

teiphy: A Python Package for Converting TEI XML Collations to NEXUS and Other Formats

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Summary

Textual scholars have been using phylogenetics to analyze manuscript traditions since the early 1990s ([Robinson & O'Hara, 1992](#)). Many standard phylogenetic software packages accept as input the NEXUS file format ([Maddison et al., 1997](#)). The teiphy program takes a collation of texts encoded using the Text Encoding Initiative (TEI) guidelines and converts it to a NEXUS file that can be used for phylogenetic analysis. The package can also convert to other formats such as Stephen C. Carlson's [STEMMA](#) format or to a NumPy array ([Harris et al., 2020](#)).

Statement of Need

The TEI aims to provide an international standard for digitally encoding textual information for the humanities ([Ide & Sperberg-McQueen, 1995](#)). The TEI guidelines describe an XML format for encoding a critical apparatus ([TEI Consortium, 2022](#)). Due to its rich and well-documented set of elements for expressing a wide range of features in manuscript transcriptions, collations, and critical editions, TEI XML has become the *de facto* format for textual data in the digital humanities ([Fischer, 2020](#)). Its expressive power has proven increasingly valuable since its release, as scholars have learned—sometimes the hard way—that digital transcriptions and collations should

1. preserve as much detail as they can from their material sources, including paratextual features;
2. reproduce the text of their sources as closely as possible, with editorial regularizations to things like orthography, accentuation, and scribal shorthand encoded alongside rather than in place of the source text; and
3. describe uncertainties about a source's contents as accurately as possible, allowing for degrees of uncertainty and multiple choices for disambiguations if necessary.

These principles have much bearing on the editing of critical texts, a task fundamental to both digital humanities and classical philology. Within the digital humanities, phylogenetic algorithms have been popular approaches to this task. Taking the most arduous part of reconstructing a textual tradition and delegating it to a computer proved to be a promising technique, and its successful demonstration with a portion of *The Canterbury Tales* was a milestone in the development of the field ([Barbrook et al., 1998](#)). Soon after this, the same methods were applied more comprehensively to the tradition of *Lanseloet van Denemerken* in a work that would formalize many practical rules for computer-assisted textual criticism ([Salemans, 2000](#)). Since then, phylogenetic methods have quickly evolved ([Felsenstein, 2004](#)), and textual critics have adapted the improvements and even added their own innovations to make the process more suitable for their purposes ([Carlson, 2015](#); [Edmondson, 2019](#); [Hyytiäinen, 2021](#); [Spencer et al., 2002, 2004](#); [Turnbull, 2020](#)).

41 As their name might suggest, phylogenetic methods originated in the setting of evolutionary
42 biology. They have a natural place in textual criticism given the deep analogy between the two
43 fields: a sequence alignment, which consists of taxa, sites or characters, and the states of taxa
44 at those characters, corresponds almost identically to a collation, which consists of witnesses
45 to the text, locations of textual variation (which we will call “variation units” from here on),
46 and the variant readings attested by witnesses at those points.

47 Most phylogenetic software, however, expects inputs not in TEI XML format, but in NEXUS
48 format (Maddison et al., 1997). This format was conceived with versatility in mind, and this
49 design choice has been vindicated in its applicability with textual data, but NEXUS is not
50 equipped or meant to express the same kinds of details that TEI XML is. Conversely, for those
51 interested primarily in working with the collation as an alignment, TEI XML is overkill. Thus,
52 a great chasm has been fixed between the two formats, and the only way to cross over it is by
53 conversion.

54 The problem is compounded by the fact that other tools for phylogenetic and other analyses
55 anticipate input formats other than NEXUS. A noteworthy alternative is Hennig86, which is the
56 format of choice for the TNT phylogenetic software (Farris, 1988; Goloboff & Catalano, 2016).
57 While this format does not allow for as much flexibility in the input as NEXUS does (e.g.,
58 it does not support ambiguities that can be disambiguated as some states and not others),
59 TNT’s remarkable performance in tree search makes support for this format a desirable option
60 on practical grounds.

61 Another format of value for text-critical phylogenetics is the input format associated with
62 the [STEMMA software](#) developed by Stephen C. Carlson for his phylogenetic analysis of the
63 Epistle to the Galatians (Carlson, 2015). Carlson’s software expands on traditional maximum
64 parsimony-based phylogenetic algorithms with rules to account for contamination or mixture in
65 the manuscript tradition. While it has so far only been applied to books of the New Testament,
66 it is just as applicable to other traditions, and a way of converting TEI XML collations of other
67 texts to a format that can be used by this software could help bridge this gap.

