

# Translational Robustness of Neural Networks Trained for Transcription Factor Binding Site Classification

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**Abstract:** Classifying DNA sequences based on their protein binding profiles using Deep Learning has enjoyed considerable success in recent years. Although these models can recognize binding sites at high accuracy, their underlying behaviour is unknown. Meanwhile, adversarial attacks against deep learning models have revealed serious issues in the fields of image- and natural language processing related to their black box nature. Analysing the robustness of Transcription Factor Binding Site classifiers urges us to develop adversarial attacks for them. In this work, we introduce shifting as an adversarial data augmentation so that it quantifies the translational robustness. Our results show that despite its simplicity our attack can significantly affect performance. We evaluate two architectures using two data sets with three shifting strategies and train robust models with adversarial data augmentation.

## 1 INTRODUCTION

### 1.1 Brief Biological Overview

One of the most important regulators in a cell's biology are Transcription Factors (TFs) (Stormo, 2000). TFs are responsible for key processes regarding gene expression, understanding the nature of their workings is of paramount importance in microbiology and related fields. TFs are proteins which can bind to DNA strands to facilitate transcription: the process of turning DNA nucleotide sequence data into RNA. TFs generally have binding sites associated with them called Transcription Factor Binding Sites (TFBSs). These are identifiable regions, where a TF usually binds the DNA strands. A TFBS is around 10 nucleotide base pair in length. The nucleotides (basic building blocks of DNA; A: adenine, C: cytosine, G: guanine, T: thymine) inside the TFBSs are conserved sequences, the sequence pattern that they form is repeated several times in the genome of biological organisms. This pattern of the order of nucleotides is also called the TFs' motif. Locating and detecting these motifs and TFBSs are important steps to better understand TFs' biological mechanisms and to examine these key control points' effects on gene regula-

tion.

### 1.2 Connection to Deep Learning

Through Next Generation Sequencing techniques, the number of available data sets increased rapidly (Bernstein et al., 2012), thus it was feasible to use deep learning to examine nucleotide sequence data. Deep Learning models have achieved considerable success in the field of TFBS classification (Zhou and Troyanskaya, 2015). At first, Convolutional Neural Networks (CNNs) (Alipanahi et al., 2015; Zeng et al., 2016) were applied to nucleotide sequence data, then Recurrent Neural Networks (RNNs) (Lanchantin et al., 2017) such as Long Short-Term Memory (LSTM) cells were used and in recent years, hybrid architectures containing both convolutional and recurrent layers made their impact on this task (Hasanzadeh and Wang, 2016; Quang and Xie, 2019; Park et al., 2020). The dominant success of the attention mechanism improved performance and opened a new way to interpret TFBS classifier network decisions.

### 1.3 Relation to Interpretability and Adversarial Robustness

Recent studies analyse the behaviour of trained TFBS classifiers while searching for interpretable features

