Machine Learning Studies of Non-coding RNAs based on Artificially Constructed Training Data

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Abstract: Machine learning (ML) methods are often used to identify members of non-coding RNA classes such as microRNAs or snoRNAs. However, ML methods have not been successfully used for homology search tasks. A systematic evaluation of ML in homology search requires large, controlled, and known ground truth test sets, and thus, methods to construct large realistic artificial data sets. Here we describe a method for producing sets of arbitrarily large and diverse snoRNA sequences based on artificial evolution. These are then used to evaluate supervised ML methods (Support Vector Machine, Artificial Neural Network, and Random Forest) for snoRNA detection in a chordate genome. Our results indicate that ML approaches can indeed be competitive also for homology search.

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1 INTRODUCTION

Many distinct classes of non-coding RNAs (ncRNAs) are known, each with specific function, in turn depending on their spatial structure, sequence composition and length. In this contribution we focus on small nucleolar RNAs (snoRNAs). They form a large class of RNAs with lengths varying from 60 to 300 nucleotides that comprises two functionally and structurally distinct subclasses, the H/ACA box and C/D box (Falaleeva and Stamm, 2013) (see Figure 1). In animals, snoRNAs are processed from introns of both coding and non-coding host RNAs (Bratkovič et al., 2020).

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There are two fundamentally different methods to identify ncRNAs in genomic data: (1) Homology search utilizes sequence similarity to a specific



Figure 1: Two-Dimensional structure of (a) H/ACA box snoRNA; and (b) C/D box snoRNA (de Araujo Oliveira et al., 2016).

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query sequence. Since structure dictates function of many RNAs, their spatial structures are often better conserved than their sequences. Thus, homology search methods for ncRNAs usually also take structural similarity into account. Tools such as infernal (Nawrocki and Eddy, 2013) indeed achieve substantial improvements compared to sequence-only methods such as Blast (Altschul et al., 1990), see e.g. (Bartschat et al., 2014). However, by construction, only homologs of known ncRNAs can be found. (2) Some ncRNAs, including transferRNAs, microR-NAs, and snoRNAs, belong to larger families that share both function and biogenesis and are consequently recognizable by a set of characteristic sequence and structure features. The identification of members of an RNA class is a classification problem that is typically solved by machine learning methods (Zhang et al., 2017; Barber, 2012; Zhang and Rajapakse, 2009). SnoReport 2.0 (de Araujo Oliveira et al., 2016) implements such a classifier for snoR-NAs. It extracts a combination of sequence and secondary features, the latter predicted by thermodynamic folding (Lorenz et al., 2011), from a query sequence and employs a support vector machine (SVM) for classification into the two main classes of snoR-NAs: the H/ACA box and the C/D box. SnoReport 2.0 can be used to scan large DNA sequences, using characteristic sequence and structure motifs to identify candidates that are passed to the SVM classifier. Similarly, classifiers for miRNAs start from a predicted precursor hairpin. This makes the classification problem fairly simple since the task merely distinguishes whether the input sequence is exactly a class member.

A closely related, but apparently much more difficult machine learning problem is to ask whether or not a given sequence of fixed length contains a ncRNA of a given class. An efficient solution to this version of the ncRNA classification problem would provide an alternative to homology search for large evolutionary distance, where sequence similarity comes close to or even falls below the detection limit. Anecdotal reports on attempts to use machine learning for this task, e.g., (Waldl et al., 2018), however, have been discouraging – albeit this may be a consequence of very small training sets. A more systematic investigation into the feasibility of machine learning as an alternative to direct sequence comparison requires training and test sets that are large and diverse enough. Furthermore, they have to cover a wide range of evolutionary distances from closely related sequences to homologs that have diverged beyond the detection limit for sequence alignment methods.

In this contribution, we present a method to gen-

erate in principle an arbitrarily large and diverse data set of artificial ncRNAs, using snoRNAs as an example. The key idea is to simulate the evolution of the ncRNAs along a real or randomly generated phylogenetic tree, using a classifier for the ncRNAs of interests, here snoReport 2.0, to model selection. That is, mutations are only accepted if they pass the classifier. The procedure thus "breeds" snoRNAs with increasingly divergent sequences that are still recognizable as snoRNAs. The artificial ncRNAs can then be inserted into background genomes to produce realistic data with perfectly-known ground truth to train and benchmark homology search methods. Here we consider Support Vector Machines (SVMs), Random Forests (RFs), and artificial neural networks (ANNs) as classification methods.

