Original Article

Transforming Information Extraction: AI and Machine Learning in Optical Character Recognition Systems and Applications Across Industries

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Abstract - Optical Character Recognition (OCR) technology has served as a transformative force in data extraction and digitization, enabling the conversion of printed and handwritten text into machine-readable formats. Integrating artificial intelligence (AI) and machine learning (ML) techniques has further enhanced OCR capabilities, improving accuracy, speed, and adaptability across various industry sectors. This paper explores the evolution of OCR technology, its applications, and its prospects. We discuss key developments and innovations that have shaped the OCR landscape, notable use cases across industries such as finance, healthcare, manufacturing, logistics, legal, and retail, and the challenges that remain to be addressed. Through this comprehensive analysis, we highlight the transformative impact of AI-embedded OCR technology on data management, operational efficiency, and compliance, offering insights into the potential benefits and considerations for implementing these advanced algorithms in different sectors. Furthermore, we discuss the challenges that remain to be addressed to fully realize the potential of AI-embedded OCR and its implications for future research and development.

Keywords - AI, Machine Learning, Optical Character Recognition (OCR), Deep Learning, Neural Networks.

1. Introduction

Optical Character Recognition (OCR) technology has revolutionized the extraction and processing of information from printed and handwritten documents, enabling the seamless conversion of text images into machine-encoded format [1]. Integrating artificial intelligence (AI) and machine learning (ML) techniques with OCR has further enhanced its capabilities, offering increased accuracy, speed, and adaptability [2]. In this paper, we discuss the impact of AI and ML technologies on OCR systems, their applications across various sectors, and the advantages and challenges they present.

The use of AI and ML algorithms, such as Convolutional Neural Networks (CNNs) [3] and Long Short-Term Memory (LSTM) networks [4], has significantly improved OCR systems' ability to recognize diverse fonts, character styles, and languages. These advancements have facilitated the widespread adoption of OCR technology across various industries, including finance [5], healthcare [6], manufacturing, logistics [7], legal [8], education [9], and retail [10]. Each industry has harnessed the power of AI-embedded OCR systems for unique applications, such as invoice processing in finance [11], medical record digitization in healthcare [12], and contract analysis in the legal sector [13]. These applications have streamlined workflows, improved operational efficiency, and enabled more effective decision-making [14].

Despite the numerous advantages AI and ML-enhanced OCR systems offer, several challenges persist. Handwriting recognition [15], multilingual OCR [16], adaptation to new fonts and styles [17], and robustness against noise and distortion [18] remain areas requiring further development and innovation. Additionally, data privacy and security concerns must be addressed to ensure responsible use and maintain trust in OCR technology [19].

In summary, this is an in-depth analysis of AI and ML technologies' impact on OCR systems, their applications across different sectors, and the advantages and challenges they bring [20]. By addressing existing challenges and exploring opportunities for further development and integration, AI and ML technologies promise to continue transforming OCR systems and expanding their range of

applications, shaping the future of information extraction and processing in the digital age [21-25].

2. Evolution of OCR Technology

2.1. Early Stages (1910s - 1960s)

The history of OCR can be traced back to Emanuel Goldberg's invention of the "Statistical Machine" in the 1910s [26]. This early device could read printed characters and convert them into telegraph code. In the 1950s, David Shepard developed the first commercially available OCR system, the "Gismo," which used pattern recognition to identify characters [80]. During the 1960s, OCR systems were primarily used for large-scale data entry tasks, such as reading utility bills and processing checks [28].

2.2. Optical Scanning and Digitization (1970s - 1990s)

The introduction of optical scanning technology and digital image processing in the 1970s significantly advanced OCR capabilities [29]. Optical scanners captured high-resolution text images, which were then processed and analyzed by OCR software. During this period, the development of adaptive algorithms and artificial intelligence techniques, such as neural networks, further improved OCR accuracy and enabled the recognition of different fonts and character styles [30].

2.3. Integration with Computing Systems (the 1990s - 2000s)

The widespread availability of personal computers and the development of user-friendly software in the 1990s allowed OCR technology to become more accessible to the public [31]. OCR software, such as Adobe Acrobat and ABBYY FineReader, enabled users to convert printed documents into editable and searchable digital formats [32]. In the late 2000s, OCR technology started incorporating machine learning algorithms, leading to significant improvements in recognition accuracy and speed [33].

