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## Epigenome-based Splicing Prediction using a Recurrent Neural Network

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## 23 **Abstract**

24 Alternative RNA splicing provides an important means to expand metazoan transcriptome  
25 diversity. Contrary to what was accepted previously, splicing is now thought to predominantly  
26 take place during transcription. Motivated by emerging data showing the physical proximity of  
27 the spliceosome to Pol II, we surveyed the effect of epigenetic context on co-transcriptional  
28 splicing. In particular, we observed that splicing factors were not necessarily enriched at exon  
29 junctions and that most epigenetic signatures had a distinctly asymmetric profile around known  
30 splice sites. Given this, we tried to build an interpretable model that mimics the physical layout  
31 of splicing regulation where the chromatin context progressively changes as the Pol II moves  
32 along the guide DNA. We used a recurrent-neural-network architecture to predict the inclusion  
33 of a spliced exon based on adjacent epigenetic signals, and we showed that distinct spatio-  
34 temporal features of these signals were key determinants of model outcome, in addition to the  
35 actual nucleotide sequence of the guide DNA strand. After the model had been trained and tested  
36 (with >80% precision-recall curve metric), we explored the derived weights of the latent factors,  
37 finding they highlight the importance of the asymmetric time-direction of chromatin context  
38 during transcription.

39

## 40 **Author Summary**

41 In humans, only about 2% of the genome is comprised of so-called coding regions and can give  
42 rise to protein products. However, the human transcriptome is much more diverse than the  
43 number of genes found in these coding regions. Each gene can give rise to multiple transcripts  
44 through a process during transcription called alternative splicing. There is a limited  
45 understanding of the regulation of splicing and the underlying splicing code that determines cell-

46 type-specific splicing. Here, we studied epigenetic features that characterize splicing regulation  
47 in humans using a recurrent neural network model. Unlike feedforward neural networks, this  
48 method contains an internal memory state that learns from spatiotemporal patterns – like the  
49 context in language – from a sequence of genomic and epigenetic information, making it better  
50 suited for characterizing splicing. We demonstrated that our method improves the prediction of  
51 splicing outcomes compared to previous methods. Furthermore, we applied our method to 49 cell  
52 types in ENCODE to investigate splicing regulation and found that not only spatial but also  
53 temporal epigenomic context can influence splicing regulation during transcription.

54

## 55 **Introduction**

56 Alternative splicing of pre-messenger RNA plays an integral role in diversifying the  
57 transcriptome. This process is more pervasive in higher eukaryotes and is estimated to affect  
58 approximately 95% of protein-coding genes in humans [1,2]. Accurate characterization of the  
59 process by which multiple functional protein products are produced from a single gene is crucial  
60 for understanding the function of the transcriptome [3].

61 Recent discoveries have revealed that splicing occurs predominantly during transcription in  
62 humans [4–8]. Nascent RNA is almost immediately spliced upon transcription [9,10] and introns  
63 are mostly spliced out during transcript elongation. This timing suggests that the recruitment of  
64 splicing factors and spliceosome assembly, detection of exon-intron boundaries, and modulation  
65 of alternative splicing must occur at the same time scale as transcription [9].

66 Co-transcriptional splicing indicates a key observation that splicing takes place progressively in  
67 the direction of RNA transcription, rather than processed simultaneously after transcription. As a  
68 result, the contexts of guide DNA, nascent RNA, and its immediate folded structure

69 progressively change as RNA polymerase II (Pol II) moves along the guide DNA strand [11] and  
70 may influence splicing regulation. Furthermore, co-transcriptional splicing signifies the physical  
71 proximity of the spliceosome assembly to Pol II and other transcriptional machinery [9]. Pol II  
72 physically interacts with nucleosomes and its histone modifications around them, modulating the  
73 transcription rate [12].

74 DNA sequence alone may not contain sufficient information to process alternative splicing  
75 deterministically [13]. Djebali et al. [4] and many others have shown that there is an enrichment  
76 of chromatin marks around spliced exons, suggesting the role of epigenetic modifications during  
77 context-dependent modulation of alternative splicing [14,15]. For example, exonic boundaries  
78 are characterized by increased levels of nucleosome density and positioning [16–18], DNA  
79 methylation [19,20], and strong enrichment of specific histone modifications including  
80 H3K36me3, H3K79me1, H2BK5me1, H3K27me1, H3K27me2, and H3K27me3 [16,17,21–23].

81 In addition, a recent genome-wide survey of alternative splicing showed that DNA methylation  
82 can either enhance or silence exon recognition in a context-dependent manner [24]. Furthermore,  
83 studies have shown that there is significant regulatory crosstalk between histone modifications  
84 during transcriptional elongation [12].

85 Despite many efforts to characterize the splicing regulatory code both experimentally and  
86 computationally, we have yet to understand how the cell type-specific epigenomic context is  
87 utilized during co-transcriptional splicing. Previous computational methods on splicing have  
88 largely focused on discovering novel splice junctions based on RNA sequencing (RNA-seq)  
89 alignments [25,26], utilizing machine learning approaches [27,28] including deep neural  
90 networks [29]. Only a limited set of tools can model splicing regulation based on genomic  
91 sequences and select RNA features [30–32]. Moreover, studies on splicing regulation have



92 focused heavily on identifying mutations that land within splice sites (SSs), cis-acting splicing  
93 regulatory elements, and trans-acting splicing factors [30,33]. The extent, nature, and effects of  
94 the epigenetic context in splicing regulation remain unsolved.

95 In this study, we propose a new computational approach to characterize the role of epigenetic  
96 modifications during co-transcriptional splicing. To build an interpretable model, we adopted a  
97 recurrent neural network (RNN) architecture, which to some degree resembles the physical  
98 characteristics of co-transcriptional splicing (Figure 1). The model can learn from a temporal  
99 sequence of epigenetic contexts, similar to how epigenetic contexts progressively change as Pol  
100 II moves forward along the guide DNA strand during co-transcriptional splicing. The RNN  
101 model allows us to predict the inclusion of exons based on adjacent DNA sequences and  
102 epigenetic modifications. Moreover, the physical resemblance of the model allows us to interpret  
103 the trained model weight parameters and explore the spatio-temporal links between the guide  
104 DNA elements and the surrounding epigenetic modifications. In summary, we leveraged the  
105 mechanistic properties of co-transcriptional splicing to build an interpretable splicing model, and  
106 we explored the trained model to understand the underlying characteristics of the epigenetic  
107 context during co-transcriptional splicing.

108

## 109 **Results**

110 We first explore the epigenetic data context around known splice sites in depth. We then describe  
111 the model and rationale for applying the specific architecture. Finally, we use the model to  
112 further examine the effect of epigenetic context during co-transcriptional splicing.

113

## 114 **Distinct epigenomic signatures characterize splicing regulation**

115 We studied the epigenetic context of alternative splicing by examining the enrichment of  
116 multiple histone modifications and DNA methylations around the exon-intron boundary. We  
117 mapped the epigenomic signatures around SSs of cassette exons at a base-pair resolution. We  
118 aggregated multiple histone modifications across 49 cell types in ENCODE and observed their  
119 enrichment as a function of distance from SSs (Figure 2A, B, Supplementary Figure 1, 2A, B).  
120 We found the most interesting trend within 100 bp of SSs for both the 3' acceptor and 5' donor.  
121 A strong enrichment pattern of H3K36me3 and H3K27me3 appeared around the exon boundary.  
122 Although studies have demonstrated a role for H3K36me3 in defining the exon-intron boundary  
123 [22,34], the dynamic interplay between other histone modifications has been overlooked. From  
124 the 3' acceptor, peak enrichment occurred around 100 bp into the exon; at the 5' donor, it was  
125 closer, at around 50 bp into the exon. We also observed a slight depletion of H3K27ac and  
126 H3K4me3 marks within 100 bp of the intron at the 3' acceptor SS but not within the 5' donor SS.  
127 As this region contains a branch site, these histone marks may indicate a role in defining the  
128 branch point.

129

### 130 **Enrichment of RNA-binding factors around splice sites**

131 Alternative splicing regulation is an elaborate process that requires precise coordination of  
132 multiple splicing factors and enzymes. Studies have shown that RNA-binding proteins (RBPs)  
133 facilitate splicing regulation during transcription [35]. For example, the serine/arginine-rich  
134 splicing factor family member SRSF7 binds to poised exons and promotes the inclusion rate  
135 [36][37]. Another member of the serine/arginine-rich splicing factor family, U2AF1, is  
136 responsible for mediating the binding of U2 small nuclear ribonucleoprotein to the pre-mRNA  
137 branch site [38]. The recent release of the ENCODE project included enhanced CLIP

138 experiments (eCLIP) datasets that span 112 RBPs from K562 and HepG2 cell types. As  
139 sequence-specific RBPs have been shown to facilitate splicing regulation in a context-specific  
140 manner [15], we investigated their spatial relationship to both the 5' donor and 3' acceptor  
141 splicing sites. Specifically, we investigated the enrichment of splicing factors (n=29) and their  
142 relative distance to these sites. We observed that, on average, splicing factors show preferential  
143 binding to the intronic side of the splicing site in both 3' acceptor and 5' donor SSs  
144 (Supplementary Figure 2C). Furthermore, we found that splicing factors may show slightly  
145 different patterns in their spatial binding preferences. In particular, hnRNP A1 and SRSF1 were  
146 enriched in the intronic region outside 3' SSs whereas SF3B4 and hnRNP C were enriched in the  
147 exonic region (Figure 2C). At 5' SSs, RBM22 and PRPF8 were bound at the exonic end, which  
148 has been shown to be critical for spliceosome assembly [39,40].

149

### 150 **Correlating epigenomic signatures to exonic expression**

151 We tested whether histone modifications have any effect on inclusion and expression of  
152 alternative exons. We observed a trend where enrichment of H3K36me3 at the exon-intron  
153 boundary was positively correlated with exonic expression, whereas H3K27me3 marks showed  
154 the opposite trend (Figure 3A, B, Supplementary Figure 3). Compared to excluded or nominally  
155 expressed alternative exons, highly expressed spliced exons had statistically significant  
156 enrichment of H3K36me3 and depletion of H3K27me3 at their exon-intron boundary (Figure  
157 3C). The contrasting trend and the correlation of these histone methylations to exonic expression  
158 suggest that the splicing code may be directly or indirectly encoded within the epigenomic  
159 context.

160

## 161 **Clustering biosamples based on splicing patterns**

162 Previous studies have shown that various epigenomic marks are correlated across similar tissues  
163 and cell types [41]. It is now widely accepted that the transcriptional regulatory circuitry of a  
164 particular cell type is reflected in its epigenetic landscape. To explore the potential linkage  
165 between epigenetic regulation and tissue-specific splicing, we examined splicing patterns across  
166 49 ENCODE biosamples. Based on a similarity of percent-splice-in (PSI) values for all coding  
167 exons (n=185,405), we clustered biosamples into five categories using hierarchical clustering  
168 (Figure 3D). Splicing patterns were highly correlated among tissue types from the same cell-of-  
169 origin, reproducing similar clustering results based on epigenetic marks. For example, blood-  
170 lineage cell types formed cluster C2 whereas brain and neural cells were clustered in cluster C4.

171  
172 In addition to using the PSI similarity matrix to cluster cell types into categories, we can project  
173 the cells onto a low-dimensional cell space using principal component analysis (PCA). We  
174 measured alternative splicing patterns in terms of exonic expression level (fragment per kilobase  
175 per million reads mapped, FPKM) across diverse ENCODE cell types and examined how cells  
176 are placed in the context of others. Interestingly, we observed that cancer-related cell lines were  
177 located proximal to each other in the PCA cell space (Supplementary Figure 4).

178

## 179 **Modeling splicing regulation: key characteristics of an RNN architecture**

180 To investigate the latent representation of splicing instruction encoded within the epigenomic  
181 context, we aimed to construct a predictive model of splicing. We opted for an RNN architecture,  
182 which has proven successful in various sequential information processing and prediction tasks

183 such as natural language processing and translation [42–44], to explore the contribution of the  
184 epigenomic context to the regulation of alternative splicing.  
185 We start by describing a simple RNN, which shares many of the features we intend to model. A  
186 simple RNN is made of many recurrent neurons that are sequentially linked to each other. A  
187 neuron at specific time point  $t$  is influenced by previous time point  $t - 1$ , combining some  
188 relationship of the current input  $x_t$  with the previous hidden state  $h_{t-1}$ .

