

# Soft Uncoupling of Markov chains for Permeable Language Distinction: A New Algorithm

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**Abstract.** Without prior knowledge, distinguishing different languages may be a hard task, especially when their borders are permeable.

We develop an extension of spectral clustering — a powerful unsupervised classification toolbox — that is shown to resolve accurately the task of soft language distinction. At the heart of our approach, we replace the usual hard membership assignment of spectral clustering by a soft, probabilistic assignment, which also presents the advantage to bypass a well-known complexity bottleneck of the method. Furthermore, our approach relies on a novel, convenient construction of a Markov chain out of a corpus. Extensive experiments with a readily available system clearly display the potential of the method, which brings a visually appealing soft distinction of languages that may define altogether a whole corpus.

## 1 Introduction

This paper is concerned with unsupervised learning, the task that consists in assigning a set of objects to a set of  $q > 1$  so-called clusters. For the purpose of text classification, we suppose that objects are words: each cluster should define a set of words which are syntactically close to one another, while different clusters should be as different as possible from the syntactic standpoint.

There are two main ways of understanding what is meant by “syntactically close”: following [7], it is generally acknowledged that two combined “axes” define the combinatorial possibilities of a language’s syntax: the *syntagmatic axis* is the linear dimension of the text, where occurrences of words actually appear one after another; the *paradigmatic axis* is the dimension of all possible alternative choices available at a given position to a speaker or writer. Hence, two words are “syntactically close” to one another on the syntagmatic axis, if they often tend to appear together, at specific relative positions, in common contexts; they are close to one another on the paradigmatic axis, if they appear alternatively in similar positions within comparable contexts. The first criterion defines a measure of word distance within a text, and is suited to studying problems such as internal coherence of text segments [21]; the second defines a measure of word distance within a class, and is suited to studying problems like defining relevant syntactic [19, 2] or semantic [17, 4, 6] categories. In the frame of this paper, attention will be drawn on the first one of these problems, which has not been very extensively tackled.

A challenging application in the field of linguistic engineering is language identification and comparison. Language identification for itself is now considered an easy task on monolingual text documents, as two very reliable methods (based on frequency analyses on the most frequent words, and on the most frequent  $n$ -byte sequences) may be mixed to get optimal results [10]; yet some work remains to be done for the task of language identification on multilingual documents, where a non-trivial question is the definition on language section boundaries [22]. This question is particularly interesting when the border between different languages is permeable. This is typically the case within the group of Creole languages of the Caribbean region.

Creole languages in their present form have emerged during a short period of time (probably less than one century, in the late 17th century), in very atypical conditions of language transmission and evolution. They have developed in the newly colonized West Atlantic territories (in the Caribbean islands and on both American mainlands), on the basis of Western European languages spread by the nations most involved in colonization (French, English, Portuguese and Dutch), but in sociolinguistic situations where, due to the rapidly growing slave trade economy, there could be, within every single generation, less than 50% of native speakers of the language in its current state of development involved in the speaking community. Even in periods of fast language evolution (like for the case of Middle English between the 11th and 15th century), no European language has experienced such a phase of “linguistic stress”. After the 18th century, the language situation has somehow stabilized, although Creoles still undergo linguistic change at a pace which is probably faster than many well established languages.

In at least some cases, the Creole language has remained in contact with its “lexifier” European language (none of those has in the meantime become extinct), in sociolinguistic situations which have sometimes been coined as “diglossic”: this has especially been the case for English-based Creoles like Jamaican or Gullah (spoken in the USA states of South Carolina and Georgia); and, closer to our study’s main focus, for French-derived Creoles spoken on the territories of Haiti, Guadeloupe, Martinique and French Guiana. In a diglossic situation, the European language is still in use as the official and prestige language, while the Creole language is the vernacular. This leads to very frequent code-switching and to intermingling of languages in several domains. Thus, when it comes to corpora of linguistic productions coming from this type of speech community, the

question of the “border” between languages can be asked on two distinct planes: on the plane of structural (merely linguistic) properties, and on the plane of the situations of use.

The first question involves problems of language clustering. A learning task might consist in drawing a cladogram (family tree) of various French-based Creole languages on the basis of their structural similarities. Studying “paradigmatic” syntactic closeness (i.e. context similarity, see above), might also help define the most appropriate part-of-speech categorization for those languages, and check the appropriateness of eurocentric grammatical descriptions in their case. But this is not the main scope of the present paper.

The second question involves delimiting the use of every language in multilingual texts or speech productions, and this is the task on which we will now concentrate.

