# End-to-End Automatic Speech Recognition





# Outline

- End-to-end (E2E) automatic speech recognition (ASR) fundamental
- E2E advances
  - Leveraging unpaired text
  - Multi-talker ASR
  - Beyond ASR
- The next trend
- Conclusions

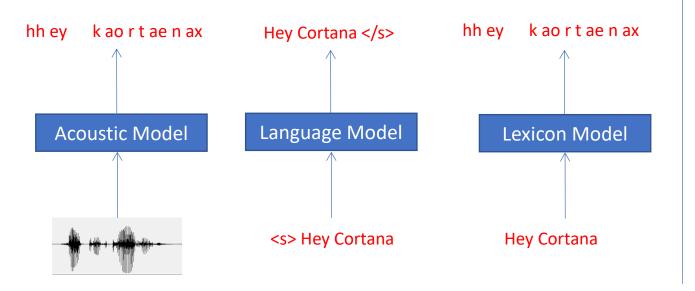
# End-to-End Fundamental



# Hybrid vs. End-to-End (E2E) Modeling

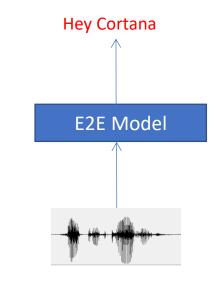
Hybrid

Separate models are trained, and then are used all together during testing in an ad-hoc way.



#### E2E

A single model is used to directly map the speech waveform into the target word sequence.





# Advantages of E2E Models



E2E models use a single objective function which is consistent with the ASR objective

E2E models directly output characters or even words, greatly simplifying the ASR pipeline



E2E models are much more compact than traditional hybrid models -- can be deployed to devices with high accuracy and low latency

A. Graves and N. Jaitly, "Towards end-to-end speech recognition with recurrent neural networks" PMLR, 2014.

A. Hannun et al., "Deep speech: Scaling up end-to-end speech recognition," in arXiv preprint, 2014.

# Current Status

E2E models achieve the state-of-the-art results in most benchmarks in terms of ASR accuracy.



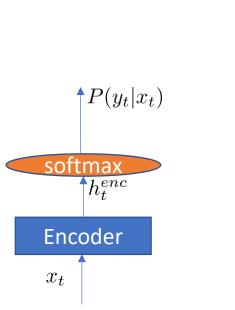
Practical challenges such as streaming, latency, adaptation capability etc., have been also optimized in E2E models.

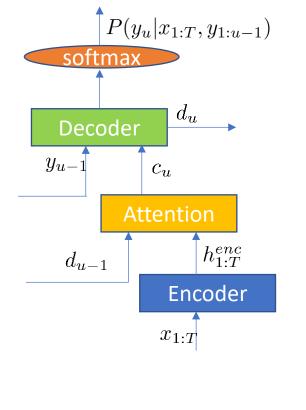


E2E models are now the mainstream models not only in academic but also in industry.

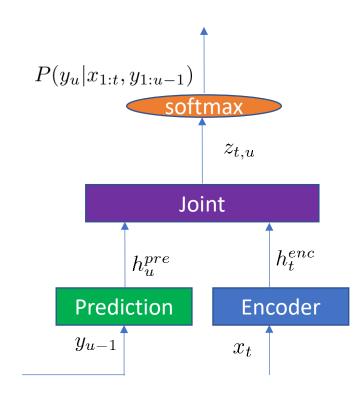


## E2E Models





Connectionist Temporal Classification (CTC) Attention-based encoder decoder (AED)



RNN-Transducer (RNN-T)



CTC

- The first and simplest E2E ASR model.
- To solve the challenge that target text label length is smaller than the speech input length:
  - Inserts blank and allows label repetition to have the same length of CTC path and speech input sequence.

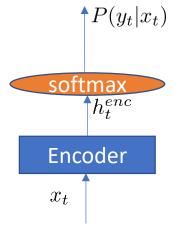
$$P(\mathbf{y}|\mathbf{x}) = \sum_{\mathbf{q} \in \mathbf{B^{-1}}(\mathbf{y})} P(\mathbf{q}|\mathbf{x})$$

• Frame independence assumption

 $P(\mathbf{q}|\mathbf{x}) = \prod_{t=1}^{T} P(q_t|\mathbf{x})$ 

 Revives with the Transformer encoder and the emerged selfsupervised learning technologies

A. Graves et al., "Connectionist temporal classification: labelling unsegmented sequence data with recurrent neural networks," in Proc. ICML, 2006.



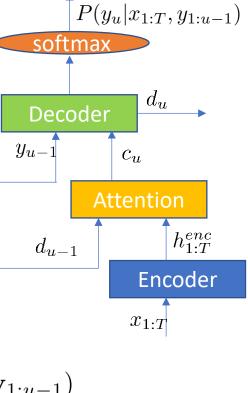
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#### AED

• The sequence probability is calculated in an autoregressive way.  $P(\mathbf{y}|\mathbf{x}) = \prod_{u} P(y_{u}|\mathbf{x}, \mathbf{y}_{1:u-1})$ 

• Encoder: converts input acoustic sequences into high-level hidden feature sequences.

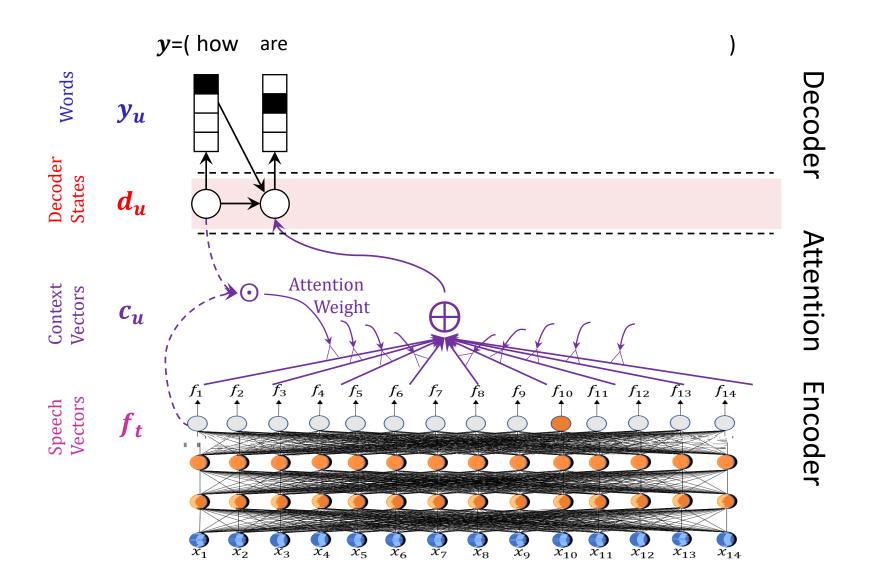
- Attention: computes attention weights to generate a context vector as a weighted sum of the encoder output.
- Decoder: takes the previous output label together with the context vector to generate its output  $P(y_u|\mathbf{x}, \mathbf{y}_{1:u-1})$





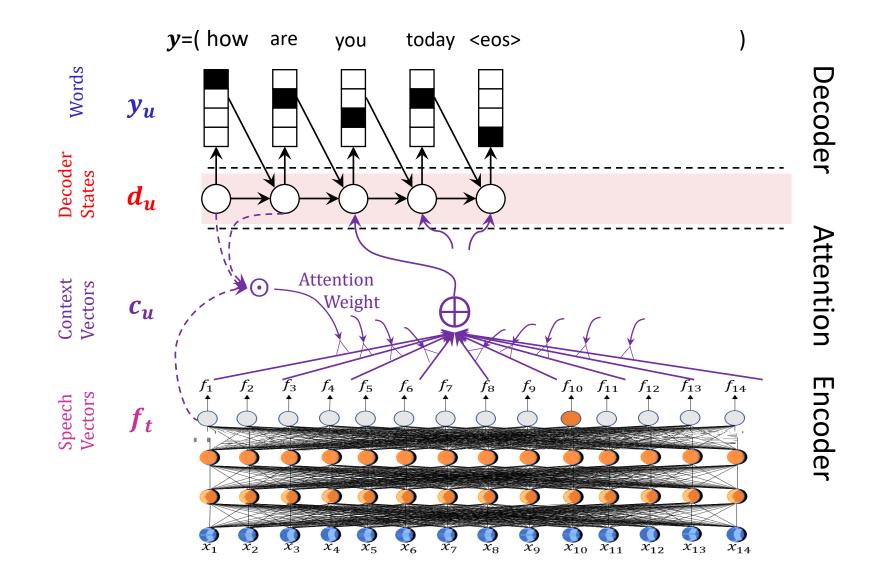








#### **AED** Inference





# Streaming



Lots of commercial setups need the ASR systems to be streaming with low latency: ASR system produces the recognition results at the same time as the user is speaking.



Non-streaming ASR is not practical in lots of ASR scenarios where speech signal comes in a continuous mode without segmentation.



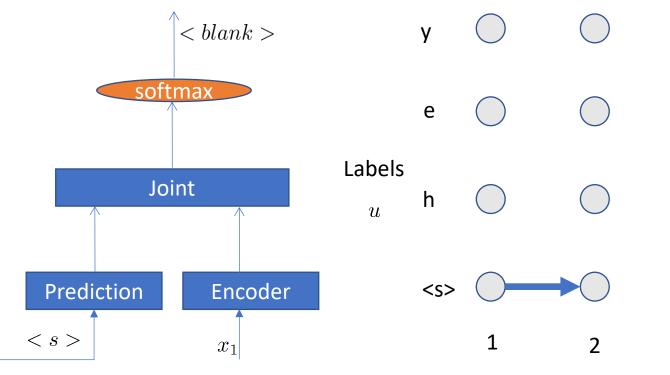
# Streaming

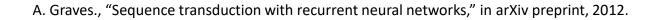
- Full attention in AED cannot work for streaming ASR
  - Streaming AED (MOCHA, MILK etc.): apply attention on chunks of input speech.
  - Not a natural design for streaming.
- RNN-T provides a natural way for streaming ASR and becomes the most popular E2E model in industry.

C. Chiu and C. Raffel, "Monotonic chunkwise attention," in Proc. ICLR, 2018. N. Arivazhagan et al., "Monotonic infinite lookback attention for simultaneous machine translation," in Proc. ACL, 2019.



