compared to the other datasets. Examples of utterances for the class of *weather* are:

what's the weather in Shanghai today, (Intent: Weather)

Is it sunny tomorrow, (Intent: Weather)

We see that the above utterances are much more complex than utterances in other datasets and requires inferring that 'Is it sunny tomorrow?' corresponds to the domain of weather even though the word 'weather' is not present in the utterance. This makes this dataset the most complex out of all the datasets used in our work. This is also shown by the fact that a BERT-based textual intent classification model achieves a classification accuracy of only 93% and F1 score of 91%.

We also work with speech to intent datasets in Sinhala [9] [10] and Tamil [10]. The Sinhala and Tamil datasets contain user utterances for a banking domain. The dataset has 6 different intents to perform common banking tasks including money withdrawal, deposit, credit card payments etc.

Both datasets were collected via crowdsourcing. The Sinhala and Tamil datasets were not divided into train and test splits by the respective authors and previous work and results provided in literature on these datasets are based on 5-fold cross-validation [9] [15] [10]. The detailed dataset statistics are also shown in Table 1. The utterances in the Tamil dataset are at times code-mixed with English.

We also pre-train our models using large speech corpus released for public use. The hours of data used for pre-training is shown in Table 1. We pass the speech utterances present in pre-training corpuses through Allosaurus to obtain their phonetic transcriptions. These transcriptions are used to pre-train our models.

#### 4. MODELS

To the best of our knowledge, in this paper we train the first BERT-based language models for a vocabulary of phones. The transformer model we use is based on RoBERTa [20]. We use the CLS token for generating sentence level representation for the input utterance, which is used for classification. We do a grid search for hyper parameters like number of attention heads, hidden layer size for the feed forward layers and number of encoder layers. We refer the reader to the RoBERTa [20] and Transformer [18] papers for architectural details. For pre-training the transformer, we use the MLM objective where 15% of the tokens are randomly masked. Out of those, 80% tokens and randomly changed to the token MASK, 10% tokens are changed to a random token and the remaining 10% are kept the same.

We modify the language model architecture proposed in [17] for our work. The architecture proposed in [17] consists of a Convolutional Neural Network (CNN) and Long-Short Term Memory (LSTM) [27] based language model followed by a fully connected classification layer attached to the final time step output of the LSTM. The language model consists of CNN layers with varying filter sizes, capturing N-gram like features of word embeddings, very similar to the architecture shown in Figure 2. The CNN layers are followed by an LSTM layer. The CNN+LSTM layer forms the language model of our phonetic transcriptions. For intent classification, the LSTM output at the final time step is fed into a fully connected layer to perform intent classification.

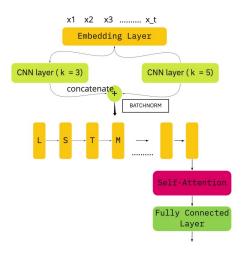


Fig. 2: Model used for unsuperised slot identification.

In addition to intent classification, we also propose an algorithm for unsupervised slot value identification, leveraging the self-attention mechanism [28] to do so. We use the standard key-query-value formulation of the self-attention mechanism. The keys and values are the outputs of the LSTM at each time step, and the final time step output of the LSTM is used as the query. We use dot-product attention between query and key to calculate the attention scores. A softmax is taken across the attention scores for normalization. The final output of the self-attention mechanism is a linear combination of *values* weighted by their normalized attention scores. The output of the self-attention layer is sent to the fully connected layer for the classification decision, as shown in Figure 2.

The phonetic transcriptions of all intent classification datasets which were used as training data including the language specific data splits will be made available publicly along with the codes used in this paper. The specific architectures used for achieving the results in section 5 will also be released along with the codes.

## 5. EXPERIMENTS

## 5.1. Intent Classification

We compare the performance of our proposed system with previously reported results on five different languages - English, Belgian Dutch, Mandarin, Sinhala and Tamil. The results are shown in Table 2. We see that the results of our proposed method improves as the size of the dataset decreases. This makes our system an ideal candidate to be used for low-resourced scenarios. We report state of the art results for Tamil, which improves on the previous best by approximately 11% and halves the error rate.

Our proposed phonetic transcription based intent classifier performs competitively on the relatively larger English dataset. The model trained on the FSC dataset in [5] is an

E2E-SLU model, which has various advantages over a two-module split SLU system. An E2E-SLU model learns better representation of data as it directly optimizes for the metric of intent classification [5]. Instead, our system consists of two blocks that are not optimized for the errors made by the other, causing errors to propagate through the system. Thus, an end-to-end system with enough data provides an upper limit for the intent classification results. Furthermore, results shown in Table 2 only use the top-1 predictions made by Allosaurus, which means we select the phone with the highest softmax score for generating phonetic transcriptions. When we use the top-5 predictions made by Allosaurus, thus giving more information about the spoken utterance to our models, we achieve an accuracy of 96.31%.

