

Music Tree Notation for End-to-End Optical Music Recognition

Pau Torras Coloma

Abstract

The field of Optical Music Recognition (OMR) has seen a surge in performance thanks to the most recent advances in computer vision and deep learning as a whole. However, the application of these advances towards real-case scenarios for domains other than typeset music scores is rather complicated, due to limited availability of usable musical data. In this work we propose to tackle *OMR as a single-step process* from image to notation reconstruction, with the key objective to avoid intermediate targets and using existing transcriptions as output, provided that the image contents and the transcriptions can be aligned. We propose a *notation format based on a tree-like scheme* that can be inferred using sequence-to-sequence models, which has already demonstrated promising results in similar image transcription tasks. This tree-like nature could be further exploited by increasing the level of abstraction in the sequence from left to right, inducing the model to focus on actual primitives on the score first and then organising these primitives into higher-order compounds. Finally, we also contribute a *simple tough-to-beat baseline* on the proposed notation format using Sequence-to-Sequence and Transformer models with self-supervised pre-training.

Index Terms

Optical Music Recognition, Music Tree Notation, Sequence-to-Sequence, Transformers, Self-Supervision, Datasets

I. INTRODUCTION

“Music is the arithmetic of sounds as optics is the geometry of light.”
Claude Debussy

WRITTEN music has been part of the cultural heritage of humankind for many centuries. From neumes as old as a thousand of years to current-time western notation scores, people have built methods to make the most ephemeral of arts persistent through the passing of time. Rivers of ink have been imprinted on libraries worth of paper in order to preserve music, and much of it has indeed survived until today.

It is therefore unsurprising that, given the sheer volume of notably interesting (and oftentimes, forgotten) works of art that have been endowed to our current generations, scholars have turned their attention to computers to aid them in the endeavour of preserving and analysing them. The aspect that concerns us in this work is Optical Music Recognition (OMR), which is the principal task for the computational analysis of written scores; converting images or scans of music into a defined format a computer can process.

While OMR has been studied for more than 4 decades, it still remains a very challenging task. Music notation is bidimensional by nature, with many symbols altering their meaning depending on both local and global context modifiers. The position of symbols in the score also modifies their underlying semantics, the prime example being notes. Furthermore, the syntax of Western Music Notation is very permissive, with many scores being possibly correct but hardly acceptable due to readability or ease of interpretation. Finally, and most critically, there is a severe lack of finely annotated datasets for many recognition contexts, which complicates the application of any pattern recognition method that requires learning.

As an application of Computer Vision, OMR has been subjected to most of the same breakthroughs as its parent field during the last decade. Deep Learning methods have shown to be a very powerful tool, thanks to which the state of the art for music recognition has improved substantially. Nevertheless, the incorporation of these methods in the OMR toolset has also brought a considerable divide within the community as a result of the many new perspectives from which to tackle the problem. Many promising approaches exist for specific scenarios, but there is no single method of addressing music recognition that accommodates all use cases. As a result of this, no such thing as a single commonly accepted framework of evaluation of OMR systems exists.

In this work we want to tackle some of OMR’s shortcomings by proposing a new way of recognising scores, in which we can sidestep most of the current limitations in the field while using as many available resources as possible. We propose doing so by exploiting current sequence-based end-to-end models, but using a more expressive tree-like representation, with

Author: Pau Torras Coloma, ptorras@cvc.uab.cat

Advisor 1: Alicia Fornés, Computer Science Department, Universitat Autònoma de Barcelona

Advisor 2: Sanket Biswas, Computer Science Department, Universitat Autònoma de Barcelona

Thesis dissertation submitted: September 2022

II. STATE OF THE ART

“Without work, which is art, there is nothing.”
Gabriel Fauré

A. Optical Music Recognition

OMR is a field of research that investigates how to computationally read music notation in documents [2]. Essentially, given a picture or a scan of a musical score, either handwritten or typeset, an OMR system aims to produce a symbolic representation of the said score that can be processed by a computer. The level of detail of such a representation very much depends on the intended application, but most common output formats span MusicXML or MEI when a full reconstruction of the score is required (that is, one would want to replicate the exact same input score) or MIDI when playback is the final objective. This definition is focused on the *offline* recognition scenario, the main focus of this work, but there are other works which tackle *online* OMR – recognition of scores where the input is the temporal sequence of strokes to produce them.

OMR is a field which is very closely related to others in the Computer Vision community. In particular, it is interesting to draw a parallel to Optical Character Recognition (OCR), which attempts to produce a symbolic representation of textual inputs. Nevertheless, some unique properties of music set both fields apart quite considerably:

- Music, unlike most widely used alphabets for natural language, is bidimensional by nature, as it encodes pitch and time of musical elements. As a result, the relative position of objects in both axes is relevant for successful recognition. Moreover, music can have multiple voices playing in parallel on the same staff, further complicating recognition.
- The syntax of music is less strict; scores may be engraved in many different equivalent ways, of which only a few are preferable mostly for readability reasons.
- Music is *not* a language in the proper sense of the word, as it does not form a proper system of signs [3]. There are no underlying common semantics in music, even if there are some reasonable parallelisms to be made considering elements such as motifs, phrases and the like. Context-based inference is therefore harder.

There are some other parallels to be made with Document Analysis and Understanding, as the interaction of objects within the score is reminiscent to regular document layout analysis as well as there being a motivation for layout analysis in music in the form of separation of staves from lyrics. Bosch-Campos *et al.* [4] delve into the matter by using established OMR architectures for layout recognition and classification.

In terms of the types of data that are currently under study in the field of OMR, two broad categories of documents are to be considered: typeset scores, both scanned and computer-generated, and handwritten scores. The former case is quite mature with low error rates, especially for MIDI-like outputs [5]. There are many available datasets for this sub-task: the Deepscores dataset [6], [7], with object-level annotations but no fully-reconstructive nor playback baselines, the DoReMi dataset [8], which provides examples in most available formats – MEI, MusicXML and MUSCIMA++ –, the PriMUS dataset [9], with output sequences as target and plenty of websites and repositories devoted to music – e.g. MuseScore or the IMSLP project – with limited amounts of accurately labelled data. Synthetically generated music is also used broadly [10].



Fig. 1. Example page from Bach's original manuscript of the Brandenburg Concerto. Many of the common paper artifacts and typical handwriting irregularities can be seen: ink stains, paper degradation, irregular symbols, etc.