In the last few years, the most prominent developments of text classification have concerned *supervised* classification (i.e. texts have explicit labels to predict), with the advent of algorithms powerful enough to process texts described with the simplest conventions (e.g. attribute-value vectors) [11, 12, 18]. A glimpse at its unsupervised side easily reveals that classification has so far comparatively remained quite distant from text classification, at least for its most recent breakthroughs in learning / mining. *Spectral clustering* is a very good example, with such a success that its recent developments have been qualified elsewhere as a “gold rush” in classification [9, 1, 2, 3, 13, 14, 15] (and many others), pioneered by works in spectral graph theory [5] and image segmentation [20]. Roughly speaking, spectral clustering consists in finding some principal axes of a similarity matrix. The subspace they span, onto which the data are projected, *may* yield clusters optimizing a criterion that takes into account both the maximization of the within-cluster similarity, and the minimization of the between-clusters similarity. Among the attempts to cast spectral clustering to text classification, one of the first builds the similarity matrix via the computation of cosines between vector-based representations of words, and then builds a normalized graph Laplacian out of this matrix to find out the principal axes [2].

The papers that have so far investigated spectral clustering have two commonpoints. First, they consider a *hard* membership assignment of data: the clusters induce a partition of the set of objects. It is widely known that *soft* membership, that assigns a fraction of each object to each cluster, is sometimes preferable to improve the solution, or for the problem at hand. This is clearly our case, as words may belong to more than one language cluster. In fact, this is also the case for the probabilistic (density estimation) approaches to clustering, pioneered by the popular Expectation Maximization [8]. Their second commonpoint is linked to the first: the solution of clustering is obtained *after* thresholding the spectral clustering output. This is crucial because in most (if not all) cases, the optimization of the clustering quality criterion is *NP-Hard* for the hard membership assignment [20]. To be more precise, the principal axes yield the polynomial time *optimal* solution to an optimization problem whose criterion is the *same* as that of hard membership (modulo a constant factor), *but* whose domain is unconstrained. Hard membership makes it necessary to fit (threshold) this optimal solution to a constrained domain. Little is currently known for the quality of this approximation, except for the NP-Hardness of the task.

This paper, which also focuses on spectral clustering, departs from the mainstream for the following reasons and contributions. First (Section 2), compared to text classification approaches, we do not build the similarity matrix in an *ad hoc* manner like [2]. Rather, we consider that the corpus is generated by a stochastic process following a popular bigram model [16], out of which we build its maximum

likelihood Markov chain. This particular Markov chain satisfies all conditions for a convenient spectral decomposition. Second (Section 3), we propose an extension of spectral clustering to *soft spectral clustering*, for which we give a probabilistic interpretation of the spectral clustering output. Apart from our task at hand, which justifies this extension, we feel that such results may be of independent interest, because they tackle the interpretation of the *tractable* part of spectral clustering, avoiding the complexity gap that follows after hard membership. Last (Section 4), we provide experimental results of soft spectral clustering on a readily available system; experiments clearly display the potential of this method for text classification.

