Detecting Manuscript Annotations in Historical Print: Negative Evidence and Evaluation Metrics

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Abstract: Early readers’ manuscript annotations in books have been analyzed by bibliographers for evidence about book history and reading practice. Since handwritten annotations are not uniformly distributed across or within books, however, even the compilers of censuses of all copies of a single edition have very seldom produced systematic information about these interventions in the lives of books. This paper analyzes the use of object detection models (ODMs) for detecting handwritten annotations on the pages of printed books. While computer vision developers have dealt widely with imbalanced datasets, none have addressed the effect of negative sample images on model accuracy. We therefore investigate the use of negative evidence—pages with no annotations—in training accurate models for this task. We also consider how different evaluation metrics are appropriate for different modes of bibliographic research. Finally, we create a labeled training dataset of handwritten annotations in early printed books and release it for evaluation purposes.

1 INTRODUCTION

Recent decades have seen an exponential increase in the digitization of early printed books for preservation and accessibility. But as Sarah Werner remarks, the act of digitization is often seen as sufficient unto itself (Werner, 2016). One area for advancing digitization services is the detection of manuscript annotations in early print. Bibliographic scholar William Sherman writes, “[C]ontemporary annotations represent an extensive and still largely untapped archive of information about the lives of books and their place in the intellectual, spiritual, and social lives of their readers” (Sherman, 2002). Despite interest in handwritten reader marks, constraints on time and funding limit research to a single text or small handful. When scholars are able to conduct global censuses of printed works (Margócsi et al., 2018; West, 2003), documentation of manuscript annotations is scant and vague. Similarly, library catalog records provide little information on handwriting in collection items due to logistical constraints for such time-consuming work. Given the mass digitization of library collections and importance of manuscript annotations for researchers, a tool that detects and enumerates handwriting in collections would be immensely valuable. To this end, we examine the training and evaluation of object detection models (ODMs) on handwriting in digitized printed books with two focuses.

First, we examine the effect of different dataset proportions on model precision and recall. Recent research on handwriting detection gives no attention to how the makeup of training data may affect model performance (Kusetogullari et al., 2021; Wu et al., 2021; Moustapha et al., 2023). More specifically, none mention the prevalence of negative sample images, i.e., images of print sans handwriting, in datasets, let alone the potential impact of negative sample images on model accuracy. Dataset descriptions are typically confined to a paragraph enumerating positive sample images, image pixel dimensions, and data source. Handwriting in early print is scarce, following a long-tail distribution and resulting in imbalanced datasets. Other recent studies argue synthetic positive sample images (e.g., data augmentation) may help correct problems related to imbalanced datasets (Saini and Susan, 2023; Nguyen-Mau et al., 2023; Kim et al., 2023). But even studies that examine the effect of different dataset proportions or manipulation techniques on classification tasks do not address the potential value of negative sample images in improving model accuracy (Thabtah et al., 2020; Rao et al., 2023). Given their ready availability in long-tail distribution sets, the effect of negative sample images on model accuracy is worth exploring. We join calls for re-evaluating the importance of negative
evidence in machine learning (Borji, 2018) by arguing that negative sample images are an untapped resource for improving detection accuracy of positive sample images, particularly in bibliographic search tasks.

Second, we consider evaluation metrics appropriate for different bibliographic search tasks. Object detection models are often evaluated at the pixel level, using metrics such as intersection over union (Wu et al., 2021; Rezatofighi et al., 2019). While it can be helpful to localize handwriting on the page, we propose that many book-historical search tasks are better modeled as page-level retrieval tasks. We therefore employ mean average precision (mAP) to evaluate tasks where the researcher has selected a book and wants to locate all pages with handwriting therein. We also employ corpus-level average precision to evaluate tasks where the researcher wants to find examples of handwriting across a larger collection without focusing on a particular book. These metrics, we argue, are more appropriate for search tasks where the user will not be able to examine every page of a book or every result. It is much more efficient, furthermore, to collect user feedback at the page level than by asking for individual regions to be highlighted.

To conduct these investigations, we compile training data for a wide array of open-access early printed books and compile test data from ten open-access copies of Shakespeare’s First Folio (9,100+ images). We release our training data under an open-source license to enable further work on this task.