2.4. Mobile and Cloud-Based OCR (the 2010s - Present)

The rapid growth of smartphones and cloud computing has propelled OCR technology into new realms of accessibility and functionality [34]. Mobile OCR applications allow users to capture images of text and instantly convert them into digital formats [35].

Cloud-based OCR services, such as Google Cloud Vision API, provide powerful OCR capabilities to developers and businesses, enabling seamless integration with various applications [36].

2.5. AI and ML Advancements in OCR (2010s - Present)

Integrating artificial intelligence (AI) and machine learning (ML) techniques with OCR has led to remarkable improvements in recognition accuracy, speed, and adaptability [37]. With the use of AI and ML algorithms, such as Convolutional Neural Networks (CNNs) [23] and Long Short-Term Memory (LSTM) networks [39], OCR systems can now recognize diverse fonts, character styles, and languages more effectively.

2.6. Handwriting Recognition and Multilingual OCR (2010s - Present)

Advancements in AI and ML have also contributed to developing handwriting recognition and multilingual OCR systems. These systems can understand and process handwritten text and multiple languages, expanding the scope of OCR applications and usage [40, 41]. Despite the progress, challenges still need to be improved in terms of accuracy and adaptability to different writing styles and languages [42].

3. Enhancing OCR Capabilities with AI and Deep Learning Techniques

Integrating artificial intelligence (AI) and deep learning techniques promises to enhance OCR capabilities further [43]. By using AI algorithms that can learn and adapt to new fonts, character styles, and languages, OCR systems will become more accurate and versatile [43].

3.1. Convolutional Neural Networks (CNNs): Excelling in Image Recognition for OCR

CNNs are a type of deep learning algorithm designed to process grid-like data structures, making them highly effective for image recognition tasks [44]. They consist of multiple layers, including convolutional layers, pooling layers, and fully connected layers [44]. Convolutional layers apply filters to the input image to detect features, while pooling layers reduce the spatial dimensions. Fully connected layers classify the extracted features used to extract features from text images and identify characters or words [44]. CNN-based OCR algorithms have shown great success in recognizing printed text across various fonts and styles [45].

3.2. Recurrent Neural Networks (RNNs) and LSTMs: Harnessing Sequential Data Processing for Text Recognition

RNNs are a class of neural networks that excel in processing data sequences, making them well-suited for recognizing text in OCR applications [46]. RNNs can be combined with CNNs to recognize characters in a sequence, allowing for more accurate word and sentence recognition [46]. RNNs are a class of deep-learning models designed to handle sequential data [47]. They contain hidden layers with self-connections, enabling the network to maintain an internal state that captures information from previous time steps [47]. This property makes RNNs particularly suitable

for tasks with important contexts, such as OCR [47]. LSTMs are a type of RNN specifically designed to resolve the issue of vanishing gradients in traditional RNNs [48]. They are highly effective in processing long data sequences, making them ideal for recognizing text in OCR applications [48]. LSTMs have been successfully used to recognize both printed and handwritten text, demonstrating robust performance even in the presence of noise or distortion [49].

3.3. Transformer Models: Leveraging Advanced NLP Techniques for Improved OCR Performance

Transformer models, such as BERT and GPT, are a recent development in deep learning that has shown remarkable results in natural language processing tasks [50]. These models can be fine-tuned for OCR tasks, leveraging their powerful contextual understanding and attention mechanisms to improve character and word recognition [50].

4. Integration with Other Domains and Technologies

Fusing AI-powered OCR technology with emerging technologies like augmented reality (AR) and blockchain can create innovative applications and benefits across various fields [51]. For example, integrating AIembedded OCR with AR enables real-time translation, contextual information, and navigation guidance by overlaying digital content onto the physical world [51]. Combining OCR with blockchain technology can enhance the authenticity and security of digital documents, leading to more transparent and trustworthy information management [52].

4.1. AI-Embedded OCR and AR/VR

Merging AI-embedded OCR technology with augmented reality (AR) and virtual reality (VR) systems can revolutionize the way we interact with physical and digital environments [53]. AR and VR applications incorporating OCR can offer real-time translations, contextual information, and navigation assistance by simply pointing devices at printed text or objects [53]. As AR and VR technologies advance, we can anticipate further integration with AI-driven OCR systems, enabling innovative applications across multiple industries [54].