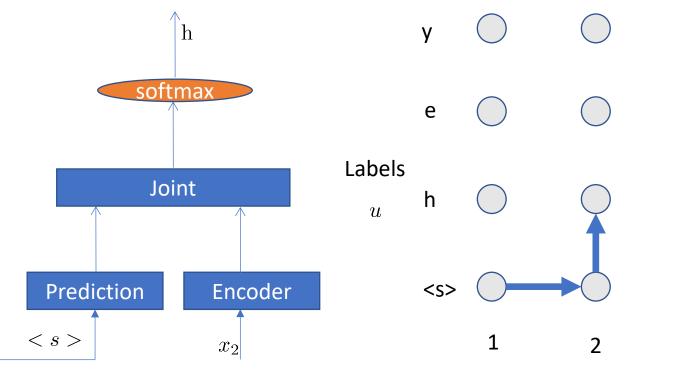
< blank > output: advance encoder, otherwise, advance prediction network.







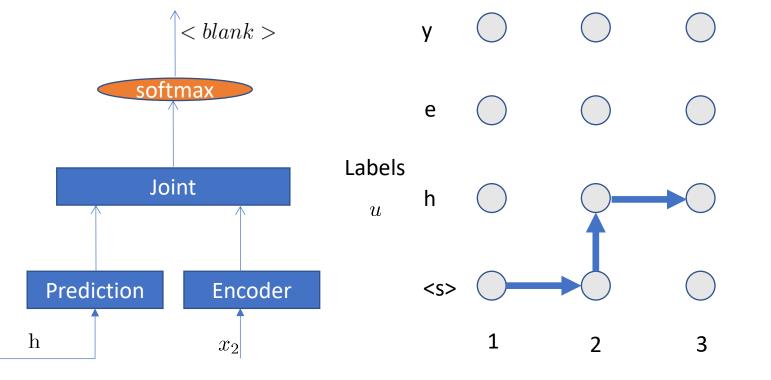
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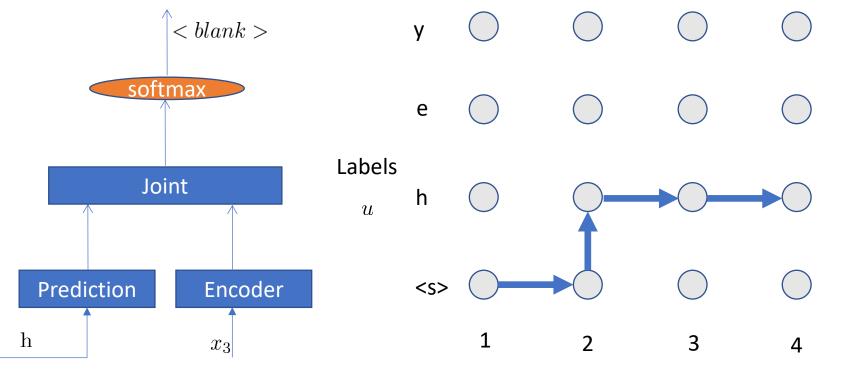


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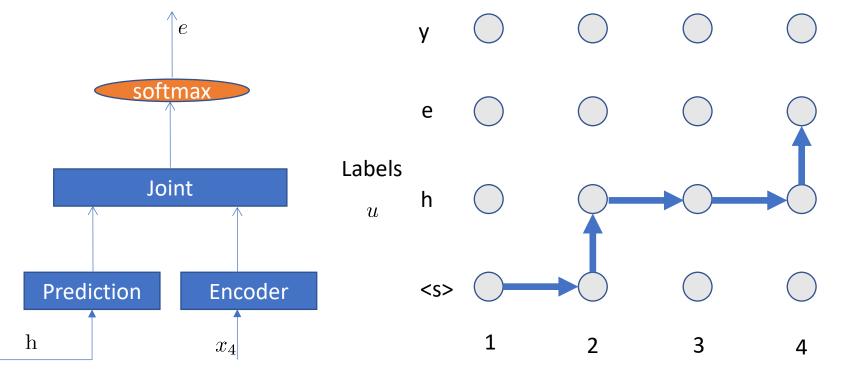


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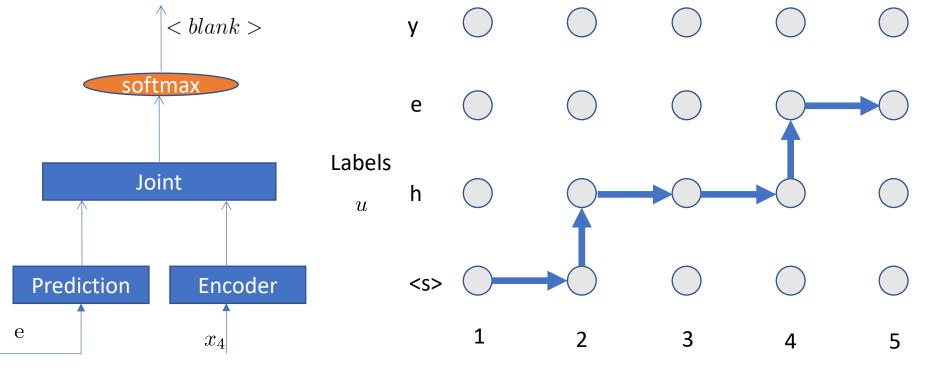


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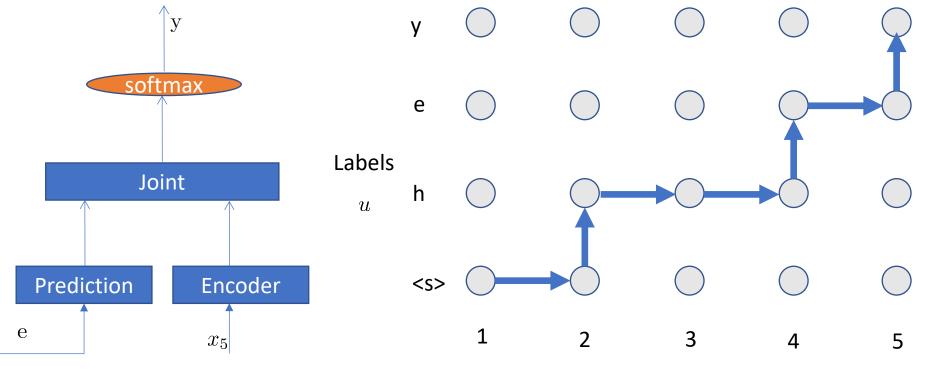


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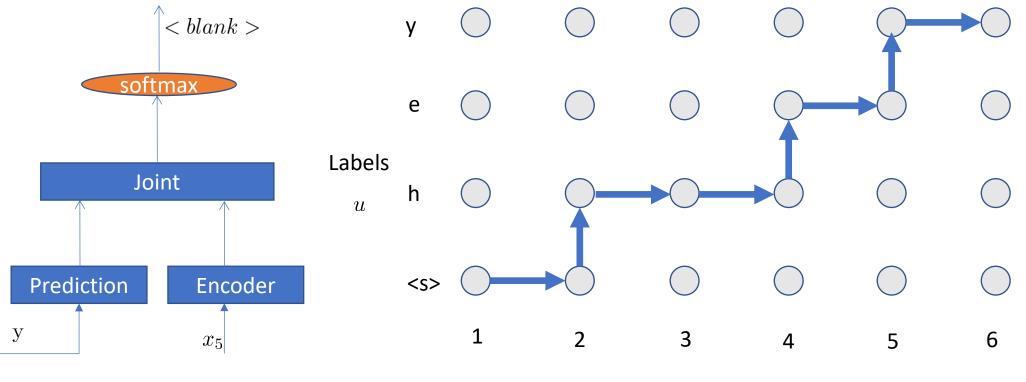


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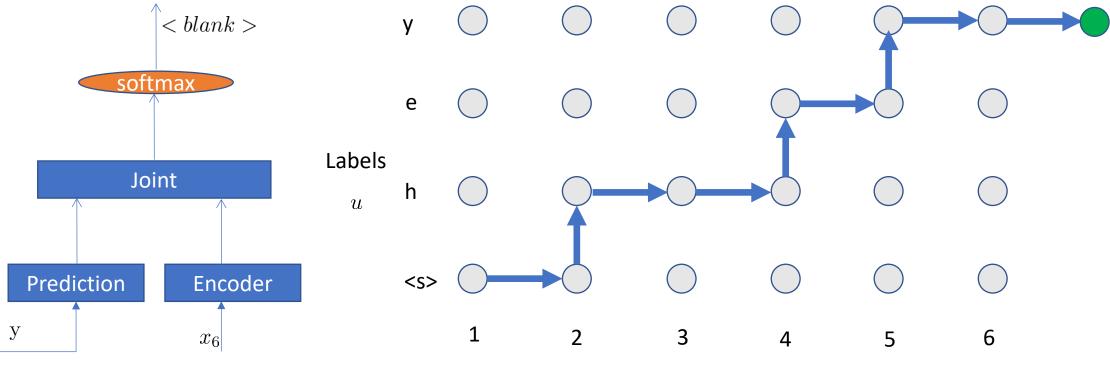


< blank > output: advance encoder, otherwise, advance prediction network.

