



The Functional Extension Parser (FEP) A Document Understanding Platform

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Introduction

- A book is more than just pure text it contains a lot of structural metadata
- These metadata are (often) encoded in the layout of a document
- Size of characters, position on page, distance to other lines, etc. is used to express structural meaning
- FEP is a platform to process digitised or born digital documents and to "understand" the meaning of the layout by using a rules engine
- FEP was developed within the IMPACT project by Lukas Gander, Raphael Unterweger, Sebastian Colutto, Cornelia Lezuo (about 80 person months were invested)





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- Headlines
- Footnotes
- Print space (cropping)



Erfted Rapitel.

Beibe Abtheilungen unferer Erpebition verliegen am 23. Marg 1820 St. Petereburg. In Mosfan blieb Lieutenant Union bis jum Gintritte ber gunftigeren Jahredzeit mit all' unfern Inftrumenten gurud, mabrent ich mit bem Flottenofficier Da tiufdfin auf ben eben fo leichten und ichnellen als unbequenen gewöhnlichen Poftwagen, bie auf allen Stationen gewechelt merben, Jafutet, ber ebemaligen Sauptftabt bes unermege ichen Gibiriene, queitte. Dur im Fluge legten wir bie 5317 Berft *) lange Strede gurud, obwohl bas Austreten mehreren Fluffe bieffeite und jenfeite bee Ural, beren Thaler fich in große Seen umgewandelt hatten, unferem Fortfommen febr binderlich war. Dehrmale mechfelten auf unferer Sabrt Frubling und Binter. 3m Rafanichen grunten bie Baume und bie Biefen waren mit ben iconften Blumen gefcmudt, in bem Ural aber bedte noch tiefer Schnee bie boben und Schluchten, und mabrend um Tobolet taum bas erfte Grun an ben Biefenabbangen ich zeigte, fanden bie Umgebungen von Rraenojaret und 3re

*) 7 Berft gleich einer geographifden Deile.





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- Running title
- Page number
- Signature mark

Der hanbel ju Jafutet. Die Bilbungoftufe.

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ruffifch ameritanifden Sanbelegefellichaft. Auf viele Taufenbe pon Berft im Umfreife ftromen mabrent ber wenigen Commerwochen bieber bie foftlichften wie bie gemeinen Pelgmaaren aller Mrt, fowie Ballroggabne und bie riefigen Anochenüberrefte bes pormeltlichen, bem affatifden Glephanten verwandten Dammute, beffen Stofiabne besondere ale foffiles Elfenbein in ben Banbel tommen. In biefer Beit treffen bier auch bie Raufleute aus bem Guben ein, Die Diefer an Allem armen Begend faft Miles, mas jum leben nothig ift, juführen. Die Sauptverfaufszeit ift im Monat August, weicht aber von bem, mas wir unter einem Jahrmarft verfieben, febr ab, indem bie Raufteute ibre Baaren in ben Saufern und Sofen gleichsam verfteden, um ibre Dreife, fowie bie Ramen ihrer Abnehmer vor einander möglichft gebeim gu balten. Die Bewohner (gegen 4000) fteben noch auf einer febr niebrigen Stufe geiftiger Bilbung. Der Beiligenfalenber (Smagn) ift faft ibr einziges Buch und bie Erziehung ift bie mangelhaftefte. Die Rinber werben gewöhnlich balb nach ber Beburt einer Jafutin übergeben, bie fie nach 2 bis 3 Jahren faft ale fleine Safuten ben Eltern wiederbringt. Spater lernen fie etwas lefen und ichreiben und werden bann mit bem Delabanbel vertraut gemacht, ber bie Ginwohner ausschlieglich beschäftigt. Doch leben fie febr gefellig, wiewohl Effen und Trinfen bei ihren larmenben Berfammlungen bie Sauptrolle fpielen. Die Berren figen bei bem Bunfchglas und bie Damen in einem bei und langft veralteten Staate um ben Theefeffel, mabrend bie Jugend nach ben Rlangen ber Bufli, einer Art liegenden Barfe mit Detalls faiten, ein Tangden macht.