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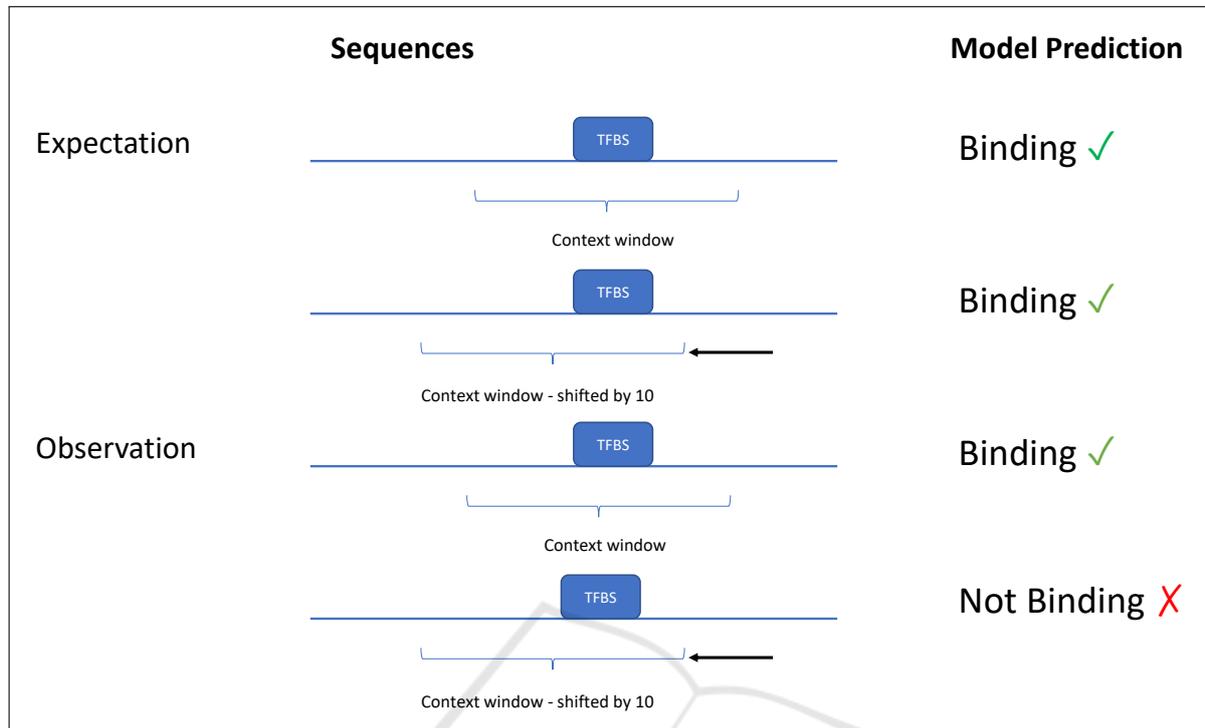


Figure 1: Visualization of the expected and observed transcription factor binding site classification. The motifs (made of consensus nucleotides) are generally located near the center of the sequences (e.g., starting from the 45. position with a length of 10 bases in a 100 long sequence). Translating the sequence (as in shifting the position horizontally) should not influence performance. However, we observe significant accuracy decrease when utilizing transformations such that the context window is moved in either direction by several nucleotides. Blue lines denote the large neighborhood of the TFBS (most of which is not used for training). Red lines show the 100 nucleotides passed through the CNN. Blue arrows mark the position shift and the red lines show the new 100 nucleotides with the TFBS. (The only difference between the original and the shifted sequence is 20 nucleotides, 10 disappearing from one end and 10 new appearing on the other due to the shift of the context window, i.e., the sequence input of the model. The TFBS and the nucleotides close to it are unaltered.)

(Koo and Ploenzke, 2020) (Lanchantin et al., 2017) (Zhou and Troyanskaya, 2015; Alipanahi et al., 2015). Such features might help biologists to better characterize specific TF binding events. Although neural networks achieve remarkable performance on TFBS classification, they are black box models. That is, the underlying behaviour is unknown. Thus examining TFs using Deep Neural Networks (DNNs) might require alternative approaches.

In other domains such as image classification or natural language processing, adversarial examples revealed that state of the art models are prone to learn non-robust features. These examples are generated from natural samples using semantics-preserving transformations in such a way that the model will mislabel the modified input. For images, a commonly used transformation is applying tiny norm bounded additive noise (Brendel et al., 2019). In NLP, defining the modification is more challenging, but it is still feasible to find adversarial examples. A recent approach replaces input words by their synonyms to mislead the

model (Morris et al., 2020). This sensitivity to adversarial examples introduces concerns regarding their interpretability.

These two results seem contradictory: the high sensitivity of the models in other domains and the interpretability of the TFBS classifiers. In this work, we aim to investigate this problem more deeply and examine TFBS classifiers from a robustness perspective.

#### 1.4 Examining and Evaluating Translations

To the best of our knowledge no experiments or studies were communicated regarding TFBS and network vulnerability. Our contributions in this work are as follows:

- We apply input shifting to find adversarial examples for state-of-the-art TFBS classifiers.
- We show that these models are sensitive to in-

put shifting despite their excellent performance on unmodified data.

- We propose a training method inspired by adversarial training which improves the models' robustness against these kinds of attacks.

Our experiments conducted on two datasets imply that the features considered important by the original networks are not necessarily the humanly desired ones. Our code is available from<sup>1</sup>.