2 METHODS

We start in Section Initial Data with a description of the biological data that we use as starting point and for evaluation purposes. We then describe construction of an artificial snoRNA data set ("Breeding" Artificial snoRNAs). The third part of this section (Feature Extraction) summarizes the features used to evaluate de ML methods. Finally, we provide a detailed evaluation of ML approaches *versus* direct sequence comparison. On the top level, the workflow starting with the initially acquired data can be subdivided into six stages, which are also presented in figure 2:

- 1. Run snoReport 2.0 over the selected intron sequences to identify snoRNAs and their corresponding C/D or H/ACA boxes.
- Choose randomly representative snoRNA sequences from snoReport 2.0 output to apply mutations;
- 3. Build mutation tree using the snoReport 2.0 output sequences composing sets with cumulative percentage of mutations;
- 4. Extract features for each sequence, considering the positive and negative sets obtained from the mutation tree;
- 5. Construct datasets for ML algorithms with the same number of instances for the positive (1) and negative (0) sets.
- 6. Execute ML algorithms and analyze their results.

2.1 Initial Data

The source data used in the experiments was extracted from the marine species *Ciona intestinalis*, obtained



Figure 2: Summary of the steps to build the dataset and analyze the machine learning methods.

from the National Center for Biotechnology Information (NCBI). We retrieved the genome and transcript sequences in fasta format, and the genome annotation in a GFF3 format. *C. intestinalis* is an attractive model for studying chordate origins and evolution since it has a compact genome, which is advantageous for developmental evolutionary studies (Satoh, 2003). We used Blastn (Altschul et al., 1990) to locate the known snoRNA sequences from *C. intestinalis* in the annotated intronic sequences, which were retrieved using GFF-Ex (Rastogi and Gupta, 2014). A cut-off of 80% sequence identity was employed. This resulted in one H/ACA box snoRNA and two C/D box snoRNAs, which served as starting points for our simulations.



2.2 "Breeding" Artificial snoRNAs

SnoReport 2.0 was used to identify snoRNA sequences and their corresponding C/D box or H/ACA box classes in the carefully selected intron sequences as described in subsection 2.1 (Fig 2-Step 1). From those sequences, two representatives were chosen to generate the mutation trees, one C/D box snoRNA and one H/ACA box snoRNA (Fig 2-Step 2). The total length of the intron and of the original snoRNA are 833 and 96, for C/D box, and 173 and 1,577, for H/ACA box, respectively. Algorithm 1 describes the construction of the mutation tree and thus of the artificial snoRNAs. These are then used to define positive and negative sets for the classification task (Fig 2-Step 3).

The root of the tree corresponds to one of the representative snoRNA sequences s described above. In each step, mutations (substitutions, deletions, and insertions) are applied to s. The resulting mutated sequence sMutated is then re-inserted into the intronic sequences. We *define sMutated* as a synthetic snoRNA, i.e., as a true positive, if it is recognized in this context as a snoRNA by snoReport 2.0. Mutation trees are constructed independently for each initial snoRNA. In each level of the tree we train at most N sequences. The mutation process mimics a population of fixed size with N = 3000 sequences for C/D box and N = 2000 for H/ACA box to limit the computational resources. In order to obtain balanced trees, the sequence to be mutated is chosen at random from this population. The nodes of mutation tree are generated with 10 children. The positive set consists of the mutated sequences inserted into the introns that are still recognized as snoRNAs. As the mutations are



Figure 3: (a) Example of a mutation tree with 3 children and a maximum of 5 nodes per level. The sequences shown in the tree are in the positive set. (b) Example of a negative set (sequences are not in the tree) and a positive set with 10% mutated positions (10 nucleotide length sequence).

cumulative, the positive set comprises of sequences with approximately the same percentage of mutations. For example 10%, 20 %, 30%, 40% and 50% of positions mutated relative to the representative snoRNA sequence. The **negative set** is formed by the mutated sequences *sMutated* that could no longer be identified as snoRNAs. Each negative set is composed of sequences with the same mutation percentage, similar to the positive set. For a better understanding of the positive and negative sets, we illustrate an example with 10% of mutated positions in Figure 3.