189

$$h_t = f(h_{t-1}, x_t)$$

190

191 where  $h_t$  is hidden state at time  $t$  and  $x_t$  is input variable at time  $t$ . If we suppose the activation  
192 function as a hyperbolic tangent for a simple RNN, the state at time  $t$  can be represented as

193

$$h_t = \tanh(W_h^T h_{t-1} + W_x^T x_t + b)$$

194

195 where  $W_h$  and  $W_x$  are the weight of the hidden state and input variable, respectively, and  $b$  is the  
196 bias vector. The output can be expressed in terms of an output weight matrix,  $W_y$ , and a hidden  
197 state at time  $t$ ,  $h_t$ :

198

$$\hat{y}_t = S(W_y^T h_t)$$

199

200 where  $S$  is sigmoid function:

201

$$S(x) = \frac{e^x}{e^x + 1}$$

202

203 This time-dependency allows us to explore the complex contextual relationship between features.

204 In particular, we adopted the long short-term memory (LSTM) [45] model to describe an RNN

205 architecture. In principal, a simple RNN allows us to model a time-dependent task from

206 sequential data. However, in practice, the simple model suffers from the problem of vanishing

207 gradients, where the gradients responsible for updating weights with respect to the partial

208 derivative of error function becomes negligible in a long sequence and hampers the model from

209 learning long-term time dependencies. Therefore, we used both LSTM and gated recurrent unit

210 (GRU), which have many of the same simple intuitive properties of the simple RNN but allow

211 learning from longer sequences. The LSTM is an extension of the same idea that includes more

212 sophisticated gates, which allows the cell to retain long-term memory between cells while

213 avoiding the problem of vanishing gradients when training the network. The specific equations

214 for the LSTM model we adopted is shown in the Methods.

215

### 216 **Modeling splicing regulation: How the RNN architecture fits the problem**

217 The rationale for applying an RNN to our model is that (1) an RNN is optimized for processing

218 sequential information like genomic sequences and epigenomic profiles along genomic

219 coordinates, (2) an RNN has a time-direction resembling how RNA is transcribed by RNA

220 polymerase in the 5' to 3' direction, (3) temporal memory cells of an RNN allow the model to

221 learn about complex context-dependent relationships among epigenomic features, such as the

222 influence of features and input seen at  $t-1$  on the neural cell at time  $t$ , and (4) an RNN is very

223 flexible with the type of input and output data and therefore can easily integrate heterogeneous

224 sequential information. Not surprisingly, researchers recently have applied RNN models to the

225 area of genomics to predict non-coding DNA function [46] and to detect exon junctions [47].  
226 Moreover, since the mechanics of the RNN calculation is somewhat parallel to the actual spatial  
227 and temporal dependency found in co-transcriptional splicing, the overall results from the trained  
228 model are more readily interpretable. The data processing and implementation of the predictive  
229 models are collected in a package named Epigenome-based Splicing Prediction using Recurrent  
230 Neural Network (ESPRNN; available at <https://github.com/gersteinlab/esprnn>). Using our  
231 method, we attempted to decipher context-dependent effects of various epigenomic features on  
232 splicing for both canonical (e.g., dinucleotide GT for 5' donors and AG for 3' acceptors) and  
233 non-canonical SSs. Our model is especially useful since splicing signals are not only enriched at  
234 the splice site but often found up and downstream of splice sites.

235

### 236 **Modeling splicing regulation: Initial evaluation**

237 We used ESPRNN to predict alternate usages of cassette exons (inclusion or exclusion of exons),  
238 the most common form of alternative splicing events [48], using DNA sequences and  
239 epigenomic signals adjacent to SSs (Figure 4A). We used the exon definition of splicing, which  
240 is considered to be the dominant mechanism in higher eukaryotes [49]. Our model had an  
241 average F1 score (harmonic mean of the precision and recall) of 0.8472 for the LSTM-based  
242 model across cell types [0.8757 for the GRU-based model] using five core histone modification  
243 tracks (Figure 4B). The average F1 score marginally increased to 0.8573 when using 17 histone,  
244 chromatin accessibility, DNA methylation, and nucleosome density profiles.

245 We performed the splicing prediction with or without the RBP profile and measured how much  
246 predictive performance is gained from additional information. We observed a marginal  
247 improvement in predictive performance when RBP binding profiles were added to the baseline

248 model (measured in improvement of F1 score from 0.84 to 0.86) (Supplementary Figure 9A, B).  
249 This suggests RBP binding information may be redundant and already represented in the  
250 epigenetic features. We also compared prediction results from normal cell types to those from  
251 cancerous cell lines. Since previous studies on cancer-specific alternative splicing [50,51] have  
252 suggested potential linkage of aberrant splicing events to the disease risk [52–55], we expected  
253 to see differences in splicing regulation between normal and cancerous cell types. However, we  
254 did not observe a significant difference in prediction performance between normal and cancerous  
255 cell types (average F1 score for normal biosamples: 0.8465, cancerous biosamples: 0.8765). We  
256 also cross-tested a model trained from one cell type to another. After we fit our model to one cell  
257 type, we transferred the fitted weights and model parameters to predict splicing on other cell  
258 types. When we tested between cell types from the same cell-of-origin (e.g., train on adult liver  
259 model and test on HepG2 data, train on lung model and test on A549 data), we did not observe a  
260 significant difference in predictive performance. However, we observed a moderate reduction in  
261 splicing prediction performance when we cross-tested cells from different cell-of-origin  
262 (Supplementary Figure 5B, F1 score is better metric for comparing cross-cell testing due to class  
263 imbalance across cell types). Thus, the epigenomic regulatory landscape around SSs appears to  
264 be generally conserved across cell types. Moreover, we compared the classification performance  
265 to other models based on random forest and k-nearest neighbors and found that our model was  
266 superior in terms of classification accuracy (Figure 4D, Supplementary Figure 7).  
267 We tried to measure the contribution of each individual epigenetic feature to splicing in a  
268 number of ways. (1) We performed an empirical analysis via a leave-one-out strategy. Using  
269 GM12878 as an example, we first built a reference model based on all available epigenetic  
270 features. By removing one variable at a time, we then measured the mean decrease in F1 score



271 and area under the receiver operating characteristic curve (ROC AUC), as an indicator of  
272 variable importance (Figure 4C). (2) Alternatively, we trained a DNA-only model using DNA  
273 sequence features only and compared to a "baseline model." The baseline model was trained  
274 using DNA sequence features plus additional chromatin accessibility (DHS) and 6 histone marks.  
275 Here, we observed a significant loss of predictive performance in the DNA-only model (13%  
276 reduction in F1 score) (Supplementary Figure 6A). (3) Next, starting from the DNA-only model,  
277 we added one epigenetic feature at a time to measure the information gain from each feature  
278 (Supplementary Figure 6B). While the addition of some epigenetic features like H3K27ac  
279 increased the variability in prediction performance, an active mark H3K36me3 or a repressive  
280 mark H3K27me3 was the most informative at predicting splicing. Moreover, the combination of  
281 both H3K36me3 and H3K27ac further improved the prediction performance compared to other  
282 pairs (Supplementary Figure 6C). We observed that the combination of H3K36me3 and  
283 H3K27ac features together contributed more than when they were used individually  
284 (Supplementary Figure 6D).

285 Overall, we found H3K36me3 to be the most important variable in predicting splicing. This  
286 observation coincides with previous studies reporting that H3K36me3 recruits the splicing  
287 factors PTB [34] and SRSF1 [56] to facilitate splicing. Interestingly, one of the top predictors of  
288 splicing was H3K79me2, which was previously shown to associate with H3K36me3 at gene  
289 bodies [57]. H3K9me3, a histone modification that can recruit adaptor proteins like HP1 to  
290 facilitate splicing factors [24], was also ranked among the top predictors.

291

292 **Interpretation of weights of the splicing model**

293 Since the model follows the physical layout of splicing regulation, one can examine the trained  
294 model and learn from the trained weights how each epigenetic feature contributes to splicing  
295 regulation. To interpret the splicing model, we designed an LSTM-based model composed of  
296 only one hidden state and trained for a longer period (400 epochs). We made sure that this  
297 simplified model performs nearly as well at predicting splicing as our main model (usually after  
298 >20 epochs of training, Supplementary Figure 8A). We also made sure that the overall predictive  
299 performance of the simplified model is stable after approximately 100 epochs (Supplementary  
300 Figure 8B, C). When we analyzed the simplified model, we found that the trained weights of  
301 various gates at the recurrent unit showed that open chromatin (DHS), H3K27ac, K3K36me3,  
302 and H3K4me1 are weighted more highly than other epigenetic features -- as expected  
303 (Supplementary Figure 8D). We also noticed that H3K27me3 and K3K9me3 were negatively  
304 weighted at the input gate, suggesting that these features have a negative impact on exon  
305 inclusion, consistent with our previous findings.

306

### 307 **Influence of temporal epigenetic context on splicing regulation**

308 We specifically designed our splicing model to represent the physical layout of splicing  
309 regulation, where a sequence of chromatin contexts is fed progressively to the model. Therefore,  
310 the model takes into account the temporal direction (progression from 5' to 3' in direction). To  
311 show that model has learned this asymmetric temporal relationship of epigenetic features, we  
312 first trained a baseline model (in the normal 5' to 3' direction) and then fed a series of epigenetic  
313 signals in a “reverse” order (3' to 5' in direction) as input to it. We observed how the model  
314 prediction behaved in this context. If the model was agnostic to the temporal direction of features,  
315 both forward and reverse input features should give the same predictive power. In fact, we saw a

316 moderate decrease in prediction performance (Supplementary Figure 9A, B), with an F1 score  
317 decreasing from 0.871 to 0.865 and ROC AUC decreasing from 0.886 to 0.865.

318

## 319 **Discussion**

320 Our prediction model revealed that the epigenomic signature of an SS plays a large role in  
321 determining the splicing outcome. In addition, the positive results suggest that our model can be  
322 extended to predict the full transcriptomic composition from a genomic and epigenomic context.  
323 We expect that we could further improve the proposed model by adding more deep hidden layers  
324 and increasing the number of training samples by utilizing the full set of available epigenomic  
325 data in the ENCODE project. Our approach does contain some limitations, as it is still  
326 challenging to visualize and evaluate the multi-dimensional context of the weight matrix in the  
327 trained model. We could apply dimensionality reduction techniques to probe the latent  
328 representation of relationships between various epigenomic signals.

329 In this study, we used ENCODE polyA RNA-seq assays to measure splicing and exon-level  
330 expression; we note that this is an indirect measure of what is actually happening during  
331 transcription. RNAs are often unstable and may be subjected to many post-transcriptional  
332 modifications. RNA-seq measures the steady-state level of the transcript, accounting for both  
333 mRNA synthesis and decay. Future studies with a more direct measure of transcriptional rates,  
334 such as nuclear run-on assays like global run-on (GRO-seq) or bromouridine sequencing (Bru-  
335 seq), will allow us to accurately measure the effect of epigenomic context on splicing and,  
336 ultimately, on the transcriptional rate.

337 Future studies should focus on comparing splicing models from normal and cancer samples in  
338 the hope of illuminating the differences in the epigenomic landscapes of splicing regulation.

339 Although splicing is an elaborate process, it could become pathogenic when misregulated [58,59].  
340 Unsurprisingly, aberrant splicing events, which collectively referred to splicing events that could  
341 confer the risk of a disease, are often implicated in systemic diseases like cancer [51,60].  
342 Aberrant splicing events based on mutations are relatively well characterized [54,60–62];  
343 however, a large fraction of aberrant splicing events that have no direct mutational cause still  
344 remain unknown. Although our understanding of epigenomic context on splicing regulation is  
345 incomplete, our prediction model highlights that splicing is elaborately regulated via various  
346 epigenomic signatures. This suggests that epigenomic dysregulation may be closely linked to the  
347 onset of aberrant splicing. Thus, even though aberrantly spliced RNAs in healthy cells may be  
348 degraded by the mRNA surveillance system, epigenomic dysregulation may render this  
349 checkpoint system useless. Further studies on cell-type-specific and context-dependent splicing  
350 regulation will reveal whether epigenetic modulation can serve as a therapeutic method of  
351 complex disease in the future.

352

## 353 **Methods**

### 354 **Dataset**

355 The current release of the ENCODE dataset provides an unprecedented number of functional  
356 assays across broad biosample types, including primary cells and tissues. In this study, we  
357 leveraged both the breadth and depth of ENCODE, including assays for histone modification  
358 (chromatin immunoprecipitation sequencing, ChIP-seq), chromatin accessibility (DNase I  
359 hypersensitive sites sequencing, DNase-seq), RBPs (eCLIP), methylations (WGBS and RRBS)  
360 and gene expression (RNA-seq), to systematically probe the data-rich context of alternative

361 splicing and its regulation. The list of accessions for experiments used in this study is found in  
362 Supplementary Table 1.