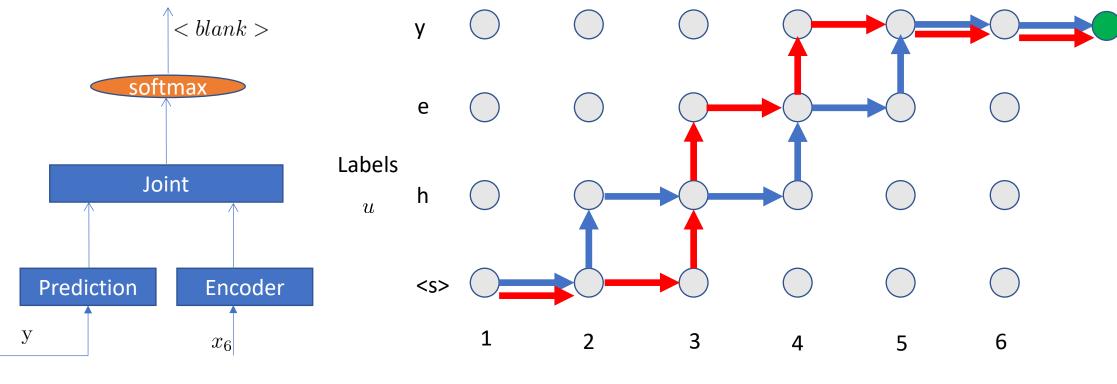




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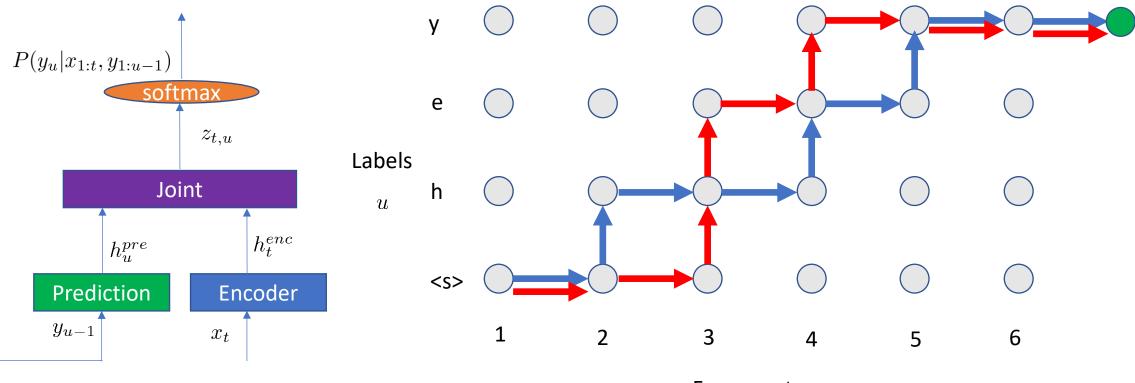






# **RNN-T** Training

Given a label sequence of length U and acoustic frames of length T, the training maximizes the probabilities of all RNN-T paths.





# E2E Models

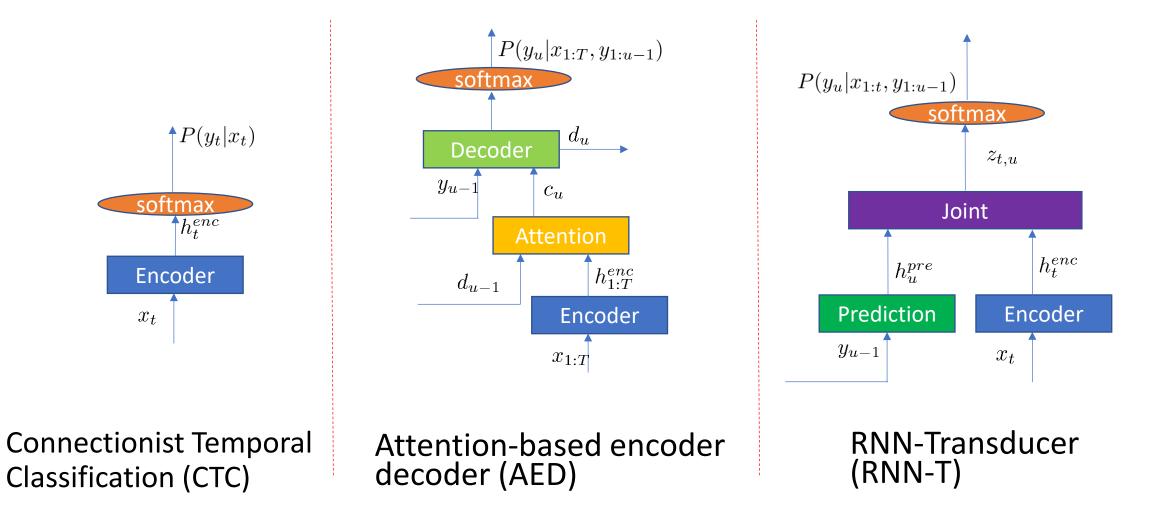
	СТС	AED	RNN-T
Independence assumption	Yes	No	No
Attention mechanism	Νο	Yes	No
Streaming	Natural	Additional work needed	Natural
Ideal operation scenario	Streaming	Offline	Streaming

# RNN-T is the most popular E2E model in industry which requires streaming ASR most of the time.

J. Li, et al., "Developing RNN-T models surpassing high-performance hybrid models with customization capability," in Proc. Interspeech, 2020. T. Sainath, et al., "A streaming on-device end-to-end model surpassing server-side conventional model quality and latency," in Proc. ICASSP, 2020.

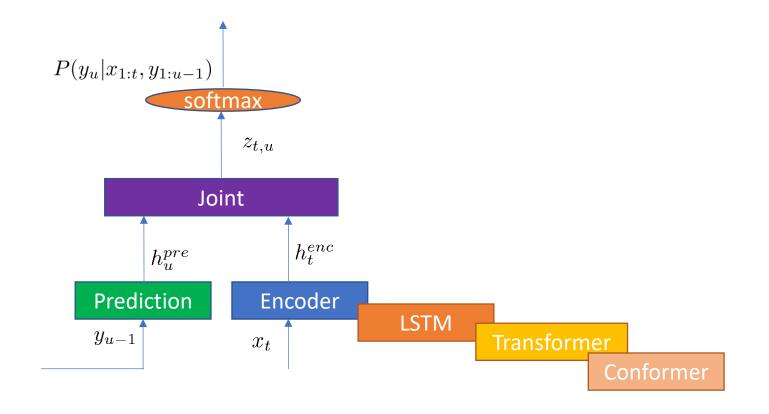


# Encoder is the Most Important Component





### Encoder for RNN-T



# Transformer

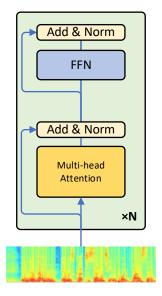
• Self-attention: computes the attention weights over the input speech sequence

 $\alpha_{t,\tau} = \frac{\exp(\beta(\mathbf{W}_q \mathbf{x}_t)^T (\mathbf{W}_k \mathbf{x}_\tau))}{\sum_{\tau'} \exp(\beta(\mathbf{W}_q \mathbf{x}_t)^T (\mathbf{W}_k \mathbf{x}_{\tau'}))}$ 

• Attention weights are used to combine the value vectors to generate the layer output

$$\mathbf{z}_t = \sum_{\tau} \alpha_{t\tau} \mathbf{W}_v \mathbf{x}_{\tau} = \sum_{\tau} \alpha_{t\tau} \mathbf{v}_{\tau}$$

• Multi-head self-attention: applies multiple parallel selfattentions on the input sequence



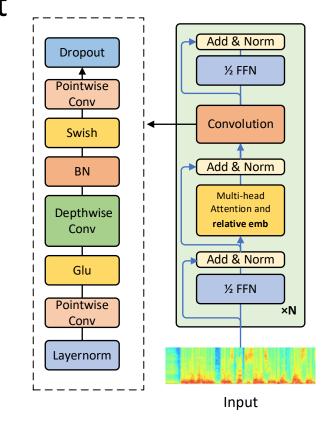
Input



#### Conformer

- Transformer: good at capturing global context, but less effective in extracting local patterns
- Convolutional neural network (CNN): works on local information
- Conformer: combines Transformer with CNN

A. Gulati, et al., "Conformer: Convolution-augmented Transformer for speech recognition," in *Proc. Interspeech*, 2020.







# Industry Requirement of Transformer Encoder

- Streaming with low latency and low computational cost
- In order to build streaming ASR, we need both the model and its encoder to be streaming.
- Vanilla Transformer fails so because it attends the full sequence
- Solution: Attention mask is all you need



• Compute attention weight  $\{\alpha_{t,\tau}\}$  for time t over input sequence  $\{x_{\tau}\}$ , binary attention mask  $\{m_{t,\tau}\}$  to control range of input  $\{\mathbf{x}_{\tau}\}$  to use

$$\alpha_{t,\tau} = \frac{\mathbf{m}_{t,\tau} \exp(\beta (W_q \boldsymbol{x}_t)^T (W_k \boldsymbol{x}_\tau))}{\sum_{\tau'} \mathbf{m}_{t,\tau'} \exp(\beta (W_q \boldsymbol{x}_t)^T (W_k \boldsymbol{x}_{\tau'}))} = softmax(\beta \boldsymbol{q}_t^T \boldsymbol{k}_{\tau}, \boldsymbol{m}_{t,\tau})$$

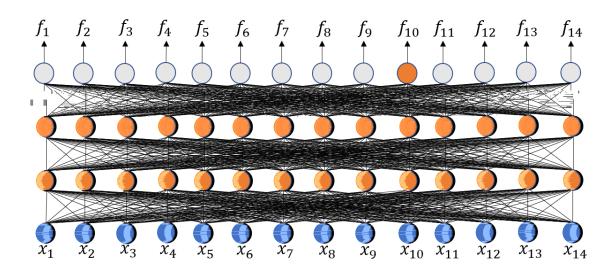
• Apply attention weight over value vector  $\{\boldsymbol{v}_{\tau}\}$ 

$$z_t = \sum_{\tau} \alpha_{t,\tau} W_{v} \boldsymbol{x}_{\tau} = \sum_{\tau} \alpha_{t,\tau} \boldsymbol{v}_{\tau}$$

X. Chen, et al, "Developing real-time streaming transformer transducer for speech recognition on large-scale dataset," in *Proc. ICASSP*, 2021.