Handwritten music, on the other hand, and especially when stored in historical documents, is a much harder task (see Figure 1 for an example). Aside from the irregular nature of handwritten scores and the possible degradation and artifacts

left-to-right relationships can only be safely assumed in strictly homophonic scores. Moreover, the notation reconstruction step is usually not implemented.

B. Transformers

The Transformer [42] is a model which was birthed in the context of Natural Language Processing (NLP) for translation tasks. It is the logical evolution from the Seq2Seq family of models, which have plenty of practical shortcomings:

- The existence of a recurring step makes inference inherently slow and computationally expensive, especially for very long sequences.
- Long sequences require recurrent units to keep “memory” of earlier elements for a large amount of steps, which in practice is difficult.

Transformers address these two problems by encoding the input sequence in a single step using *self-attention*. Broadly speaking, the representation of each element in the sequence is enhanced with successive linear combinations of projections of all elements in the sequence, such that a representation of the full context of the input is produced. The decoder is then tasked with producing tokens related to the entire encoded input and the previous predictions, therefore the model can be trained using a cross-entropy loss.

The model was highly successful, which spawned plenty of variations of the same concept (e.g. the Conformer [43], a Transformer that employs both convolutional and self-attention layers) and inspired applications in fields other than NLP, such as vision. The most widely known case of the latter is the Vision Transformer (ViT) [44], in which images are divided in a set of patches, each being projected into a common space using a feedforward layer, and then using them as the input sequence. This model also uses the extra token found in BERT-like models [45], a technique which was found highly effective for pre-training transformer models. Interesting variations of this model include the Cross-ViT [46] and the Swin Transformer [47], which incorporate multi-scale feature extraction improvements to the model.

Another relevant variation of the transformer for the task at hand is the Detection Transformer (DETR) [48], which tackles the problem of object detection using Transformers by incorporating a series of learnt object queries into the decoder and relying on cross-attention between these object queries and the encoded input to generate object predictions. The encoder may use any CNN as a previous feature extractor and then processes the resulting feature vectors. A bipartite graph matching algorithm is required to match predictions with the ground truth, which makes this model computationally expensive.

To the best of our knowledge, very few works [49], [50] thus far have attempted to work in OMR using Transformers, with rather underwhelming results. In the first one, the authors used a DETR to produce an OMR system based on object detection, but the intrinsic limitations from the model in the number of objects in the input image seem to have limited their results. The latter uses various combinations of Transformer modules, CNNs and CTC-based decoders on various datasets – PriMUS [9] (typeset), Capitan [13] (Handwritten), Fondo de Música Tradicional¹ (Handwritten) and SEILS [14] (Scan Typeset) – with regular 1D sequences as target.

Other fields which are interesting and related to OMR with relation to the output formats that are tackled (sequences or trees) are Document Understanding – in particular, the DoNUT model [51], which produces a JSON from an image of a document – Code Generation and Translation, in which Abstract Syntax Trees are used either as inputs or outputs [52], [53] or Natural Language Processing.

C. Self-Supervision

As models become more and more data hungry, the problem of having sufficient annotated data for successful convergence deepens. With this concern in mind, techniques have been developed in order to train models without requiring annotation by developing pretext tasks that only use the raw input data, a concept that is called Self-Supervision. With these pretext tasks models are forced to learn useful feature representations of the input data, thanks to which developing models for downstream tasks becomes both easier and less data-reliant.

Initial efforts in this direction consisted on the application of autoencoders [54] on noisy versions of images with the pretext task of de-noising them back to their original state. As Deep Learning models matured, more intricate techniques were developed, such as image colorisation [55], patch ordering [56] or weak classification [57] – learn to distinguish versions of the same image from other images.

With the recent surge in the use of Transformers, specific pre-training techniques have been devised for them. Masked Autoencoders [1] are a pre-training task in which a Transformer receives an image with 75% of input patches masked out and is set to reconstruct the original image. Variations on this idea include BEiT [58], in which instead of reproducing the input image the model is tasked with predicting a token that corresponds to each masked patch.

¹<https://musicatradicional.eu/>

III. PROPOSED DATASETS

"I am delighted to add another unplayable work to the repertoire."
Arnold Schönberg

A. The Music Tree Notation format

The basis for our approach to OMR as an end-to-end image-to-sequence task is our authored MTN, which represents music as an Abstract Syntax Tree (AST) that can be expressed as a text sequence. Figure 2 shows the division of score elements into primitives and how from these primitives the notation format is constructed. It is designed to be closely related to MusicXML because of its ubiquity and its inherent dissociation between the visual representation of a given score and its playback. It is therefore possible to produce a “music-agnostic” notation format in which semantics – e.g. musical pitch or duration – are extracted by relationships of graphical primitives instead of requiring the model to learn them explicitly. We work under the hypothesis that the underlying graphical language in musical scores, based on proximity and contact of well-defined primitives, is better suited for recognition than high level musical concepts. This also has practical advantages due to the fact that no musical context of elements such as key or time are required for recognition, allowing the reconstruction of the final representation by reading self-contained subsets of the score.

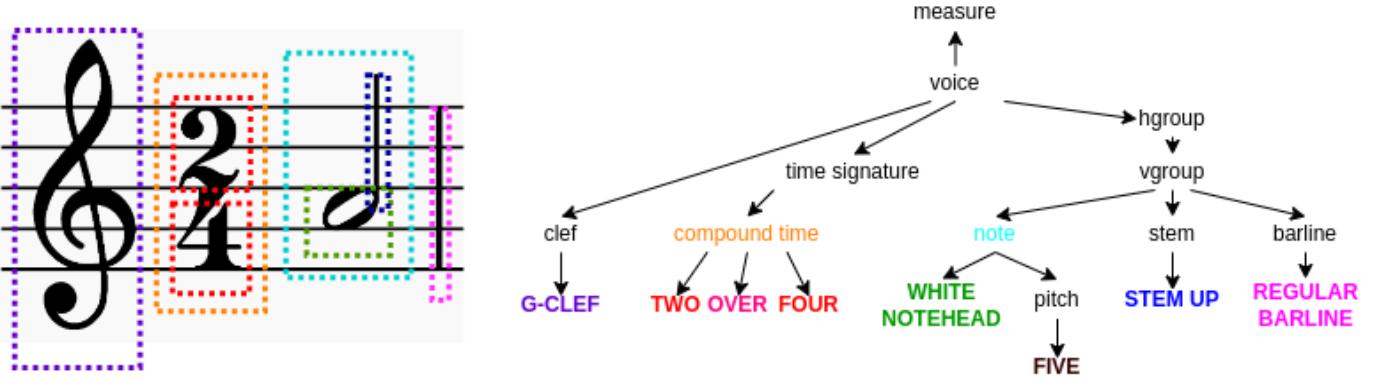


Fig. 2. Example showing the overall organisation of the dataset. Given a score, it shows the division into primitives and how these primitives relate into building the notation for a single measure.

