# A Subset of Acoustic Features for Machine Learning-based and Statistical Approaches in Speech Emotion Recognition

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Abstract: In this paper, a selection of acoustic features, derived from literature and experiments, is presented for emotion recognition. Additionally, a new speech dataset is built by recording the free speech of six subjects in a retirement home, as part of a pilot project for the care of the elder called E-Linus. The dataset is employed along with another widely used set (Emovo) for testing the effectiveness of the selected features in automatic emotion recognition. Thus, two different machine learning algorithms, namely a multi-class SVM and Naïve Bayes, are used. Due to the unbalanced and preliminary nature of the retirement home dataset, a statistical method based on logical variables is also employed on it. The 24 features prove their effectiveness by yielding sufficient accuracy results for the machine learning-based approach on the Emovo dataset. On the other hand, the proposed statistical method is the only one yielding sufficient accuracy and no noticeable bias when testing on the more unbalanced retirement home dataset.

# **1** INTRODUCTION

A rigorous and universally accepted definition of emotion does not currently exist. In general, we can say that it is an internal state that is somewhat more ancestral than feeling, but still rather complex, which depends on external events but also on the way in which the subject interprets and responds to these events. Given the strong subjective value, it is difficult to describe the emotional state objectively. and to associate it with clear external manifestations of this state. Particularly useful for this purpose are the studies of Plutchik and Ekman (Plutchik, 1970, 1991, Ekman, 1999). Works of study and description of emotions can be divided into two large groups: on the one hand, those in which it is assumed that there is a set of basic functions and that all the others are in some way attributable to some variant or combination of the emotions of base. However, there is no agreement on which and how many basic emotions are. This is what we call the categorical model. The other set of theories, called the dimensional model, is based on the assumption that what we call "emotion" is actually a combination of two or more independent

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factors. The key aspect is that these factors, called dimensions, can vary continuously, giving rise to an infinite amount of different shades. In this study, the categorical model is considered along with principles based on the Dimensional (or Circular Complex) model to derive some acoustic features able to differentiate emotions. The paper is organized as follows: in the following section a description of the categorical and dimensional models for speech emotions is given; Section 3 describes the datasets, Section 4 the acoustic features and classification method and Section 5 presents the experimental results. Finally, a discussion and conclusions section ends the paper.

# 2 MODELS OF EMOTIONAL SPEECH

In this work, we use the *Categorical Model*: we assume that emotions are a well-defined set of reactions to well-defined situations. Reactions innate and in some way encoded in our own organism,

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which allow us to respond immediately, without going through the mediation of the cerebral cortex. This range of theories, as argued by Plutchik or Ekman, affirm that emotions derive from "universal" purposes, i.e., related to the survival of the species (Palmero Cantero et al., 2011). The exact number and type of basic emotions that are considered can vary from author to author. In our work, the emotions considered are fear, anger, joy and sadness. The neutral state is also considered.

Fear is the emotion felt in front of a danger that the subject is not considered able to face, and therefore prepares himself to escape. The breathing rate increases, as does the heartbeat, in order to bring greater oxygenation to the muscles. The sympathetic system is activated. A tremor can also be found at the vocal level, both in the form of pitch and intensity oscillations and, mostly, with characteristic interruptions on the emission of the utterance.

Anger occurs when there is a danger that the subject believes he can face: in this case, the individual is not predisposed to escape, but to attack. The reaction is in many respects similar to that of fear, due to the activation of the sympathetic system, but the pitch of the voice tends to be more stable, the tremor less pronounced, and the volume stronger.

Joy occurs when there is no danger but rather the prospect of gain where, however, a certain physical effort is still required. Therefore, many of the characteristics of the two emotions described above are found. The difference from anger and fear is that in this case the situation is perceived as positive and pleasant.

Sadness, unlike the three emotions considered above, occurs when there is no immediate need for physical effort or a high reaction rate. Muscles relax, breathing is slow. The subject is resigned and does not prepare for either attack or flight, but passively accepts the events that are happening.