• Offline (whole utterance)



Frame														
Index														
1	٢1	1	1	1	1	1	1	1	1	1	1	1	1	ן1
	1	1	1	1	1	1	1	1	1	1	1	1	1	1
2 3	1	1	1	1	1	1	1	1	1	1	1	1	1	1
4	1	1	1	1	1	1	1	1	1	1	1	1	1	1
5	1	1	1	1	1	1	1	1	1	1	1	1	1	1
6	1	1	1	1	1	1	1	1	1	1	1	1	1	1
7	1	1	1	1	1	1	1	1	1	1	1	1	1	1
8	1	1	1	1	1	1	1	1	1	1	1	1	1	1
9	1	1	1	1	1	1	1	1	1	1	1	1	1	1
10	1	1	1	1	1	1	1	1	1	1	1	1	1	1
11	1	1	1	1	1	1	1	1	1	1	1	1	1	1
12	1	1	1	1	1	1	1	1	1	1	1	1	1	1
13	1	1	1	1	1	1	1	1	1	1	1	1	1	1
14	$L_1$	1	1	1	1	1	1	1	1	1	1	1	1	1

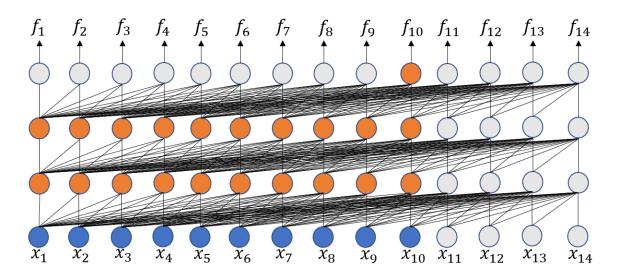
generating output for  $x_{10}$ 

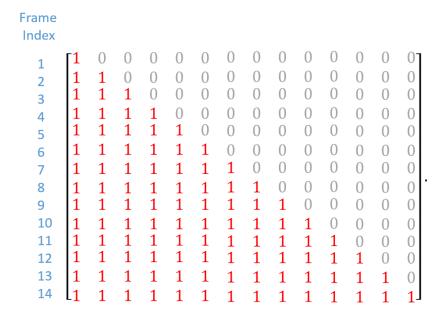
#### Not streamable

**Attention Mask** 



• 0 lookahead, full history





#### Memory and runtime cost

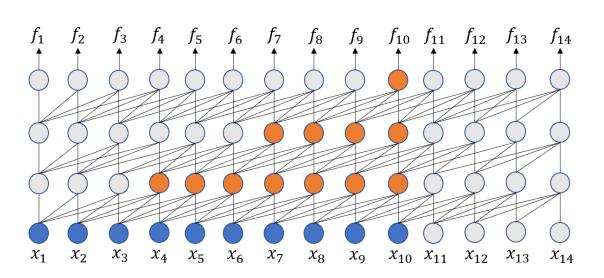
generating output for  $x_{10}$ 

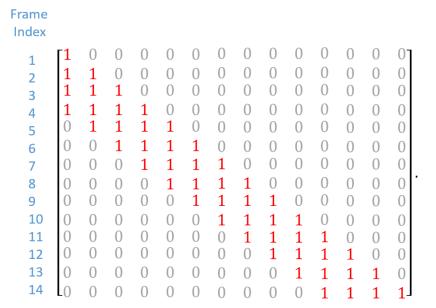
increase linearly

**Attention Mask** 



• 0 lookahead, limited history (3 frames)





In some scenario, small amount

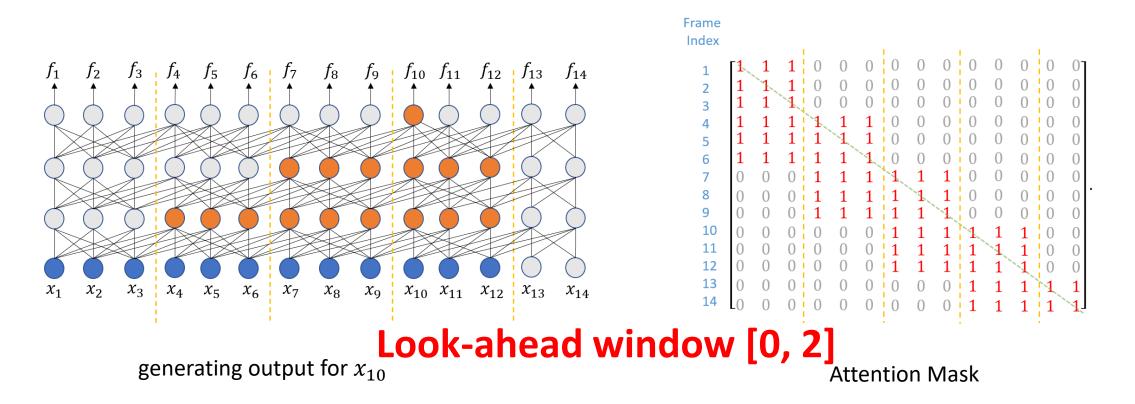
generating output for  $x_{10}$ 

of latency is allowed

**Attention Mask** 

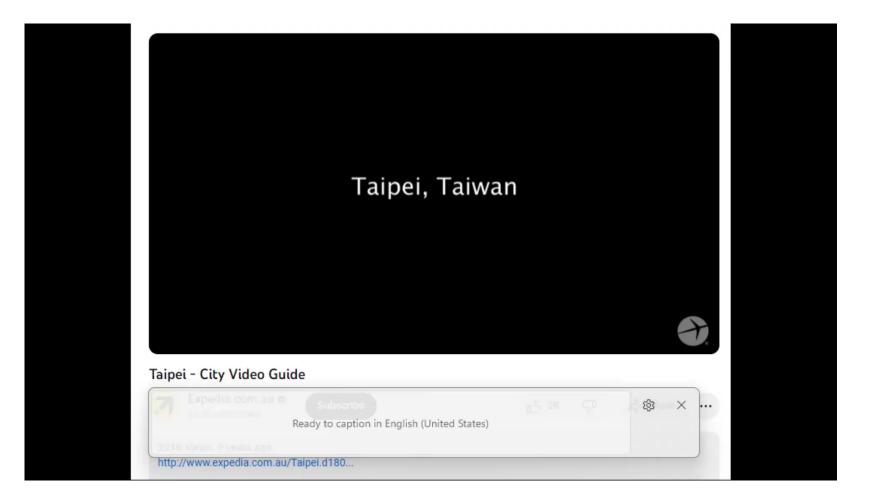


• Small lookahead (at most 2 frames), limited history (3 frames)





# Live Caption in Windows 11



### Advancing E2E Models



### unpaired text

### multi-talker ASR

beyond ASR

# Unpaired Text

# Leverage Unpaired Text

Standard E2E models are trained with paired speech-text data, while hybrid models use large amount of text data for language model (LM) building.

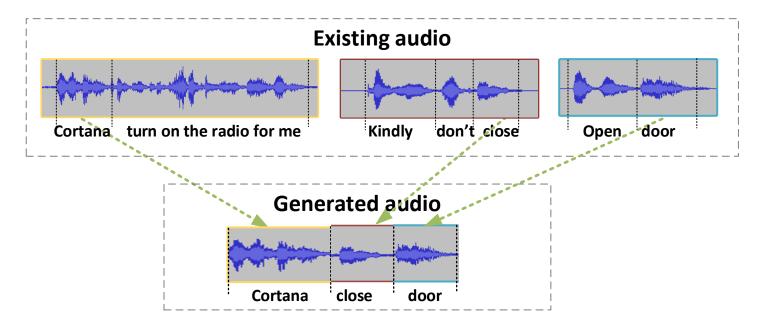
It is important to leverage unpaired text data for further performance improvement, especially in the domain adaptation task.

Adaptation with<br/>augmented audioLM fusionDirect adaptation with<br/>text data



## Adaptation with Augmented Audio

• Adapt E2E models with the synthesized speech generated from the new domain text either using TTS or from original ASR training data.



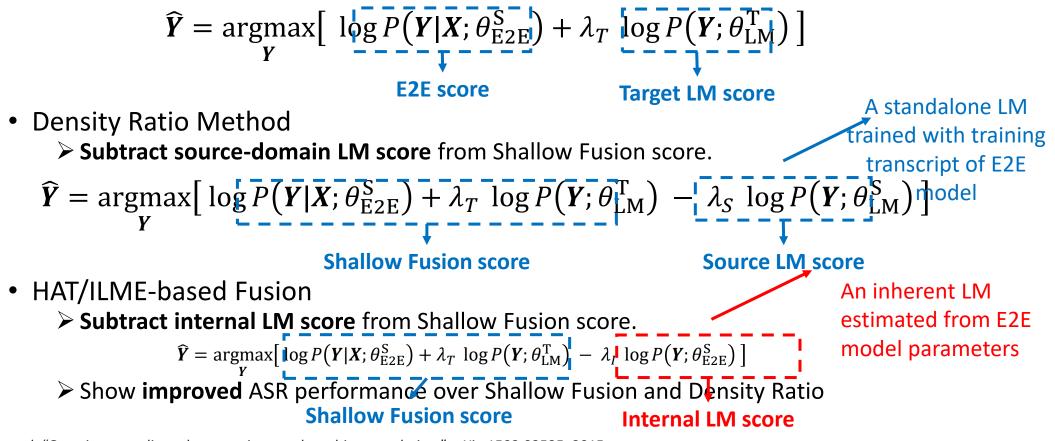
K. Sim, et al, "Personalization of end-to-end speech recognition on mobile devices for named entities," *in Proc. ASRU*, 2019.
X. Zheng, et al., "Using synthetic audio to improve the recognition of out-of-vocabulary words in end-to-end ASR systems," *in Proc. ICASSP*, 2021.
R. Zhao, et al., "On addressing practical challenges for RNN-Transducer," *in Proc. ASRU*, 2021.



## LM Fusion Methods

• Shallow Fusion

➤ A log-linear interpolation between the E2E and LM probabilities.



C. Gulcehre, et al, "On using monolingual corpora in neural machine translation," arXiv:1503.03535, 2015.

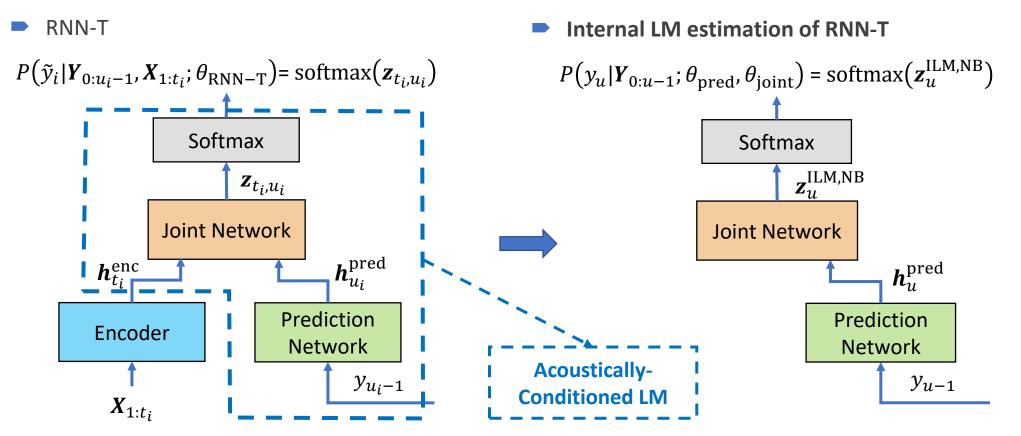
E. McDermott, et al. "A density ratio approach to language model fusion in end-to-end automatic speech recognition," in Proc. ASRU, 2019.