2.3 Feature Extraction

We extracted features for each sequence of positive and negative sets obtained from the mutation tree. (Fig 2-Step 4). The following features are extracted from the C/D box sequences: mfe (Minimum Free Energy of the secondary structure without constraints); mfeC (MFE of the secondary structure with constraints); Eavy (MFE average); Estdv (MFE standard deviation); ls (length of the terminal stem); Dcd (distance between C and D boxes); C_{score} (score of the C box); D_{score} (score of the D box); GC (GC content); zscore (z-score obtained by RNAz 2.0 (Gruber et al., 2010)); bpStem (number of base pairs on the terminal stem); lu5 (number of unpaired nucleotides inside the stem before C box); lu3 (number of unpaired nucleotides inside the stem after D box); stemU npCbox (number of unpaired nucleotides between the stem and the C box); stemU npDbox (number of unpaired nucleotides between the D box and the stem).

The following features are extracted from the H/ACA box sequences with snoReport 2.0: *mfeC* (MFE of the secondary structure with constraints); *AC*, *GU*, *GC* (AC, GU and GC content); *zscore* (*zscore* computed by RNAz); *Hscore* (score of the H

Table 1: C/d box and H/ACA box.

snoRNA	Type tree	N	<i>n</i> (1)	<i>n</i> (0)
C/D	substitution	3000	2574	2574
	insertion	3000	1795	1795
	deletion	3000	2232	2232
H/ACA	substitution	2000	1835	1835
	insertion	2000	1009	1009
	deletion	2000	1664	1664

box); *ACAscore* (score of the ACA box); *LseqSize* (number of nucleotides before the H box); *RseqSize* (number of nucleotides between H and ACA boxes); *LloopSC* (lenght of the loop, where we find the pocket region containing the target region, near to the H box); *RloopSC* (length of the loop, where we find the pocket region containing the target region, more close to the ACA box); *LloopYC* (symmetry of the loop containing the pocket region near to the H box); *RloopY C* (symmetry of the loop containing the pocket region near to the ACA box); *LloopYC* (symmetry of the loop containing the pocket region near to the ACA box); *LloopSym* (symmetry of all loops before H box); *RloopSym* (symmetry of all loops before ACA box).

The datasets are files in Comma-separated values (CSV) format composed of the same number of instances extracted from the positive (1) and negative (0) sets. Since different sequence may produce the same feature values. Therefore, duplicated feature vectors are removed from both the positive and negative set. For each mutation tree, we verify the positive set with the least number n of instances. We constructed datasets comprising different numbers nof sequences. For a given n, we randomly chose n instances from the positive and negative sets according to the percentage of mutation. Example, the dataset with 10% mutation is composed of n instances of the positive set with 10% mutation and n instances of the negative set with approximately 10% mutation.

Normalization by linear interpolation (Goldschmidt and Passos, 2005) was applied to the features extracted from the sequences of the positive and negative sets, i.e., feature values were transformed according to $x' = (x - x_{\min})/(x_{\max} - x_{\min})$. This preserves proportional distances between normalized data and the distances between the original data (Fig 2-Step 5). For both C/D box and H/ACA box snoRNAs we generated three mutation trees, one for each of the types of mutation (substitution, insertion, deletion). Table 1 list, for C/D box and H/ACA box, respectively, the number N of sequences of the positive sets (Fig 2 -Step 3), the number n(1) of feature vectors extracted from the N sequences of the positive set, the number n(0) of feature vectors extracted from the sequences of the negative set (Fig 2 - Step 4).