Lieutenant Anjou ging ichon im Anfange August mit seiner Abtheilung die Lena hinunter. 3ch brach am 12. September, nachdem ich vorher ben Mitschmann Matiuschfin und ben Steuermann Rosmin mit unsern Borrathen, um die nothigen Borbereitungen für unsern bortigen Aufenthalt zu treffen, nach Rie'hnes Kolumof vorausgeschidt batte, eben babin auf.

Bon Jatutof führt teine gebahnte Strafe nach bem Norben, fonbern bie Reife muß zu Pferbe auf engen, holperigen Fußsteigen, bie burch Morafte und bichte Balber, über fielle Berge und zwifchen gahlreichen Lanbfeen bahin führen, fortgefelt wer-

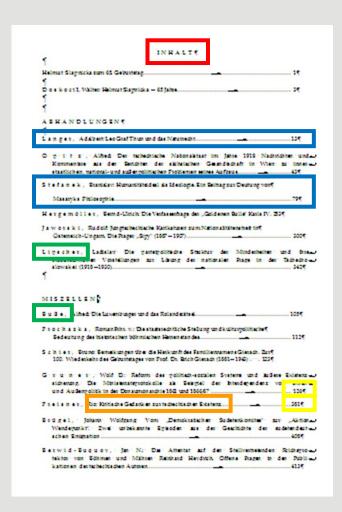
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- Table of Contents
- Single entries
- Authors
- Titles
- Page numbers









Why structural tagging is important – some examples

- Search & Retrieval
- References and links to other documents
- Reading: analogue and digital





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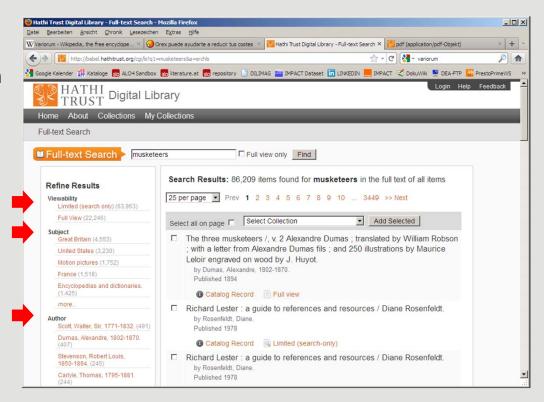
- Search & retrieval
 - Ranking and scoring, noise reduction
 - The same word appears in the running title of a journal at every page "Musketeers"
 - Front matters, such as title pages, dedications, table of contents tables, etc.
 - Back matters such as indexes, ads, etc.







- Search & retrieval
 - Facets for full-text
 - Currently facets are used for metadata such as author, year, text type, ...
 - A user might be interested in facets such as headline, footnote, index, etc...

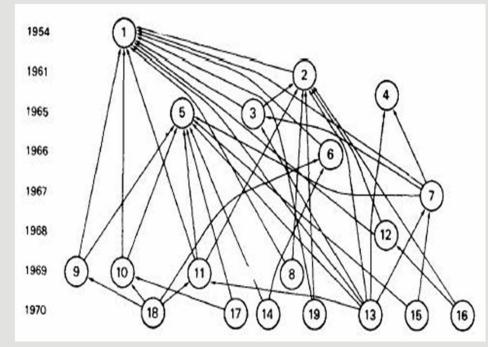






Citations index / cloud

- Footnotes, reference lists, citations contain bibliographic links to books, journal articles, texts, etc.
- Structural tagging supports detection of bibliographic references
- May also be used for catalogue enrichment



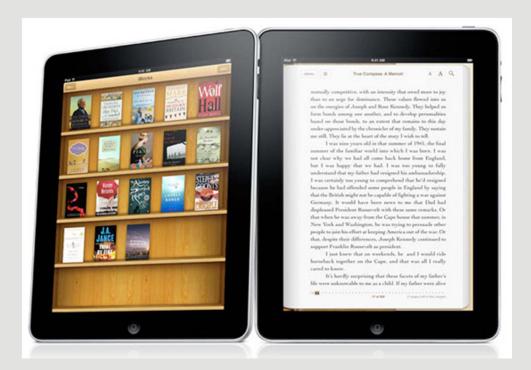
Cawkell, A. E. (1971)





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- Digital reading
 - Tablet computers as alternative for reading historical books with OCR below reading quality
 - Expected features
 - Nicely cropped pages
 - Bookmarks
 - ToC page linked with headings
- Advanced reading
 - eBooks for modern texts with satisfying OCR quality
 - Structure can be encoded into ePUB etc.