Other emotions are considered by some authors, for example disgust or contempt. Surprise is an emotion that, depending on the case, can be associated with joy, anger, or fear, but which has some traits, especially regarding the facial expression, which would lead to consider it an emotion in its own right.

The Categorical Model has the advantage of being very close to our usual way of describing emotions, and at the same time easily applicable in classification systems such as neural networks and, more generally, machine learning. However, its rigidity makes it unsuitable for a systematic approach that can consider, in a scientific way, all the various nuances between different emotions. For example, serenity cannot be assimilated to joy, but not even to sadness.

For these reasons, an alternative, more quantitative model has been proposed, the so-called Dimensional Model that involves one, two or three different dimensions that are judged sufficient to quantify an emotion (Scherer 1984, 2001; Sander et al., 2004, 2005; Watson et al., 1988; Schlosberg 1941, 1954; Wundt, 1896, Osgood et al., 1957; Russell, 1980; Cowie, 2000; Devillers et al., 2005; Devillers et al., 2005). The most complex version of this model is based on three parameters that qualify emotions:

- Arousal: the grade of excitation in the subject. High values are associated to "strong" feelings like those experienced with anger.
- Valence: the quality of the associated feeling, which is referred to the way the subject reacts to a certain situation: if it goes towards his expectations, the valence is positive, otherwise it is negative.
- Insecurity: the grade of uncertainty that the subject experiences about his own state of mind. High values, like those associated to sadness, are related to a feeling of dubiety and anxiety.

Although we did experiment on this very model, it is not suitable for machine learning-based analyses as it is. It is also worth noting that the choice of categorical of dimensional model for describing emotions may affect the completeness of the description, as some parameters cannot be shared between models (Parada-Cabaleiro et al., 2018). This explains our need to find a reliable set of features, which can be based on some principles underlined by the Dimensional model, as will be explained in the "Methods" section.

# **3 MATERIALS**

Two datasets of emotional speech, recorde in Italian, have been considered for the present study. The first one is Emovo (Costantini et al., 2014) which consists of a carefully recorded set of utterances by six actors who were asked to read the same sentences expressing different emotions. It is well balanced with 84 recordings per emotion.

The second dataset is part of a pilot project called E-Linus and is still in the preliminar phase of its construction. The E-Linus project, supported by the Lazio Region in 2021, aims to develop an Active & Independent Living solution that operates through a network of non-invasive IoT devices. The goal is to build a new framework that integrates Artificial Intelligence algorithms in a system of "Multimodal Detection of mental states", identifying states of isolation and depression in the elderly and improving the level of home care. More info on E-Linus can be found in the Acknowledgements section.

A voice recording framework has been established in a retirement home, where the free speech of five different subjects is being recorded in time. However, it's common for the subjects not to be experiencing strong emotions, due to their life conditions in the recovery home, as confirmed by psychologists who are part of the project. Thus, a huge unbalance towards "Neutral"-labeled emotions can be observed, and no reliable recordings of "Fear" being experienced have been collected. Due to the different nature of the two sets, Emovo has been chosen in order to also test the goodness of our methods on a balanced and widely used dataset. Table 1 shows the number of instances for each emotion in each dataset.

Table 1: Number of total instances for every emotion in each dataset.