363

### 364 **Processing of RNA-seq data**

365 To quantify levels of exon expression from RNA-seq data, we collected all raw sequencing reads  
366 from experiments tagged as reference epigenome series from the ENCODE portal. These reads  
367 were polyA plus long RNA-seq (200 bp or larger) from whole-cell fractions rather than nuclear  
368 or cytosolic fractions. To minimize potential batch effects and sample bias, we carefully selected  
369 untreated experiments from the reference epigenome series. As of November 2019, there are 81  
370 cell and tissue types (covering 49 unique biosamples) in the reference epigenome series,  
371 including both RNA-seq and ChIP-seq of H3K4me1, H3K4me3, H3K36me3, H3K27ac,  
372 H3K27me3, and H3K9me3. We first aligned all RNA-seq data to the GRCh38 genome using  
373 RNA STAR (v 2.7.0). Since the model requires splice site annotation, we constructed exon  
374 annotation from GENCODE version 24 (to synchronize with ENCODE annotation) by extracting  
375 all unique exons with known protein-coding transcripts. We excluded exons that could  
376 ambiguously map to both chromosome X and Y. This analysis included 597,937 exons (185,405  
377 unique exons after removing duplicates from isoforms) that averaged 28.01 exons per gene and  
378 296.49 bp in length (150.92 bp in length for unique exons). We obtained read counts at each  
379 exon using HTSeq (v0.11.2) [63]. Based on read counts, we used a custom script  
380 (esprnn/preproc\_calcExonFPKM.py) to calculate normalized exonic expression levels in FPKM.  
381 Our rationale for using the exonic expression was to intentionally make the model agnostic to the  
382 overall transcript level. Each exon was evaluated independently from other exons, and we  
383 counted the number of sequencing reads supporting the inclusion of a particular exon. The

384 counts were normalized similar to how a gene's expression is normalized by size of annotation  
385 and total number of mapped reads (FPKM). We binarized the exonic expression level (FPKM)  
386 using a threshold of one. Therefore, we only considered whether an exon has enough evidence  
387 supporting exon inclusion.

388

389 In addition to the exonic expression level, alternatively, we calculated a metric, PSI, to measure  
390 the level of splicing. PSI represents the fraction of the reads supporting exon inclusion from the  
391 split reads at the splice junction. We used a custom script (esprnn/scripts/calcPSI.sh) based on  
392 equations from Schafer et al. [64] to calculate PSI normalized by the size of read and exon  
393 annotation.

394

$$\tilde{F}_i^{incl} = \frac{F_i^{incl}}{L_i + L_f}$$

$$\tilde{F}_i^{excl} = \frac{F_i^{excl}}{L_f}$$

$$PSI (\Psi) = \frac{\tilde{F}_i^{incl}}{\tilde{F}_i^{incl} + \tilde{F}_i^{excl}} \%$$

395

396  $F_i^{incl}$  number of reads or fragments supporting the inclusion of  $i$ -th exon;  $F_i^{excl}$  number of reads  
397 or fragments supporting the exclusion of  $i$ -th exon;  $L_f$  fragment length;  $L_i$  size of  $i$ -th exon.

398

### 399 **RNA-binding proteins**

400 RBP enrichment was calculated based on the peaks identified from the eCLIP experiments. We  
401 downloaded the ENCODE eCLIP uniformly processed peaks from K562 and HepG2 cell types

402 (see Supplementary Table 1 for eCLIP data accession). The peak was called using CLIPPER  
403 software [65] and filtered for peaks having a score of 1,000. We then counted numbers of RBP  
404 binding events at a base-pair resolution, agnostic to cell type.  
405 To examine preferential binding patterns of splicing factors around SSs, RBP peaks were  
406 annotated as splicing-related factors if they belong to hnRNP- and SR-families (n=29). We  
407 extended both 3' acceptor and 5' donor SS by 1,000 bp in both up and downstream direction and  
408 binned the region into 100 bp intervals. We defined the position relative to the distance to the SS,  
409 in the 5' to 3' direction. For each interval, we calculated the frequency of splicing factor binding  
410 normalized to the size of the interval. The value of RBP enrichment means the normalized  
411 binding frequency of splicing-related factors.

412

### 413 **LSTM model**

414 We adopted the following equations for the modeling of splicing using LSTM.  $\sigma$  function  
415 denotes sigmoid function.  $\otimes$  denotes Hadamard product where two matrices are multiplied in a  
416 pair-wise fashion.  $x_t$  denotes input vector and  $h_t$  denotes output vector,  $f_t$  denotes forget gate  
417 vector,  $i_t$  denotes input or update gate vector,  $o_t$  denotes output gate vector,  $c_t$  denotes cell state  
418 vector.

419

$$f_t = \sigma(W_{hf}^T h_{t-1} + W_{xf}^T x_t + b_f)$$

$$i_t = \sigma(W_{hi}^T h_{t-1} + W_{xi}^T x_t + b_i)$$

$$o_t = \sigma(W_{ho}^T h_{t-1} + W_{xo}^T x_t + b_o)$$

$$g_t = \tanh(W_{hg}^T h_{t-1} + W_{xg}^T x_t + b_g)$$

$$c_t = f_t \otimes c_{t-1} + i_t \otimes g_t$$

$$h_t = o_t \otimes \tanh(c_t)$$

420

## 421 **GRU model**

422 We adopted the following equations for the modeling of splicing using GRU.  $x_t$  denotes input  
423 vector and  $h_t$  denotes output vector,  $z_t$  denotes update gate vector and  $r_t$  denotes reset gate  
424 vector.

425

$$z_t = \sigma(W_{hz}^T h_{t-1} + W_{xz}^T x_t + b_z)$$

$$r_t = \sigma(W_{hr}^T h_{t-1} + W_{xr}^T x_t + b_r)$$

$$h_t = (1 - z_t)h_{t-1} \otimes + z_t \otimes \tanh(W_{hh}^T (r_t \otimes h_{t-1}) + W_{xh}^T x_t + b_h)$$

426

## 427 **Pre-processing of data for the training model**

428 We selected six normal and three cancer samples from the reference epigenome series. The  
429 dataset contains consolidated epigenomes from the Roadmap Epigenomics Consortium [41] and  
430 the ENCODE Consortium. All datasets were uniformly processed and mapped to the GRCh38  
431 human reference genome. All samples contained a core set of histone modification tracks  
432 (H3K4me1, H3K4me3, H3K36me3, H3K27ac, H3K27me3, and H3K9me3) as well as RNA-seq  
433 data. We used additional histone modification tracks, as well as DNase I hypersensitivity, DNA  
434 methylation, and nucleosome positioning tracks, to predict alternative splicing upon availability.  
435 Detailed information on datasets used can be found in Supplementary Table 1. For each exon, we  
436 obtained DNA sequences at intron-exon boundaries (3' acceptors) and exon-intron boundaries (5'  
437 donors), as well as 100 bp upstream and downstream of SSs. Splice junctions included both  
438 canonical and non-canonical SSs. We processed all sequences to read in the 5' to 3' direction



439 using strand information from each gene. Each 400 bp DNA sequence was encoded into a 1,000  
440 by 4 binary array using one-hot encoding. We used RNA-seq expression profiles to indicate  
441 tissue-specific alternative splicing patterns. Genes having fewer than two exons were discarded  
442 and the first and last exons were excluded from the analysis. We classified an exon as being  
443 expressed if its FPKM was greater than or equal to 1. We normalized all ChIP-seq histone  
444 modification tracks and DNase-seq tracks over corresponding input signal tracks using MACS  
445 v2.0.10 (<https://github.com/taoliu/MACS>) [66]. We used negative log<sub>10</sub> of the Poisson p-value  
446 to measure the enrichment level over the background. Due to the wide dynamic range observed,  
447 we used a p-value threshold of 1e-2 for the upper limit. We processed all feature tracks including  
448 DNA methylation and nucleosome signal tracks to read in the 5' to 3' direction and scaled them  
449 to a range of 0 to 1.

450

#### 451 **Performance evaluation of the model**

452 There is no single metric that can give you a measure of performance in a binary classification  
453 problem. Relying on one metric can be misleading especially when there is high class imbalance.  
454 Therefore, we employed various metrics to measure the performance of the predictive model.  
455 ROC curve explains the tradeoff between true-positive rate (TPR) and false-positive rate (FPR).  
456 PR curve visualizes the tradeoff between positive predictive value (PPV) and true-positive rate  
457 (TPR).

458

$$Precision = \frac{tp}{tp + fp}$$

$$Recall = \frac{tp}{tp + fn}$$

$$Accuracy = \frac{tp + tn}{tp + tn + fp + fn}$$

459

460 In addition, we used F1-score, which is the harmonic mean of precision and recall, to measure  
461 the performance of the splicing model.

$$F_1 = 2 \cdot \frac{precision \cdot recall}{precision + recall}$$

462

### 463 **Hyperparameter tuning of splicing model and training**

464 We tested a range of dimensions and depths of RNN models and network design  
465 hyperparameters to optimize the alternative splicing model. We chose optimal hyperparameters  
466 by tuning one parameter at a time while fixing the rest. Hyperparameters included but were not  
467 limited to the number of recurrent layers, size of neurons in each layer, pooling strategy, dropout  
468 rate, choice of activation function and loss function, optimizer, and number of the epoch. We  
469 shuffled the order of the data and split the dataset into training and test sets using an 80 to 20%  
470 ratio. 20% of test data was set aside for the performance evaluation. 80% of training data was  
471 split again between 80 to 20% (64 and 16% of the original data) for fitting the model and  
472 validating the model fit during the training phase. We fed a range of sequences from 50 to 1,000  
473 bp within each SS and found the 400 bp span to be the ideal size for the model. For the neural  
474 network architecture, we achieved the best result when two RNN units were stacked together,  
475 which allowed the model to learn higher-level temporal representations. We used a hidden state  
476 size of two by default and we recommend not using a hidden state size greater than 128 to avoid  
477 overfitting problems (Supplementary Figure 8A). We applied three variants of the RNN model,  
478 LSTM [45], GRU [67], and simple RNN. To compare the performance of memory-based units

479 (LSTM and GRU), we implemented a simple RNN model using the same network architecture.  
480 We found that both LSTM and GRU were capable of learning long-term dependencies and were  
481 effective in learning high-dimensional contextual relationships between epigenomic features  
482 around the SSs. We split the input sequences into two parts where the first half represented a 3'  
483 acceptor SS and the latter half represented a 5' donor SS. We fed these sequences into two  
484 separate RNN units of size 200 and merged them into another RNN unit of size 400. The last  
485 RNN layer was followed by a dropout layer to prevent overfitting of the training dataset. The last  
486 fully-connected layer contained the softmax activation function for classifying exons as either  
487 spliced or unspliced. To train the model, we used a binary cross-entropy objective function with  
488 the Adam optimizer [68]. For each dataset, we trained the model for 20 epochs. We tested the  
489 implementation of ESPRNN using TensorFlow v2.0 (<https://www.tensorflow.org>). Our  
490 implementation also works with Keras v1.0.3 or v2.2.4 (<https://github.com/fchollet/keras>) with  
491 either TensorFlow v1.15 and Theano v0.8.2 [69] backend with a minor tweak. We used various  
492 Nvidia GPUs (Titan K20m, K80, GTX 1080ti, RTX2080, P100, and Titan V) to train the model.

493

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497

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687  
688

689 **Supporting Information Legend**

690 **Supplementary Table 1**

691 **List of datasets and the accession numbers used for the study.**

692

693 **Supplementary Table 2**

694 **Overview of dataset used for training the ESPRNN model.** The model was trained using the

695 CORE (highlighted in red) and FULL set based on the availability of data. The CORE set was

696 used to compare the predictive performance across cell types.

697

698 **Supplementary Table 3**

699 **ESPRNN model prediction performance measured by F1 score.** Predictive performance was

700 compared between the CORE and FULL set of genomic features. For each set, performance was

701 compared using LSTM, GRU, and simple RNN models. Predictive performance was measured

702 by F1 score.

703

704 **Supplementary Table 4**

705 **Comparison of models trained with 50 bp span and 100 bp span data.** Each model was

706 trained using genomic features derived from 50 bp span or 100 bp span data from splice sites

707 using the LSTM model. Performance was measured using F1 score and ROC AUC.

708

709 **Supplementary Figure 1**



710 (Shadow figure of the main Figure 2A) Enrichment of various epigenomic marks of HepG2 at  
711 the exon-intron boundary. High PSI indicates exon inclusion, mid PSI indicates exons with 40-  
712 60% PSI, and low PSI indicates exon skipping.

713

#### 714 **Supplementary Figure 2**

715 (Shadow figure of the main Figure 2B) Comparison of epigenetic enrichment around different  
716 segments of the 3' acceptor site for (A) K562 and (B) HepG2. High PSI indicates exon inclusion,  
717 mid PSI indicates exons with 40-60% PSI, and low PSI indicates exon skipping. Mann-Whitney-  
718 Wilcoxon two-sided test, ns:  $0.05 < p \leq 1$ ; \*:  $0.01 < p \leq 0.05$ ; \*\*:  $0.001 < p \leq 0.01$ ; \*\*\*:  
719  $0.0001 < p \leq 0.001$ ; \*\*\*\*:  $p \leq 0.0001$ . (C) Fold enrichment of splicing-related RBPs to non-  
720 splicing-related RBPs around the 3' acceptor splice site and 5' donor splice site.

721

#### 722 **Supplementary Figure 3**

723 Correlation of exonic expression (FPKM) and histone enrichment of (A) HepG2 H3K36me3, (B)  
724 HepG2 H3K27me3, (C) liver H3K36me3, and (D) liver H3K27me3. PCC: Pearson Correlation  
725 Coefficient.