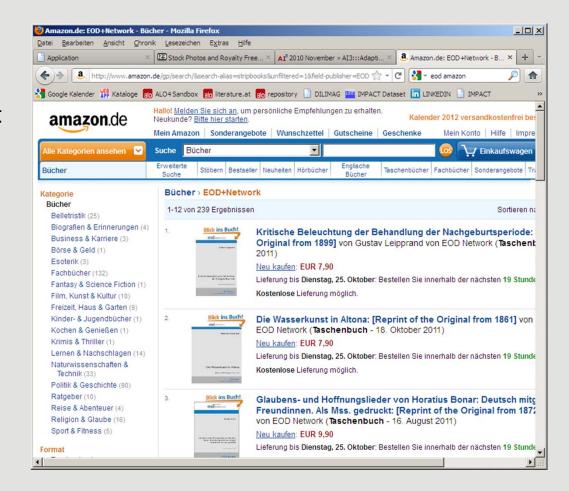






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- Analogue reading
 - Print on Demand
 - Print space (exact cropping) as old concept with new benefits
 - Reconstruction helps to semi-automate the standardized production of pre-press files







Technical background

- Input
 - OCR text which needs to contain at least word coordinates
 - E.g. ALTO files, ABBYY XML or Google Books (Tesseract) HTML
- Output
 - Annotations of structural elements with coordinates, e.g. page numbers, running titles, headings, footnotes, printspace, etc.
 - Output format: METS/ALTO, XML, etc.
- FEP System
 - Images and/or OCR files are loaded via a web-service
 - OCR data are converted into internal format
 - Information is processed based on rules
 - Results are stored in a database
 - Quality control on the basis of "ground truth", e.g. expected results
 - Rules are either manually encoded (expert knowledge) and/or based on machine learning (large document sets)

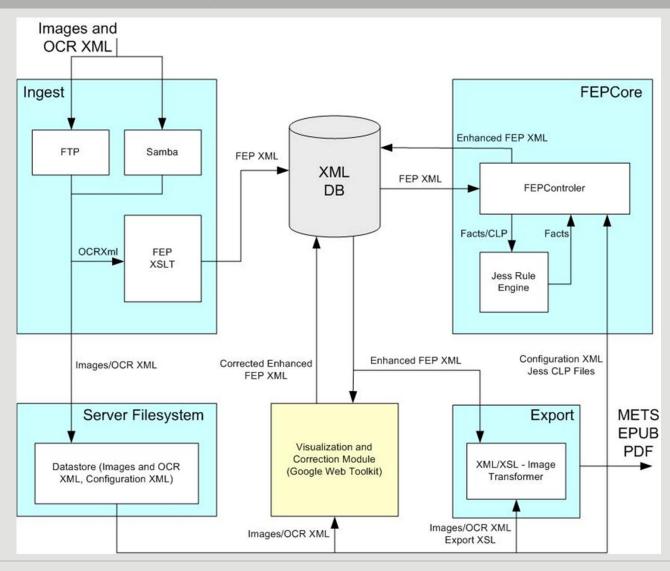
Improving Access to Text

IMPACT





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Evaluation method

- Basic rules set
 - General structural elements of books from e.g. 1700 to 2010
 - Data set: 155 books, 30.673 pages (141 training set, 41 evaluation set)
 - All pages were manually annotated (ground truth)
- Recall, Precision, F-Measure
 - 10 lines with headings in a book. We find e.g. 12 lines, 8 of them correct, 4 false:

- Recall = 8 of 10 = 0,8 - Precision = 8 of 12 = 0,66 - F-Measure = 2*0.8*0.66/(0.8+0.66) = 0,72

- More information
 - Important: We count lines, not structural entities!
 - E.g. if a heading has two lines one might be correct, the other one might not be recognised
 - Differences between training and evaluation set are low







Results on the evaluation set

	Recall	Precision	F-measure
Running text	0,99	0,98	0,98
Running titles	0,97	1	0,98
Page numbers	0,97	1	0,98
Footnotes	0,83	0,89	0,86
Headings	0,85	0,80	0,82
Signature marks	0,68	0,89	0,77





Table of Contents pages and entries

- Original plan was to take part in the INEX competition 2011 but time constraints made this impossible
- We got the INEX dataset for training and evaluation purposes → our results can be directly compared with the INEX results of 2011
 - the data set consists mainly of English books from the 19th century with partly really complicated ToC pages
 - Also Ground Truth was not always consistent
- Two rule sets
 - Results for table of content pages: 90% of the pages were detected correctly also the F-measure in this case is about 90%
- Evaluation of table of content entries follows XRCE link-based measure. The XRCE link-based measure permits evaluating the performance of the systems by matching ToC entries primarily based on links rather than titles.







Linking of table of content entries

Institution	Recall	Precision	F-measure
IMPACT-FEP	0.682	0.727	0.662
Microsoft Serbia	0.702	0.645	0.651
Nankai	0.674	0.676	0.632
Xerox	0.551	0.759	0.581
GREYC	0.499	0.652	0.507





Excursion: How to deal with uncertainty?

- Automated processing produces always errors!
 - OCR is a highly developed technology
 - Modern texts:
 - Clearly above 95% word accuracy
 - But for historical texts word accuracy comes down to 80% or even 50 or 50% accuracy rate
 - E.g. British newspapers from the 19th century are around 80% (Tanner)
- How to deal with these error rates?
 - Many libraries did not apply OCR since "too many errors"
 - On the other hand Google and other industrial projects certainly use
 OCR for enhancing their documents
- Metadata enrichment/annotation with FEP
 - The same issue: Will produce errors, how to deal with them?





How to deal with uncertainty and errors?

Option 1: Leave it as it is

- Accept the accuracy which can be provided automatically
- Inclusion of ground truth in the database allows to exactly measure the quality of the automated processing
 one knows in advance what can be expected

Pro

- Maybe the only solution for really large document sets
- It is much cheaper to develop better rule sets than to correct large numbers of documents
- Good results for homogenous sets are possible
- Similar to OCR

Con

- You and your users need to accept errors
- People want to contribute and to correct





How to deal with uncertainty and errors?

Option 2: Correct it

- Service providers or library staff needs to correct
- Manual correction with automated support

Pro

- Batch correction + off shore is relatively cheap and effective if the error rate is above a certain rate (e.g. 80%) otherwise correcting is more effort than simply do it from scratch
- Quick and standardized results
- Users are satisfied

Con

- A reasonable investment is necessary
- The complexity of the workflow may not be underestimated
- Probably it will be too expensive to correct all interesting elements, therefore you and your users still need to accept "some" errors
- Users still want to contribute but do not have a chance





How to deal with uncertainty and errors?

Option 3: Provide a user interface for the crowd

- Correction of OCR results may only be the start for also providing interfaces for structural annotations
- Might be combined with some basic corrections carried out by service providers

Pro

- Satisfies the willingness of users to contribute
- Users get immediate benefit, e.g. they are able to download structured PDFs for their iPad, or annotated full-text for further processing
- Users are satisfied AND are able to contribute
- Library gets correct and standardized data

Con

- An reasonable investment is necessary both for the user interface as well as for adapting the digital library application
- User interfaces need to be powerful, self-explaining and simple
- You and your users need to accept that there are always errors in the collection and that it will take decades to come to an end