2.4 Evaluation of Machine Learning Methods

Our goal is to evaluate the use of ML methods in the context of ncRNA homology search. To this end, we apply three ML algorithms, SVM (Russell and Norvig, 2010), Artificial Neural Network (ANN) (Haykin, 1999) and Random Forest (RF) (Breiman, 2001). These methods were chosen since they have been extensively used for ncRNA classification tasks (Georgakilas et al., 2020; Achawanantakun et al., 2015). The evaluation of SVM is not entirely fair in comparison to the other methods, since snoReport 2.0 also uses an SVM, albeit trained on different data and embedded in additional filters. It still provides valuable information on the limitations of the ML approaches. We use Jupyter-notebook to implement the supervised learning algorithms, language packages in Python, Keras (Gulli and Pal, 2017) and Scikit-learn (Pedregosa et al., 2011). For SVM, we use the Radial basis function kernel (RBF), while for ANN we use the sequential model of neural network, with three layers of the Dense type, and, finally, for RF, we use one hundred decision trees built using the Bagging technique (by default). We tested all the datasets on the ML algorithms, with 10-fold crossvalidation (Fig 2-Step 6). To evaluate ML algorithms, we report the following evaluation metrics: Area Under The Curve (AUC), Matthews Correlation Coefficient (MCC), Recall, Precision and Receiver Operating Characteristic Curve (ROC curve).

3 RESULTS AND DISCUSSION

We executed Blastn with default scoring using as queries, the biological snoRNA sequences (tree roots) and as databases each of the positive sets generated by the mutation trees (with mutation rates of 10%, 20%, 30%, 40% and 50%, and N = 3,000 for C/D box and N = 2,000 for the H/ACA box). The sequences, the original snoRNAs and the mutated ones, were tested inside the introns, and also considering only the sequences themselves. To quantify the success of this sequence-based homology search, we computed an average hit rate, M := S/N, where S is the number of aligned sequences and N is the total number of sequences (query file length).

With the snoRNAs inside the intron, Blastn always found matches, so in this case M = 100%. However, in most cases these did not match only the target snoRNA but were spurious hits elsewhere in the intron. Disregarding the decoy sequences, we obtained

essentially the same results with Blastn, independent of the mutation model.

With the snoRNAs themselves, Blastn found matches only for 10% and 20%, all of them with an e-value ≤ 0.01 . For substitutions, as example, we obtained M = 18.9% and M = 0.5% for C/D box snoR-NAs, and M = 73.6% and M = 2.9% for H/ACA box snoRNAs at 10% and 20% mutation rate, respectively. At even higher level of sequence divergence, Blastn did not recover any snoRNA. We therefore have constructed a homology search problem that is very difficult for Blastn, the most widely used tool for this task. These results certainly could be improved by adapting Blastn for distance homologies or by using Hidden Markov Models (HMMs) that use a pattern instead of a single sequence as query. We did not pursue this, since our main interest is to demonstrate that ML algorithms are capable of handling such a difficult homology search problem.

3.1 C/D Box

We performed experiments for each mutation tree (substitution, insertion and deletion). From these, we chose substitution and insertion to discuss results in more detail.

Substitution. Table 2 shows the results of the three ML algorithms for the substitution experiment.

The ANN and SVM showed decreasing values for all evaluation metrics. With 10% of ANN mutation they obtained MCC = 98.84(%) and SVM MCC = 96.97(%), with 50% of mutation ANN and SVM they obtained MCC = 63.36(%) and MCC = 44.44(%), respectively. We can see in Fig 4 the ROC curves of these two classifiers, the models achieved a good mea-

Table 2: Results ML algorithms for substitution with all features C/D box: Area Under The Curve (AUC), Matthews Correlation Coefficient (MCC), Recall (R) and Precision (P).

ML	Datasets	AUC(%)	MCC(%)	R(%)	P(%)
ANN	10(%) 20(%) 30(%) 40(%) 50(%)	99.42 97.79 93.93 93.96 80.32	98.84 95.64 88.65 88.55 63.36	99.18 96.16 88.35 90.17 72.27	99.65 99.40 99.43 97.56 86.16
SVM	$ \begin{array}{c c} 10(\%) \\ 20(\%) \\ 30(\%) \\ 40(\%) \\ 50(\%) \end{array} $	98.47 96.14 93.55 88.53 71.47	96.97 92.35 87.31 77.45 44.44	97.71 94.49 93.55 89.59 77.90	99.21 97.71 93.55 87.72 69.03
RF	$ \begin{array}{c c} 10(\%) \\ 20(\%) \\ 30(\%) \\ 40(\%) \\ 50(\%) \end{array} $	77.21 91.19 72.98 93.03 78.40	56.61 82.96 47.40 86.52 57.63	57.32 83.30 47.38 90.80 71.15	95.23 98.89 97.13 95.04 83.23



Figure 4: ROC curves of the datasets with 10%, 20%, 40% and 50% of mutations, for substitution, with all features.

sure of separability for datasets with 10%, 20%, 30% and 40% mutation. However, for datasets with 50% mutation, they showed less capacity for class separation. RF obtained good results in all evaluation metrics for 20% and 40% mutation. The other datasets 10%, 30% and 50% did not achieve good results, prediction with MCC = 56.61(%), MCC = 47.40(%) and MCC = 57.63(%) respectively.