2 DATASETS

2.1 Training Datasets

We compiled a training set by hand from several open-access digital collections including: the Oxford University Bodleian Library, the Wellcome Library, Princeton University Library, John Carpenter Brown Library, the Folger Shakespeare Library’s Digital LUNA Collection, Annotated Books Online, and the Munich Digitization Center and Bavarian State Library. We also include (and re-annotate) images digitized from the UCLA Clark Library and available on GitHub as part of the Omniscribe project for developing a Detectron-based handwriting ODM. Due to their curation from multiple institutions, and the lack of digitization standards even within one institution, page image dimensions vary. Nevertheless, all images are considered hi-res (600+ dpi) with the average image height being around 1000 pixels.

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1 The training dataset is presently available for use at https://github.com/jmurel/em_reader_ann
2 https://github.com/collectionslab/Omniscribe/tree/master
We curate all the images for our training sets from digitized copies of books printed in Europe and America from the fifteenth through the nineteenth century. The majority of these books are printed in Latinate type. Documents printed in non-Latinate type—i.e., Arabic, Hebrew, Greek, and Chinese—constitute less than approximately 10% percent of our training data, and have been included to account for the small presence of these types in European and American print.

The number of positive sample images—i.e., images with handwriting—used in each training set is 2,448. We label all forms of ink-based handwriting, including doodles (Fig.1), manicules, simple brackets, and alphabetic notes (Fig.2) under one “handwriting” class. We ignore manuscript underlining of printed text. Figure 3 illustrates how we label a page with alphabetic notes, a manicule, and underlining. All images are labeled by a trained paleographer using Roboflow, a development tool for producing computer vision models. Across the 2,448 positive sample images, there are 9,830 “handwriting” labels total.

We use three different datasets to train three different models. All three datasets share the same 2,448 positive images. We retain the same number of positive sample images across each set in order to isolate the effect of negative sample images on model accuracy. The datasets differ in their respective number of negative sample images—i.e., those images without any handwriting, and so no labels.

Ultralytics’ YOLOv5 documentation, in addition to external help articles and forums, recommend the number of negative sample images equal less than 10% the number of positive sample images in ODM training. We therefore train Model 1 on a dataset containing 245 negative sample images in addition to the 2,448 positive sample images. But this train-test split does not mimic expected real-world proportions of handwriting in early print, as often far less than 10% of an early printed book contains handwriting. Thus, we train Model 2 on a dataset with an equal number of negative sample (2,448) as positive sample images and Model 3 on a dataset containing double the number of negative sample (4,896) as positive sample images.

We curate the additional negative sample images for each successive training set from digitized collections at the aforementioned institutions. The majority of these negative sample images come from different books than the positive sample images, although there is some overlap. Object detection research has demonstrated the positive effect of using misclassified samples in finetuning to improve model accuracy (Zou et al., 2023). As such, when selecting negative sample images, we aim to compile images that contain features frequently returned as false positives in handwriting detection tasks. Such features include bleed-through (Fig.4), italic type, and physical damage (Kusetogullari et al., 2021; Mondal et al., 2022). Our preliminary tests confirmed this. Admittedly, such features are difficult to locate when combing digital collections, though we nevertheless include several images with bleed-through, worming, and page tears, and even more with italic type.

2.2 Test Datasets

We test each of the three generated models on digitized copies of Shakespeare’s First Folio (FF). We have chosen the FF as our test text given its wide accessibility. Due to its canonicity, many FF copies have been digitized in their entirety, significantly more so than other early printed texts. The FF further serves

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3https://roboflow.com/

4https://docs.ultralytics.com/yolov5/tutorials/tips_for_best_training_results/

5Sarah Werner documents forty-nine of 228 First Folios that have been digitized in their entirety (https://sarahw...
Figure 4: Example of manuscript doodle (right) and bleed-through (left). In preparing data, the former is marked with a bounding box while the latter is left unlabeled. From Der teutsche Kalender. Meister Almansor spricht. Courtesy of the Wellcome Collection.

as a suitable test case given the scarcity of handwriting in extant copies. While most copies used in our evaluations contain some form of handwriting, only one copy contains handwriting on more than 10% of its 900+ pages. Thus, in comparison to other early printed books that may contain an abnormally high amount of handwriting (e.g., herbals or devotionals), the FF serves a suitable case study for detecting rare occurrences of handwriting in early print. In order to further assess model accuracy, no pages from the FF (or any edition of a Shakespeare Folio) are used in the training data. The FF serves only as a test set.

We determine each model’s accuracy by calculating the mean average precision (mAP) for both test sets. We eschew intersection over union (IoU) in favor of mAP as an evaluation metric given we are principally concerned with the model’s ability to determine the proportion of manuscript annotations across an entire collection, as well as in each individual book. Thus, we utilize these two test sets to account for possible bibliographic research tasks as well as to assess model accuracy when deployed on one versus many books.