	Emovo	Retirement Home
Joy	84	20
Anger	84	27
Sadness	84	87
Fear	84	0
Neutral	84	676
Total	420	810

# 4 METHODS

# 4.1 Acoustic Features

Taking into consideration a categorical model where each emotion corresponds to a "class", our first aim was to identify a generalized and optimal feature set for the automatic identification of emotions. Said features are acoustic properties of the voice signal, and span from prosodic attributes to considerations on the spectral and cepstral domains (Bogert et al., 1963). In order to give a first idea of how emotions are in fact related to acoustic features of the voice, three diagrams are shown in Figure 2, based on an actress enunciating the same sentence with five different emotions. The sentence is in Italian: "I vigili sono muniti di pistola". The energy vs. time (seconds are shown in the abscissa), the pitch of the sound and, at the bottom, the power spectrum are shown. In the first diagram (energy) the peaks correspond to the syllables: it is possible to note that in anger they are closer together, while in the neutral and in sadness they are very far apart. This is confirmed by literature (Katarina et al., 2016) and shows how prosodic features are related to the emotion. In the second plot, we can see joy bringing much higher pitch, while it becomes much lower in sadness. The last plot shows how the frequency content (spectrum) of the voice, although still obeying to a similar power law, is due to change when different emotions are experienced. As an example, the high-mid frequency content when expressing a neutral state is much higher than that when fear is present.

Despite the categorical model being useful to actually describe the emotions as speech-related "classes", the Dimensional model comes to help when searching for concrete and quantifiable parameters for emotion recognition. The threedimensional model is based on arousal, valence and insecurity, which impose thresholds that allow an emotion to be categorized. The three dimensions can be associated to artifacts that can be heard in the voice: this leads to the possibility of describing similar indexes as arousal, valence and insecurity with the use of acoustic features.

High arousal level (as in joy, fear, anger) is generally characterized by higher sound pressure and fast tempi, but also presence of vibrato (Jansens et al., 1997). This basically means that energy and pitch are relevant features for emotion recognition, which anticipates most of the attributes that we chose to consider as a selected set.

Valence is also reflected in voice quality: we can describe voices with adjectives as tense, breathy, etc. These kinds of parameters are mainly related to the intensity of the harmonics and, in general, to the shape of the power spectrum. Some of the most used parameters to describe voice quality are the Hammargberg index (Hammargberg et al., 1980) and the spectral slope, which has been shown to be related to stress (Shukla et al., 2011). Another feature that is related to the spectral slope is the Hi to Low frequency ratio of energy within the spectrum. Moreover, studies on dysphonia showed that features related to the cepstral domain (Alpan et al., 2009), namely the Cepstral Peak Prominence, or CPP, and the the Rahmonics-to-Noise Ratio, can be a measure of voice quality especially regarding "breathiness". Cepstrum is the inverse transform of the logarithm of the square module of the Fourier transform of the signal. It is a reliable way of measuring pitch and intelligibility of the fundamental frequency.

A set of features is dedicated to the measure of speech and articulation rate, as well as duration and number of silences, which are shown to be related to

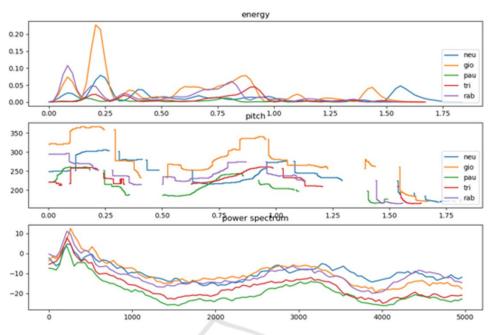


Figure 1: Energy and pitch vs. time and power spectrum of an actress pronouncing the same sentence "I vigili sono muniti di pistola" with five different emotions. Legend: "neu" (blue) = neutral; "gio" (yellow) = happiness; "pau" (green) = fear; "tri" (red) = sadness; "rab" (purple) = anger.

anxiety (Heman-Ackah et al., 2016).

Finally, consideration in the energy domain regarding the spoken and silent time, and general features regarding articulation and prosody are also considered (Mencattini et al., 2014).

24 features have been selected for the extraction, considered sufficient to summarize all information regarding prosodic, pitch-related and spectral features of emotional speech as shown in Figure 1.