726

#### 727 **Supplementary Figure 4**

728 Splicing patterns based on exonic expression level (FPKM) for diverse ENCODE cell types are  
729 projected on a PCA cell space.

730

#### 731 **Supplementary Figure 5**

732 **(A)** Difference in splicing prediction performance when RBP binding profiles were added as an  
733 additional feature of the base model containing chromatin accessibility and histone marks. **(B)**  
734 Cross-cell testing of model. Model was trained on HepG2 data and tested on K562 data, and vice  
735 versa.

736

### 737 **Supplementary Figure 6**

738 **(A)** Comparison of the baseline model trained using chromatin accessibility and 6 histone marks  
739 to a model using DNA sequence feature only **(B)** Measure of information gain from additional  
740 epigenetic feature based on DNA sequence only model **(C)** Comparison of splicing prediction  
741 performance using a pair of epigenetic features.

742

### 743 **Supplementary Figure 7**

744 Comparison of LSTM-based model with other machine learning algorithms. Four different  
745 algorithms, k-Nearest neighbor (kNN), decision tree, random forest, and support vector machine  
746 (SVM), were compared to the LSTM-based model across four different tissue types (A549,  
747 HepG2, GM12878, K562).

748

### 749 **Supplementary Figure 8**

750 **(A)** Comparison of splicing prediction performance across different sizes of hidden state. **(B)**  
751 Loss of training an LSTM model with 1 hidden layer for 400 epochs. **(C)** Accuracy of training an  
752 LSTM model with one hidden layer for 400 epochs. **(D)** Trained weights of LSTM recurrent  
753 cells.

754

755 **Supplementary Figure 9**

756 Comparison of splicing prediction performance when input features are reversed in time-  
757 direction via a (A) precision-recall curve and a (B) ROC curve.

758

759 **Figure Legend**

760 **Figure 1**

761 Overview of the co-transcriptional splicing model. Depiction of co-transcriptional splicing in  
762 terms of (A) biological context, (B) genomic and epigenomic data context, and how it relates to  
763 the (C) RNN model.

764

765 **Figure 2**

766 (A) Enrichment of various epigenomic marks of K562 at the exon-intron boundary. We  
767 aggregated histone modifications up to 500 bp upstream and downstream of intronic and exonic  
768 regions flanking 3' and 5' SSs for cassette exons across ENCODE cell types. High PSI indicates  
769 exon inclusion, mid PSI indicates exons with 40-60% PSI, and low PSI indicates exon skipping.  
770 (B) Statistical significance testing of epigenetic mark enrichment. Average histone modification  
771 enrichment at four exonic segments were compared based on PSI values. Mann-Whitney-  
772 Wilcoxon two-sided test, ns:  $0.05 < p \leq 1$ ; \*:  $0.01 < p \leq 0.05$ ; \*\*:  $0.001 < p \leq 0.01$ ; \*\*\*:  
773  $0.0001 < p \leq 0.001$ ; \*\*\*\*:  $p \leq 0.0001$ . (C) RBP enrichment across the exon-intron boundary.

774

775 **Figure 3**

776 Correlation of exonic expression to (A) H3K36me3 and (B) H3K27me3. The line represents a  
777 linear regression model fit, and the shaded band represents 95% confidence interval. (C)

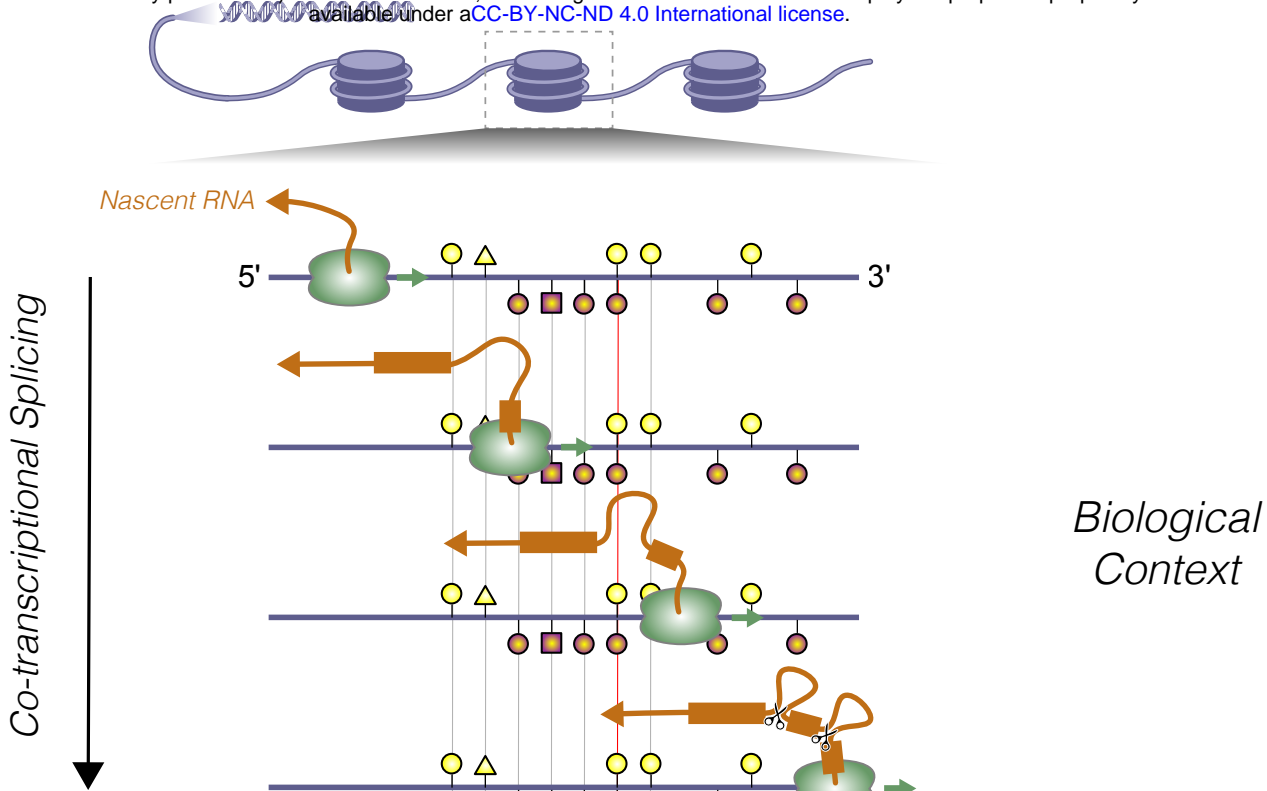
778 Alternative exons were grouped by expression level and their relative histone enrichment was  
779 compared near the SSs. Asterisks represents statistical significance using the Wilcoxon rank sum  
780 test; (\*)  $P \leq 0.05$ , (\*\*)  $P \leq 0.01$ , (\*\*\*)  $P \leq 0.001$ , (\*\*\*\*)  $P \leq 0.0001$ . **(D)** Hierarchical  
781 clustering of similarity based on PSI across 49 ENCODE biosamples. The results are clustered  
782 into five categories of cell types.

783

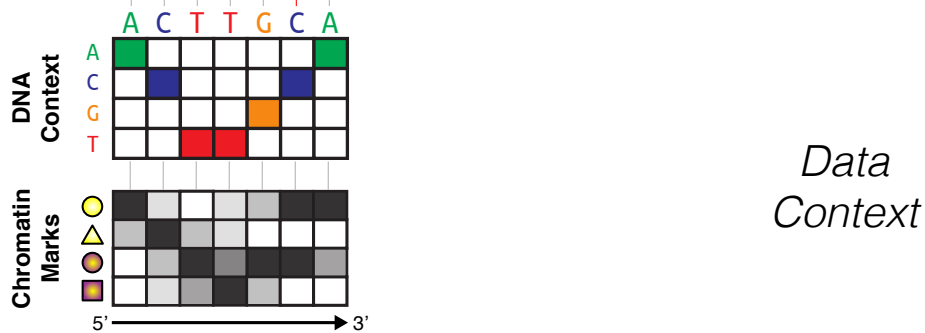
#### 784 **Figure 4**

785 **(A)** Overview of the ESPRNN model. The model is composed of two recurrent layers. Inputs  
786 from 3' and 5' SSs are separately processed in the first recurrent layer and then merged in the  
787 next recurrent layer. A softmax classifier is used to determine the inclusion of the exon. Using  
788 genomic sequences and epigenomic contexts as input, the alternative usage of the exon is  
789 predicted. **(B)** Precision-recall curves from six different ENCODE cell types. **(C)** Epigenetic  
790 features that contribute to splicing regulation. The order and magnitude of importance was  
791 determined using leave-one-out analysis and loss of the ROC AUC was calculated when training  
792 the model lacking a particular feature. **(D)** Comparison of LSTM model with other models based  
793 on k-nearest neighbor, support vector machine, decision tree, and random forest algorithms.