Another key aspect of this system’s design is the fact that a sequential model shall build the final notation tree in bottom-up fashion; starting from the leaves (which we interpret as terminals of a generative grammar) up to its root, navigating all intermediate nodes (which we interpret as non-terminals of a generative grammar). In other words, we expect the model to develop an internal grammar to be able to produce an AST from the graphical terminals it detects. This effectively sidesteps one of the most complex aspects of working with OMR as a whole, which is inferring the relationship between the various detected primitives to produce a playable score.

The core element of this notation format is the *musical primitive*, which is a terminal in the output AST. The set of musical primitives includes all graphical elements in a score that are self-contained and require no other symbols to convey meaning (this includes rests, clefs or time signatures), the set of letters and numbers in order to spell annotations and tempo indications and the set of graphical elements that compose notes (noteheads, stems, flags, dots, etc.).

The maximal element that our notation format is designed to represent is the musical measure at the single-staff level. The ideal scenario would be to predict entire lines, as they are almost always completely context-agnostic in properly engraved scores – all of the ongoing elements such as key, time signature and clef are repeated at the start of a line, with the only possible context-sensitive elements to account for being ties or slurs ongoing from an earlier line. Nevertheless, this poses some technical problems for transcription models since a significant amount of image detail is lost by having to include a larger slice of the score into a fixed-size model, while also having to predict much lengthier output sequences. Predicting measures solves this at the expense of requiring more complex pre and post-processing of scores; the input image needs to be cropped into measures for inference and the output notation is to be produced from combining and interpreting the outputs of many images.

The sequence of elements that represents the AST is built by reading the leftmost primitive in the score from the main voice (that is, the set of musical elements that spans the entire bar horizontally and amounts to the time signature number of beats) and then reading onward vertically. All elements pertaining to the same vertical position and voice will be grouped into a vgroup (vertical group) non-terminal, whereas all primitives that form a connected subgraph horizontally will be added

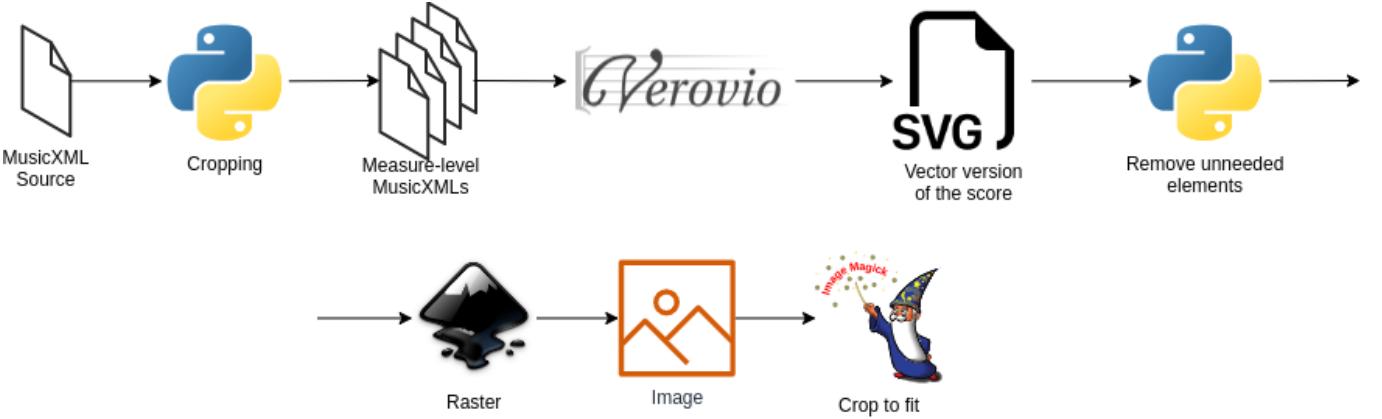


Fig. 4. Dataset generation pipeline. This only includes rastering the images using a score source in MusicXML. The notation underlying each measure can be produced independently.

IV. MODELS

“Essentially, all models are wrong, but some are useful.”
George Box

A. Sequence to Sequence

This piece of research builds upon previous works in OMR that interpret music as an image-to-sequence translation task. Therefore, we implement an existing state-of-the-art model to see how they behave under our proposed notation format in order to establish a baseline.

The first model we shall introduce is the attention-based Seq2Seq model from [10], [40], [41], which is represented graphically in Figure 5. The core idea of this model is treating image transcription tasks as an image-to-text translation problem, which avoids the need of a fine-grained object-level dataset as the model can infer the relationships between objects in the image input and tokens in the sequence output. The downside is that there is less control in the inner workings of the model, as the single optimisation driving force in the model is the loss for the output tokens at the end, as well as the requirement for more intricate models capable of doing multiple tasks at once (feature extraction, representation learning, soft-alignment, etc).

This model is composed of three main components: a backbone CNN that extracts image visual features, an encoder that generates a global context-aware intermediate representation and a decoder that, given said representation, produces the output sequence.

The backbone CNN for this model is a VGG19 [59], a highly dense network that has proven to be quite performant along the years. It consists of 16 convolutional layers and 3 fully connected layers (which are discarded in this work alongside the last max pooling layer, as they are not needed). The output of this process is a $B \times C \times H/16 \times W/16$ tensor, where B is the size of the batch, C is the number of output channels (512 for the VGG19, as it is the depth of the last convolutional layer) and H and W are the height and width of the input images respectively. In order to interpret this output as a sequence, this tensor is reshaped into a $B \times W/16 \times (H/16)$ one, where the width now represents its length and every vector along it represents the information of a vertical slice of the image.

The Encoder is a stack of N Gated Recurrent Units (GRU) [60], a variation of RNNs that tackles some of their intrinsic problems – vanishing/exploding gradients and fading memory. The goal for this encoder is to produce a context-aware hidden state from the visual features produced by the CNN. In other words, the goal is for the feature vectors in the hidden state to represent not only the contents of a certain area of the image, but rather incorporate information from all positions in order for the model to be able to construct higher-level semantic constructs and establish dependencies between objects throughout the input. Therefore, instead of using regular GRUs, which would produce an incrementally context-aware representation from left to right, bidirectional units are employed, so that for every position full-width context is available. The resulting tensor H is of shape $W \times D$, where D is the dimension of the GRU units – the tensors for both directions at each position are averaged.