The Belgian Dutch dataset observes significant improvement with the use of Transformer models when compared to the other datasets. We attribute this improvement to the kinds of utterance present in the dataset. All utterances corresponding to the same intent in the Dutch dataset are spoken in the exact same word order. The positional embeddings of a transformer are responsible for encoding the grammatical structure of an utterance. When the structure is jumbled, as in the case of the other datasets which contain multiple ways of saving the same intent, the positional embeddings don't encode useful information and require larger amounts of data. Also, note that since multiple phones can correspond to the same spoken word, the token order in phonetic transcriptions are even more jumbled. Since the Dutch dataset does not have jumbled word order, there is minimal variability in the dataset and hence transformers are able to produce better results for Belgian Dutch when compared to other languages.

The Mandarin dataset is by far the toughest dataset. The other four datasets have simple commands with most sentence lengths of 2-5 words. The Mandarin dataset on the other hand contains free-flowing questions which are also longer in length. The utterances do not contain intent specific words as shown in section 3 which makes the task harder. This is why we see modest classification performance for the Mandarin dataset.

The baseline models for the Sinhala and Tamil datasets [15] are a two-module split SLU systems, where the intent classifier is built from phonemic transcriptions generated from an English ASR. The performance of our system is comparable for the Sinhala dataset while it significantly outperforms the phonemic transcription based model for the Tamil dataset. We again point out to the reader that in our systems, we've only used the top-1 softmax predictions made by Allosaurus, thus providing much less information about spoken utterances to our model. On the other hand, baseline models use the entire softmax layer vectors of the ASR systems as an embedding to encode spoken information.

The above results also show the effectiveness of using Allosaurus when compared to a language specific ASR for encoding spoken information. Phonemes are perceptual units of

Dataset	Baseline	LSTM	LSTM +	Tranformer	Tranformer +
	Accuracy	Model	Pre-Training	Model	Pre-Training
English (FSC)	98.8% [5]	92.67 %	92.77 %	90.77 %	90.91 %
Belgian Dutch (Grabo)	94.5 % [12]	78.82 %	79.69 %	85.41 %	87.84 %
Mandarin	-	65.59 %	70.35 %	64.29 %	65.14 %
Sinhala	97.31% [15]	95.68 %	96.33 %	95.60 %	94.66 %
Tamil	81.7% [15]	92.00 %	91.50 %	91.00 %	92.50 %

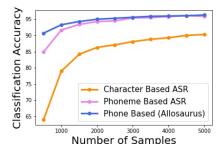
**Table 2**: Intent classification results for our proposed SLU system.

sounds and changing phonemes ends up changing the spoken word. Phones on the other hand are language independent and correspond to the actual sound produced. Changing a phone does not necessarily change a word in a particular language. Usually multiple phones are mapped to a single phoneme, and this mapping is language specific. This makes using ASR systems built for a high-resourced language like English suboptimal when cross-lingually encoding spoken utterances into a vector for chosen target languages. Allosaurus [1] is a universal phone recognition model and is trained to recognize fine grained differences in spoken utterances at the level of phones. We hypothesize that the intent classification models are able to extract fine-grained phone level differences when larger amounts of data is available, but as the amount of data reduces, this becomes increasingly difficult. This is why we see improvement in performance as the dataset size decreases.

To illustrate the effectiveness of our proposed system over previous approaches, we randomly select subsets of the utterances in Sinhala in increments of 500, just as it was done in [10] [15]. We compare the performance of our phonetic transcription based model to the English character based ASR model [10] and the English phoneme based ASR model [15]. The authors very generously provided us with the exact numbers for the comparison. The results can be seen in Figure 3. We can see that intent classifiers built from phonetic transcriptions produced by Allosaurus significantly outperforms intent recognition systems built on top of character or phoneme based transcriptions as the amount of data reduces. For a training set size of 500 samples for the Sinhala dataset, we improve on the English character based system by approximately 25% and on the English phoneme based system by more than 5%. The transformer and pre-trained models do not outperform the CNN+LSTM models, especially for low data scenarios.

# 5.2. Unsupervised Slot Value Identification

With the aim of creating entire NLU modules based on phonetic transcriptions of speech, we shift our focus on slots. The Sinhala and Tamil datasets used in this paper do not have sequence level slot information either in speech or textual transcriptions. This is a very realistic low-resource scenario where we cannot expect utterances to have labelled slot values. Similar argument holds for unwritten languages. In



**Fig. 3**: Comparing the performance of our proposed phonetic transcription based SLU system with previous characted and phone based systems.

this section, we propose an attention based Low-Resource Unsupervised Slot value Identification (LUSID) algorithm to identify slots values when no labels are present. We also aim to identify the span of existing slots in our training data (note that our training data is phonetic transcriptions of speech).