4.2. AI-powered OCR in Robotics and Automation

Incorporating AI-powered OCR technology into robotics and automation systems presents a promising area for development [55]. By integrating OCR capabilities, robots can interpret and understand the text from their surroundings, allowing them to perform tasks more efficiently and accurately [55]. Potential applications include warehouse management, where robots equipped with AI-embedded OCR can read and process product labels or shipping documents [56] and robotic assistants designed to read and interpret information for visually impaired users [57].

5. Leveraging OCR Algorithms in Diverse Industries

5.1. Financial Services

In the financial sector, OCR systems must be able to recognize various types of documents, such as invoices, checks, and financial statements [58]. CNNs and LSTMs can be used together to accurately extract data from these documents, enabling automated processing and analysis [58].

5.2. Healthcare

Healthcare organizations rely on OCR systems to extract information from medical records, prescriptions, and insurance forms [59]. Using LSTMs and transformer models can help improve handwritten text recognition, which is often found in medical documents, leading to more efficient data extraction and management [59].

5.3. Manufacturing & Logistics

In manufacturing and logistics, OCR systems are used to recognize product labels, barcodes, and shipping documents [60]. CNNs can be employed to identify characters and symbols in these documents, facilitating automated inventory management and tracking [60].

5.4. Legal Sector

OCR systems in the legal sector need to accurately recognize text in various document formats, such as contracts, court transcripts, and legal briefs [61]. Combining CNNs, LSTMs, and transformer models can help improve the recognition of both printed and handwritten text, enabling more efficient document management and analysis [61].

5.5. Education

Utilizing AI-embedded OCR in education transforms various aspects of teaching and learning, such as efficient textbook digitization, interactive learning experiences, and digital library creation [62]. The technology automates grading and evaluation, reducing human error and allowing educators to focus on personalized feedback [62]. It also enhances accessibility for visually impaired students, expedites research paper analysis and literature reviews, and automates plagiarism detection to promote academic integrity [63].

5.6. Retail Industry

AI-embedded OCR technology significantly transforms retail operations by streamlining accounting and bookkeeping processes, enhancing product management through digitized catalogs, and automating inventory management for better stock control [64]. Additionally, it aids in building accurate customer databases for targeted marketing and personalized experiences [65], as well as enabling real-time price adjustments by extracting competitor pricing information, ensuring a competitive edge in the market [66].

5.7. Government

AI-embedded OCR technology has revolutionized various industries, including the government and public sector, by converting printed or handwritten text into machine-readable formats [67]. It streamlines form processing, speeds up passport and ID document processing, improves land registry management, digitizes historical documents, and facilitates automated data extraction for statistical analysis [67]. This technology enhances the efficiency, accuracy, and accessibility of information, ultimately leading to better-informed policymaking and overall improved services [68].

5.8. Travel and Hospitality Industry

AI-embedded OCR technology has significantly transformed the travel and hospitality industry by automating and simplifying various processes [69]. It streamlines passport and ID scanning, speeds up booking confirmation and ticket processing, simplifies invoice and receipt management, enables menu and brochure digitization, and enhances language translation and accessibility [69]. By leveraging this technology, businesses can improve efficiency, reduce errors, and provide better customer experiences for a diverse clientele [70].

5.9. Media and Publishing

AI-embedded OCR technology has revolutionized the media and publishing industry by automating processes and facilitating the digitization of vast text volumes [71]. Notable applications include book and newspaper digitization, subtitle and closed caption creation, automated content indexing and categorization, conversion of print media to digital formats, and optical layout recognition and adaptation [71]. These innovations streamline operations, improve accessibility, and enhance user experiences while preserving and expanding the reach of valuable content [72].

6. AI and ML Algorithms in Enhancing OCR -Automating Handwritten and Barcoded Data Extraction with OCR Solutions

6.1. Automating Vendor Invoice Processing in a Company 6.1.1. Scenario

A company receives numerous handwritten vendor invoices every day, containing essential information such as the invoice number, vendor name, date, item descriptions, quantities, and prices. The company's accounting department needs to quickly and accurately process these invoices to ensure timely payments and maintain good vendor relationships. Manual entry of invoice information is timeconsuming and prone to human error. To automate this process, they decided to use the OCR code provided above to extract the required information from the handwritten vendor invoices.