The Decoder is the module that generates the actual output sequence. It is composed of a stack of unidirectional GRUs whose input is the result of an attention mechanism on the hidden vector. The final token output is produced from a linear layer atop the model with dimension N_{vocab} , after which a Softmax function is applied.

This model uses Bahdanau attention [61] as weighting function for the hidden state. This method leverages various sources of information within the model with the goal of obtaining an energy vector $\mathbf{e} \in \mathbb{R}^W$ such that $\sum_{i=1}^W \mathbf{e}_i = 1$. This energy

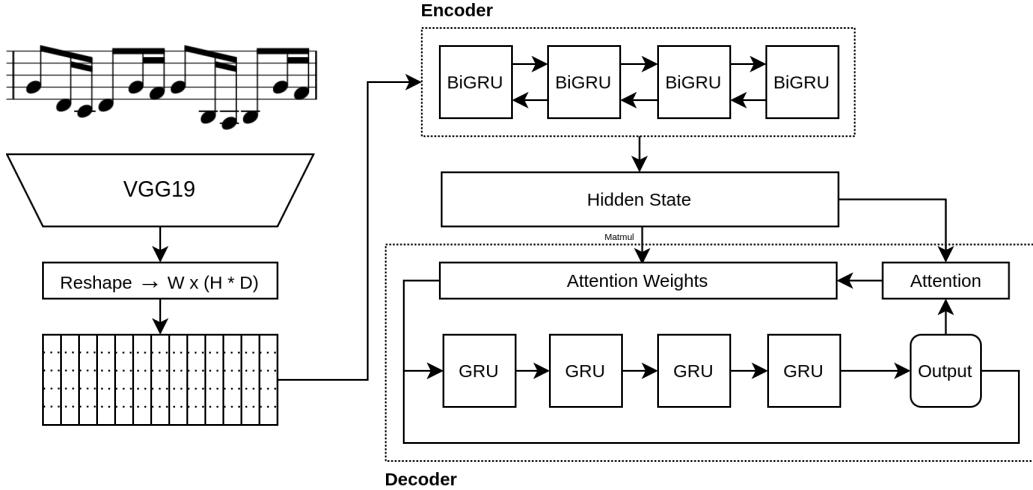


Fig. 5. Overview of the Seq2Seq model employed in our preliminary experiments.

vector is used to weight the relative importance of each vector in the hidden state for the current prediction step, computed as $\mathbf{h} = H^T \cdot \mathbf{e}$. In order to obtain the n -th value of \mathbf{e} at inference step t , the model computes

$$\mathbf{e}_t n^* = \mathbf{w}^T \tanh (W_s \mathbf{s}_{t-1} + W_h \mathbf{h}_n + W_p \mathbf{f}_n + \mathbf{b}) \quad (1)$$

where W_s , W_h , W_p are parameter matrices, \mathbf{w} and \mathbf{b} are parameter vectors, \mathbf{s}_{t-1} is the last hidden vector of the decoder at the previous inference step, \mathbf{h}_n is the n -th vector in the global hidden state and f_n is the n -th vector of matrix F , a function of the previous attention weights computed as

$$F = Q * \mathbf{e}_{t-1} \quad (2)$$

where Q is another parameter matrix and $*$ denotes convolution. To enforce that the weights should add up to 1 then

$$\mathbf{e}_t n = \frac{\exp(\mathbf{e}_t^* n)}{\sum_{i=1}^W \exp(\mathbf{e}_t^* i)}. \quad (3)$$

The overall model is trained using cross-entropy loss on the final output of the decoder.

B. Transformers

RNN-based Seq2Seq models, as hinted in the state-of-the-art section, are quite troublesome to work with for practical reasons. The main and most relevant reason is the fact that they are recurrent and autoregressive, which makes them computationally ineffective for training: the dependence on the prior inference step makes these models rather unsuitable for parallel computations, as the data path limits the amount of compute to that of a single update which is usually lower than the compute capacity of a GPU.

The Transformer [42] is an encoder-decoder sequence-to-sequence model which tackles the shortcomings of RNN-based encoder-decoders by processing the input sequence in parallel relying on a self-attention mechanism exclusively. With regard to the overall architecture, Transformers maintain the Encoder - Hidden State - Decoder module structure, with the possibility of omitting the latter or extracting features with a separate CNN. The model we propose is a fairly standard iteration of this idea in which a Vision Transformer is used as the Encoder and the Decoder is a regular transformer decoder.

First, we shall describe global Transformer architecture elements, as both Encoders and Decoders are fairly symmetrical. These common elements are the scaled dot product attention operation, the self-attention layers and the input positional encoding.

The core element of the Transformer is the attention function, which produces a representation from matrices of query Q , key K and value V vectors. The scaled dot product operation is written as

$$F_{\text{Attention}}(Q, K, V) = \text{softmax} \left(\frac{QK^T}{\sqrt{d_k}} \right) V. \quad (4)$$

The softmax $\left(\frac{QK^T}{\sqrt{d_k}} \right)$ part of the operation is reminiscent of the computation of the \mathbf{e} vector in the Bahdanau attention regime. Given a set of possible relevant positions within the vector (keys), one wants to find those that are relevant to the current inference step (queries). The dot product acts as a sort of “and” operator, a similarity metric between what is “searchable” and what is to be “searched”. There are two further additions to the weight computation, which is the scaling by $\sqrt{d_k}$, the

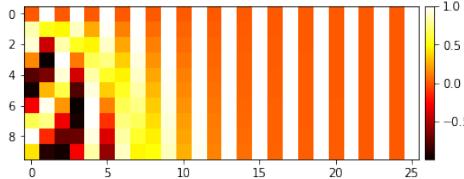


Fig. 6. Positional embedding mask example.

dimension of the key vectors, and the softmax function. The former is done to control the magnitude of the dot products, whereas the latter is applied in order to conform to the restriction that all attention weights in a vector should add up to 1.

Once the attention weights are obtained, they are multiplied by the set of value vectors to obtain the desired representation. Using once more the data retrieval abstraction, this would be analogous to extracting the all of the desired elements from a given database once the information from the structure of the database and the query performed against it are interpreted.