FEP User Interface

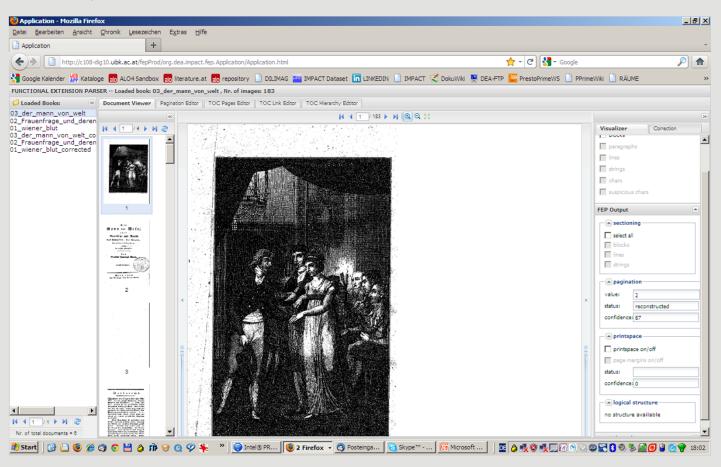
- A first attempt for a powerful, self-explaining and simple GUI
 - Currently a "general purpose interface" to display, edit and correct the structural elements of books
 - No optimisation for specific tasks and large amounts of documents
 - Has the potential to become a user interface for the crowd
 - Could look completely different!
- Based on Google Web Tool Kit (GWT)
 - Open source tool kit for complex browser based developments
 - GWT allows for features previously seen mainly in FLASH interfaces
 - Growing community
 - Good experiences: GWT allows to create interfaces in a relatively short time period





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Display of results

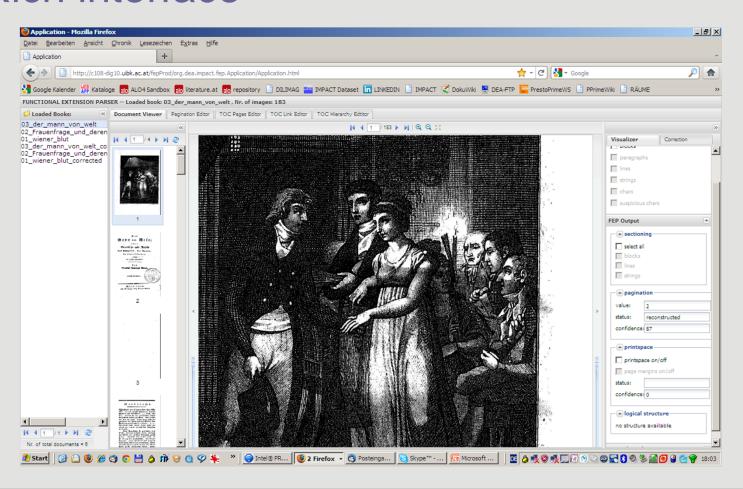






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Rich interface

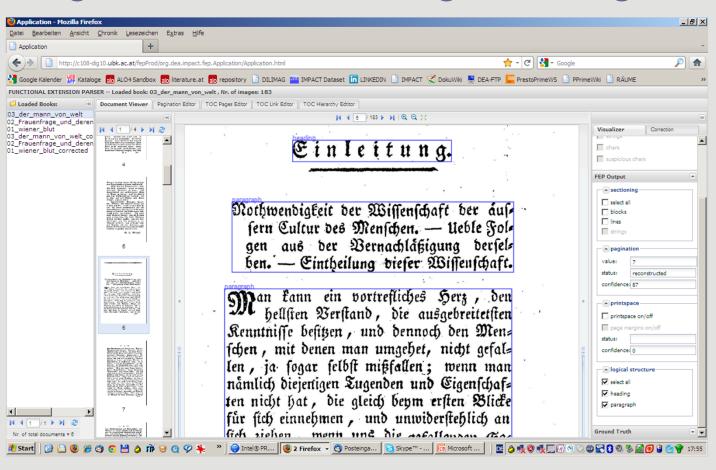






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Recognized elements, e.g. headings