## 2 Maximum likelihood Markov chains

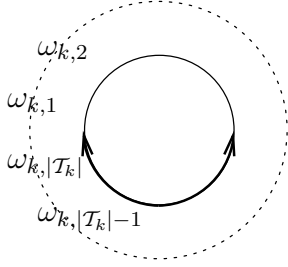
In this paper, calligraphic faces such as  $\mathcal{X}$  denote sets and blackboard faces such as  $\mathbb{S}$  denote subsets of  $\mathbb{R}$ , the set of real numbers; whenever applicable, indexed lower cases such as  $x_i$  ( $i = 1, 2, \dots$ ) enumerate the elements of  $\mathcal{X}$ . Upper cases like  $M$  denote matrices, with  $m_{i,j}$  being the entry in row  $i$ , column  $j$  of  $M$ ;  $M^\top$  is the transposed of  $M$ . Boldfaces such as  $\mathbf{x}$  denote column vectors, with  $x_i$  being the  $i^{\text{th}}$  element of  $\mathbf{x}$ . A corpus  $\mathcal{C}$  is a set of texts,  $\{\mathcal{T}_1, \mathcal{T}_2, \dots, \mathcal{T}_m\}$ , with  $m$  the length of the corpus.  $\forall 1 \leq k \leq m$ , text  $\mathcal{T}_k$  is a string of tokens (words or punctuation marks),  $\mathcal{T}_k = \omega_{k,1}\omega_{k,2}\dots\omega_{k,|\mathcal{T}_k|}$ , of size  $|\mathcal{T}_k|$ , with  $|\cdot|$  the cardinal (whole number of tokens of  $\mathcal{T}_k$ ). The size of the corpus,  $|\mathcal{C}| = n$ , is the sum of the length of the texts:  $n = \sum_{i=1}^m |\mathcal{T}_i|$ . The size of a corpus is implicitly measured in words, but it may contain punctuation marks as well. The *vocabulary* of  $\mathcal{C}$ ,  $\mathcal{V}$ , is the set of distinct linguistically relevant words or punctuation marks, the tokens of which are contained in the texts of  $\mathcal{C}$ . The size of the vocabulary is denoted  $v = |\mathcal{V}|$ . The elements of  $\mathcal{V} = \{v_1, v_2, \dots, v_v\}$  are *types*: each one is unique and appears only once in  $\mathcal{V}$ .  $\forall i, j \in \{1, 2, \dots, v\}$ , we let  $n_i$  denote the number of occurrences of type  $i$  in  $\mathcal{C}$ , and  $n_{i,j}$  the number of times a word of type  $i$  immediately precedes (left) a word of type  $j$  in  $\mathcal{C}$ . Finally, we denote  $\mathfrak{M}$  a (first order) Markov chain, with state space  $\mathcal{V}$ , and transition probability matrix  $P_{v \times v}$ .  $P$  is row stochastic:  $p_{i,j} \geq 0$  ( $1 \leq i, j \leq v$ ) and  $\sum_{j=1}^v p_{i,j} = 1$  ( $1 \leq i \leq v$ ). Suppose that  $\mathcal{C}$  is generated from  $\mathfrak{M}$ . The most natural way to build  $P$  is to maximize its likelihood with respect to  $\mathcal{C}$ . The solution is given by the following folklore Lemma.

**Lemma 1** *The maximum likelihood transition matrix  $P$  is defined by  $p_{i,j} = n_{i,j}/n_i$ , with  $1 \leq i, j \leq v$ .*

The computation of  $P$  as in Lemma 1 is convenient *if* we make the assumption that a text is written from the left to the right. This corresponds to an *a priori* intuition of speakers of European languages, who have been taught to read and write in languages where the graphical transcription of the linearity of speech is done from left to right. However, a more thorough reflection on the empirical nature of the problem has lead us to question this approach. The method being developed should be able to work on any type of written language, making no assumption on its transcription conventions. Some languages (among which important literary languages like Hebrew or Arabic) have a tradition of writing from right to left, and this sometimes goes down to having the actual stream of bytes in the file also going “from right to left” (in the file access sense). The new Unicode standard for specifying language directionality circumvents this, by allowing the file to always be coded in the logical order, and managing the visual rendering so that it suits the language conventions, even in the case of mixed-language texts (i.e. English texts with Hebrew quotes); but large corpora still are encoded in the old way, and the

program should not be sensitive to this. More generally, the method we propose should be designed to accept any file as a statical, empirical object, and should be able to find laws and regularities in it, making no more postulates than necessary.

We have found a convenient approach to eliminate this directionality dependence. It also has the benefit of removing the dependence in the choice of the first word to write down a text. Everything is like if we were computing the likelihood of  $\mathcal{C}$  with respect to the writing of its texts in a *circular* way. Figure 1 presents the writing of text  $\mathcal{T}_k$ : we pick a random word, and then move either clockwise or counter clockwise to write words. After we have made a complete turn, everything is like if we had written twice  $\mathcal{T}_k$ . The following Lemma,



**Figure 1.** A “circular” generation of a text  $\mathcal{T}_k$  eliminate both the direction for writing  $\mathcal{C}$  (arrows) and the choice of the first word written.

whose proof is direct from Lemma 1, gives the new maximum likelihood transition matrix  $P$  (proof omitted to save space).

**Lemma 2** *With the circular writing approach,  $P = D^{-1}W$ , with  $W_{v \times v}$  such that  $w_{i,j} = (n_{i,j} + n_{j,i})/2$ , and  $D_{v \times v}$  diagonal with  $d_{i,i} = d_i = n_i$ .*

From now on, we use the expression for  $P$  in Lemma 2. The circular way to write down the texts of  $\mathcal{C}$  has another advantage:  $\mathfrak{M}$  is irreducible. Let us make the assumption that  $\mathfrak{M}$  is also aperiodic. This derives from a clearly mild assumption, namely that  $\mathfrak{M}$  satisfies for a vocabulary large enough, as in this case loops of arbitrary long size tend to appear between words. Irreducibility and aperiodicity imply that  $\mathfrak{M}$  is ergodic, *i.e.* regardless of the initial distribution,  $\mathfrak{M}$  will settle down over time to a single stationary distribution  $\pi$  solution of  $P^\top \pi = \pi$ , with  $\pi_i = n_i/n$  [13].