## 2 TRANSCRIPTION FACTOR BINDING SITE CLASSIFICATION

In this section we give an introductory overview in connection to TFBS and CNNs. The main concepts necessary to facilitate further understanding of the adversarial robustness of TFBSs classifier models are explained below. A reader well-versed in the literature of TFBS classification might wish to skip to Section 3.

### 2.1 Default Approach

The success of DeepBind (Alipanahi et al., 2015) ushered many follow-up works to use CNNs for TFBS detection. The TFBS data sets usually contain two classes, one of which consists of sequences with TFBSs (three positive example sequences belonging to Sp1 are shown in Figure 2). The learner is expected to use convolutional filters over the four channels (here the nucleotides of A,C,G,T - instead of an image's colour channels of R,G,B). One hypothesis for the success of convolutional neurons regarding TFBS classification is the *motif scanner* idea: the weights inside the neurons are able to learn a representation (very similar to) the sequence logo of a TF. That is, for some neurons the weights over the channels can be transformed to a format closely resembling a PWM (Position Weight Matrix). PWMs are ways to store and present information about the nucleotides of a binding site. In a PWM each row corresponds to one symbol of the alphabet, e.g., nucleic acids, and each column corresponds to one position in the pattern (Zhang, 2013). For a sequence length of 15, 4 rows of the nucleotides are shown, where the value in a given position (column) and nucleotide (row) means the probability (log-likelihood) of that nucleotide's occurrence at that index in the binding site. A simple visual explanation is given in Figure 3. To summarize,

<sup>1</sup>[https://github.com/istvanmegyeri/tf\\_translational\\_robustness](https://github.com/istvanmegyeri/tf_translational_robustness)

the learned weights of a convolutional neuron can be extracted and numerically transformed to be similar to a 2D matrix of a TF's PWM.

### 2.2 Issue of Performance Regarding the *motif scanners*

Given that some of the neurons learn representations similar to PWMs, when such a neuron convolves over a sequence containing the corresponding TFBS, it should produce a high activation and the network would be expected to classify the instance correctly due to the *motif scanner* observation. Furthermore most TFBSs are located near the middle of a sequence (assuming a preprocessed dataset) and are recognised relatively well. Since convolutions are translation-invariant, moving the TFBS along the sequence should not result in a harder task \lower model performance. The above-described shift of a TFBS is similar to a pixel-wise location transformation of an MNIST digit (Kauderer-Abrams, 2017), in which case, if the digit is moved several pixels in either direction, it should still be recognised and classified by the CNN model correctly. However when the input sequences are shifted, the model's performance decreases (Figure 1).

## 3 ATTACKS AND DEFENCES

We selected shifting (lengthwise translation) as the input modification for our attacks. Our reasoning is as follows: Firstly, TFBS classifiers are commonly trained using varying input lengths. In (Alipanahi et al., 2015; Zeng et al., 2016) 101 base pairs (bp) while in (Zhou and Troyanskaya, 2015; Park et al., 2020) 1000 bp are used. Usually, the longer the input lengths, the better the model's performance. Secondly, due to the fact that the convolution operation is translation invariant, it seems reasonable to expect CNNs to be also resilient to small shifting. Above all, we can control arbitrarily the preservation or destruction of the semantics by defining a bound on the shifted positions<sup>2</sup>.

For each shifting strategy, we assume that the input contains the binding site in the middle of the sequence and is longer than what the model expects (e.g., the sequences in the data all have a length of 100 bp, and the models were trained using only 80 bp, so that we have a window of 20 bp for translation). We exclude slices that would interfere with the motif (i.e., remove nucleotides from the middle part of