E. Variani, et al, "Hybrid autoregressive transducer (HAT)," in Proc. ICASSP, 2020.

Z. Meng, et al, "Internal language model estimation for domain-adaptive end-to-end speech recognition," in Proc. SLT, 2021.



# Internal LM Estimation



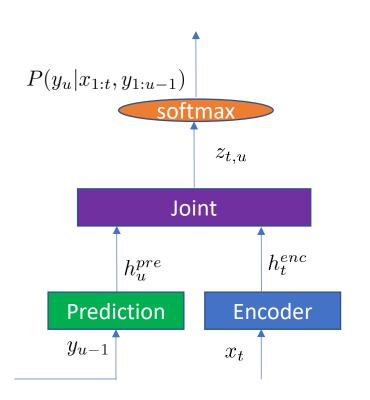
- Internal LM probability
  - The output of the acoustically-conditioned LM after removing the contribution of the encoder

Z. Meng, et al, "Internal language model estimation for domain-adaptive end-to-end speech recognition," in Proc. SLT, 2021.



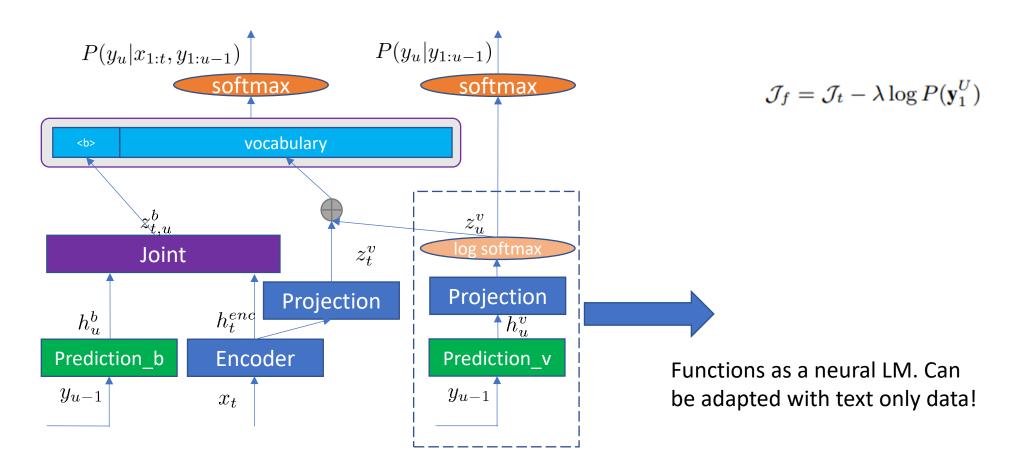
## Is the Prediction Network a LM?

- If the prediction network in RNN-T is a LM, we can use new-domain text to adapt it without even bothering audio data generation.
- However, it does not fully function as a LM because it needs to predict both vocabulary tokens and blank.





## Factorized Neural Transducer



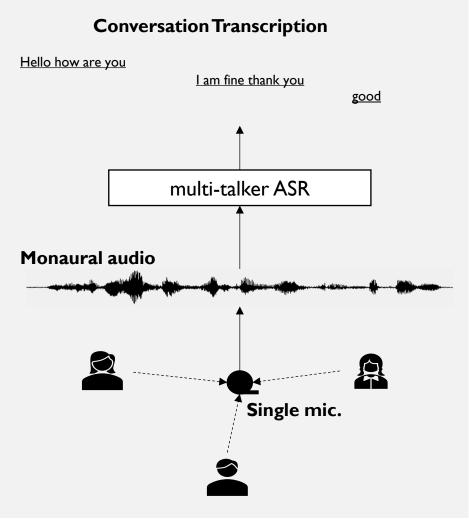
X. Chen et al., "Factorized neural transducer for efficient language model adaptation," in Proc. ICASSP, 2022.

# Multi-talker ASR

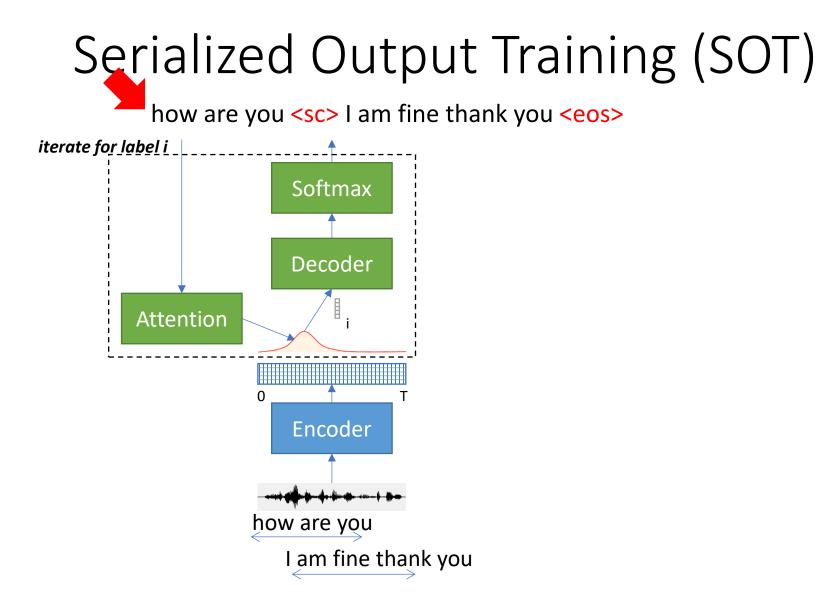


## Multi-talker Models

- E2E ASR systems have high accuracy in single-speaker applications ③
- Very difficult to achieve satisfactory accuracy in scenarios with multiple speakers talking at the same time <sup>(3)</sup>
- Solutions: E2E multi-talker models