An array of custom Python scripts (Van Rossum and Drake, 2009) has been used to extract the following features:

- 1. *pm*: pitch mean, i.e., the average of the pitch calculated over the entire range of the vocal signal.
- 2. *pv*: pitch variance, representing the variance that characterizes the pitch within the emotional expression.
- 3. *pr*: pitch range (max-min) calculated over the entire range of the vocal signal.
- 4. *dpm*: delta pitch mean, mean value of the derivative of the pitch.
- 5. *dpv*: delta pitch variance, which is the variance of the derivative of the pitch.
- 6. *dpr*: delta pitch range, range of the derivative of the pitch.
- 7. *fin*: ratio between the last pitch and the pitch mean. It is a parameter that affects the valence: a sad person, for example, tends to lower the pitch

of the voice in the final part of the sentences and, therefore, the fin parameter will have a lower value.

- 8. *sprate*: speech rate, which is a prosodic parameter indicative of the speed of speech.
- 9. *arate*: articulation rate, similar to speech rate with all silences cut out before measurement.
- 10. *sdm*: silence duration mean, which is the average duration of silences (in seconds) occurring during speech.
- 11. sdv: silence duration variance.
- 12. sdt: standard deviation of the silence duration.
- 13. *ns*: number of silences. 14. *hilow*: high frequency to low frequency ratio. It divides the spectrum into two bands (high frequency band from 0 to 2000Hz, low frequency band from 2000Hz to 5000Hz) and calculates the ratio between the average energy.
- 15. *ham*: Hammarberg index, as the difference between the amplitude in dB of the spectral peak in the 2000-5000Hz range and the one in the 0-2000Hz range.
- 16. *slope*: angular coefficient of the linear regression line of the power spectrum.
- 17. *jittastd*: standard deviation of the Jitter.
- 18. enm: mean of the energy in the whole signal.
- 19. enstd: standard deviation of the energy.
- 20. *cppm*: average value of CPP (Cepstral Peak Prominence), which is the distance in dB between

the peak of the cepstrum and the linear regression line of the cepstrum.

- 22. *cppsm*: average value of the CPP filtered with a moving average filter.
- 23. *cppsv*: variance of the CPP filtered with a moving average filter.
- 24. *rbrm*: average value of the Rahmonics to Noise Ratio, i.e, the difference in dB between the peak of the cepstrum and its average value.

For all features that involve Cepstrum, it has been calculated on 23.2ms windows, at 10ms intervals.

The way in which these parameters are related to emotions can be guessed from the graph in Figure 2, where the difference in standard deviations of the average value of each parameter in all the recordings of the same actress with respect to the average value of the neutral is shown. It can be seen, for example, how the articulation rate increases significantly (more than six standard deviations from the average) when experiencing fear.

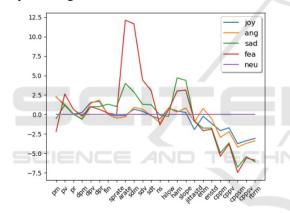


Figure 2: Difference between the average of each feature for each emotion and the average of the neutral, measured in standard deviations. See Figure 1 for the Legend.

#### 4.2 Machine Learning Approach

The 24 features, extracted as numbers, have been used associated to labelled data in the training of two different machine learning algorithms. The environment chosen is Weka by the University of Waikato (Eibe et al, 2016), and the algorithms have been chosen based on considerations of the state-ofthe-art for speech and emotion analysis.

The first algorithm employed is a multi-class SVM with a soft-margins linear kernel (Cortes and Vapnik, 1995). This translates to the following optimization problem: for a binary classification, let  $y_0=1$  and  $y_1=-1$  be the two possible target functions, each representing a class. With x being the data points, the aim of the classifier is to find the best

hyperplane for linear separation of the data. Since our SVM has a linear kernel, no higher-dimensional projections are required. However, a "penalty" parameter C (Wainer, 2016) can be introduced in order to allow for outliers to fall outside of the "correct" classification margins. This allows the classifier to be more generalized, and prevents overfit. The final optimization can be expressed as:

$$C||w||^{2} + \frac{1}{n}\sum_{i=1}^{n} \max(0, 1 - y_{i}H)$$
(1)

Where  $H = w^T x - b$  represents the usual maximum margin hyperplane function, with n being the number of samples, w being the normal vector to the hyperplane and b determines the offset.