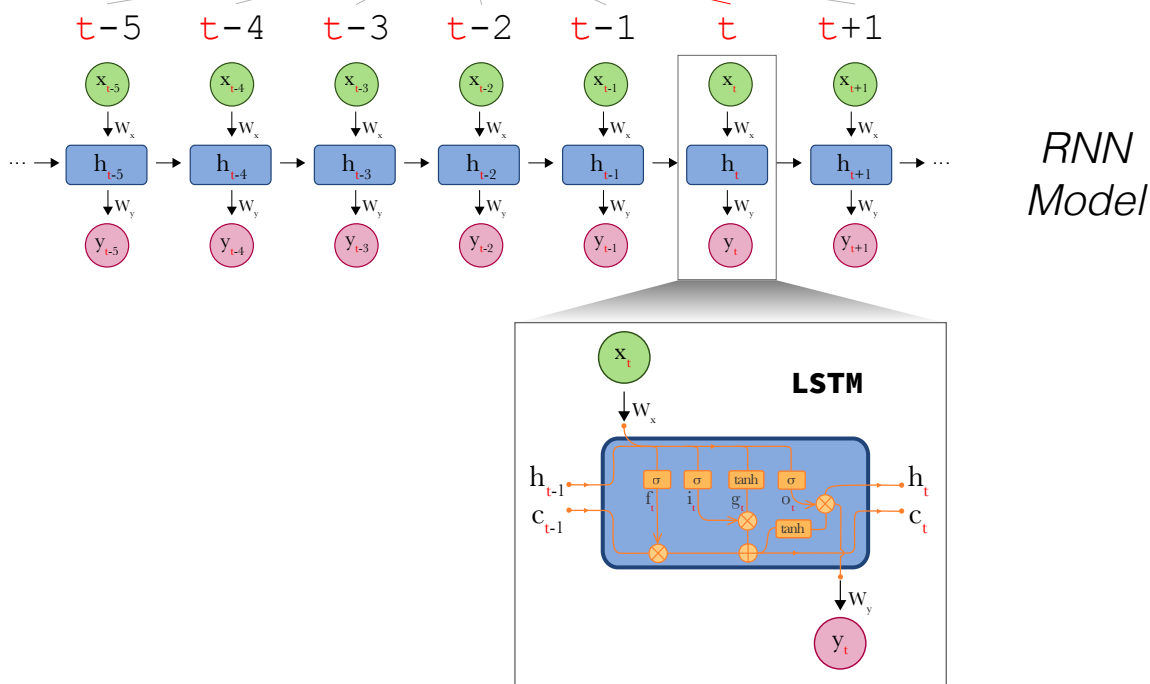
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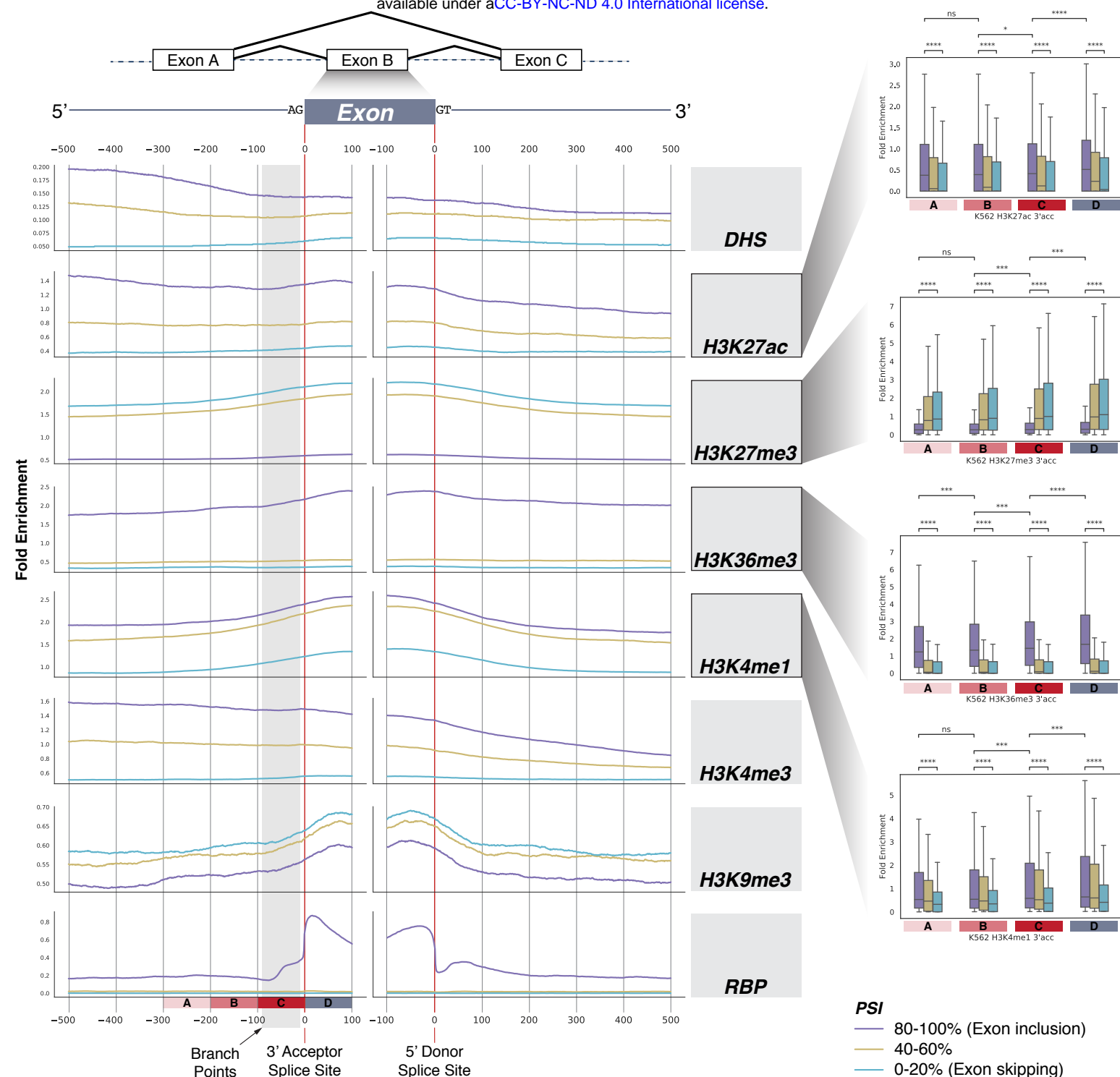
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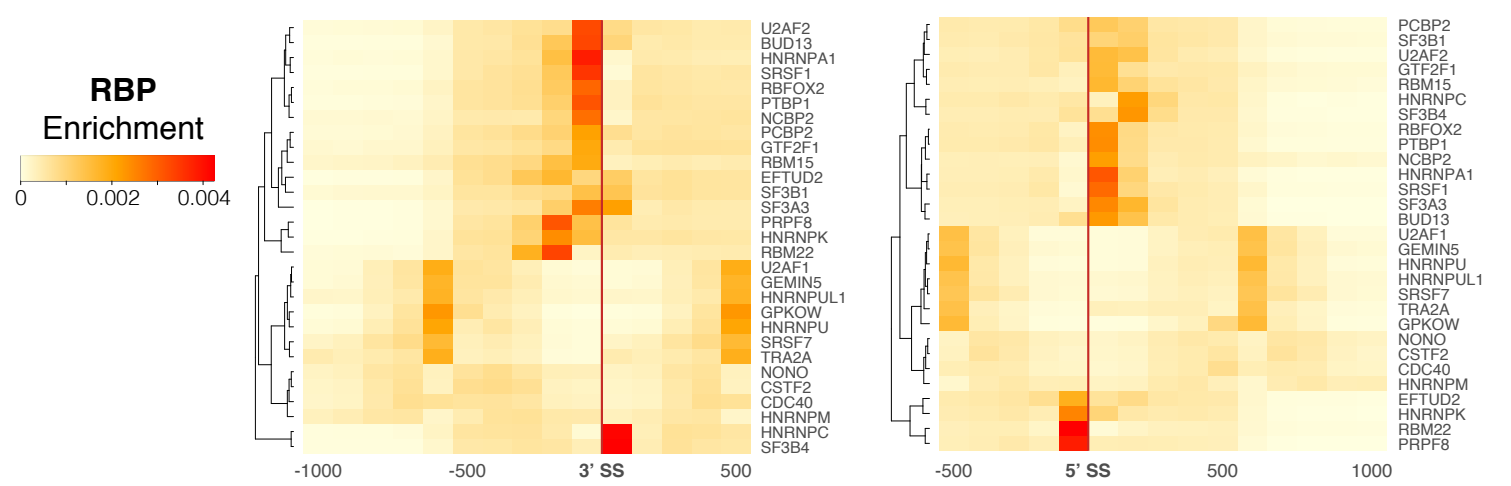
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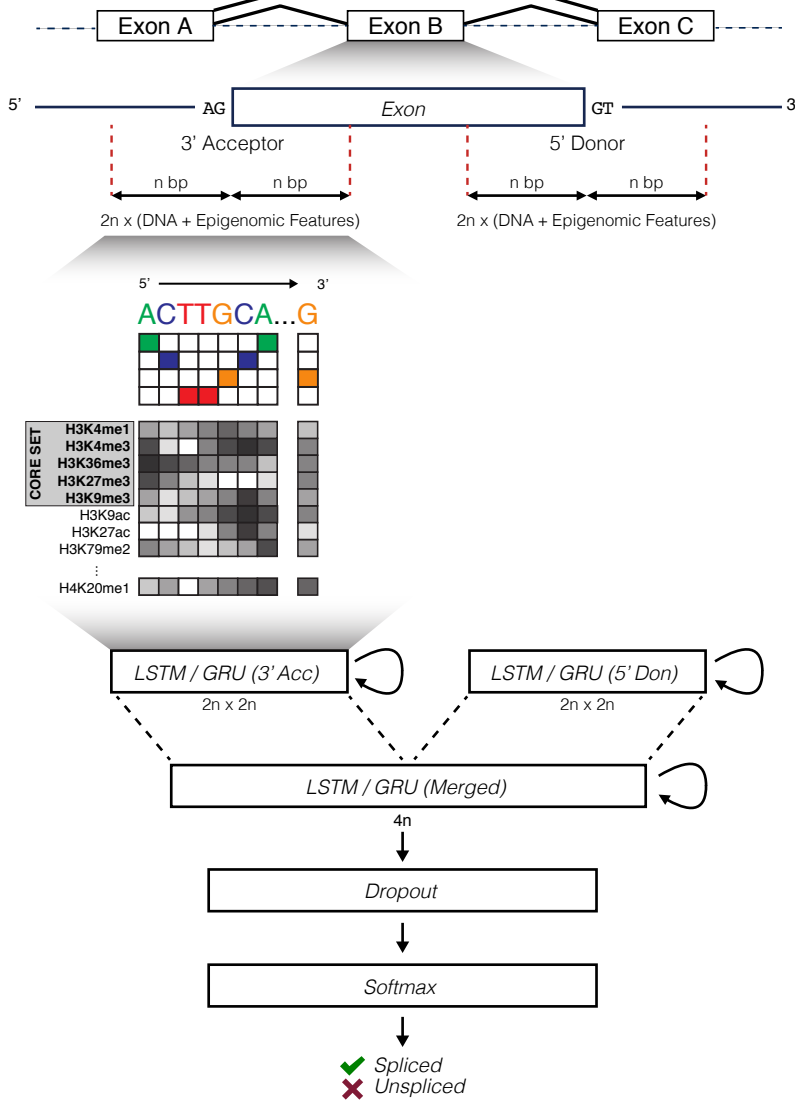


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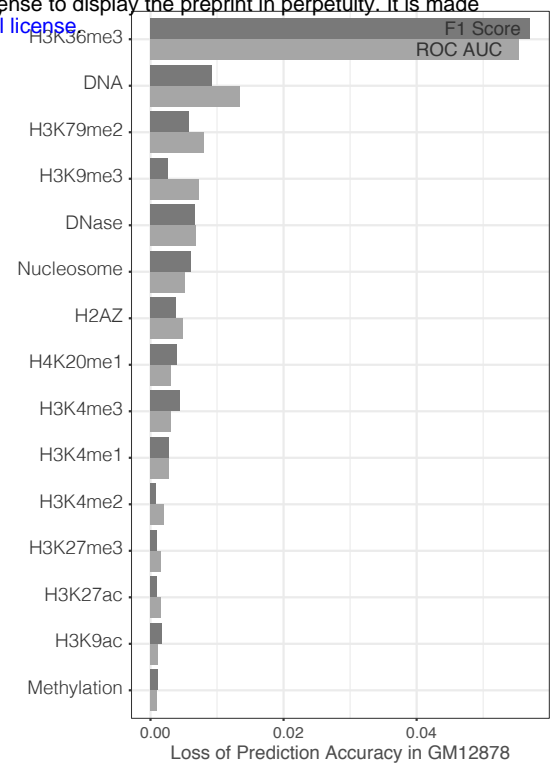