In order to investigate cases where biological characteristics are not known, we also tested the ML algorithms with a reduced number of features, in this case - *zscore*, *ls*, *Dcd*, *GC*, *lu5*, and *lu3*. The three classifiers did not achieve good results in all datasets, or the models did not show a good predictive capacity. **Insertion.** Table 3 shows the results of the three ML algorithms for the insertion experiment.

The SVM classifier presented a good prediction in all datasets, with 10% of mutations AUC = 97.71%, and 50% of mutations, AUC = 94.01%, as shown by

Table 3: Results ML algorithms for insertion with all features C/D box: Area Under The Curve (AUC), Matthews Correlation Coefficient (MCC), Recall (R) and Precision (P).

ML	Datasets	AUC(%)	MCC(%)	R(%)	P(%)
ANN	10(%)	82.17	65.42	64.87	99.23
	20(%)	81.70	68.21	63.77	99.48
	30(%)	78.55	59.77	57.41	99.52
	40(%)	91.73	84.58	84.97	98.26
	50(%)	92.26	85.20	86.97	97.26
SVM	10(%)	97.71	95.53	95.94	99.48
	20(%)	96.71	93.58	94.16	99.24
	30(%)	93.76	88.17	88.75	98.64
	40(%)	94.27	88.97	89.64	98.77
	50(%)	94.01	88.48	89.37	98.53
RF	10(%)	53.83	9.61	9.69	82.86
	20(%)	49.3	-3.63	1.17	31.34
	30(%)	49.72	0.53	2.67	45.28
	40(%)	50.11	1.16	0.56	62.50
	50(%)	54.3	4.88	9.52	90.96



Figure 5: ROC curves of the datasets with 10%, 20%, 40% and 50% of mutations, for insertion with all features.

the ROC curves in Fig 5. The RF classifier model did not achieve class separation capability in all the datasets, with 10% of mutations, AUC = 53.83%, and 50% of mutations AUC = 54.30%, as shown in the ROC curves in Fig 5. The ANN classifier presents a good prediction for the datasets, with 40% of mutations, AUC = 91.73% and 50%, AUC = 92.26%, as shown by the ROC curves in Fig 5. In this experiment, the insertion mutation may have evidenced C/D box characteristics.

We also tested a reduced number of features for insertion, in this case *zscore*, *ls*, *Dcd*, *GC*, *lu5*, and *lu3*. The ANN and SVM classifiers achieved lower performance but still remained functional. As with substitution, these two experiments with insertion showed that the set of features is very important for predicting the C/D box by ML classifiers. If relevant biological characteristics are not known, the performance of the classifiers deteriorates, in particular for the more distant homologs.

3.2 H/ACA Box

We performed our experiments for each mutation tree(substitution, insertion and deletion). From our experiments, we choose substitution and insertion to discuss results in more detail.

Substitution. Table 4 shows the results of the three ML algorithms for the substitution experiment.

The SVM and RF classifiers showed decreasing values for all evaluation metrics table 4. With 10% of mutations, ANN obtained AUC = 74.20%, SVM AUC = 67.76% and RF AUC = 62.03%. With 50% mutation, the results were even lower, ANN, SVM and RF obtained AUC = 59.08%, AUC = 61.36% and AUC = 50.57% respectively. We can see the corresponding ROC curves in Fig 6.