### 3 From hard to soft spectral clustering

Fix  $q > 1$  some user-fixed integer that represents the number of clusters to find. The ideal objective would be to find a mapping  $Z : \mathcal{V} \rightarrow \mathbb{S}^q$ , with  $\mathbb{S} = \{0, 1\}$ , mapping that we represent by a matrix  $Z = [z_1, z_2, \dots, z_q] \in \mathbb{S}^{v \times q}$ . Under appropriate constraints, the mapping should minimize a *multiway normalized cuts* (MNC) criterion [1, 2, 3, 13, 14, 15, 20]:

$$\begin{aligned} \arg \min_{Z \in \mathbb{S}^{v \times q}} \mu(Z) &= \sum_{k=1}^q \kappa_k(Z) / \alpha_k(Z) , & (1) \\ \text{s.t. } Z^\top Z &\text{ positive diagonal} \\ \text{s.t. } \text{tr}(Z^\top Z) &= v , \end{aligned}$$

with  $\kappa_k(Z) = \sum_{i,j=1}^v w_{i,j} (z_{i,k} - z_{j,k})^2$  and  $\alpha_k(Z) = \sum_{i=1}^v z_{i,k}^2 d_i$ . Since this does not change the value of  $\mu(Z)$ , we suppose without loss of generality that  $w_{i,i} = 0, \forall 1 \leq i \leq v$ . Because

of the constraints on  $Z$  in (1), it induces a natural hard membership assignment on  $\mathcal{V}$  (*i.e.* a partition), as follows:

$$\mathcal{V}_k = \{v_i : z_{i,k} = 1\} , \forall 1 \leq k \leq q . \quad (2)$$

There is one appealing reason why clustering gets better as MNC in (1) is minimized. Suppose we start (at  $t = 0$ ) a random walk with the Markov chain  $\mathfrak{M}$ , having transition matrix  $P$ , and from its stationary distribution  $\pi$ . Let  $[\mathcal{V}_k]_t$  be the event that the Markov chain is in cluster  $k$  at time  $t \geq 1$ . We obtain the following result [13]:

$$\mu(Z) = 2 \sum_{k=1}^q \Pr([\overline{\mathcal{V}_k}]_{t+1} | [\mathcal{V}_k]_t) \quad (3)$$

for the partition defined in eq. (2). Thus,  $\mu(Z)$  sums the probabilities of escaping a cluster given that the random walk is located inside the cluster: minimizing  $\mu(Z)$  amounts to partitioning  $\mathcal{V}$  into “stable” components with respect to  $\mathfrak{M}$ . Unfortunately, the minimization of MNC is NP-Hard, already when  $q = 2$  [20]. To approximate this problem, the output is relaxed and the goal rewritten as seek:

$$\begin{aligned} \arg \min_{Y \in \mathbb{R}^{v \times q}} \nu(Y) &= \sum_{k=1}^q \kappa_k(Y) , & (4) \\ \text{s.t. } Y^\top D Y &= I . \end{aligned}$$

This problem is tractable by a spectral decomposition of  $\mathfrak{M}$  (see *e.g.* [20]), which yields that  $Y$  is the set of the  $q$  column eigenvectors associated to the smallest eigenvalues of the generalized eigenproblem ( $\forall 1 \leq k \leq q$ ):

$$(D - W) \mathbf{y}_k = \lambda_k D \mathbf{y}_k , \quad (5)$$

and it comes  $\nu(Y) = 2 \sum_{k=1}^q \lambda_k$ . If we suppose, without loss of generality, that eigenvalues are ordered,  $\lambda_1 \leq \lambda_2 \leq \dots \leq \lambda_q$ , then it easily comes  $\lambda_1 = 0$ , associated to a constant eigenvector  $\mathbf{y}_1$  [20]. People usually discard this first eigenvector, and keep the following ones to compute  $Z$  after a heuristic thresholding of  $Y$ . The proof that this thresholding is heuristic follows from the fact that if we restrict (4) to thresholded matrices (whose rows come from a set of at most  $q$  distinct row vectors), then it becomes equivalent to (1), *i.e.* intractable [1].