Support Vector Machines have often proved themselves as very effective in solving complex problems, like that of audio classification, with scarce datasets. Specifically, many studies have successfully employed SVM classifiers for speech and audio classification (Cesarini et al., 2021; Sellam and Jagadeesan, 2014; Asci et al., 2020, Suppa et al., 2020, Suppa et al., 2021). Although it's an originally binary classifier, multi-class approaches are possible for SVM's implementing a one-vs-one comparison for each pair of classes, which is then unified thanks to a majority voting mechanism.

The other algorithm of choice was the Naïve Bayes (Webb, 2011), which is purely based on probability and outputs the predicted class focusing on the posterior probability calculated with Bayes' theorem with the assumption that the features are unrelated.

#### 4.3 Statistical Approach

Machine learning models rely heavily on large amounts of training data. Although they have proven their effectiveness in many speech analysis tasks, the complexity of a multi-class problem like the identification of emotions led us to explore another approach not based on learning.

A subset of macroscopic logical variables has been obtained from the 24 numerical features, based on the three-dimensional model with the aim to parametrize Arousal, Valence and Insecurity, along with other utility variables. Each variable is based on thresholds of Z-scores (number of standard deviations from the mean) with respect to neutral and is deemed "True" when all the considered features are above a certain Z-score threshold.

The variables are labelled as: aro, ins, pos, neg, dep.

Based on the dimensional model, emotions are calculated from the five variables hierarchically as such:

- Anger: aro=True, neg=True.
- Sadness: dep=True, att=False.
- Happiness: aro=True, pos=True.
- Fear: ins=True.
- Neutral: none of the above conditions are met. Note that this occurs whenever features cannot overcome the thresholds of a sufficient amount of standard deviations, which is in line with a neutral state representing both the case when no specific emotion is experienced, and when the strength of the feeling is too mild.

# **5 EXPERIMENTAL RESULTS**

### 5.1 Retirement Home Dataset

We first show the results of the two machine learning approaches and the statistical one obtained on the dataset collected during the project in retirement homes. The accuracy for both machine learning algorithms has been obtained by means of a 10-fold cross-validation, by averaging the test performances over each of the ten folds. The results are shown in Tables 2, 3 and 4.

Table 2: Confusion matrix for classification with SVM on the free-speech dataset. The emotions identified by the operators are shown on the lines, the emotion recognized by the system are in the columns.

	Joy	Anger	Sad.	Fear	Neut.
Joy	0%	0%	0%	0%	100%
Anger	0%	0%	0%	0%	100%
Sadness	0%	0%	12%	0%	88%
Neutral	0%	0%	0%	0%	100%

Table 3: Confusion matrix for classification with Bayesian classifier on the free-speech dataset.

	Joy	Anger	Sadness	Fear	Neutral
Joy	70%	5%	5%	0%	20%
Anger	19%	48%	15%	0%	19%
Sadness	7%	9%	45%	0%	39%
Neutral	27%	16%	12%	0%	45%

Unweighted mean accuracy is 69.7% for the SVM, 45.6% for the Naïve Bayes and 66.3% for the statistical approach. However, it is evident upon examination of the confusion matrices that the SVM classifier is biased towards the neutral class, and the accuracy value is in turn biased by the huge unbalance

Table 4: Confusion matrix for classification with manual selection of thresholds for the free-speech dataset.

	Joy	Anger	Sad.	Fear	Neut.
Joy	70%	10%	0%	0%	20%
Anger	7%	59%	15%	0%	19%
Sadness	2%	7%	62%	1%	28%
Neutral	6%	4%	23%	1%	67%

of training examples pertaining to said class.