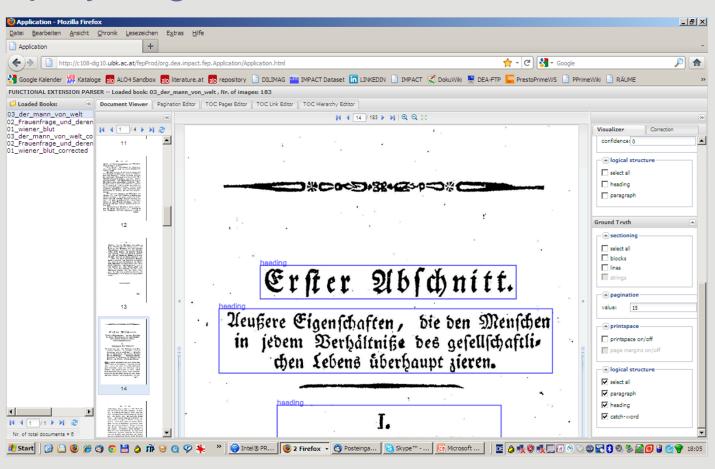






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Display of ground truth

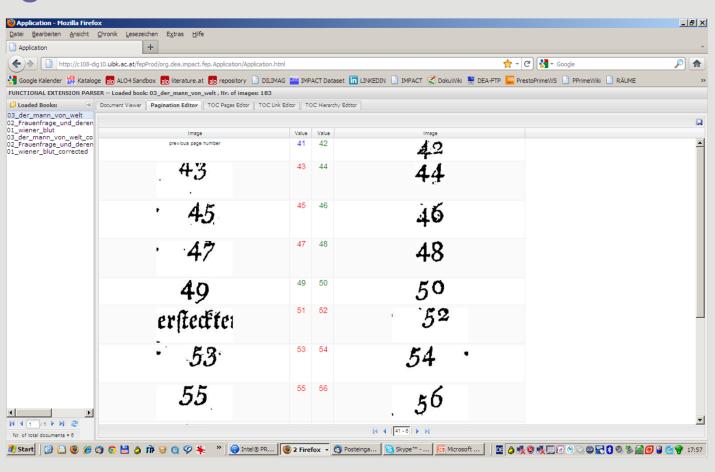






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Page numbers

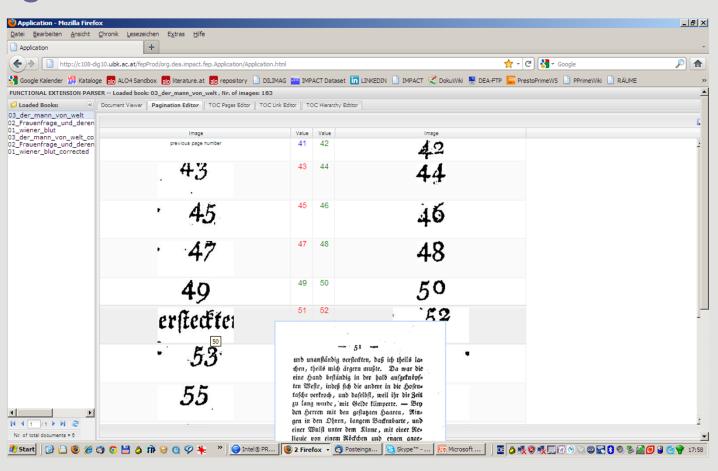






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Page numbers control