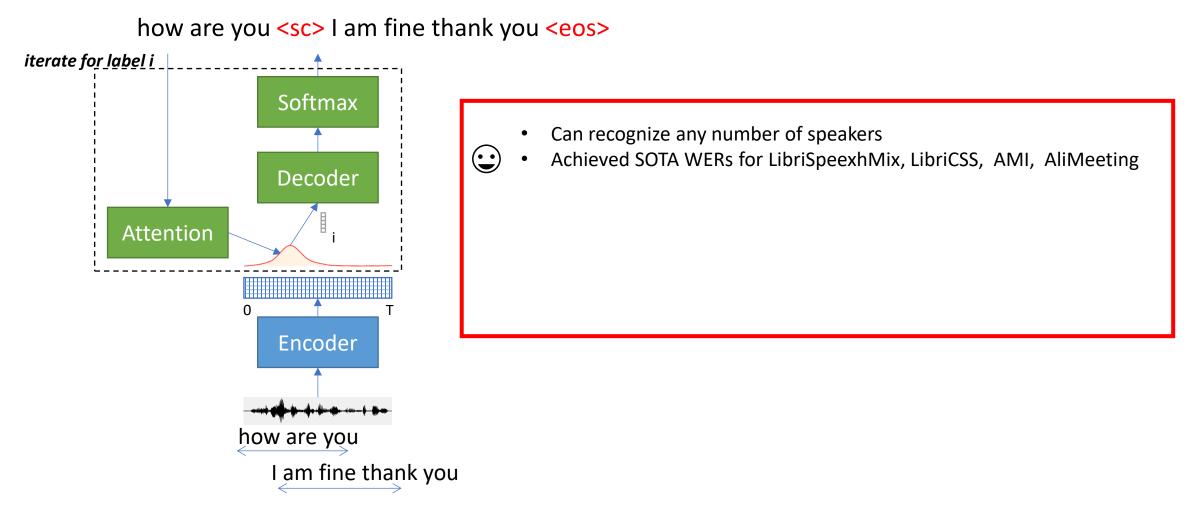




N. Kanda, et al., "Serialized output training for end-to-end overlapped speech recognition," In Proc. Interspeech, 2020.

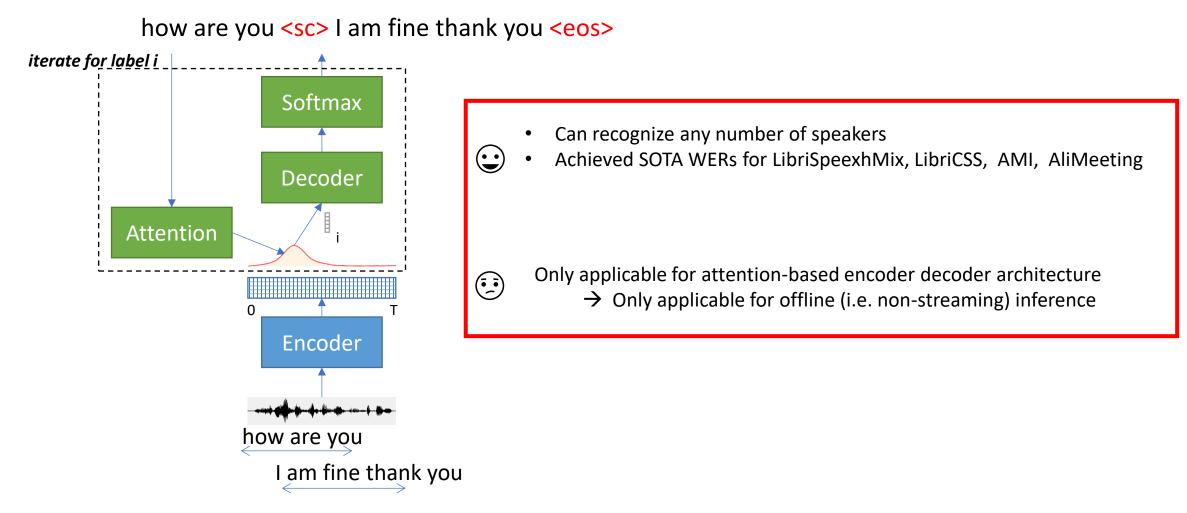


# Serialized Output Training (SOT)



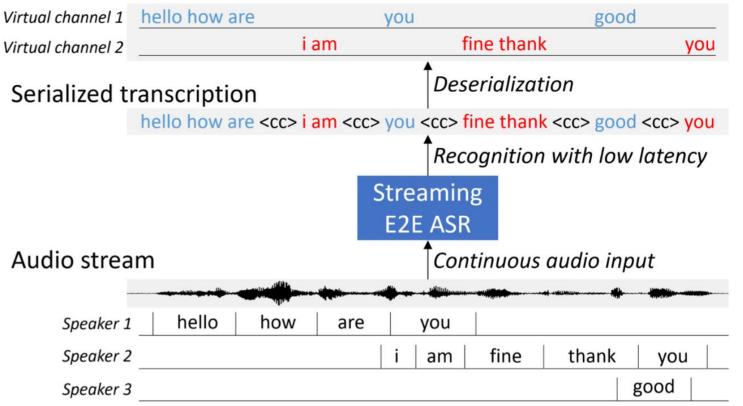


# Serialized Output Training (SOT)



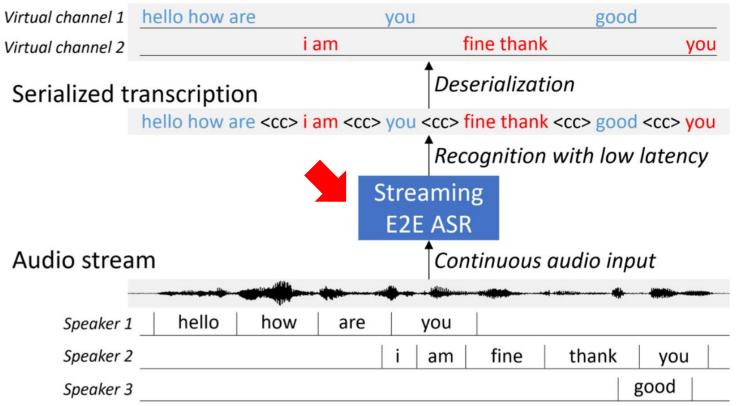


#### Multi-talker transcription

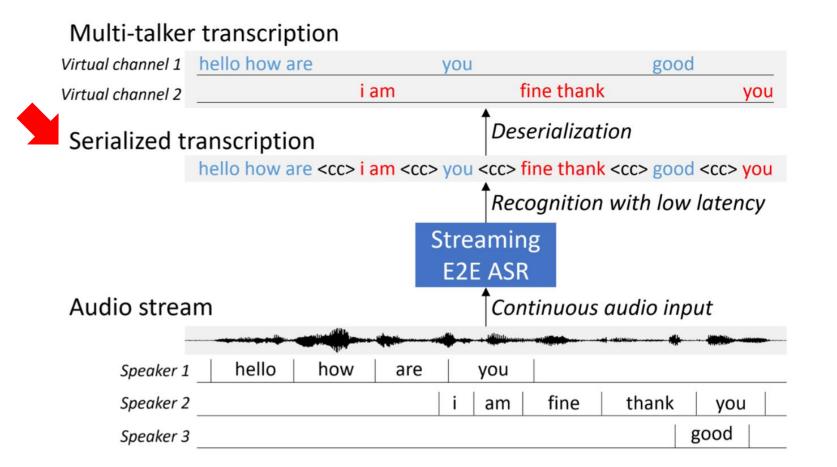




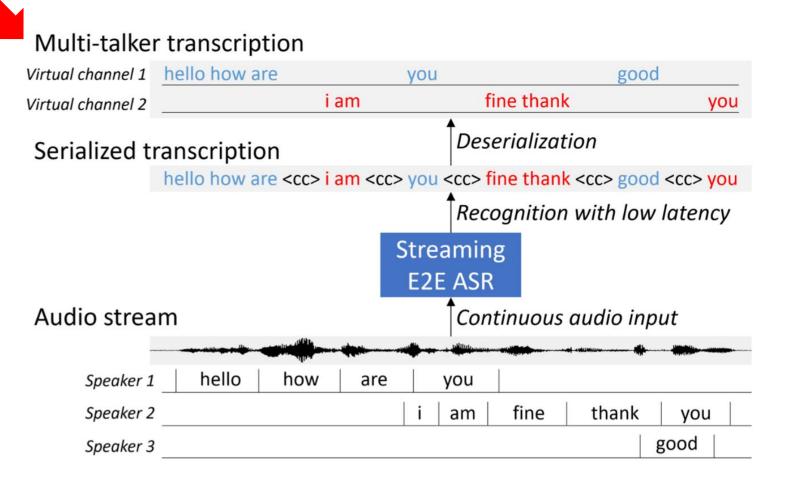
#### Multi-talker transcription



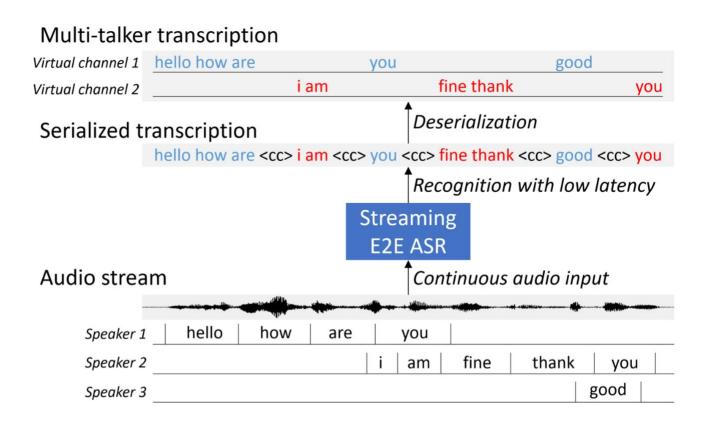






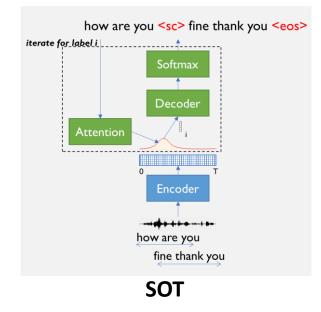






#### t-SOT vs. SOT

- t-SOT is streamable
- t-SOT can be used for any type of ASR architecture
- t-SOT has limit on max concurrent utterances





### Multi-talker ASR Demo

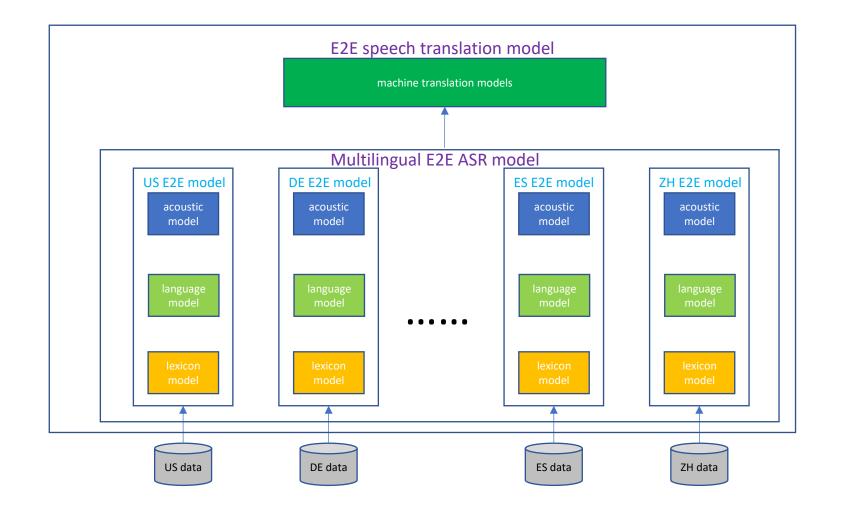
	Speech Recognition Application	- 🗆 X	
O Cloud Recognizer 🛞 Embedded Recognizer 🗌 Enable VAD	O Defatil Engine	€ E2E Engine	
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# Beyond ASR



# E2E Speech Translation (ST)

- ASR is often the first step in a system pipeline and is followed by
  - machine translation
  - speech synthesis (→ speech-to-speech translation)
  - natural language understanding / generation, etc.





# Streaming Multilingual Speech Model (SM^2)



Multilingual data is pooled together to train a streaming Transformer Transducer model to perform both ST and ASR functions.



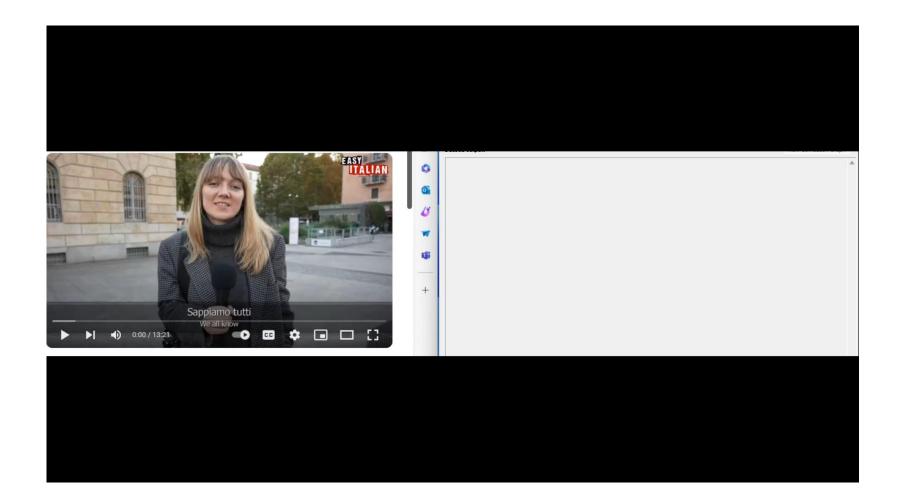
ST training is totally weakly supervised without using any human labeled parallel corpus.



The model is very small, running on devices with low latency.