The matrices Q , K , and V are produced by projecting the desired input elements into a shared space using a linear transformation. For the Transformer encoder, these three matrices are projections of the same input sequence, which is called self-attention. The logic behind this operation is that the model successively generates attention-weighted versions of the same input sequence, which effectively produces highly context-aware representations. In the decoder self-attention is used alongside cross-attention, the latter being a variation in which the queries and keys are produced from the hidden vector at the end of the encoder and the values come from the sequence processed at the decoder.

The generic Transformer works the following way. Given an input sequence of length W , an embedding process generates a $W \times D$ matrix, where D is an arbitrary dimension number. Since all elements are to be processed in parallel, a mask is added to all vectors to encode the relative position of each element within the sequence for the model to be able to tell it apart. In the original paper, sine and cosine functions were used to emulate an intermittency effect (see Figure 6):

$$PE(p, d) = \begin{cases} \sin\left(\frac{p}{10000^{2d/d_{\text{model}}}}\right) & \text{if } d/2 = 0 \\ \cos\left(\frac{p}{10000^{2d/d_{\text{model}}}}\right) & \text{otherwise} \end{cases} \quad (5)$$

where d is the position along the embedding vector and p is the position in the sequence. The original paper remarks learnt positional embeddings produce similar results.

Each Transformer encoder layer is composed of multiple self-attention layers in parallel (self-attention heads), whose outputs are concatenated and projected back into the original dimension, and a simple feed-forward layer. There is a residual connection around both layers, combining both sources by addition and using layer normalisation [62] afterward.

Transformer decoder layers are the autoregressive part of the model. Their input is the sequence produced so far (properly embedded and positionally encoded), and need to be run as many times as elements in the output sequence. In practice, the input is as wide as the maximum output sequence, with elements not yet needed or produced masked by multiplication. This can be exploited to train in parallel all elements in the sequence by providing the ground truth sequence and masking all positions after the n -th inference step.

Functionally, the decoder is very similar to the encoder, with the main difference being an extra cross-attention layer after the regular self-attention one. This cross-attention layer uses the same attention mechanism described earlier, with queries and keys being projections of the encoded sequence and values being a projection of the previous layer in the decoder. It also has a residual layer around it and layer normalisation afterwards.

The final outputs are produced by linearly projecting the output logits for each element of the decoded sequence into a n_{tokens} dimension vector. Cross-entropy loss is used for training.

The Transformer model we propose for OMR is a fairly standard encoder-decoder in which the feature extractor is a Vision Transformer (ViT) [44] and the decoder is the original Transformer decoder with cross-attention and masked input sequence. The overall architecture can be seen in Figure 7.

The ViT is basically a regular Transformer encoder, with two key differences. The first one is the fact that it uses images as input instead of sentences. Images are fed into the Transformer by cropping them into patches and using a linear layer to embed them into a d -dimensional space. The second difference is the fact that the ViT is a BERT-like [45] model, which adds an extra input token which is used at the end once encoded for classification purposes. The same kind of 1D positional encoding is used, as in the original paper [44] it is stated they saw no significant changes using more elaborate encoding schemes. We use the vit-pytorch package² implementation.

C. Pre-Training

As the goal is to achieve good recognition of scores, it is rather important to make the most of the available data. Furthermore, as the models are trained with the output sequence as target only, initial convergence of visual features might either be slow or

²<https://github.com/lucidrains/vit-pytorch>

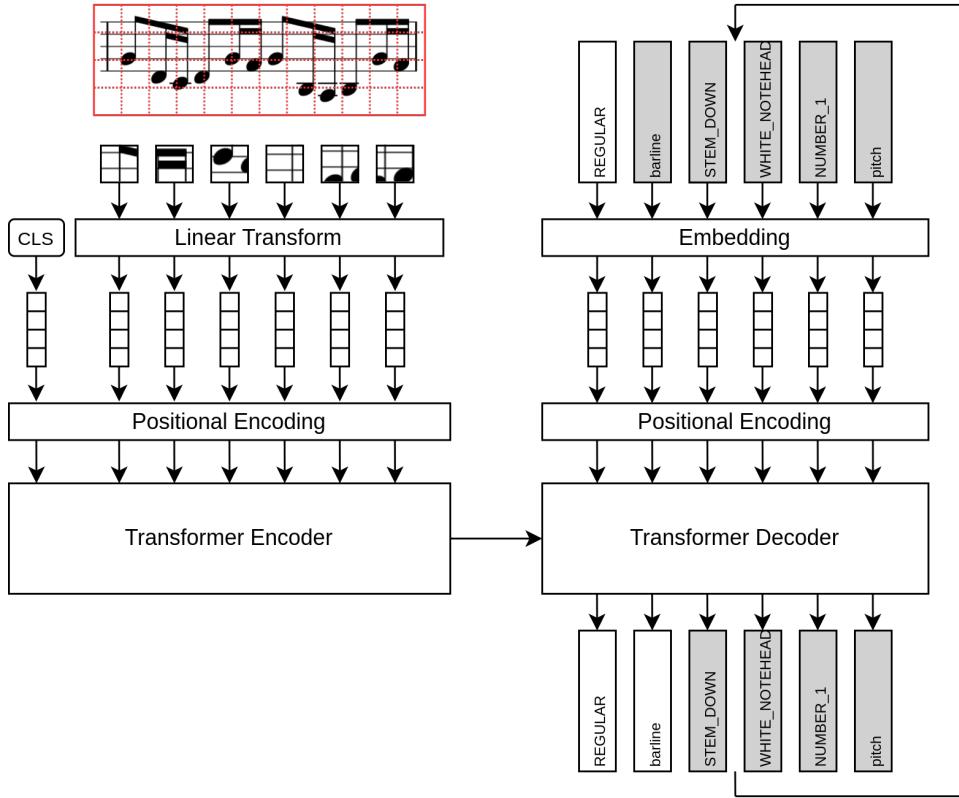


Fig. 7. Overview of the Transformer architecture proposed for OMR in this work.

downright ineffective. We explore the usage of some of the available OMR datasets in order to implement a robust pre-training strategy; in particular, we decided to use DeepScores v2's [7] large collection of typeset images for their variety, the different engraving fonts available outside the box and the sheer volume of scores packed within (255,385 images with 151 million objects).