#### 5.2 Emovo Dataset

We tested the same machine learning system on the Emovo database; however, due to the profoundly different nature of the two databases, especially with respect to vocal tasks, age and strength of the emotions, no preliminary results of the statistical model can be shown, as the model itself should be revised and studied deeper.

It is worth noting that all of these aspects do influence the general quality of the voice and of the features that can be extracted from it (Saggio and Costantini, 2020).

The mean accuracy achieved with the SVM classifier is 73%, while that obtained with the Naïve Bayes is 74.5%. Table 5 and Table 6 show confusion matrices.

Table 5: Confusion matrix for classification with SVM for the Emovo dataset. Accuracy is 73%.

_0G	Joy	Anger	Sad.	Fear	Neut.
Joy	63%	15%	2%	14%	6%
Anger	20%	63%	5%	7%	5%
Sadness	0%	0%	88%	2%	10%
Fear	12%	15%	11%	62%	0%
Neutral	3%	0%	7%	10%	80%

Table 6: Confusion matrix for classification with Bayesian classifier for the Emovo dataset. Accuracy is 74.5%.

	Joy	Anger	Sad.	Fear	Neut.
Joy	67%	19%	1%	7%	6%
Anger	18%	75%	4%	2%	1%
Sadness	2%	0%	81%	7%	10%
Fear	18%	8%	10%	63%	1%
Neutral	7%	2%	1%	2%	87%

# 6 DISCUSSION AND CONCLUSIONS

A set of 24 acoustic features has been built, by selecting the attributes based on literature on speech emotion recognition and psychology.

Moreover, a pilot project involving the care for elders in retirement homes led to the preliminary construction of a speech emotion dataset of free speech for five elder subjects. Said dataset, still in the very early stages, is unbalanced towards the "neutral" class, and presents a general trend of mild emotions experienced by the subjects, possibly due to their psycho-physical conditions and to the environment.

Thus, along with a dual machine learning basedapproach training on the 24 features, a statistical approach is preliminarily experimented on the retirement home dataset, where learning is not optimal due to the nature of the set.

On the other hand, the well-known Emovo dataset is considered for the test of the effectiveness of the 24 features, in the sole machine learning environment.

Experimental results show that the machine learning models, although generally desirable for performance, are almost inapplicable to the retirement home dataset. In fact, the SVM approach reached a sufficient unweighted mean accuracy, but it appears to be heavily biased on the neutral class. Weighted accuracy, in fact, falls to 28% which is just slightly better than random guessing (over 5 classes). On the other hand, the Naïve Bayes classifier, despite not being biased, brings to a measly 45.6%. The statistical model, in the end, yielded the best results with an unweighted mean accuracy of 66.3%, and a comparable weighted mean accuracy of 64.5%.

On the other hand, the 24 features appear as a partially reliable set for the balanced Emovo dataset, with 73% and 74.5% accuracies for the SVM and Naïve Bayes classifiers, and no noticeable biases.

A well-defined, concise, dataset-independent set of acoustic features is desirable for the future of speech emotion recognition (Tahon and Devillers, 2016), and, since the introduction of models like the circum-complex and three-dimensional one, it's reasonable to try and build the feature set upon it. Preliminary results show that the feature set is sufficiently effective for a machine learning based approach. However, a refinement of the very features and a possible enlargement of the emotion/class pool is foreseeable. Besides, other datasets (Parada-Cabaleiro et al., 2020) exist which we consider of relevance regarding the quality of the recordings, expressed emotions and homogeneity, and testing our methods on those is definitely something to focus on, especially for the improvement of preliminary and yet unexplored methods like the statistical one.

On the other hand, the pilot study involving elders in retirement homes is hopefully going to expand, with the collection of more data by more subjects. Preliminary analyses show that heavily unbalanced datasets like that can benefit from the introduction of a purely statistical method based on the reconstruction of circumplex dimensions with the 24 extracted features.

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