For H/ACA box, in order to investigate cases

ML	Datasets	AUC(%)	MCC(%)	R(%)	P(%)
ANN	10(%)	74.20	50.03	71.08	75.83
	20(%)	63.22	30.02	40.41	74.35
	30(%)	64.66	32.98	51.53	69.92
	40(%)	58.14	22.71	21.41	80.70
	50(%)	59.08	23.15	29.41	72.29
SVM	10(%)	67.76	36.37	55.12	73.76
	20(%)	66.20	33.29	54.9	70.99
	30(%)	64.33	29.23	65.63	63.99
	40(%)	61.34	24.17	70.53	59.60
	50(%)	61.36	22.78	54.85	63.06
RF	10(%)	62.03	28.86	27.51	88.75
	20(%)	52.75	2.38	17.43	59.37
	30(%)	60.64	21.59	29.47	78.29
	40(%)	52.42	7.19	6.81	77.64
	50(%)	50.57	2.92	4.52	57.24

Table 4: Results ML algorithms for substitution with all features H/ACA box: Area Under The Curve (AUC), Matthews Correlation Coefficient (MCC), Recall (R) and Precision (P).

where biological characteristics are not known, we also tested the ML algorithms with a reduced number of features, in this case *zscore*, *AC*, *GU*, *GC*, *LloopSC*, *RloopSC*, *LloopYC*, and *RloopYC*. The three classifiers performed poorly on all datasets, with an AUC below 65%.

Insertion. Table 5 shows the results of the three ML algorithms for the insertion experiment. In this experiment, the mutation tree only generated sequences recognized as H/ACA box by snoReport 2.0 up to 20% mutation. We could observe that the length of the snoRNA sequence is an important feature for its identification.

The three classifiers presented a performance with 10% mutation higher than with 20% mutation. However, all metrics are close to or below 70%, see fig 7. Only ANN and SVM showed AUC and Recall greater than 70% with 10% mutation. The results of the three classifiers with 20 % mutation corresponding



Figure 6: ROC curves of the datasets with 10%, 20%, 40% and 50% of mutation, for substitution, with all features.

ML	Datasets	AUC(%)	MCC(%)	R(%)	P(%)
ANN	10(%)	71.92	47.90	59.31	79.3
	20(%)	59.30	19.80	45.05	63.02
SVM	10(%)	74.76	51.45	80.4	72.31
	20(%)	62.1	25.13	69.01	60.66
RF	10(%)	59.79	22.83	28.91	75.65
	20(%)	51.21	1.81	28.32	52.29

to less than ideal performance. Again, we tested the ML techniques with a reduced number of features: *zscore*, *AC*, *GU*, *GC*, *LloopSC*, *RloopSC*, *LloopYC*, and *RloopYC*. All three classifiers performed better with 10% of mutations than with 20%, with the performances decreasing further with the increasing of number of mutations. For H/ACA box, the performance of the AM classifiers were equivalent, using a large number of known biological features as well as a small number of them. For the insertion mutation, the higher the percentage of mutation, the worse the performance of the three classifiers.



Figure 7: ROC curve of the datasets 10% and 20%, for insertion with all features.

4 CONCLUSION

In this article, we studied the performance of ML methods to predict snoRNAs with the help of large datasets built from artificially constructed mutation trees. Even with limitations, we found that the ML methods performed better than the most common conventional homology search, Blast, which considers only sequence similarity. As expected, the Blast results showed many false negative results for snoRNAs with low sequence similarity to the query. For C/D box, we observed that the ML methods consistently performed better when provided with all known biologically relevant features. This was in particular the case for the most diverged sequences. For the substitution experiment, the SVM and ANN classifiers achieved excellent performance for datasets with 10%, 20%, 30%, and 40% of mutations. A large drop in performance was observed for 50% of mutations.

For H/ACA box, the performance of the ML classifiers, both using the full set of known biological characteristics and a reduced number of features, showed equivalent prediction performance. In the experiment with the insertion mutation, performance decreased with increasing mutation levels for all the three ML classifiers.

In summary, our results show that ML methods can be competitive with traditional homology search methods, provided sufficiently large sets of independent instances for test and training sets. This requirement, however, is prohibitive for most practical applications. We therefore suggest that the careful production of artificial data is a promising approach that can be pursued in practice, at least for families of ncRNAs for which an adequate diverse set of representatives is available. Our data also indicate that the knowledge of a sufficiently large set of biologically relevant features is important for the performance of ML-based homology search.

Clearly, the present study is only a first step. It remains open whether the ML methods can also compete with more sophisticated methods of homology search such as Hidden Markov Models (HMMs) (Eddy, 1996) or covariance models (CMs) (Nawrocki and Eddy, 2013), which similar to ML models also convey information of local and non-local correlations, respectively.

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