## Simultaneous ST Demo



# Available for Public Preview at Microsoft

#### April 2024 release

#### Automatic multi-lingual speech translation (Preview)

Automatic multi-lingual speech translation is available in public preview. This innovative feature revolutionizes the way language barriers are overcome, offering unparalleled capabilities for seamless communication across diverse linguistic landscapes.

#### Key Highlights

- Unspecified input language: Multi-lingual speech translation can receive audio in a wide range of languages, and there's no need to specify what the expected input language is. It makes it an invaluable feature to understand and collaborate across global contexts without the need for presetting.
- Language switching: Multi-lingual speech translation allows for multiple languages to be spoken during the same session, and have them all translated into the same target language. There's no need to restart a session when the input language changes or any other actions by you.

#### How it works

- Travel interpreter: multi-lingual speech translation can enhance the experience of tourists visiting foreign destinations by providing them with information and assistance in their preferred language. Hotel concierge services, guided tours, and visitor centers can utilize this technology to cater to diverse linguistic needs.
- International conferences: multi-lingual speech translation can facilitate communication among participants
  from different regions who might speak various languages using live translated caption. Attendees can speak
  in their native languages without needing to specify them, ensuring seamless understanding and collaboration.
- Educational meetings: In multi-cultural classrooms or online learning environments, multi-lingual speech translation can support language diversity among students and teachers. It allows for seamless communication and participation without the need to specify each student's or instructor's language.

#### How to access

For a detailed introduction, visit Speech translation overview. Additionally, you can refer to the code samples at how to translate speech. This new feature is fully supported by all SDK versions from 1.37.0 onwards.



## Foundation Model -- Whisper



Trained from 680k hours human caption data collected from the web.



A single model can perform multiple tasks: multilingual ASR + speech translation (to English), language identification, etc.

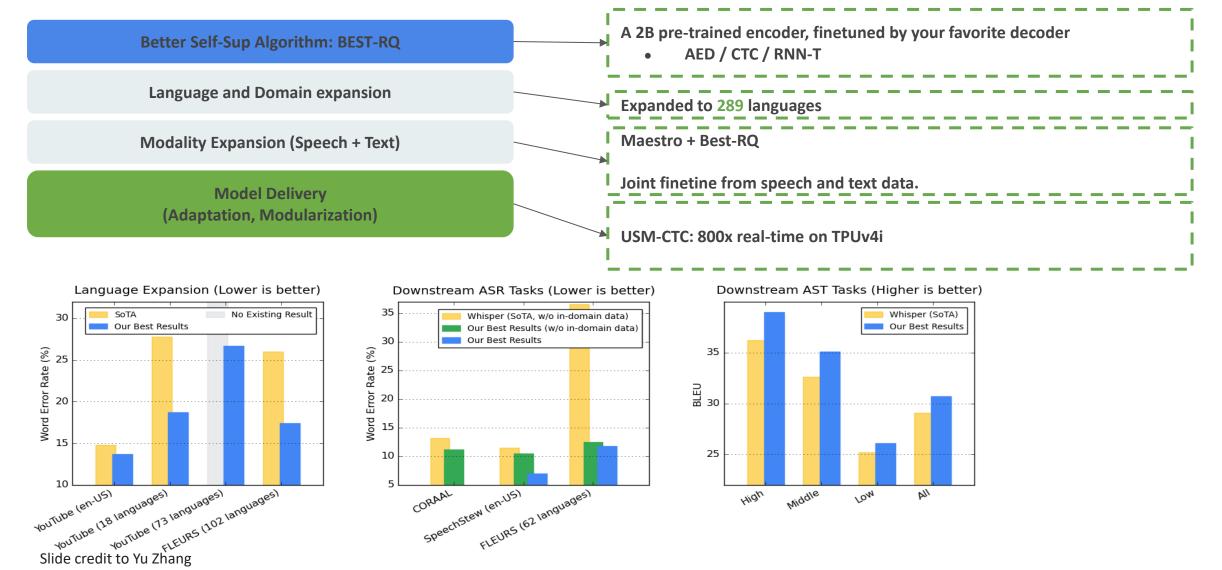


Outstanding zero-shot capability

A. Radford, et al., "Robust speech recognition via large-scale weak supervision," arXiv:2212.04356, 2022.



# Universal Speech Understanding (USM) model



Y. Zhang, et al., "Google USM: scaling automatic speech recognition beyond 100 languages," *arXiv:2303.01037*, 2023.

# What's the Next Trend?

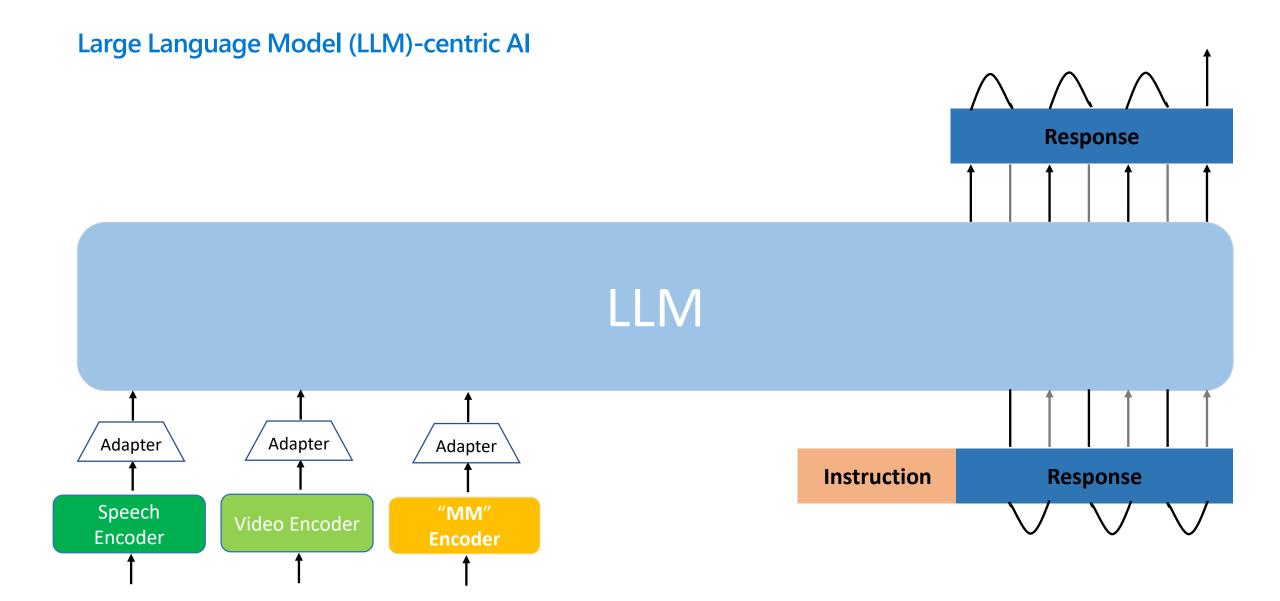


Image credit to XD Huang

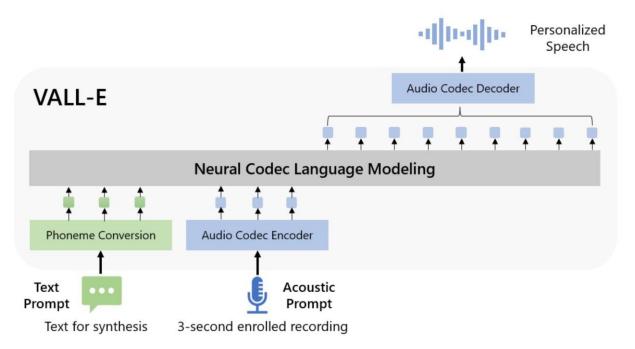


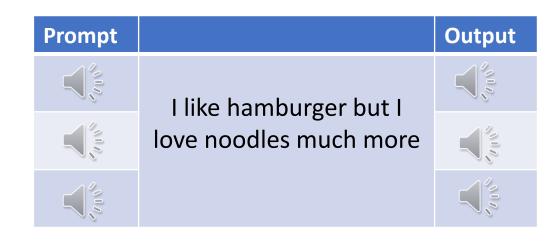


### • High quality zero shot TTS: In context learning through prompts

"Steal voice from 3 second's prompt"

Model Overview





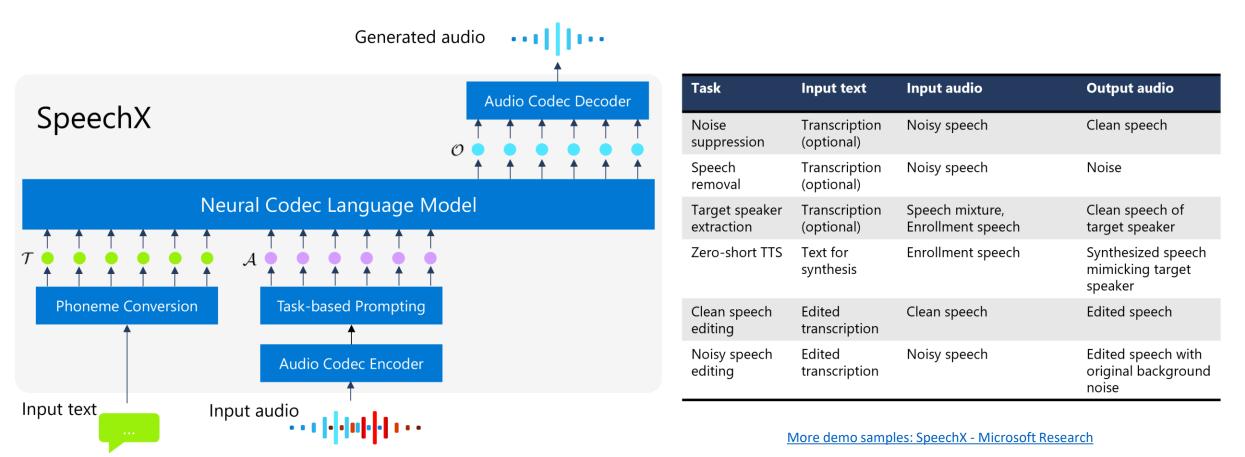
C. Wang, et al., "Neural codec language models are zero-shot text to speech synthesizers," arXiv:2301.02111, 2023.

### SpeechX – A versatile speech generation model

Versatility: able to handle a wide range of tasks from audio and text inputs.