The DeepScores v2 dataset is designed to perform OMR by tackling the problem as an object detection task at a page level, which is incompatible with our current design. We modify the dataset in order to obtain measure-level images. We do so by using the original annotations of stave objects to isolate music lines and by finding barlines in the score through mathematical morphology, as they are not part of the original repertoire of objects. The downside of this approach is we cannot guarantee unequivocally that we are cropping the entire dataset in a sensible manner, but our probing efforts demonstrated that failure cases were rather rare and harmless – we saw some cases of double end barlines being identified as a full measure by themselves, but their appearance was inconsistent. With this we produced 10,143,883 non-annotated images.

The pre-training technique we use is the one proposed in [1]. They develop an image reconstruction proxy task in which the model has to generate the input image from a masked version of it. The full model consists of a ViT as an encoder and a lean Transformer decoder which will be scrapped once the model is pre-trained. The idea is to randomly mask 75% of the regular non-overlapping patches that form the input image; the ViT encoder receives the unmasked patches only, whereas the decoder receives a sequence of the same length as the initial number of patches with masked or non-masked tokens accordingly. From each element of the decoder's output sequence, a pixel-wise reconstruction of the input patch is produced. The model is trained to reduce the per-pixel Mean Squared Error.

D. Data Augmentation

Another relevant aspect of training these kinds of models is avoiding possible overfitting. A possible option to enrich the statistical variability of the input images without requiring more data is using data augmentation on the images. We propose a simple pipeline with the following transformations: A minor random affine transformation to change the angle between the elements of the image without changing whether or not the elements stay parallel and a random Kanungo noise function with 1/3 probability of producing an aggressive augmentation, a normal augmentation or an identity function.

As the input is binarised and the full image is required for proper inference, no aggressive cropping nor color changes are used. Moreover, Kanungo noise is quite similar to salt and pepper noise while being more canonical with documents, which is why the former is not used either. Some examples of augmentations may be found in Figure 8.

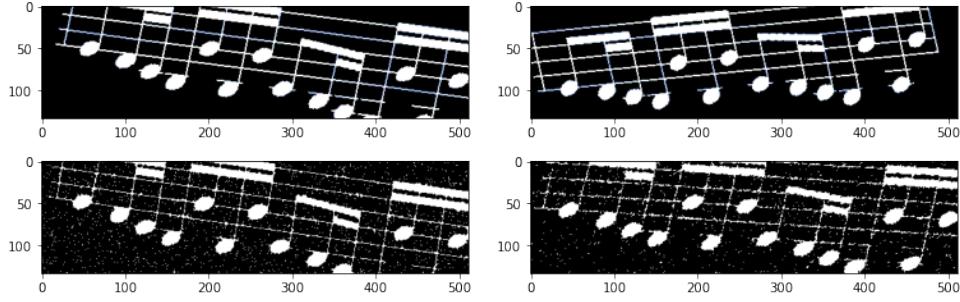


Fig. 8. Examples of the data augmentation pipeline, which is stochastic in nature so as to provide input image variety to the training examples.

V. EXPERIMENTS

“The first principle is that you must not fool yourself, and you are the easiest person to fool.”
Richard Feynman

In this section we shall describe the experiments we plan to perform in order to assess the quality of our proposed OMR method.

For most experiments, we use the combination of the Fugue, 9th and Jupiter datasets as the training partition and the Brandenburg dataset as the validation partition. The motivation is twofold: the training datasets are the largest available to us, while the Brandenburg dataset is well-aligned to all of the other ones in terms of the distribution of tokens. Having a smaller validation dataset also has the added benefit of reducing the time required for Transformers to do inference, a process which takes orders of magnitude longer to perform than regular training owing to the Transformers’ autoregressive nature.

A. Exploratory search

We first run the model with diverse hyperparameter and layer configurations in order to understand their effect on the output’s quality. For these experiments we use the full sequence length of the datasets.

B. Sequence to Sequence

A first experiment to build upon the previous state-of-the-art and motivate the move to transformers is using RNN-based Seq2Seq models. We experiment using our new notation format using old models and assess their results with relation to those experiments with transformers.

C. Transformer Pre-Training

We assess whether using a pre-trained ViT feature extractor improves recognition performance. The parameters that we fixed for the encoder are standard, with the input image size being a slight adjustment on the default ViT parameters in order to adjust to the aspect ratio of measures while keeping the number of input patches equal. The parameters are shown on Table III. We also assert whether it is better to keep the encoder weights frozen while training the full model.

TABLE III
HYPERPARAMETERS FOR ALL ENCODERS IN THE EXPERIMENTS.

Layers	6	Heads	8	Input Size	512×128	Patch Size	16
--------	---	-------	---	------------	------------------	------------	----

D. Loss Weighting

The datasets we are using are quite unbalanced in terms of frequency of appearance of certain tokens. We design experiments to test whether adding a weight factor into the loss changes either the training process or the overall result to be better in any way. We attempt using the straightforward interpretation of each token prediction as an independent random variable, with the goal of forcing the expected value of the loss to be equivalent to randomly guessing between n_{tokens} elements. Therefore, given the cross-entropy loss function

$$\ell = - \sum_{t=1}^N k_t \log p(x_t) \quad (6)$$

where k_t is a weighting factor, $p(x_t)$ is the probability distribution of the output tokens as provided by the model and N is the size of the vocabulary, we want to force the expected value of this loss to equal

$$\mathbb{E}[\ell] = \frac{N-1}{N}. \quad (7)$$

The way to compute this is by setting weights $k_t = \frac{\max p(x)}{p(x=t)}$ and normalising back to the range of [0...1]. The weights therefore oscillate between 1.0 and roughly $1.0 \cdot 10^{-5}$. For supporting tokens such as end of sequence, we keep the 1.0 weight value due to their importance.

E. Changing the output length

As can be seen in Figure 3, the lengths of output sequences reach up to the 400 mark. Nevertheless, the overall length distribution is rather long tailed, with sequences of less than 125 elements representing more than 95% of the samples. Lengthy sequences are known to be an issue with most Seq2Seq and Transformer models [63], and thus we provide experiments with reduced length versions of all datasets.

Since the model should produce all instances of the validation dataset, we perform the same length reduction to both the training and the validation datasets, as downward changes in the performance could be justified by the model's inability to produce lengthier outputs. This of course causes the problem of not being able to directly compare results between runs of differing length, but does provide valuable insights on models trained for same-length datasets or in order to study outputs qualitatively.