68 Other basic machine-learning approaches to textual criticism, which are frequently based on
69 clustering and biclustering algorithms (Finney, 2018; McCollum, 2019; Thorpe, 2002), expect
70 the collation data to be encoded as a matrix with a row for each variant reading and a column
71 for each witness. Thus, a means of converting the essential data from TEI XML collation to
72 a NumPy array (Harris et al., 2020) and other related formats is a need for applications like
73 these.

74 Design

75 While the conversion process is a straightforward one for most collation data, lacunae, retrover-
76 sions, and other sources of ambiguity occasionally make a one-to-one mapping of witnesses to
77 readings impossible, and in some cases, one disambiguation may be more likely than another
78 in a quantifiable way. Mechanisms for accommodating such situations exist in both TEI XML
79 and NEXUS, and for likelihood-based phylogenetic methods, “soft decisions” about the states
80 at the leaves and even the root of the tree can provide useful information to the inference
81 process. For these reasons, we wanted to ensure that these types of judgments, as well as
82 other rich features from TEI XML, could be respected (and, where, necessary, preserved) in
83 the conversion process.

84 Collations should preserve as much detail as possible, including information on how certain
85 types of data can be normalized and collapsed for analysis. Since one might want to conduct
86 the same analysis at different levels of granularity, the underlying collation data should be
87 available for use in any case, and only the output of the conversion should reflect changes
88 in the desired level of detail. Likewise, as noted in the previous section, uncertainty about
89 witnesses’ attestations should be encoded in the collation and preserved in the conversion of
90 the collation.

91 For text-critical purposes, differences in granularity typically concern which types of variant
92 readings we consider important for analysis. At the lowest level, readings with uncertain
93 or reconstructed portions are almost always considered identical with their reconstructions
94 (provided these reconstructions can be made unambiguously) for the purpose of analysis.
95 Defective forms that are obvious misspellings of a more substantive reading are often treated
96 the same way. Even orthographic subvariants that reflect equally “correct” regional spelling
97 practices may be considered too common and of too trivial a nature to be of value for
98 analysis. Other readings that do not fall under these rubrics but are nevertheless considered
99 manifestly secondary (due to late and/or isolated attestation, for instance), may also be considered
100 uninformative “noise” that is better left filtered out.

101 Use Case

102 Due to the availability of extensive collation data for the Greek New Testament, and because
103 this project was originally developed for use with such data, we tested this library on a sample
104 collation of the book of Ephesians in thirty-eight textual witnesses (including manuscripts,
105 correctors’ hands, translations to other languages, and quotations from church fathers).
106 The manuscript transcriptions used for this collation were those produced by the University
107 of Birmingham’s Institute for Textual Scholarship and Electronic Editing (ITSEE) for the
108 International Greek New Testament Project (IGNTP); they are freely accessible at <https://itseeweb.cal.bham.ac.uk/epistulae/XML/igntp.xml>. To achieve a balance between variety
109 and conciseness, we restricted the collation to a set of forty-two variation units in Ephesians
110 corresponding to variation units in the United Bible Societies Greek New Testament (Aland et
111 al., 2014), which highlights variation units that affect substantive matters of translation.
112

113 In our example collation, witnesses are described in the `listWit` element under the `teiHeader`.
114 Because most New Testament witnesses are identified by numerical Gregory-Aland identifiers,
115 these witnesses are identified with `@n` attributes; the recommended practice is to identify such
116 elements by `@xml:id` attributes, but this software is designed to work with either identifying
117 attribute (preferring `@xml:id` if both are provided), and we have left things as they are to
118 demonstrate this feature.

119 The witness elements in the example collation also contain `origDate` elements that provide
120 dates or date ranges for the corresponding witnesses. Where a witness can be dated to a
121 specific year, the `@when` attribute is sufficient to specify this; if it can be dated within a range
122 of years, the `@from` and `@to` attributes or the `@notBefore` and `@notAfter` attributes should
123 be used; the software will work with any of these options. While such dating elements are
124 not required, our software includes them in the conversion process whenever possible. This
125 way, phylogenetic methods that employ clock models and other chronological constraints
126 can benefit from this information when it is provided.