6.1.2. Implementation

- The accounting department scans or captures high-resolution images of the vendor invoices.
- The captured images are stored in a designated folder on a local computer or a cloud storage service.
- The OCR code is set up to run automatically on the stored invoice images, either periodically (e.g., every day) or upon detecting new images added to the folder.
- The *preprocess_image* function in the code reads and processes each invoice image, converting it to grayscale and applying adaptive thresholding to improve the accuracy of the OCR process.
- The *extract_text* function uses the Tesseract OCR engine to extract handwritten text from the preprocessed image.
- The extracted text, including the invoice number, vendor name, date, item descriptions, quantities, and prices, is parsed and saved into a database or a spreadsheet.
- The accounting department uses the saved invoice data to automatically update their accounting software, verify invoice details, and process payments.

6.1.3. Execution(Sample code)

A sample Python code for OCR to extract handwritten data from a vendor invoice using the Tesseract OCR engine, which is known for its LSTM-based OCR capabilities. The code also uses the OpenCV library for image preprocessing. This requires the installation of Tesseract OCR and pytesseract (a Python wrapper for Tesseract) along with OpenCV.

Import libraries

Import the necessary libraries, including OpenCV for image preprocessing and pytesseract for OCR.

Preprocess the image

The preprocess_image function takes an image path as input, loads the image using OpenCV, converts it to grayscale, and applies adaptive thresholding to emphasize the text regions. This preprocessing helps improve OCR accuracy for handwritten text.

Extract Text using Tesseract OCR.

The extract_text function takes the preprocessed image as input and uses the Tesseract OCR engine to extract text

from it. The Tesseract path should be set to the installed Tesseract OCR executable, and the configuration flag --psm 6 is used to tell Tesseract to assume a single block of text.

Main Function

The main function specifies the invoice image path, preprocesses the image, extracts text using Tesseract OCR, and then prints the extracted text.

import cv2

import pytesseract

from pytesseract import Output

def preprocess_image(image_path):

Load the image using OpenCV

image = cv2.imread(image_path,

cv2.IMREAD_GRAYSCALE)

Threshold the image to create a binary image

 $_{,}$ thresh = cv2.threshold(image, 0, 255,

- cv2.THRESH_BINARY_INV + cv2.THRESH_OTSU)
- # Apply some morphological operations to remove noise kernel = cv2.getStructuringElement(cv2.MORPH_RECT,

(3, 3))

- opening = cv2.morphologyEx(thresh, cv2.MORPH_OPEN, kernel, iterations=2)
- # Find the background region and create a binary image for it

sure_bg = cv2.dilate(opening, kernel, iterations=3)
return sure bg

def ocr handwritten data(image path):

Preprocess the image

preprocessed_image = preprocess_image(image_path)

Set the OCR engine to use LSTM

pytesseract.pytesseract.tesseract_cmd = 'tesseract'

- $custom_config = r'--oem 1 --psm 6'$
- # Perform OCR on the preprocessed image
- ocr_data

pytesseract.image_to_data(preprocessed_image,

output_type=Output.DICT, config=custom_config) return ocr data

def main():

image_path = 'vendor_invoice.jpg'

```
ocr_data = ocr_handwritten_data(image_path)
```

```
# Print the extracted text
```

for i, word in enumerate(ocr_data['text']):

if word.strip():

print(f"Word: {word}, Confidence: {ocr_data['conf'][i]}%")

print(f"Position: Left-{ocr_data['left'][i]}, Top-{ocr_data['top'][i]}, Width-{ocr_data['width'][i]}, Height-{ocr_data['height'][i]}\n")

if ______ == '____main___':

main()

6.1.4. Automating Shipping Barcode Processing in a Warehouse

Scenario

A warehouse receives thousands of shipments daily, and each shipment comes with a barcoded invoice containing essential information such as the shipment ID, sender, recipient, and tracking number. The warehouse staff needs to quickly and accurately process these invoices to ensure efficient handling, sorting, and tracking of the shipments. Manual entry of the barcode information is time-consuming and prone to human error. To automate this process, they decided to use the OCR code provided above to extract the required information from the barcoded invoices.