F. Cross-Validation

In order to ensure the choice of the dataset partitions is not forcing a wrong picture of the model's capacity to recognise scores, we cross-validate the model by alternating the validation dataset between the Brandenburg, Fugue and Jupiter works. We avoid using the 9th symphony for this purpose as this work comprises roughly 40k images, depriving the model of the majority of the available training data and needlessly extending validation runs.

VI. RESULTS

*“Forty-Two”
Deep Thought*

We shall now present the results of the experiments we conducted to test our proposed MTN notation and the two discussed architectures.

A. Evaluation

The Symbol Error Rate (SER) metric is used to evaluate the performance of the models, shown in tables in percentual points. The SER is a metric that summarises the number of edits (substitutions, insertions or deletions) of tokens required to obtain the ground truth sequence from the predicted sequence. The value is then normalised using the length of the output sequence. In mathematical notation,

$$SER\%(\hat{y}, y) = \frac{I, R, S}{\text{length}(y)} \cdot 100, \quad (8)$$

where I, R, S are the aforementioned insertions, removals and substitutions obtained from the optimal edit path generated by Levenshtein's algorithm [64] and \hat{y}, y are the predicted and ground truth sequences respectively.

B. Sequence to Sequence

For Seq2Seq models we found ourselves unable to make the model converge into anything sensible with full-length sequences, as can be seen in Table IV. In all cases the model converges into a trivial solution state in which the produced sequence is always the same (see Figure 9). We suspect this is due to both the average length of the training samples and the relative presence of vgroup tokens – 3 per image on average. The other explanation might be the length of the sequences being too high, with updates for each time step smoothing out and vanishing when backpropagating towards the first elements of the sequence.

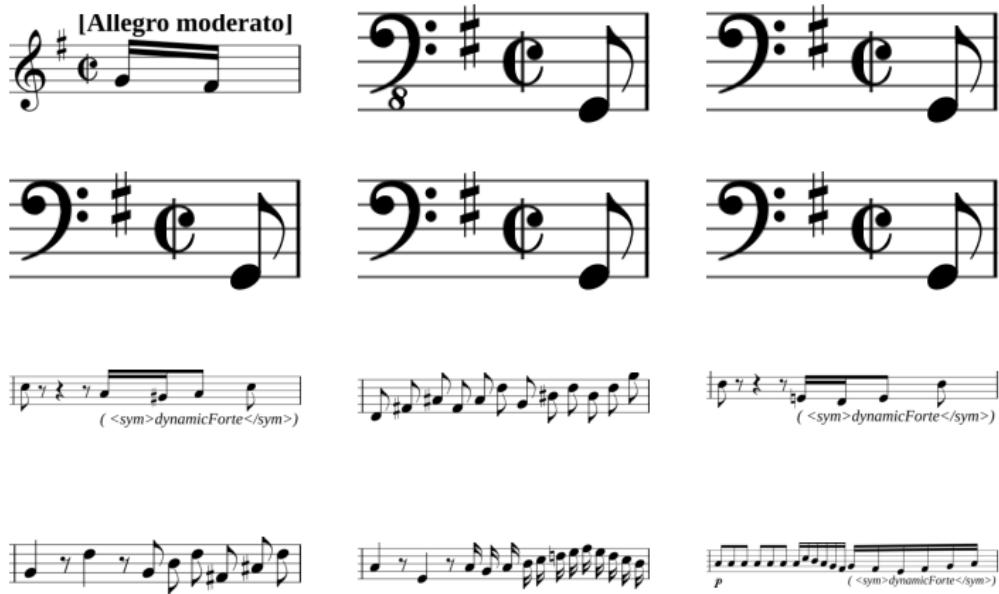


Fig. 12. Validation images on which the model is performing worst.

Ground Truth

REGULAR barline SHARP key TIMESIG_CUT time_signature G_CLEF clef STEM_UP BEAM BEAM stem BLACK_NOTEHEAD NUMBER_4 pitch note vgroup STEM_UP BEAM BEAM stem BLACK_NOTEHEAD NUMBER_3 pitch note vgroup hgroup REGULAR barline voice measure

Prediction (132.258 SER(%))

REGULAR barline TIMESIG_C time_signature (TIMESIG_CUT) (time_signature) G_CLEF clef STEM_UP stem BLACK_NOTEHEAD NUMBER_4 pitch START_TIE ties note vgroup hgroup STEM_UP BEAM BEAM stem BLACK_NOTEHEAD NUMBER_4 pitch END_TIE ties note vgroup STEM_UP BEAM BEAM stem BLACK_NOTEHEAD NUMBER_4 pitch note vgroup STEM_UP BEAM BEAM stem BLACK_NOTEHEAD NUMBER_3 pitch note vgroup STEM_UP BEAM BEAM stem BLACK_NOTEHEAD NUMBER_3 pitch note vgroup hgroup STEM_UP stem WHITE_NOTEHEAD NUMBER_3 pitch note vgroup hgroup REGULAR barline voice measure

Fig. 13. Output of the model for the first measure of the validation dataset in the best performing preliminary experiment. In blue, tokens that should be substituted; in red, tokens that should be removed; in orange and between parentheses, tokens that are missing and should be included. Below on the left, the ground truth image and on the right a replica of the produced output.

E. Length, Pre-training and Weighting

In Table VI we summarise the entire set of experiments in which we ablate with various training parameters in order to try to improve results and identify possible issues. All models are trained fixing a set of hyperparameters as seen in Table VII. Note that for these experiments we used a bigger learning rate, as in tentative runs we found it much easier to find convergence on smaller sequences and higher learning rates than with full-length sequences.