127 Each variation unit is encoded as an `app` element with a unique `@xml:id` attribute. Within a
128 variation unit, a `lem` element without a `@wit` attribute presents the main text, and it is followed
129 by `rdg` elements that describe variant readings (with the first `rdg` duplicating the `lem` reading
130 and detailing its witnesses) and their attestations among the witnesses. (Situations where
131 the `lem` reading is not duplicated by the first `rdg` element, but has its own `@wit` attribute,
132 are also supported.) For conciseness, we use the `@n` attribute for each reading as a local
133 identifier; the recommended practice for readings that will be referenced elsewhere is to use
134 the `@xml:id` attribute, and this software will use this as the identifier if it is specified, but we
135 have only specified `@xml:id` attributes for `rdg` elements referenced in other variation units to
136 demonstrate the flexibility of the software. For witnesses with missing or ambiguous readings
137 at a given variation unit, we use the `witDetail` element. For ambiguous readings, we specify
138 their possible disambiguations with the `@target` attribute and express our degrees of certainty
139 about these disambiguations using `certainty` elements under the `witDetail` element.

140 The [TEI XML file](#) for this example is available in the example directory of the GitHub

repository. Instructions for converting this file using `teiphy` and analyzing it with several different phylogenetic packages are provided in the documentation. Functional tests where this example file is converted and run through IQ-TREE (Minh et al., 2020), MrBayes (Ronquist et al., 2012), and STEMMMA (Carlson, 2015) are part of the continuous integration (CI) pipeline. An example of the tree inferred with IQ-TREE with support values from 1000 bootstrap replicates is shown in Figure 1.

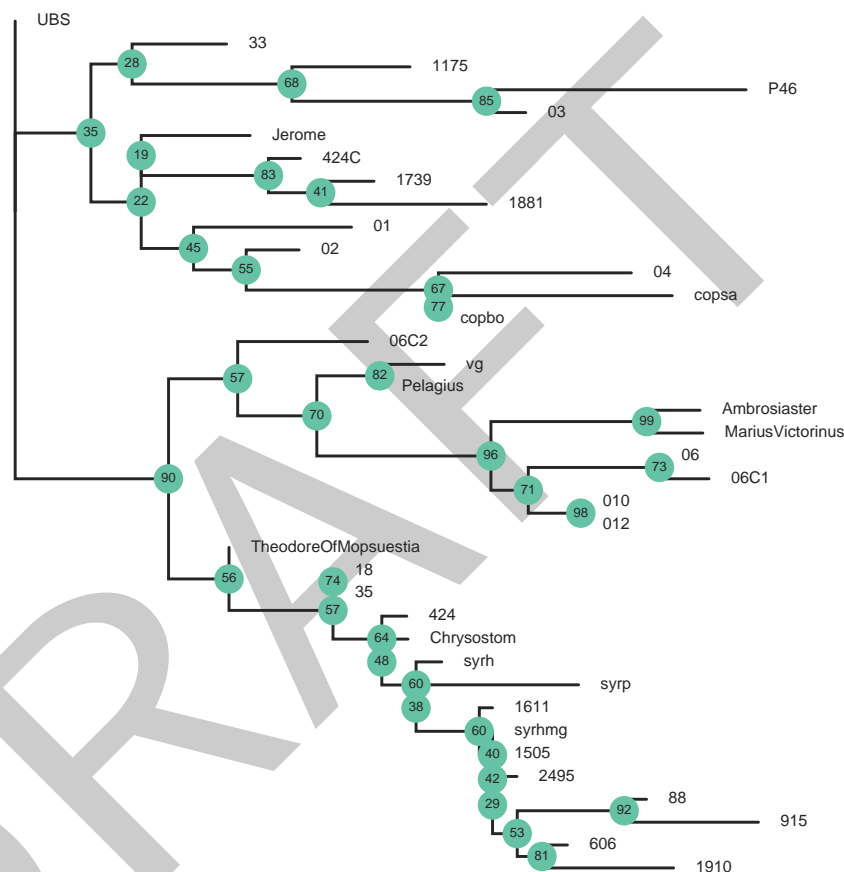


Figure 1: A phylogenetic tree inferred by IQ-TREE for the Ephesians example data. Reconstructed, defective, and orthographic sub-variants were treated as identical to their parent readings, and the text of each corrector (e.g., 06C1, 06C2) was filled in with the readings of the first hand or the previous corrector where the corrector was not active. All of these settings can be enabled or disabled in our software.

Availability

The software can be installed through the Python Package Index (PyPI), and the source code is available under the MIT license from the [GitHub repository](https://github.com/teiphy/teiphy). The automated testing suite has 100% coverage.

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