Robustness: applicable in various acoustic distortions, especially in real-world scenarios where background sounds are prevalent.

Extensibility: flexible architectures, allowing for seamless extensions of task support.

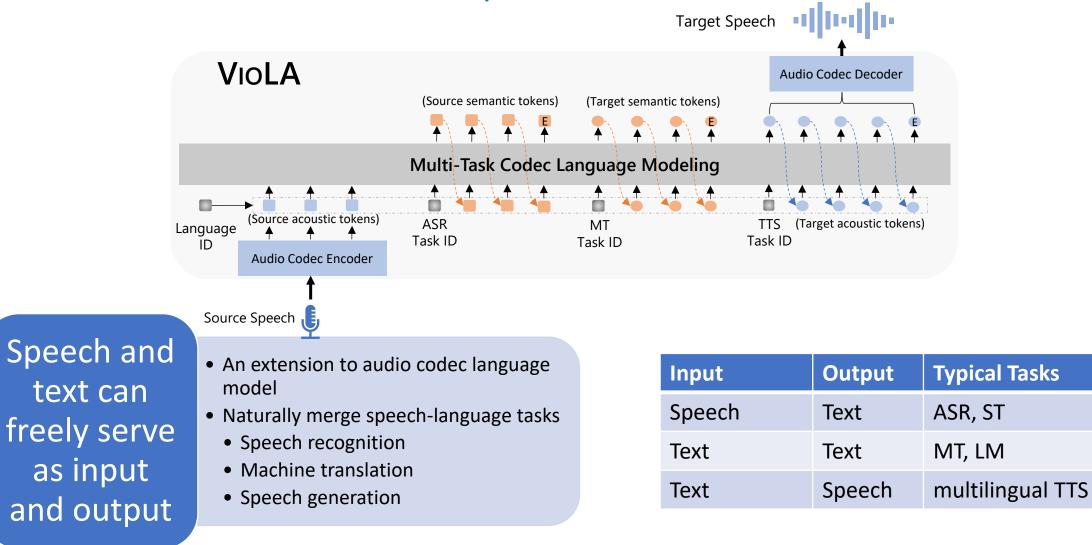


X. Wang, et al., "Speechx: Neural codec language model as a versatile speech transformer," arXiv:2308.06873, 2023.





#### Multi-modal Model with Discrete Audio Inputs: VioLA/AudioPaLM

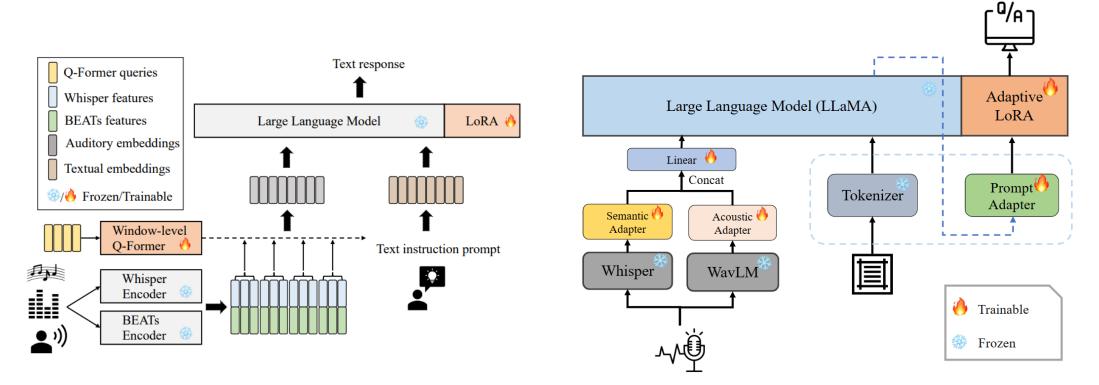


T. Wang, et al., "VioLA: Unified codec language models for speech recognition, synthesis, and translation," arXiv:2305.16107, 2023. P.K. Rubenstein, et al., "Audiopalm: A large language model that can speak and listen," arXiv:2306.12925, 2023.

Multi-modal Model with Continuous Audio Inputs: SALMONN/SLM/WavLLM

### **SALMONN**





C. Tang, et al., "Salmonn: Towards generic hearing abilities for large language models," arXiv:2310.13289, 2023. M. Wang, et al., "SLM: Bridge the thin gap between speech and text foundation models, in Proc. ASRU, 2023. S. Hu, et al., "WavLLM: Towards robust and adaptive speech large language model," *arXiv:2404.00656, 2024*.



### Examples of WavLLM

Task	Audio	Prompt	Output
ASR	2010 S	Based on the attached audio, generate a comprehensive text transcription of the spoken content.	he hoped there would be stew for dinner turnips and carrots and browned potatoes and fat mutton pieces to be ladled out in thick peppered flour fattened sauce
SV	NI D	Is there only one speaker in the audio clip?	Incorrect, the audio clip features two individuals speaking.
ST	20102	Translate the audio clip into German.	Sie wird es wohl überleben.
ER	COUNT OF	Can you describe the emotional condition of the speaker in the provided audio clip?	sad
SQAWhat will the man do next? A. Start to take exercise; B. Do as he always does; C. Change his working time.		take exercise; B. Do as he always does;	A



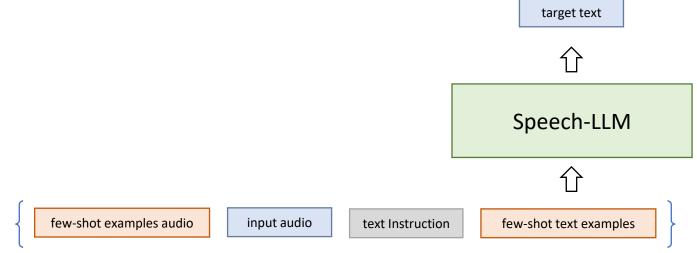
### **Examples of WavLLM**

Task	Audio	Prompt	Output
SQQA	CUD.	N/A	The fundamental theorem of calculus states that different rates of change of a function at a point in the domain of the function are equal. This theorem is used to determine the accumulation of a quantity over a given interval, and to establish relationships between different variables. It is also used to calculate derivatives, which are important in many areas such as optimization, physics, and economics.
СОТ		First of all, transcribe the audio recording into text, capturing every spoken word; Additionally given this audio clip and text, can you condense it into a clear, concise summary, no more than 20 words?; Lastly disregarding the sound, translate this English summary into German.	The audio transcription is: three films from Asia pacific are in the running for the coveted golden palms at this year's Cannes Film Festival competing in a field dominated by European productions organizers announced Monday; The audio clip have been summarized as follows: Three films from Asia-Pacific are competing for Golden Palms at this year's Cannes Film Festival, challenging European productions.; The translation of summary is: Drei Filme aus Asien-Pazifik nehmen an diesem Jahr an den Filmfestspielen von Cannes teil und konkurrieren mit europäischen Produktionen um die Goldenen Palmen.



### Advancing Speech-LLM For In-context Learning

- Trained tasks (EN only)
  - ASR
  - Speech-based Question Answering
- Emergent Capable tasks
  - 0-shot and 1-shot En->X ST
  - 1-shot domain adaptation
  - Instruction-followed ASR



# Conclusions

- E2E models are now the mainstream ASR models.
  - Streaming Transformer Transducer with masks can achieve very high accuracy and low latency.
- To further advance E2E models, we have discussed several key technologies.
  - Leverage unpaired text: domain adaptation
  - Multi-talker ASR: (token-level) serialized output training
  - Beyond ASR: streaming multilingual speech model
- Large language model (LLM) centric AI may be the next trend.

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### Industrial Technology/Advances Recent Advances in End-to-End Automatic Speech Recognition

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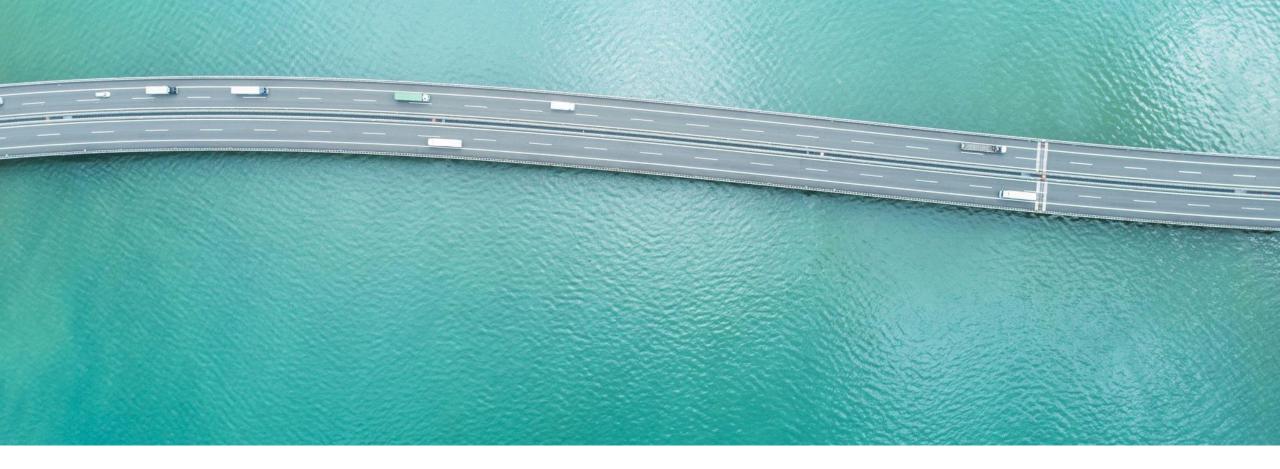
#### ABSTRACT

Recently, the speech community is seeing a significant trend of moving from deep neural network based hybrid modeling to end-to-end (E2E) modeling for automatic speech recognition (ASR). While E2E models achieve the state-of-the-art results in most benchmarks in terms of ASR accuracy, hybrid models are still used in a large proportion of commercial ASR systems at the current time. There are lots of practical factors that affect the production model deployment decision. Traditional hybrid models, being optimized for production for decades, are usually good at these factors. Without providing excellent solutions to all these factors, it is hard for E2E models to be widely commercialized. In this paper, we will overview the recent advances in E2E models, focusing on technologies addressing those challenges from the industry's perspective.

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# Thank You!