## 5.2.1. Problem Definition

We pose the unsupervised slot value identification as a classification problem. We use an attention based classification model as described in section 4 to identify slot values in an unsupervised manner. A self-attention module is added before the final classification layer of the LSTM+CNN based model. To test our algorithm, we create a 2-class attention-based classification model. The two classes correspond to two slot values belonging to the same intent, thus the differentiating feature is the slot value between them.

We use an example from the FSC dataset for illustration. The intent of *activating lights* is used from the FSC dataset with two slot values - *bedroom* and *kitchen*. Figure 4 shows the normalized attention scores for a given phonetic input when the utterances are passed through the attention-based classifier. The title of the figure represents the textual transcription of the speech input. The x-axis labels correspond to the phonetic transcription of the input produced by Allosaurus. The y-axis represent the normalized attention scores for each token in the phonetic transcription. Figure 4 shows activated weights for phones corresponding to the word bedroom. We can see that the self-attention mechanism is able to

identify the approximate location of the slot value for the slot *location*.

# 5.2.2. Identifying Exact Slot Location

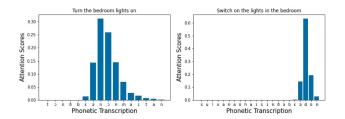
Next, we identify the location of slot values in an utterance. This would enable us to replace the slot value with a new slot value, thus generating synthetic data. For the purpose of this illustration, let's say our base slot value is bedroom and the target slot value is kitchen. Base slot value is the slot value in the utterance we're working with. This is the slot value we want to replace in the current utterance with the target slot value, keeping the remaining utterance the same. To do this, we identify the phone corresponding to the highest attention score for the base slot value, and remove all phones within a left window of size l = 4 phones and a right window of size r = 3 phones from the highest score phone. This gives us the location of the base slot value. (l, r) are tuned as hyperparameters for each model. Once we have the location of the base slot value, we replace it with the target slot value (corresponding to the phonetic transcription of kitchen).

#### 5.2.3. Verification of Generated Data

The above process gives us a synthetically generated utterance for the slot value kitchen from an utterance corresponding to the slot value of bedroom. Note that this new utterance is generated purely in the phonetic transcription domain, thus avoiding the need for textual transcriptions and supervised slot level labelling. Next, we need to test that this new generated utterance actually corresponds to the target slot value, kitchen. To do so, we feed the generated utterance back to the same classifier, with the expectation of now being classified into the target slot value class, kitchen. The accuracy for the new utterance generated from the base slot value, being classified as the target slot value, is shown in Table 3 with optimal (l, r) values for both the English and the Sinhala dataset. For the English slots, the best classification accuracy achieved is 99.24 %, which means that the model classifies the generated data into the target class 99.24% time. This shows that the model is not able to differentiate between generated utterances and actual data. For the Sinhala dataset, we used the intents bill Payments and credit card payments and achieved an accuracy of 93.61 %.

# 5.2.4. Discussion

It is important to highlight the non-triviality of these results. Firstly, the slot can be present anywhere in the sentence and we identify the span of the slot in an unsupervised way. This can be seen in Figure 4. Secondly, taking the example of the English dataset, the generated utterances are created from the training data for base slot value of the *bedroom* class. Thus, the model is trained with almost 100% accuracy to recognize the non-replaced part of the utterance as the *bedroom* class.



**Fig. 4**: Attention scores for each phone in the phonetic transcription of an utterance.

Dataset	Left Window	Right Window	Classification Accuracy
English (FSC)	4	3	99.24 %
Sinhala	8	1	93.61 %

**Table 3**: Classification accuracy of generated utterances using LUSID.

Yet, it recognizes new utterance generated from the base class (*bedroom*) as belonging to the target class (*kitchen*), showing that we have successfully removed the slot value which was responsible for making the classification decision.

LUSID can be used to generate artificial data for a new slot value from a single spoken utterance. We can also use this algorithm to generate unsupervised slot labels in the phonetic transcription domain when slot labels are not present as well as for data augmentation, since it allows us to generate new data samples for a given slot value for an existing dataset.

## 6. CONCLUSIONS

In this paper, we present a unique spoken language understanding system (SLU) for low-resourced and unwritten languages. The SLU system converts speech to its phonetic transcription using a universal speech to phone converter. We then build natural language understanding modules for utterances in the phonetic transcriptions domain, which perform competitively with current end-to-end SLU models and outperforms state of the art approaches for low-resourced languages. Moreover, we show that the performance of our system surpasses state of the art systems as the amount of labelled data decreases, which makes it an ideal candidate for low-resourced settings. We also propose an attention-based unsupervised slot value identification algorithm that identifies slots in the phonetic transcription domains when slot labels are not present. This technique, which we call LUSID, has various applications from one-shot data generation to data augmentation.

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