6.1.5. Implementation

- The warehouse staff captures high-resolution images of the shipping invoices using a camera or a barcode scanner.
- The captured images are stored in a designated folder on a local computer or a cloud storage service.
- The OCR code is set up to run automatically on the stored invoice images, either periodically (e.g., every hour) or upon detecting new images added to the folder.
- The preprocess_image function in the code reads and converts each invoice image to grayscale. This preprocessing step helps improve the accuracy of the barcode decoding process.
- The extract_barcodes function decodes the barcodes in the preprocessed image using the pyzbar library.
- The extracted barcode data, including the shipment ID, sender, recipient, and tracking number, are saved into a database or a spreadsheet.
- The warehouse staff uses the saved barcode data to automatically update their inventory management system, track the shipments, and make informed decisions about shipment handling, sorting, and storage.

6.1.6. Execution(Sample code)

A sample Python code for OCR to extract data from a barcoded shipping invoice using the pyzbar library, which can decode various types of barcodes, including QR codes. The code also uses the OpenCV library for image preprocessing. This requires the installation of pyzbar and OpenCV.

Import libraries

Import the necessary libraries, including OpenCV for image preprocessing and pyzbar for barcode decoding.

Preprocess the image

The preprocess_image function takes an image path as input, loads the image using OpenCV, and converts it to

=

grayscale. This preprocessing step can help improve the accuracy of the barcode decoding process.

Extract barcodes using pyzbar

The extract_barcodes function takes the preprocessed image as input and uses the pyzbar library to decode the barcodes in the image.

Main function

The main function specifies the invoice image path, preprocesses the image, extracts barcodes using pyzbar, and then prints the extracted barcode type and data.

pip install pyzbar pip install opency-python import cv2 from pyzbar import pyzbar def decode_barcode(image_path): # Read the image image = cv2.imread(image_path) # Convert the image to grayscale gray_image cv2.cvtColor(image, = cv2.COLOR_BGR2GRAY) # Apply thresholding to improve barcode detection _, threshold_image = cv2.threshold(gray_image, 0, 255, cv2.THRESH BINARY | cv2.THRESH OTSU) # Find barcodes in the image barcodes = pyzbar.decode(threshold image) return barcodes def main(): image_path = 'path/to/barcoded/invoice.jpg' barcodes = decode_barcode(image_path) if not barcodes: print("No barcode detected.") else: for barcode in barcodes: barcode_data = barcode.data.decode("utf-8") barcode type = barcode.type # Print the extracted information print(f"Barcode data: {barcode data}, Barcode type: {barcode_type}") # Extract and process other required information (e.g.,

shipment ID, sender, recipient, and tracking number) # based on your specific use case or barcode format

if __name__ == "__main__": main()

7. Fostering Environmental Sustainability and Accessibility

7.1. Promoting Environmental Sustainability through AI-Powered OCR and Digital Transformation

OCR technology can contribute to environmental sustainability by promoting digital transformation and

reducing paper consumption. By converting printed documents into digital formats, OCR enables businesses and organizations to adopt paperless practices, reducing their environmental footprint and conserving resources. Furthermore, OCR can facilitate more efficient and accurate data extraction from environmental monitoring systems, contributing to better decision-making and informed policy development in the field of environmental management and conservation.

7.2. Enhancing Accessibility for Individuals with Disabilities Using AI-Integrated OCR Solutions

OCR technology plays a crucial role in improving accessibility for individuals with visual impairments and other disabilities. By converting printed text into digital formats, OCR enables the creation of accessible content, such as screen-readable text, audiobooks, and braille translations. This enhanced accessibility empowers individuals with disabilities to access information and participate in various educational and professional activities, contributing to a more inclusive society.

8. Ethical Considerations and Responsible AI in OCR

As OCR technology continues to advance and its applications expand, it is essential to consider the ethical implications and promote responsible AI practices. Ensuring that OCR systems are developed and used in ways that respect privacy, security, and data protection is crucial for maintaining trust and fostering responsible innovation. Moreover, addressing potential biases in OCR algorithms and promoting fairness, accountability, and transparency in AI-enhanced OCR systems will be vital for achieving ethical and socially responsible outcomes. As OCR technology becomes more advanced and widely adopted, concerns surrounding data privacy and security must be addressed

9. Challenges and Proposed Solutions

9.1. Handwriting Recognition

Despite advancements in OCR technology, recognizing handwritten text remains a significant challenge. Developing advanced algorithms that can better understand human writing styles and variations will be crucial for improving the performance of OCR systems across industry sectors.