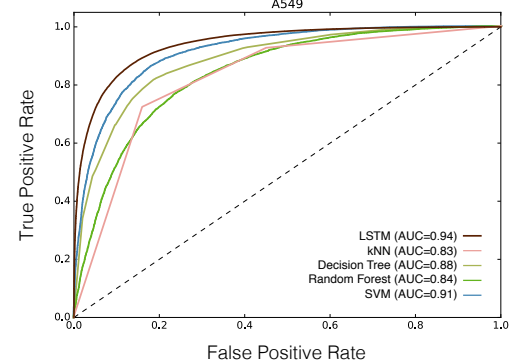
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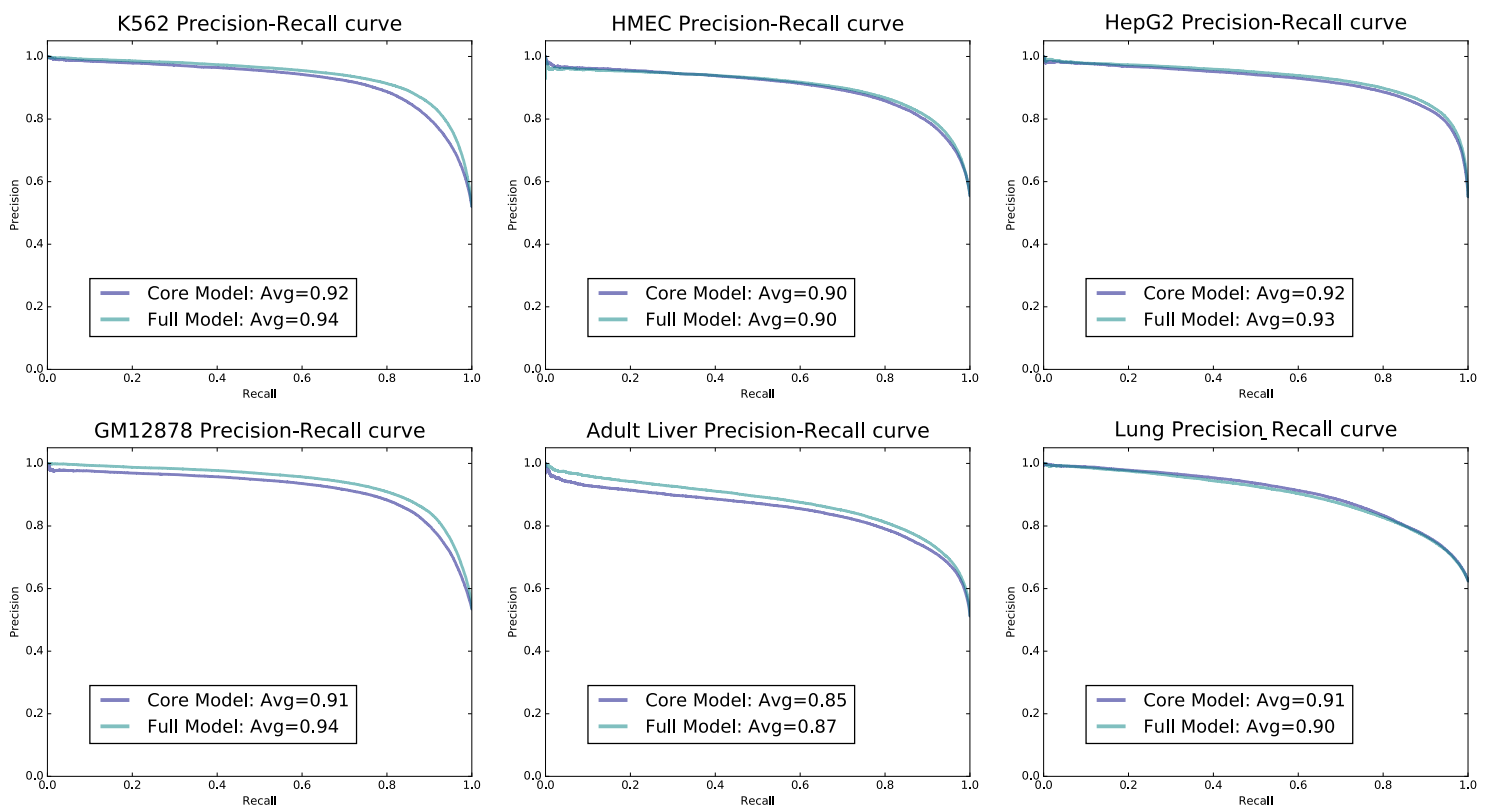
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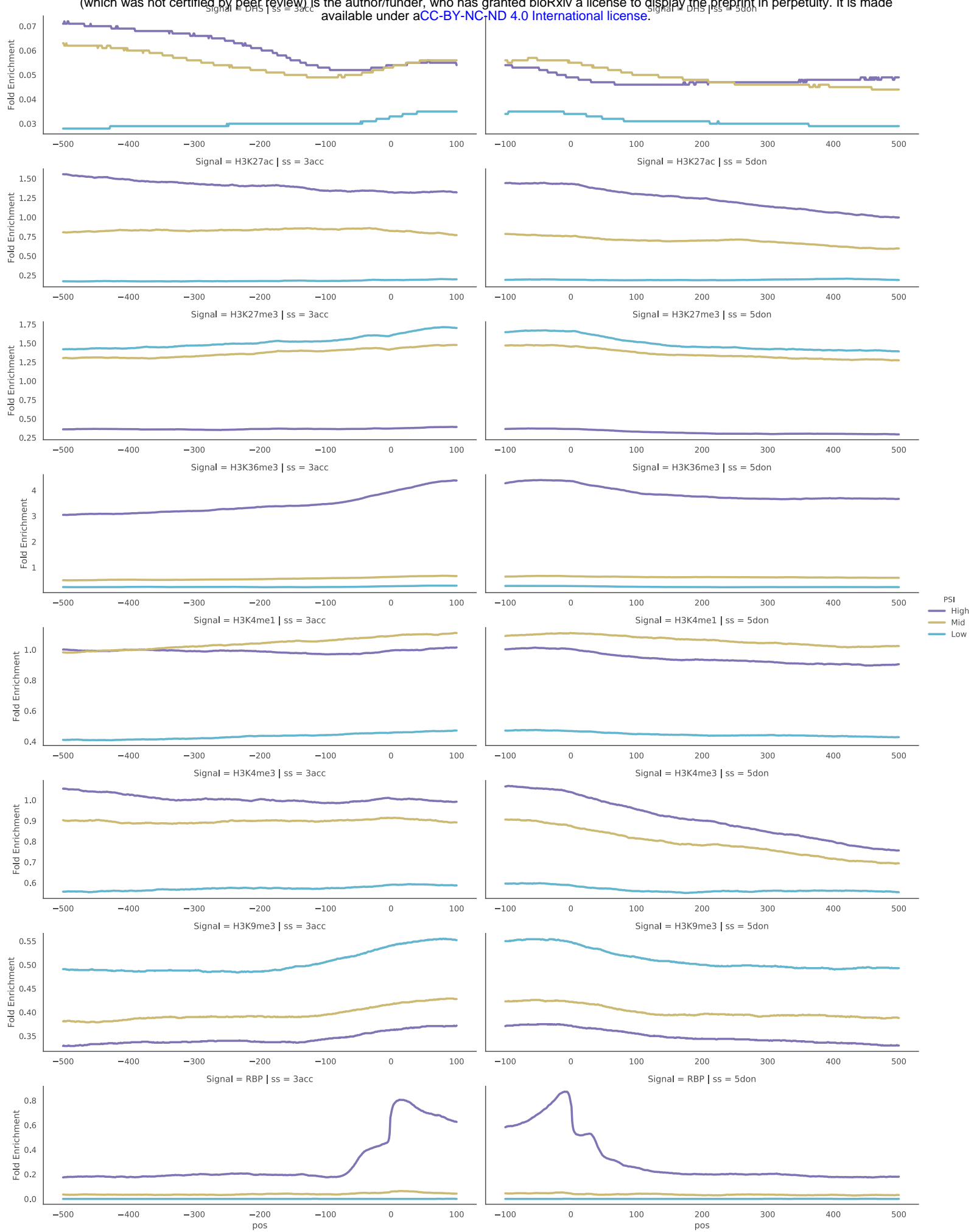
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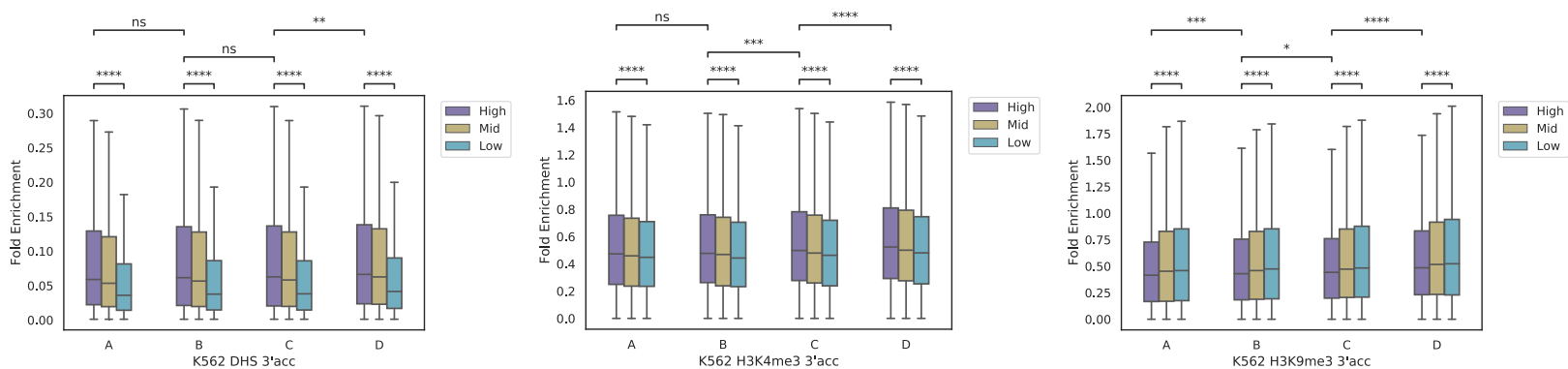
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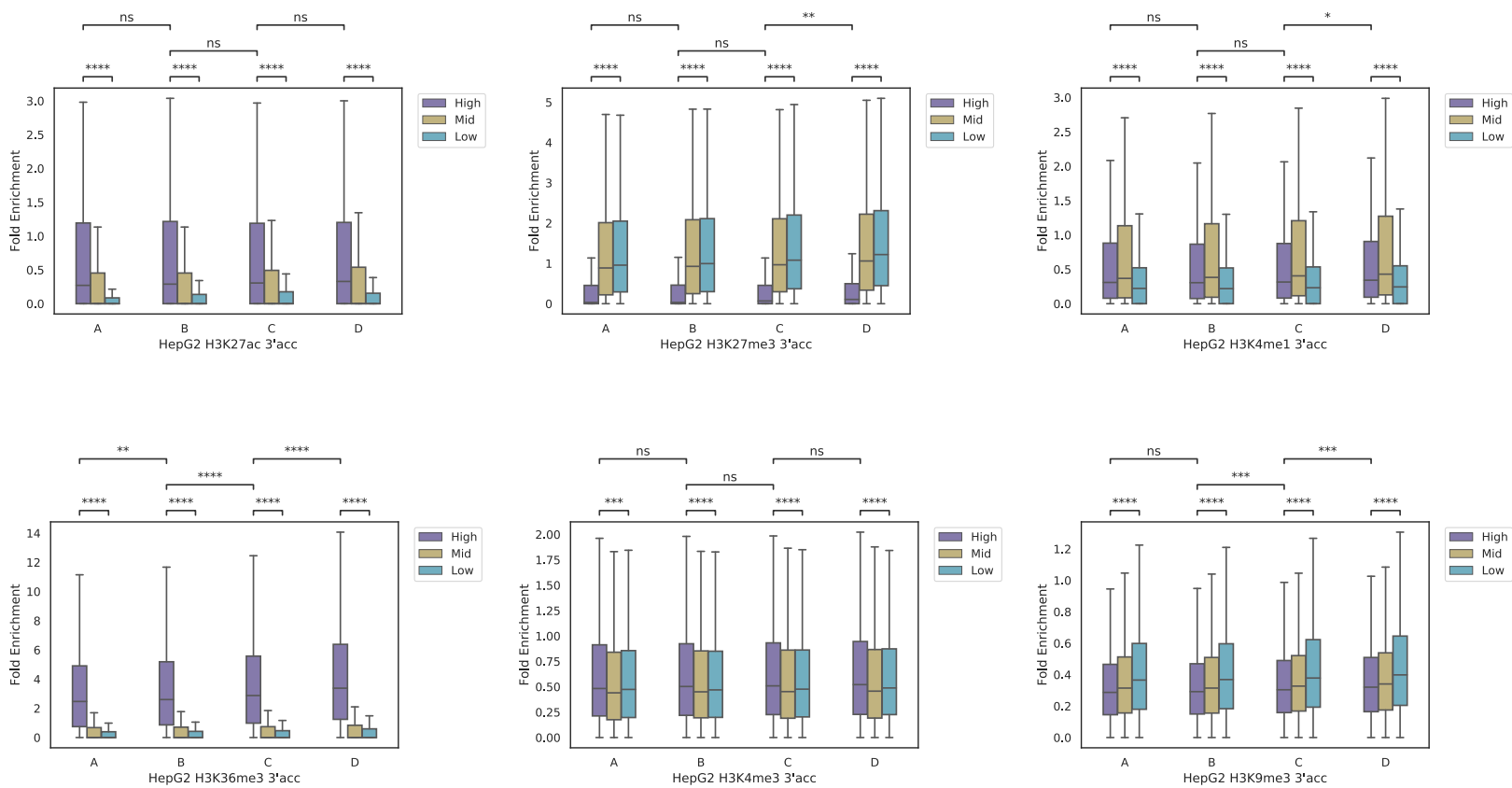




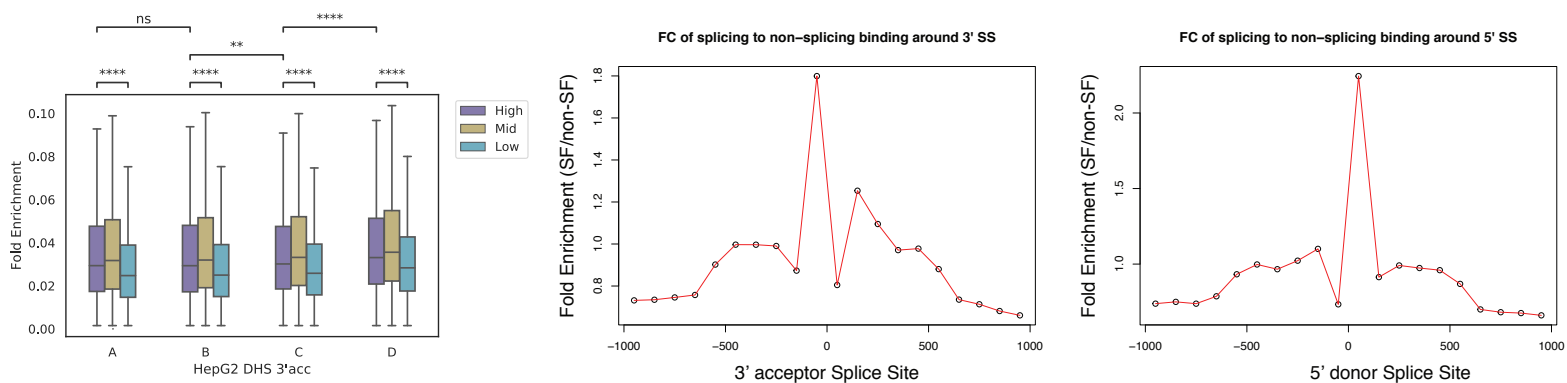
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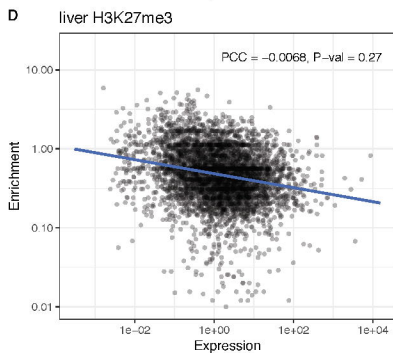
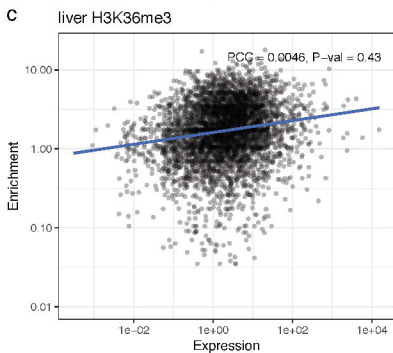
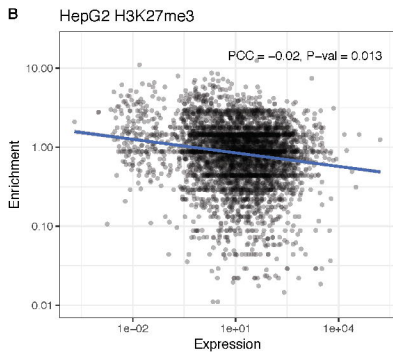
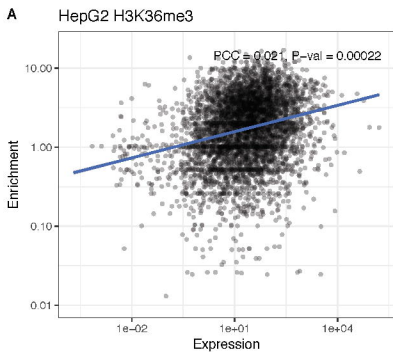