Notice however that the spectral relaxation finds the *optimal* solution to (4) in time  $O(qv^3)$  (without algorithmic sophistication), from which the heuristic thresholding only aims at recovering a hard membership assignment. Whenever a soft membership assignment is preferable, we show that one can be obtained directly from  $Y$ , which is optimal with respect to a criterion similar to (3), while its computation bypasses the complexity bottleneck of hard membership, thus killing two birds in one shot.

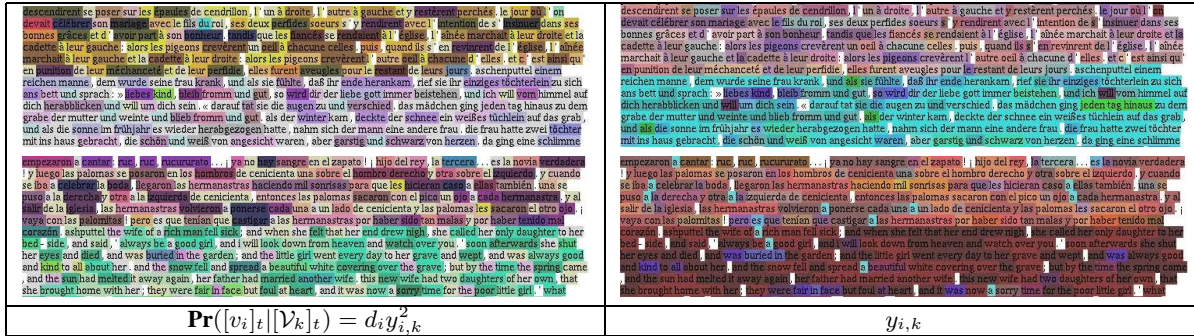
For this purpose, define matrix  $\tilde{Y}$  from  $Y$  as:

$$\tilde{y}_{i,k} = d_i y_{i,k}^2 . \quad (6)$$

Then, we have  $\tilde{Y}^\top \mathbf{1} = \mathbf{1}$ , *i.e.* each column vector  $\tilde{\mathbf{y}}_k$  of  $\tilde{Y}$  defines a probability distribution over  $\mathcal{V}$ . Since  $\tilde{\mathbf{y}}_k$  is associated to principal axis  $k$ , it seems natural to define it as the probability to draw  $v_i$  given that we are in  $\mathcal{V}_k$ , the cluster associated to the axis. Following the notations of eq. (3), we thus let:

$$\tilde{y}_{i,k} = \Pr([v_i]_t | [\mathcal{V}_k]_t) \quad (7)$$

be the probability to pick type  $v_i$ , given that we are in cluster  $k$ , at time  $t$ . This is our soft membership assignment: axes define clusters,



**Figure 2.** Experiments on multilingual passages of *Cinderella*. Each row crops a borderline between two languages (from the top to the bottom): French / German, Spanish / English. The bottom row displays the quantities that are represented by RGB colors in each column, where each color level is associated to a principal axis  $k \in 2, 3, 4$ .

and the column vectors of  $\tilde{Y}$  define the distributions associated to each cluster. Notice that this provides us with a sound extension of the hard MNC solution (2) for which  $\tilde{y}_{i,k}$  equals 1 for a single cluster, and zero for the other clusters ( $\forall 1 \leq i \leq v$ ). We also have more, as this brings a direct and non trivial generalization of (3). Define matrix  $P^{(k)}$  such that  $p_{i,j}^{(k)} = (w_{i,j} y_{j,k}) / (d_i y_{i,k})$ .  $p_{i,j}^{(k)}$  is akin to the difference between the probabilities of reaching respectively  $\mathcal{V}_k$  and  $\overline{\mathcal{V}_k}$  in  $j$ , given that the random walk is located on  $i$  ( $\forall t \geq 0$ ):  $p_{i,j}^{(k)} = \Pr([v_j \wedge \mathcal{V}_k]_{t+1} | [v_i]_t) - \Pr([v_j \wedge \overline{\mathcal{V}_k}]_{t+1} | [v_i]_t)$ . Provided we make the assumption that reaching a type outside cluster  $k$  at time  $t + 1$  does not depend on the starting point at time  $t$ , an assumption similar to the memoryless property of Markov chains, we obtain our main result, whose proof relies on applications of Bayes rules.