<sup>2</sup><http://jaspar.genereg.net/matrix/MA0079.3/>



patterns enjoyed considerable acceptance from the community. In theory, a properly trained model’s first layer kernels (or a subset of them) would encode the  $4 \times L_{\text{bindingsite}}$  (or motif) information respective of a given TF. This would enable CNNs to learn new motifs and recognise unknown nucleotide sequence patterns from binding sites. Following the machine learning task for the DeepSea article’s data base (Zhou and Troyanskaya, 2015) and utilizing the SOTA TbiNet (Park et al., 2020) architecture, we tested the CNN+LSTM hybrid network, which also employs an attention mechanism. The interpretability of such an architecture could very well be established with trials, passing through gradients and (layer) activation visualizations. We tried to preserve the original parameters and hyper-parameters of the learner as much as possible. As this architecture contains a CNN feature extractor, an attention module and a recurrent (bidirectional LSTM) layer to learn regulatory grammar, we hoped to gather supporting evidence about the workings of the model. Due to the attention layer, it is expected from the model (at least to some degree) to be able to recognise important parts of the input for successful classification. As we have seen in the experimental results in Tables 1 and 2, relying on the motif scanner hypothesis might not be the most prudent way to unravel these TFBS models. However, for both interpretability cases, we hypothesize that the networks learn a lot of “noise” or otherwise humanly uninterpretable features. These might just be useful for the separation of the training sets and generalise poorly to other unseen examples. The evaluation metrics for the  $D_I$  data set are Area Under the Receiving Operating Characteristics (AUROC) and the area under the precision-recall curve (AUPR). For the  $D_S$  dataset, we use simple accuracy.

## 5 RESULTS

According to the experimental setups, we trained the corresponding architectures on both datasets and for each shifting strategy. Then we evaluated the obtained models using the three shifting strategies again on the test set. That is for each task, we have three models and three evaluation modes.

The results for the  $D_S$  dataset are in Table 1. For comparison, we present the results for the vanilla model that is trained on unmodified sequence length (101 bp). If we use the no shift strategy, the performance remains almost the same even for the smallest sequence length 75. The largest drop is 0.042 for S-75, while the smallest is 0.0102. On average the reduction is 0.0195. It confirms that the semantic of the

input is kept even for the smallest sequence length. However, the worst-case performance of these models is different. Even at the largest examined sequence lengths, a more noticeable performance degradation is present, though the relative input length difference is modest: 95 vs 101.

Considering other strategies, we see better results on the worst-case performance. It is somewhat improved, conceding that we apply random shifting during training. However, worst-case performance is highest when worst shift is involved at training time. This confirms the model can learn translation-invariant features, but those are used only when adversarial training is applied. In some cases during our training runs, we noticed that the models were unable to minimize the loss on the worst shifted training data. Removing the regularization solved the problem except for the S-75. We hypothesize that learning translation-invariant features requires more capacity from the models.

In Table 2, we can see similar tendencies on the  $D_I$  dataset using the attention based TbiNet model. Removing 100 bp has negligible impact for no shift evaluation. In contrast, the performance according to both metrics drops significantly when the worst shifting strategy is applied. Even simple random shifting causes remarkable degradation.

## 6 CONCLUSIONS

After examining the effect of adversarial input shifting for a Transcription Factor Binding Site classification task, a steady drop in performance can be observed for a simpler CNN and for a more complex CNN+LSTM model with an attention mechanism. Both learners are supposed to be able to handle simple translation or random starting position picking for shorter length entities, however they are not performing well under the above-mentioned conditions. We show that incorporating these modified examples into the training process results in models that are more robust and can better cope with the challenges that the augmented sequences pose.

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Table 1: Results on  $D_s$  dataset using the CNN and three shifting methods for evaluation and training. S, M and Z mean HaibH1hescSp1Pcr1x, SydhImr90Mafklggrab and SydhK562Znf143lggrab respectively. Each 3 by 3 block represents one task from the dataset for a specific sequence length. \* means that the model was trained without regularization. The performance drops if worst shift is applied, which implies that the model uses features which are not position-invariant. Although these models would be able to learn invariant features, they only seem to do so when worst shifting is involved at training.