9.2. Multilingual OCR

As the demand for multilingual OCR systems grows, there is a need to develop algorithms that can accurately recognize and process text in multiple languages. Expanding the capabilities of existing AI and ML technologies to accommodate diverse languages and scripts will be essential for global communication and data accessibility.

9.3. Adapting to New Fonts and Styles

The continuous evolution of fonts and writing styles presents challenges for OCR systems. AI and ML algorithms must be able to adapt to these changes, ensuring that OCR technology remains accurate and efficient as new text formats emerge.

9.4. Robustness Against Noise and Distortion

OCR systems must be able to recognize text in the presence of noise and distortion, such as low-resolution images, blurred text, or skewed documents. Enhancing the robustness of AI and ML algorithms against these factors will improve the overall performance and reliability of OCR systems.

9.5. Handwriting Recognition

Despite advancements in OCR technology, recognizing handwritten text remains a significant challenge. Improving handwriting recognition will require the development of advanced algorithms that can better understand human writing styles and variations.

9.6. Multilingual OCR

The need for multilingual OCR systems increases with the world becoming more interconnected. Developing OCR technology that can accurately recognize and process text in multiple languages will be essential for global communication and data accessibility.

9.7. Integration with Augmented Reality

Combining OCR technology and augmented reality (AR) can revolutionize how we interact with the physical world. AR applications incorporating OCR could allow users to obtain real-time translations, contextual information, or navigation guidance simply by pointing their devices at printed text.

9.8. Privacy and Security Concerns

As OCR technology becomes more advanced and widely adopted, concerns surrounding data privacy and security will need to be addressed. Ensuring that sensitive information is protected and securely stored will be crucial in maintaining trust and promoting the responsible use of OCR systems.

10. Future Directions and Challenges

As OCR technology evolves, researchers and developers face numerous challenges and opportunities for innovation. Key areas for improvement include enhancing handwriting recognition, advancing multilingual OCR capabilities, and increasing robustness against noise and distortion in images. The development of new AI and ML algorithms can further improve OCR accuracy, speed, and adaptability, allowing the technology to address a broader range of use cases and applications across various industries. By tackling these challenges and exploring new opportunities, OCR technology will continue transforming information extraction and processing, shaping the future of the digital age.

Handwriting recognition is a significant challenge due to the variability in individual writing styles, letter shapes, and sizes. AI and ML techniques have improved this aspect, but there is still room for development. Researchers must also focus on developing AI algorithms for multilingual OCR capabilities to cater to a broader range of languages and scripts, facilitating information extraction across linguistic boundaries. Improving OCR robustness against noise, distortion, and font variations is essential for accurate text recognition under less-than-ideal conditions.

Addressing data privacy and security concerns is crucial as OCR technology becomes increasingly prevalent across industries. Ensuring AI-embedded OCR systems handle sensitive data responsibly and securely is vital for maintaining trust and adhering to regulatory requirements. Future research should develop AI-driven security measures and explore anonymizing and encrypting data to mitigate privacy risks, ultimately keeping OCR technology relevant and effective in the digital age.

11. Conclusion

In conclusion, integrating artificial intelligence and deep learning techniques into OCR technology has shown a remarkable potential to revolutionize various industries and applications [73]. By harnessing the power of Convolutional Neural Networks (CNNs) [74], Recurrent Neural Networks (RNNs) [75], LSTMs [4], and Transformer models [77], AI-driven OCR systems can offer increased accuracy, versatility, and adaptability in tasks such as handwriting recognition, multilingual text processing, and robustness against noise and distortion.

The fusion of OCR technology with augmented reality [78], robotics, and blockchain opens new avenues for innovative applications and enhanced experiences across multiple sectors. Furthermore, AI-embedded OCR systems can contribute to environmental sustainability, promote digital transformation [79], and enhance accessibility for individuals with disabilities [38].

However, as OCR technology advances, it is crucial to address ethical considerations, data privacy, and security concerns [76], fostering responsible AI practices and maintaining trust in these systems. Tackling these challenges and exploring new opportunities will ensure that OCR technology continues to shape the future of the digital age, unlocking efficiency and transforming the way to access and process information across diverse industries [73].

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