The single-Folio set consists of one FF copy from the Free Library in Philadelphia, Pennsylvania, USA. We have selected this copy as an individual test text for two reasons. First, with the exception of a FF held at Meisei University (for which hi-res open-access images are unavailable), this is the most heavily-annotated digitized FF. Of its 918 digitized images (including front and back covers), exactly 330 contain handwriting. As such, the copy provides a wealth of positive sample images to test for model accuracy. Additionally, as a result of the handwriting being attributed to the poet John Milton (Bourne and Scott-Warren, 2002; McDowell, 2021), bibliographic researchers have documented all of the contained handwriting, thereby providing a ground truth for measuring model accuracy.

The multi-Folio test set is comprised of ten digitized FFs. They are curated from the Auckland Public Library, Oxford University Bodleian Library, Cambridge University Kings College Library, Manchester University John Rylands Library, State Library of New South Wales, National Library of Scotland, Saint-Omer Library, Folger Shakespeare Library, Free Library of Philadelphia, and Württemberg State Library. These ten were chosen by hand and intended to cover a range of manuscript annotation proportions. Some are heavily annotated while others contain nearly no handwriting.

3 METHOD

Using a Google Colab notebook, we train one YOLOv5 model for each of the three training sets described above. Although individual image dimensions vary, no image falls under 640 pixels high, and so we adopt this size for training our YOLOv5 models. We train each model for a maximum 250 epochs with early stopping enabled. We choose a 250 epochs as preliminary training showed model accuracy and loss to level out at this point. Once trained, we test all three models on both the single-Folio and multi-Folio test sets.

We determine each model’s accuracy by calculating the mean average precision (mAP) for both test sets. We eschew intersection over union (IoU) in favor of mAP as an evaluation metric given we are principally concerned with the model’s ability to de-
Detecting any handwriting on a given page rather than its ability to accurately delineate the boundaries of that handwriting. mAP builds from the standard precision equation, where TP is the total number of true positives and FP is the total number of false positives in the model output:

\[
\text{Precision} = \frac{TP}{TP + FP}
\]  

(1)

With this formula, we calculate an average precision for each page in the model output. We then use these precision values to calculate the model’s mAP using the following formula, where \(AP_k\) is the average precision of each class \(k\) and \(n\) is the number of classes:

\[
mAP = \frac{1}{n} \sum_{k=1}^{n} AP_k
\]

(2)

Given we are concerned with page-level accuracy rather than object-level accuracy, we calculate mAP for each page image in the model’s output. We calculate mAP cumulatively in descending order for the top 100 page images returned by each model. As expected, our models regularly identify multiple instances of handwriting on a single page. We therefore take the confidence level for the highest-ranked object on a given page as model’s prediction that the entire page has handwriting. We ignore additional detected objects on a given page following the highest-ranked object from that page.

Though we calculate mAP the same for each model and set, practical limitations demand a modification in how we calculate recall between the two test sets. For both sets, we use the standard recall formula, where TP is the total number of true positives and FN is the total number of false negatives in the model output:

\[
\text{Recall} = \frac{TP}{TP + FN}
\]

(3)

We calculate recall for the single-Folio test set using Bourne and Scott-Warren’s documented list of all 330 pages with handwriting in the Philadelphia FF (Bourne and Scott-Warren, 2002). To calculate recall in the multi-Folio set, we pool different system outputs as is common in information retrieval evaluations. Given the implausibility of manually combing a test set of 9100+ images for each manuscript annotation, we compile a master list of every true positive image from each model’s top 100 results for the multi-Folio set. From here, we calculate the percentage of true positive images identified by an individual model out of that master list.

We also explore alternative methods for evaluating model accuracy on the multi-Folio set. More specifically, we calculate the mAP for each FF in the multi-Folio set. To do this, we count the number of true positive and total positive results for each FF from the top 100 page images returned by a given model and use those values to calculate individual mAPs for each FF in the multi-Folio test set. This marks the model’s mAP for detecting handwriting in an individual book when tested on a collection of books. Scoring this way can be useful for researchers or librarians who want to determine the likelihood or proportion of annotations in each individual book across an entire collection.

Finally, we consider the makeup of false positives identified by each model, specifically the number of print features and non-print features (e.g., book damage) each model falsely identified as handwriting. Through this, we aim to further explore how negative sample images may affect not only a model’s precision and recall but also what features it erroneously identifies as positive instances.