TF	train	discovery			occupancy		
		evaluation strat.			evaluation strat.		
		No Shift	Rnd	Worst	No Shift	Rnd	Worst
S-75	No Shift	0.7158	0.7124	0.5029	0.7435	0.7399	0.5449
	Rnd	<b>0.7240</b>	<b>0.7240</b>	<b>0.5235</b>	<b>0.7749</b>	<b>0.7739</b>	0.5677
	Worst	0.5015	0.5015	0.5015	0.7301	0.7290	<b>0.6423</b>
S-90	No Shift	0.7321	0.7316	0.6394	0.7582	0.7582	0.6600
	Rnd	<b>0.7542</b>	<b>0.7558</b>	0.6497	<b>0.7653</b>	<b>0.7679</b>	0.6765
	Worst	0.7285*	0.7324*	<b>0.6600*</b>	0.7489	0.7485	<b>0.6958</b>
S-95	No Shift	0.7466	0.7463	0.6834	0.7542	0.7544	0.7017
	Rnd	0.7468	0.7456	0.6894	0.7505	0.7507	0.6891
	Worst	<b>0.7607</b>	<b>0.7620</b>	<b>0.7212</b>	<b>0.7563</b>	<b>0.7571</b>	<b>0.7265</b>
S-101	No Shift	0.7578	n/a.	n/a.	0.7537	n/a.	n/a.
M-75	No Shift	0.9292	0.9229	0.8493	0.7302	0.7302	0.5972
	Rnd	<b>0.9302</b>	<b>0.9270</b>	0.8549	<b>0.7336</b>	<b>0.7326</b>	0.6209
	Worst	0.9268	0.9213	<b>0.8658</b>	0.7239	0.7242	<b>0.6848</b>
M-90	No Shift	0.9303	0.9296	0.9061	0.7368	0.7349	0.6485
	Rnd	<b>0.9337</b>	<b>0.9337</b>	0.9141	<b>0.7382</b>	0.7373	0.6734
	Worst	0.9327	0.9322	<b>0.9190</b>	0.7372	<b>0.7377</b>	<b>0.7193</b>
M-95	No Shift	0.9352	0.9342	0.9218	0.7416	0.7416	0.6902
	Rnd	<b>0.9378</b>	<b>0.9382</b>	0.9255	<b>0.7433</b>	<b>0.7442</b>	0.7107
	Worst	0.9363	0.9358	<b>0.9272</b>	0.7385	0.7388	<b>0.7226</b>
M-101	No Shift	0.9394	n/a.	n/a.	0.7478	n/a.	n/a.
Z-75	No Shift	0.8655	0.8618	0.7505	0.6484	0.6484	0.4825
	Rnd	<b>0.8760</b>	<b>0.8703</b>	0.7656	<b>0.6590</b>	<b>0.6546</b>	0.4759
	Worst	0.8726	0.8679	<b>0.7969</b>	0.6177	0.6177	<b>0.5701</b>
Z-90	No Shift	0.8777	<b>0.8790</b>	0.8327	0.6615	0.6645	0.5649
	Rnd	0.8748	0.8739	0.8264	<b>0.6646</b>	<b>0.6653</b>	0.5805
	Worst	<b>0.8791</b>	0.8775	<b>0.8540</b>	0.6606	0.6599	<b>0.6043</b>
Z-95	No Shift	0.8821	0.8802	0.8519	0.6671	<b>0.6675</b>	0.6064
	Rnd	<b>0.8854</b>	<b>0.8885</b>	<b>0.8654</b>	<b>0.6676</b>	0.6664	0.6125
	Worst	0.8818	0.8811	0.8614	0.6635	0.6648	<b>0.6327</b>
Z-101	No Shift	0.8822	n/a.	n/a.	0.6686	n/a.	n/a.

Table 2: Results on the  $D_l$  dataset using TBiNet with 900 and 1000 as sequence lengths. The performance drops according to both metrics if worst shift is applied, which implies that the model uses features which are not position-invariant. The worst performance improves on the test set, if the model was trained on augmented data.

length	train	AUROC			AUPR		
		No Shift	Rnd	W-of-20	No Shift	Rnd	W-of-20
900	No Shift	0.9423	0.9133	0.7702	<b>0.3168</b>	0.2305	0.0693
	Rnd	<b>0.9426</b>	<b>0.9364</b>	0.8881	0.3088	<b>0.2530</b>	0.1086
	W-of-20	0.9319	0.9303	<b>0.9055</b>	0.2258	0.2178	<b>0.1431</b>
1000	No Shift	0.9428	0.9302	0.8605	0.3185	0.2694	0.1268
	Rnd	<b>0.9453</b>	<b>0.9409</b>	0.9105	<b>0.3209</b>	<b>0.2860</b>	0.1644
	W-of-20	0.9380	0.9367	<b>0.9194</b>	0.2680	0.2564	<b>0.1838</b>

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