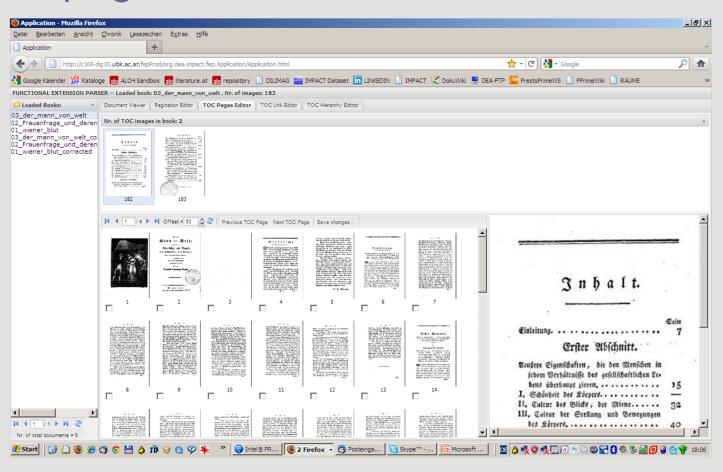






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ToC pages

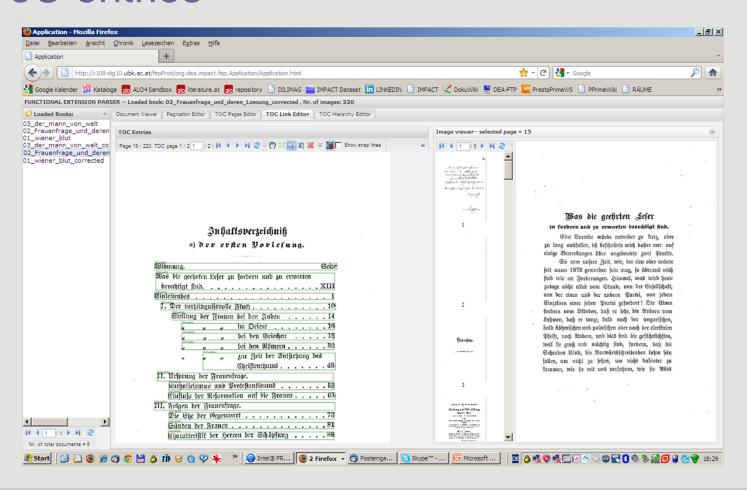






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ToC entries

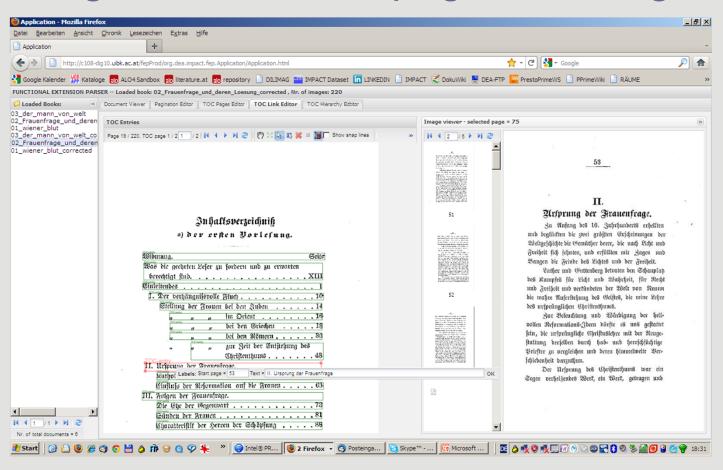






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Linking of entries with pages/headings