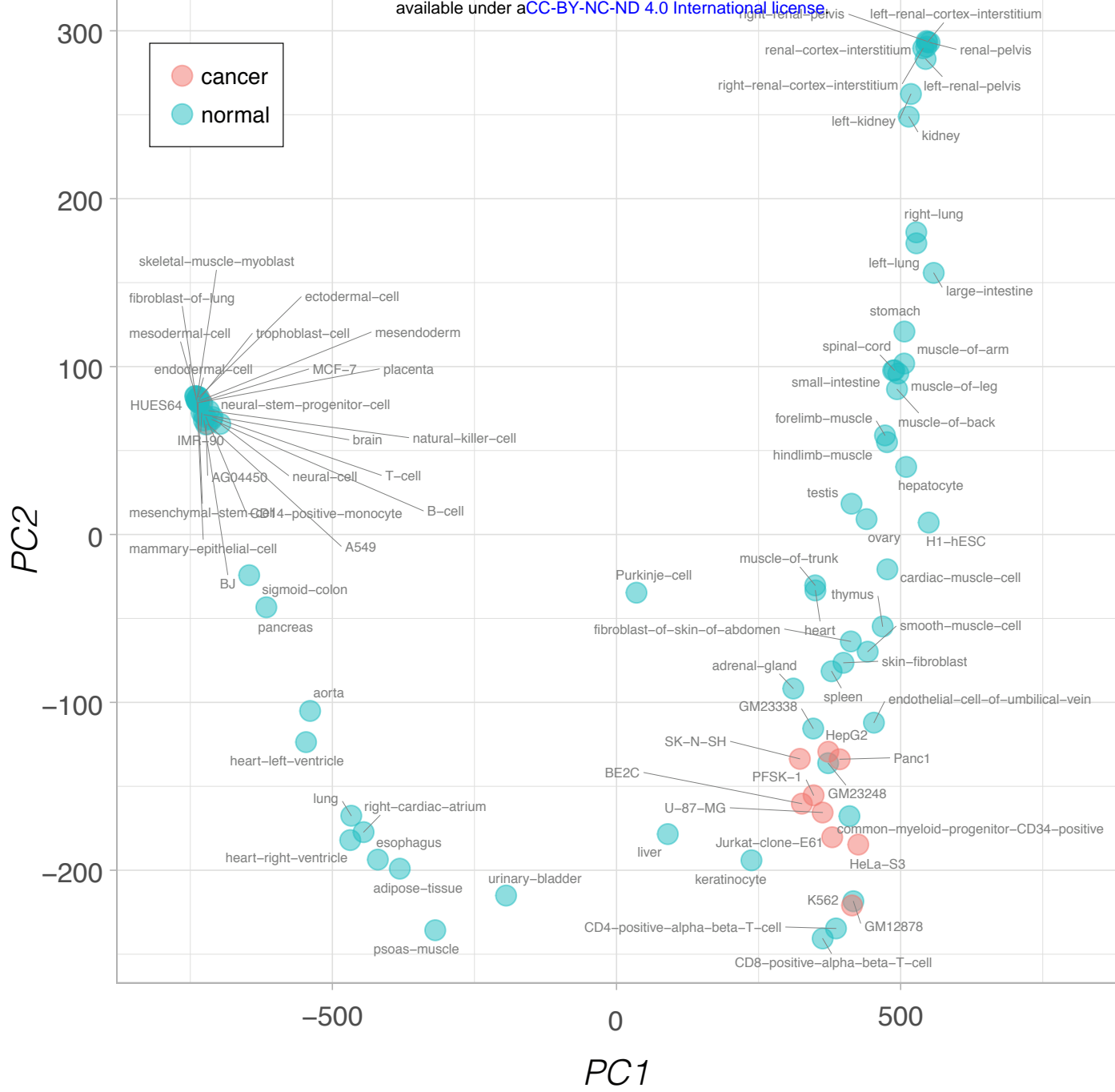
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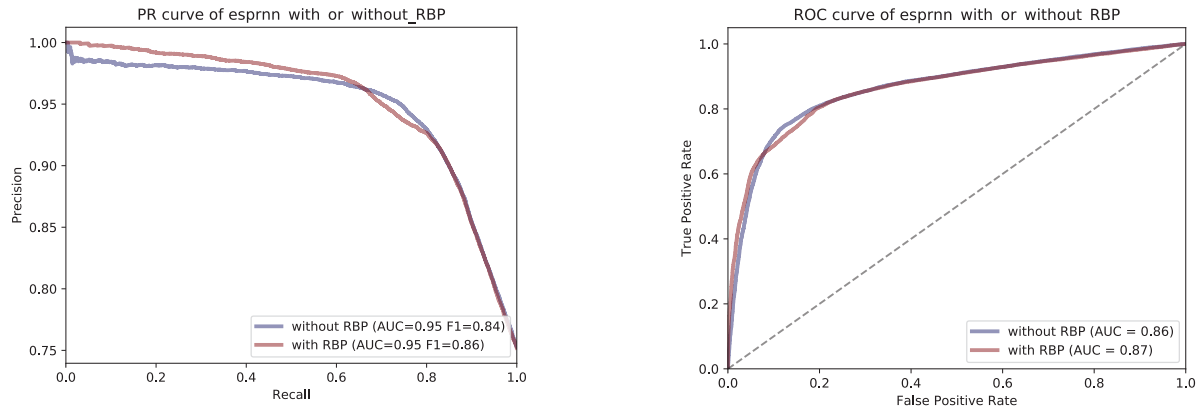
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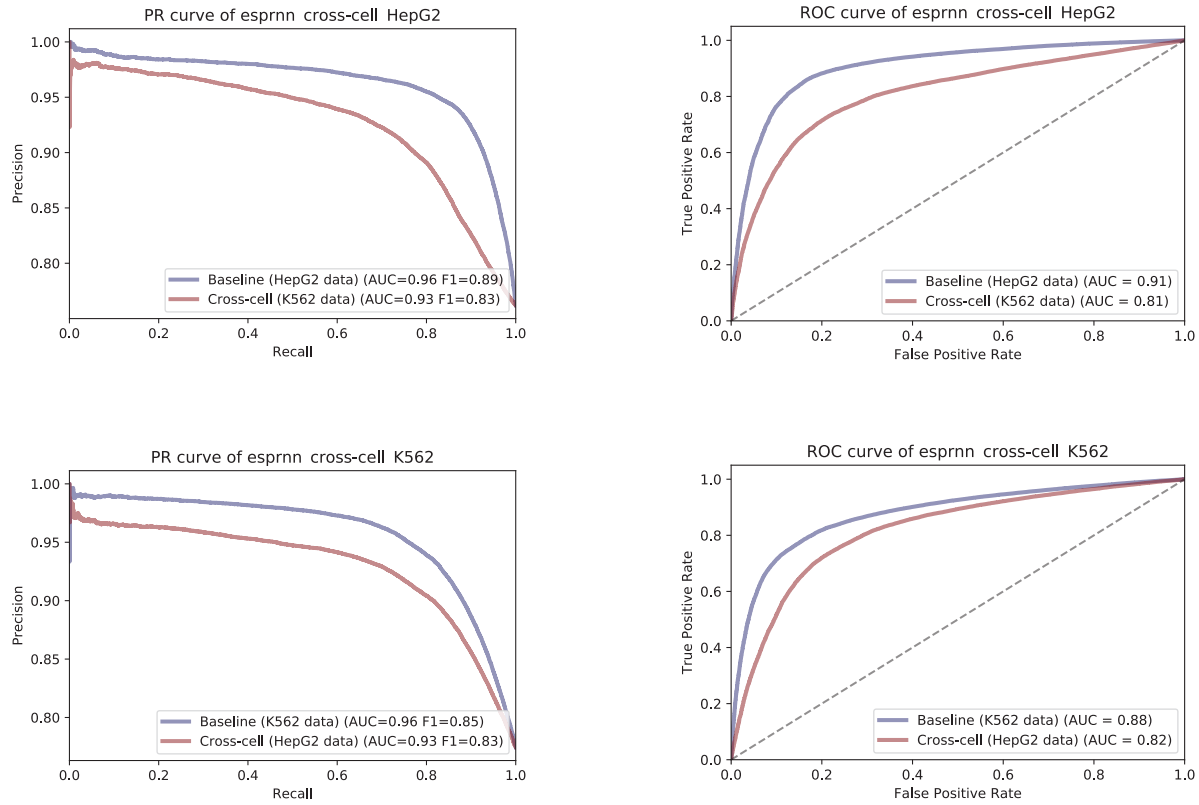