The main takeaways from Table VI can be summarised in the following points:

- When using an unfrozen untrained backbone, the model tends to overfit heavily. This is indicated by the substantial difference in training and validation SER.
- When using a pre-trained backbone, freezing it during training makes the output seemingly more stable (less uncertainty in the output error; overall better results).
- Adding a weighting term in the loss does not work well the way proposed in this work. Since we did not modify the support tokens' weights (start and end of sequence), the model produces trivial solutions in which the output is the empty sequence. We have also observed the presence of many rare tokens in no particular structure, which are favored by the loss.
- Models trained on longer sequences seem to be ill-behaved – surges in the uncertainty. From what we learnt in preliminary

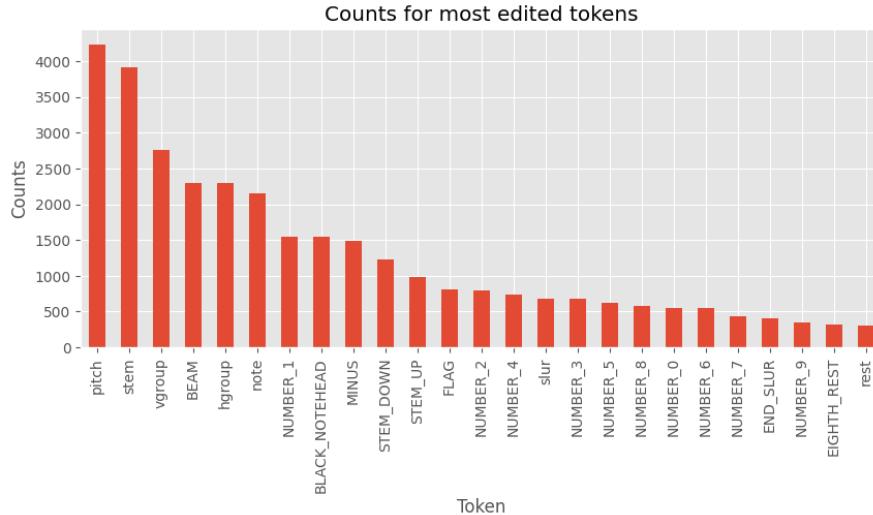


Fig. 16. Most frequent token edits in validation for the Pre-Trained + Frozen + Unweighted set of experiments (all lengths)

VII. CONCLUSIONS

"It is only afterward that a new idea seems reasonable. To begin with, it usually seems unreasonable."
Isaac Asimov

In this work we have proposed a new tree-like scheme notation format for Optical Music Recognition with the purpose of tackling OMR end-to-end without requiring any intermediate representations and making possible the production of engraving-ready scores. We have developed a series of new datasets that employ this format and tested its performance on Sequence to Sequence and Transformer-based models, on which we also tested some pre-training techniques. Overall, we can summarise our findings in the following points:

- **We have proposed a new notation format aimed at end-to-end music recognition, but usable in any other context.**

The MTN format is expressive and provides a way of producing engraving-ready scores, as well as being suitable for many OMR setups, not only end-to-end applications. Moreover, it can provide a *lingua franca* for OMR researchers and practitioners through which common evaluation frameworks can be developed. The fact that it is treatable as both a graph and a sequence allows for a wider array of possible analysis and evaluation mechanisms to be developed. We have used SER, which is a standard metric when working with sequences, but graph edit distances or variations of them are also usable.

There are still some issues that may be addressed in the future, such as adding support for multiple-staff parts and polishing elements such as the alignment of additional voicings. The specification does work well for any kind of single-staff homophonic score, with limited support for full polyphony.

- **We have built a 60k sample typeset OMR dataset.**

We have developed a dataset to do a proof-of-concept of the notation system on OMR systems and written tools to work with new sources of data. We used OpenScores transcriptions due to their status as public domain works, quality and historical relevance.

- **The proposed notation format works well for recognition.**

From the recognition experiments we have conducted we can conclude MTN can be employed successfully in end-to-end models. Excluding the unsuccessful Seq2Seq experiments, we have seen models being able to fully grasp the syntax of the notation and obtain quality results from them.

- **The proposed Transformer-based model is very promising.**

The Transformer model offers a great many deal of advantages when compared against RNN Seq2Seq models. These by-design advantages come with some downsides, such as their higher data requirements and their ease for overfitting. We did have to very carefully tune hyperparameters and impose some sequence length restrictions in order to make them converge consistently, but successive data analysis proved models to be performant on most real use-case scenarios with down to 4.828% SER in 128-length sequences.

Some other trials we have considered but we left as future work are iterations on the models' structure. One of the issues we have found is that having too long input sequences makes training the models very unstable, aside from a dramatically

increased cost of inference during validation. A possible solution would be to use models designed for long sequences such as sparse Transformers [65] or BigBird [63].

- **Pre-training improves results substantially.**

When incorporating a pre-trained set of weights in the encoder, the model always produced better results in validation than otherwise. The model seems better fit for generalisation when training with such an encoder with frozen weights than training from scratch using only the annotated data and the cross-entropy loss. This is also the first time this has been tried for music to the best of our knowledge.

This opens the door for a very interesting road of research towards self-supervision in music recognition, in which an overwhelming abundance of non-labeled data is available. In particular, self-supervision is an ideal road to tackle problems such as handwritten music recognition, for which a great corpus of unlabeled data is available.

- **There is a very extensive library of scores that can be used.**

We have developed tools to generate MTN files from MusicXML files. Given the ubiquity of the format, through this approach we believe we can palliate some of the input data problems the OMR community has had for many years, provided the MusicXML file can be aligned to the source material.

At the same time, we also found some ground to cover as future work.

- **The matter of testing the approach on real handwritten scores remains.**

We did not have time to delve into this matter with the attention the problem deserves. Tackling automatic cropping and alignment of handwritten scores to any notation system is probably worth an entire thesis of work, hence our hesitancy to attempt it on the first place. Nevertheless, it is a very logical step forward in which limited size attempts can be made; for instance, manually annotating a single piece and using a mixture of synthetic and real data for training (as seen in [10] or [41]).

In particular, given that the notation format is independent of the representation of the score, another possible way to tackle handwritten scores is style transfer. By generating samples from synthetic scores with a handwritten look, the problem of having annotated training data is solved.

All in all, we consider our initial goals accomplished. The obtained results are very promising, while still a little bit behind the current state of the art for typeset scores. Notably, the current established methods are very mature, whereas this work is exploratory in nature, setting ground work for further developments going forward in time.

ACKNOWLEDGMENTS

There are many people to whom I am greatly indebted for their help and support throughout this work. First, I must thank both my co-supervisors, Alicia and Sanket, for their colossal task in guiding me through this thesis and the opportunities and resources they have provided me with during this time. I must also thank Pau Riba, who was initially my co-supervisor, for his insightful ideas and for being such an inspiring figure within the Computer Vision Centre as a whole.

I have also had the pleasure of sharing discussions with many people within the CVC, many of which have been extremely inspiring and helpful for the outcome of this work. In no particular order, I want to thank Ali Furkan Biten, Dimosthenis Karatzas, Sergi Masip, Ruben Pérez, Mohamed Ali Souibgui and all other people within the center who have shared words of support and wisdom with me.

Finally, I would like to give some words of appreciation to my significant other, Laura, for her support and patience with the most tired and utterly stressed version of myself.