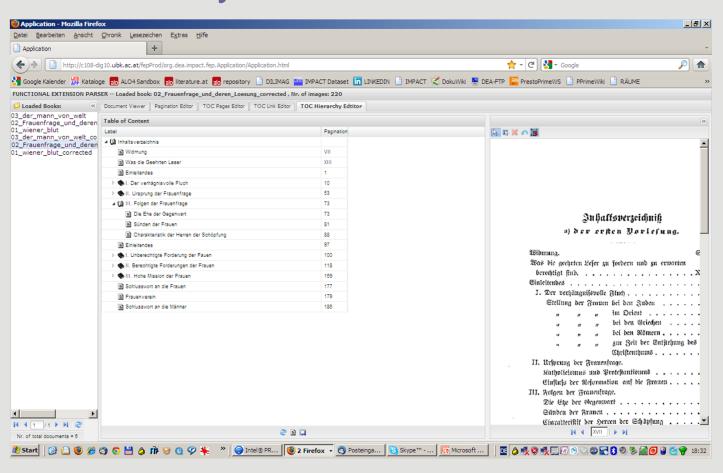






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ToC hierarchy editor

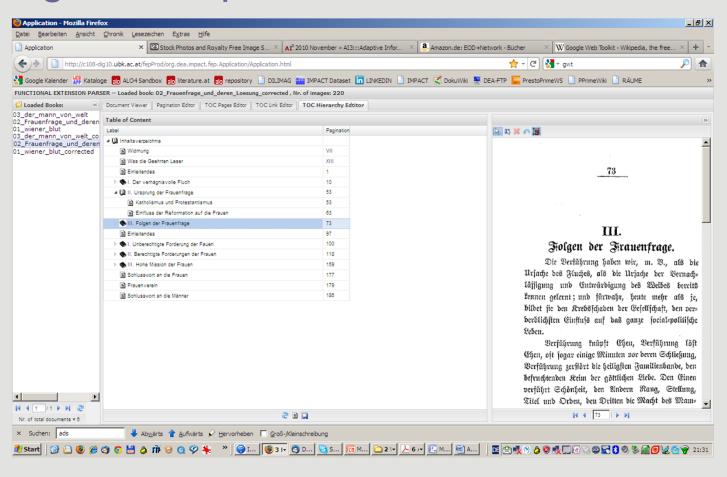






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Drag and drop of entries







Export from FEP web-interface

- METS/ALTO
 - XML Standard for digitised books and documents
- PDFs
 - Advanced PDFs for eBooks
 - Original version
 - FEP processed version
 - Pre-press files for Print on Demand
 - FEP prepress file
- ePUB
 - For modern documents with good OCR quality or corrected books (not implemented yet)





Application areas for FEP

- In the digitisation workflow
 - OCR processing + automated metadata generation on all levels
 - Quality control with specific editors
 - E.g. page numbering or detection of illustrations in books
- In the metadata workflow
 - OCR processing of specific pages, e.g. table of contents
 - Support of cataloguers
- Enriching already scanned collections
 - Option 1: Batch processing of large collections
 - Option 2: Involve end-users in the enrichment process (crowd)





Implementation of FEP

- Option 1: FEP as remote service
 - EOD Network: FEP is connected via web services
 - Image and OCR data are transferred and processed within FEP
 - Therefore the EOD Network needs not to care about technical infrastructure or support
 - E.g. a solution for crowd processing of already digitised documents
- Option 2: FEP as local service
 - E.g. for very specific processing within a digitisation workflow a local installation may be the best solution
 - Will become possible once the generic DUP will be available
- Option 3: Research partnership
 - Institutions which are interested to provide significant input to the FEP are invited to cooperate with us
 - E.g. we are in close connection with Prof. Schulz from LMU and will share the platform so that LMU can use it for their projects





Current implementations

- Europeana Newspaper Projekt (2012-2015)
 - 8 Mill. newspaper pages will be OCRed
 - For a small portion UIBK will use FEP for tracking articles in newspapers
- EOD Network
 - Pilot to implement FEP as an additional option for the workflow
 - Usual workflow is not touched: Libraries decide if they want to use the FEP and for what options
 - Simple: Correct only page numbers
 - Medium: Correct page numbers and the original table of content
 - Full: Correct print space (cropping) and create new table of content
 - We are highly interested to see the results of this pilot in the next months!
- Under negotiation: German National Library (DNB)
 - Pilot in order to use FEP to extract metadata from title pages of dissertations (author, title, year of publication, university, document type) and to provide data for the cataloguers





Future plans: a generic DUP

- Overall objective
 - Provide a contribution to the set up of European research infrastructures such as DARIAH or CLARIN
- Generic input and processing
 - Currently the "input facts" for FEP are restricted to OCR data
 - In the future we will be able to work with all kinds of data connected with text
 - Image data, e.g. for better segmentation
 - Preservation data, e.g. for providing rule based archiving
 - Morphological data, e.g. part of speech, or syntax trees
 - Semantic data, e.g. named entities such as geographical names
 - Also storage of the different data types shall become flexibel
 - E.g. simple files or Lucene index





Thank you for your attention!