4 RESULTS

To reiterate: Model 1 is trained on a dataset in which the number of negative sample images equals 10% the number of labeled positive sample images; Model 2 is trained on a dataset with an equal number of negative sample and positive sample images; Model 3 is trained on a dataset in which there are twice as many negative sample images as positive sample images. All three models contain the same number of positive sample images.

Table 1: Model mAP and recall for single-Folio set.

<table>
<thead>
<tr>
<th>Model</th>
<th>mAP</th>
<th>Recall</th>
</tr>
</thead>
<tbody>
<tr>
<td>Model 1</td>
<td>.32</td>
<td>.14</td>
</tr>
<tr>
<td>Model 2</td>
<td>.39</td>
<td>.14</td>
</tr>
<tr>
<td>Model 3</td>
<td>.33</td>
<td>.13</td>
</tr>
</tbody>
</table>

Table 2: Model mAP and recall for multi-Folio set.

<table>
<thead>
<tr>
<th>Model</th>
<th>mAP</th>
<th>Recall</th>
</tr>
</thead>
<tbody>
<tr>
<td>Model 1</td>
<td>.33</td>
<td>.57</td>
</tr>
<tr>
<td>Model 2</td>
<td>.52</td>
<td>.74</td>
</tr>
<tr>
<td>Model 3</td>
<td>.5</td>
<td>.77</td>
</tr>
</tbody>
</table>

Table 1 and Table 2 display mAP and recall rates for each model tested on the single-Folio and multi-Folio sets respectively. While the difference in precision and recall between each of the models is, admittedly, marginal, Model 2 is clearly the most accurate of all three. Model 1 scores the lowest in mAP and recall on both test sets. By comparison, Model 3 scores higher than Model 1 but nevertheless scores lower in mAP than Model 2 on both test sets.
Indeed, on the multi-Folio set, Model 3 mAP levels off with a small improvement in recall. This suggests that Model 3 may identify more true positive page images in the multi-Folio set than Model 2, but those images are identified with a lower overall confidence value. In regards to the single-Folio set, Model 3 scores lower in mAP and recall than Model 2. In fact, Model 3 performs relatively similar to Model 1. In other words, while the greatest difference in mAP and recall for both test sets is generally between Model 1 and Model 2, Model 3 generally shows a decrease or leveling off of mAP and recall from Model 2.

Table 1 and Table 2 thus suggest that increasing the number of negative sample images during training improves model mAP and recall with a certain threshold. We speculate that simply increasing negative sample images interacts poorly with the ODM’s threshold estimation. Even though the training set for Model 3 most closely replicates the proportion of annotated and non-annotated pages in early printed books, this model’s improvement over Model 2 was largely nonexistent, if not negative.

Table 3 displays mAP for each individual book from the multi-Folio set. The results in this table complicate consideration of the impact of negative sample images on model accuracy after a certain threshold. While mAP improves with each successive model in regard to certain books, e.g., the Scotland and Manchester FFs, model mAP shows no improvement in regards to the Cambridge FF, even deterioration of accuracy in regard to the Auckland FF. A cursory examination of these four books suggests that both the Auckland and Manchester FF contain significantly more manuscript annotations than either the Cambridge of Folger FFs—although neither of the former possess anywhere near the quantity found in the Philadelphia FF. The drastically minimal amount of handwriting in copies like the Cambridge and Folger FFs may affect model performance.

While book-specific scores in Table 3 may suggest increasing the amount of negative sample images during training fails to significantly improve model accuracy, it is possible that not enough negative sample images are utilized, even in Model 3. For instance, a quick survey of the digitized Folger FF suggests less than fifteen of the book’s pages contain any form of handwriting (out of 900+ total pages). If less than one percent of a test set (here, the Folger FF) is comprised of true positives, then none of the training sets used for the present experiments approaches replicating the proportion of positive and negative samples found in the test set. In this way, all three of the models may be overtrained on handwriting samples, and so expect a significantly larger quantity of positive sample images than actually exists in each book comprising the multi-Folio test set. Book-specific relevance feedback and pseudo-relevance feedback may be effective in fine-tuning ODMs to resolve this issue.

Notably, the mAP for the Philadelphia FF in Table 3 ostensibly confirms scores in Table 1. When testing on only the Philadelphia FF, mAP improves most between Models 1 and 2, but then plateaus or decreases between Models 2 and 3. Table 3 displays this same trend in regards to the Philadelphia FF. This suggests that, when comparing model accuracy in terms of mAP, testing models on a collection of books and calculating mAP book-by-book from that output may be a roughly equivalent indicator of comparative model precision as testing models on each book individually. Of course, further experimenting is needed to confirm this.