**Theorem 1**  $\nu(Y) = 4 \sum_{k=1}^q \Pr([\overline{\mathcal{V}_k}]_{t+1} | [\mathcal{V}_k]_t)$ .

By means of words, solving (4) brings the soft clustering whose components have *optimal* stability, and whose associated distributions are given by  $\tilde{Y}$ . As a consequence, we easily obtain that  $\tilde{\mathbf{y}}_1 = \boldsymbol{\pi}$ , the stationary distribution. This is natural, as this is the observed distribution of types, *i.e.* the one that best explains the data. In previous results, [2] choose the Brown corpus and make a 2D plot of some spectral clustering results on the second and third principal axes, *after* having made a prior selection of the most frequent words (to be plotted). From  $\tilde{\mathbf{y}}_1$ , it comes that this amounts to make a selection of words according to the *first* principal axis, which is not plotted.

## 4 Experiments

A computer program has been developed to implement word classification and text segmenting according to the method explained above. It is publicly available through a CGI<sup>1</sup>. The program takes a text of arbitrary long size as input. First, it automatically detects the text format and encoding, and converts everything to raw text encoded in Unicode UTF-8. Second, it performs a stage of tokenization, *i.e.* it segments the raw stream of bytes into tokens of words, figures or typographical signs. Third, it builds an index table suited for fast access to word type information (designed on the lexical tree, or *trie*, model). Fourth, it computes the bigram transition matrix  $T(n_{i,j})$  (lemma 1), by moving a contextual window along the tokens put in their text order, and incrementing  $n_{i,j}$  for every seen occurrence of a transition  $(\omega_i, \omega_j)$ ;  $W$ , and then  $P$  (as given by lemma 2) are then computed from  $T$ . Fifth, it makes use of the linear algebra functions

of the LAPACK library<sup>2</sup> to compute the eigenvalues and eigenvectors of the matrices.

The program’s results are displayed in a way designed to give the user a visual representation of every word’s soft membership to the clusters. For this purpose, we can represent each word with a RGB color, where each color level is associated to some principal axis  $k$ , and scales the component of  $\tilde{y}_{i,k}$  for each word  $i$ . This allows the choice of three axes to compute the color. Let us assume we want to be able to display  $\chi$  different color levels on each axis (in our illustrations,  $\chi = 5$ ); For every selected component  $k$ , the  $v$  different values for  $\tilde{y}_{i,k}$  are grouped into  $\chi$  connected intervals  $I_1, I_2 \dots I_\chi$ , not necessarily of the same length, such that  $\cup_{i=1}^\chi I_i = [0, 1]$ , and such that every interval contains the same number of points (approximately  $v/5$ ): this yields the maximum visual contrast.

Figure 2 presents such an experiment on a 1Mb text, containing four versions of the same tale (*Cinderella*, from the Grimm Brothers), in four languages: French, German, Spanish, and English. We have plotted both  $\tilde{\mathbf{y}}_k$  (left column) and  $\mathbf{y}_k$  (right column) for each word, removing punctuation marks from the spectral analysis (this explains why they are displayed in white).

Both columns show that the representations manage to cluster all languages. The right column also gives access to the sign of  $\mathbf{y}_k$  (in this case  $\cup_{i=1}^\chi I_i = [-1, 1]$ ), while values for the left column,  $\Pr([v_i]_t | [\mathcal{V}_k]_t) = d_i y_{i,k}^2$ , belongs to a smaller interval,  $[0, 1]$ . In this context, it is quite interesting to see that the contrasts between languages is marked on both columns. What is most interesting in this context is that the contrast inside each language is actually sharper for  $\Pr([v_i]_t | [\mathcal{V}_k]_t)$ . While the colors distinguish the languages, they also “order” them in some sense. From the average color levels of each language, we can say that R(ed) is principally German, G(reen) is principally English, and B(lue) is principally Spanish. French is somewhere in between all of them. What is much interesting is that all this is in good accordance with the roots of these four languages, a fact which is of course utterly out of sight for the computer program.

An even more interesting experiment has consisted in trying the program on texts where languages are more intricately mixed. This is quite typically so in literature from multilingual regions, like in the case of the Creole-speaking communities mentioned in the introduction. The linguistic situation actually is reflected in the literature generated in those regions; as an example, we display (fig. 3) an extract of a bilingual novel from a Caribbean author, where segments in French and Creole alternate. In this case, rather than

<sup>1</sup> URL: <http://www.univ-ag.fr/~pvailan/mots/>

<sup>2</sup> LAPACK URL: <http://www.netlib.org/lapack/>.





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