Table 4 and Table 5 list the total number and makeup of false positives in model outputs for each test set. “Print” refers to pages without handwriting in which the model misclassifies a print feature (e.g., page number, signature mark, italic type) as handwriting. “Non-Print” signifies pages without handwriting in which the model misclassifies non-print features (e.g., foxing, worming, page tears) as handwriting. Both tables show how the makeup of false positives changes with each model. For both the single and multi-Folio sets, Model 1 largely—which, almost exclusively—returns false positives that are print. By comparison, Models 2 and 3 not only increasingly return fewer false positives, they increasingly misidentify non-print features as handwriting rather than print.

We suspect this change in the amount and makeup of false positives identified by each model to be influenced by the nature of negative sample images selected for training. When compiling negative sample images for each training set, we sought out books containing...
whose pages represent a wide array of typefaces, page layouts, genres, and even contain commonly known false positive features, such as ink bleed-through. We admittedly gave less attention to selecting images of pages affected by the wear and tear of time. Thus, the training sets successively contain a smaller proportion of images that display features such as foxing, worming, or page tears. Such features are increasingly misclassified in each successive model as handwriting. Obviously, curating negative sample images with these features may likely eliminate such false positives from the output. Locating these specific features, however, is difficult.

Notably, Table 5 matches the trend shown in Table 1 and Table 2. The greatest drop in number of false positives as well as misclassified print features is between Models 1 and 2, with a more negligible difference between Models 2 and 3.

5 DISCUSSION

5.1 Conclusion

In this paper, we investigate the effect of different proportions of positive and negative sample images during training on ODM precision in bibliographic search tasks. We train three YOLOv5 ODMs using training sets with different proportions of positive and negative sample images. We then test each model on a single-Folio and multi-Folio test set. Our comparison of model mAP and recall scores for each test set suggests the model trained on a equal number of positive and negative sample images is the most accurate in detecting handwriting in historical print. The model trained on a dataset with 10% the number of negative sample as positive sample images scores lowest. The model trained on a dataset with twice as many negative sample as positive sample images shows negligible improvement—and even decreased accuracy at times—in comparison to the model trained on an equivalent number of negative and positive sample images.

Finally, we investigate evaluation metrics of ODM accuracy in bibliographic search tasks. We calculate mAP for each book in the multi-Folio set as a way of measuring the likelihood or proportion of manuscript annotations in each book across a collection. While model accuracy varied on each book, comparing model scores with those from the single-Folio test set suggests this new evaluation metric may be a roughly accurate measure of model accuracy for bibliographic search tasks. We then consider the makeup of false positives identified by each model on both test sets in order to further measure how negative sample images may affect model precision and recall. This final evaluation reinforces our findings in the initial model score comparisons. Model 2 and 3 return the lowest number of false positives, as well as increasingly smaller number of print features misclassified as handwriting. As before, the difference between Models 2 and 3 is negligible.

Overall, our investigation suggests increasing the quantity of negative sample images during training may positively effect model precision and recall, with a point of diminishing returns.

5.2 Outlook

This paper suggests that, when developing object detection models for recognizing handwriting in print, equalizing the quantity of negative and positive sample images during training produces the highest overall model mAP, assuming negative sample images capture a wide array of possible false positives. Nevertheless, the proximity of results between Models 2 and 3 may require further study. For example, a study that quadruples the number of background images in the training set or tests both models on other forms of early print besides books (e.g., broadsheets, maps, etc.) would be warranted to confirm our results.

Moreover, a greater focus on the makeup of negative sample images in training may be beneficial. While we attempt to include negative sample images with features commonly identified false positives (e.g., bleed-through and physical damage) in our training sets, locating such examples in digitized collections is difficult, and so our sampling of such features is limited. It may be worthwhile therefore to focus on enlarging and diversifying the negative sample images with more examples of features such as worming, foxing, and page tears. Considering data augmentation’s promising results for correcting imbalanced datasets in research, data augmentation of negative sample images may serve as an interesting
means of acquiring samples with these scarce yet problematic misclassified features.

As noted, book-specific fine-tuning with pseudo-relevance feedback could also be effective. Finally, we believe the techniques for retrieval and evaluation developed here are worth systematic user studies with bibliographical researchers.

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