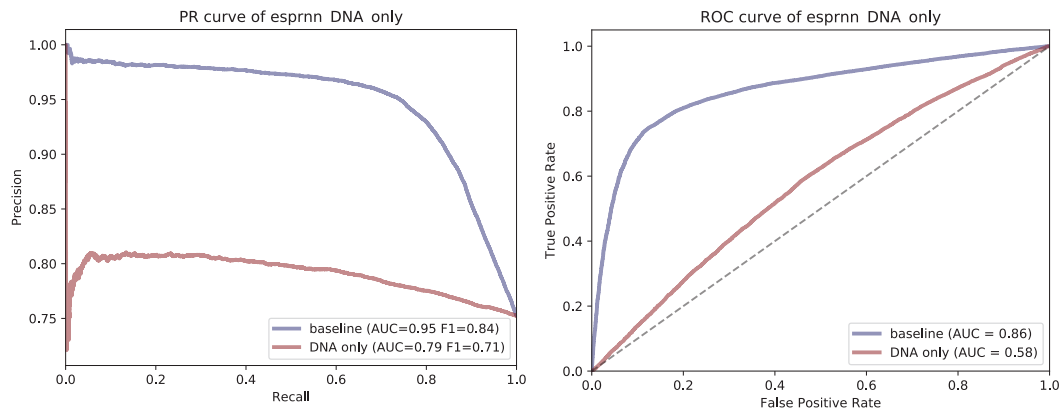
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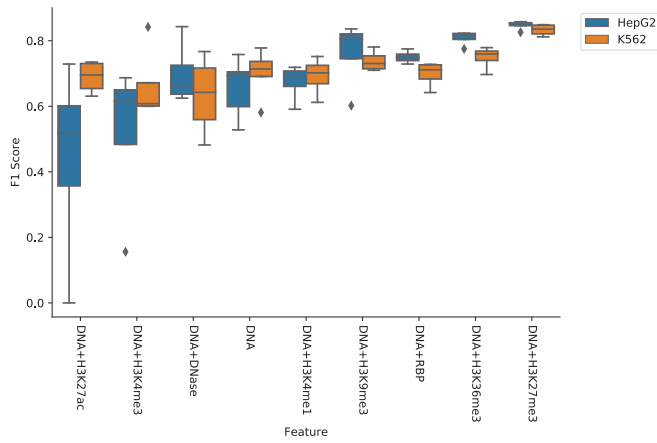
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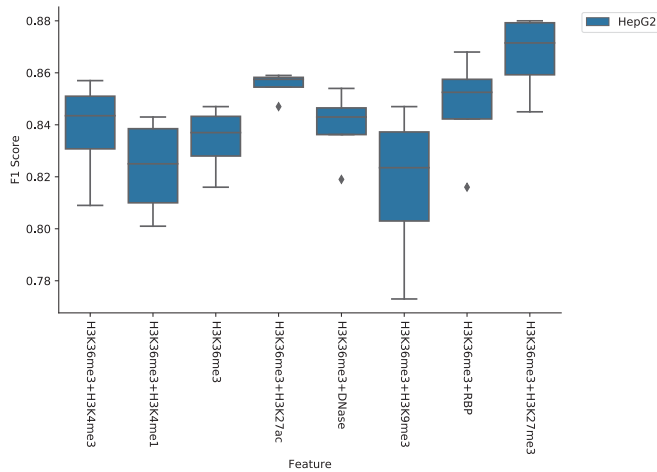
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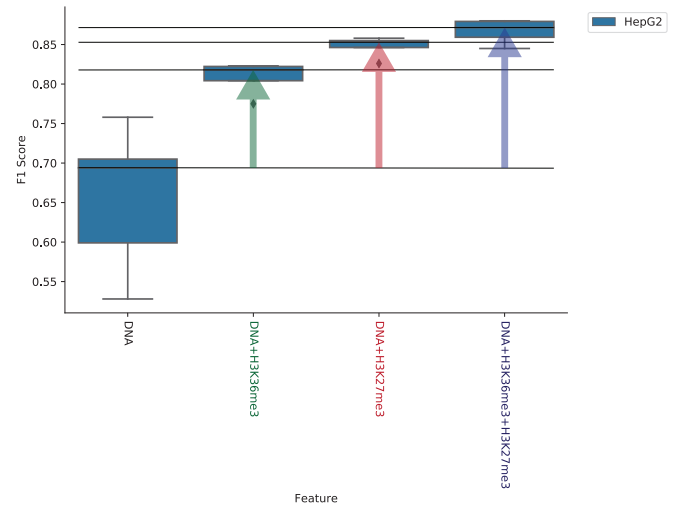
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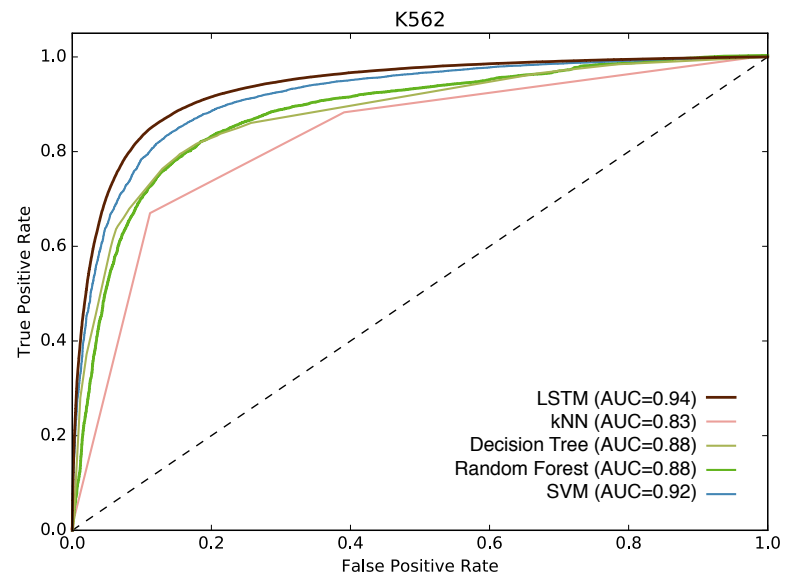
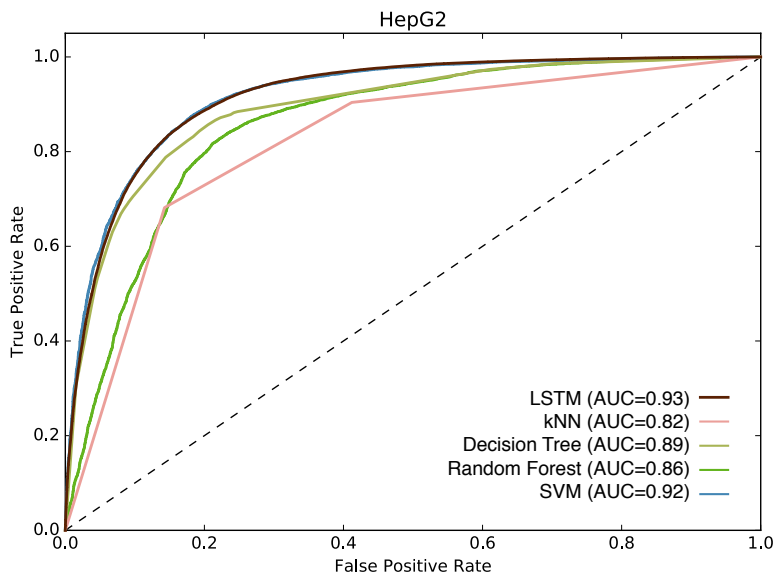
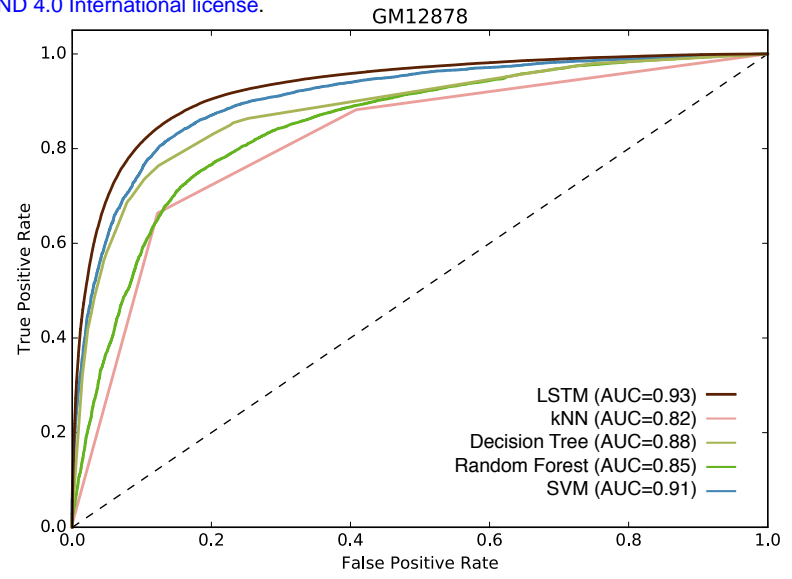
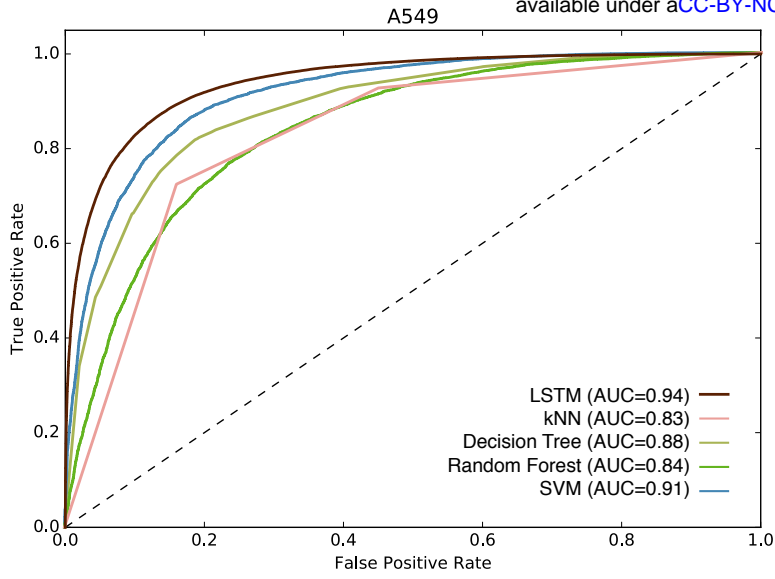


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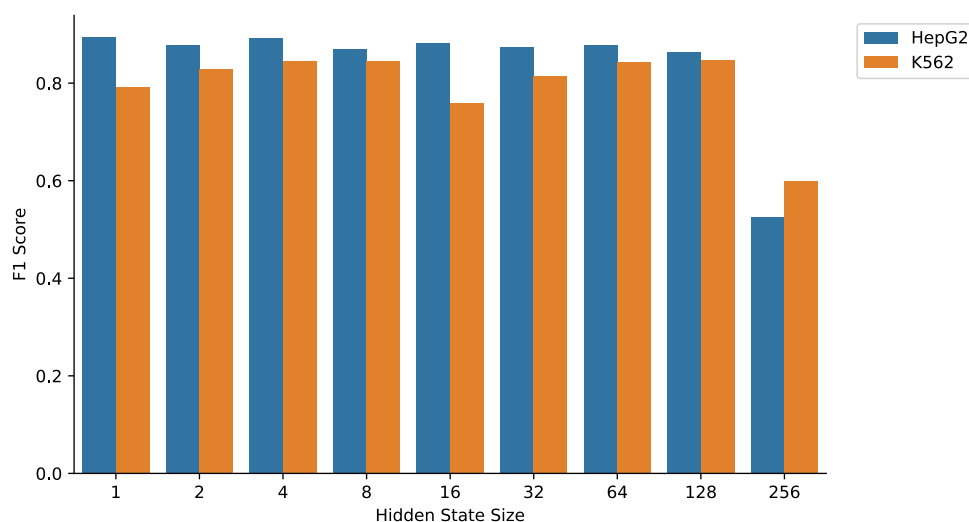


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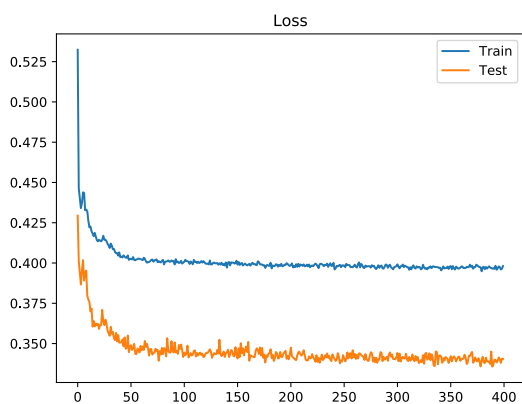




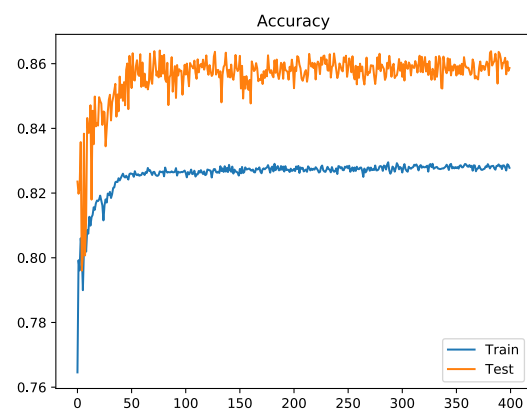
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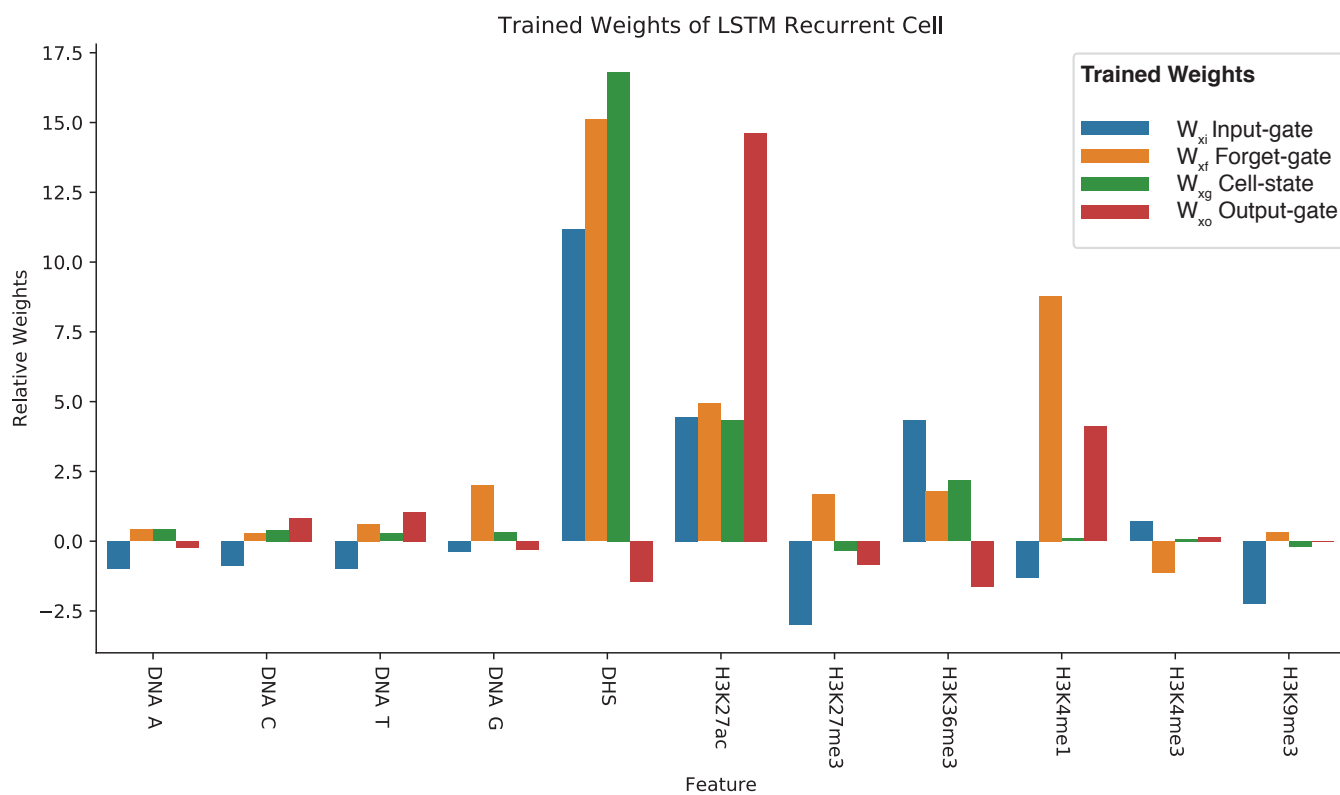
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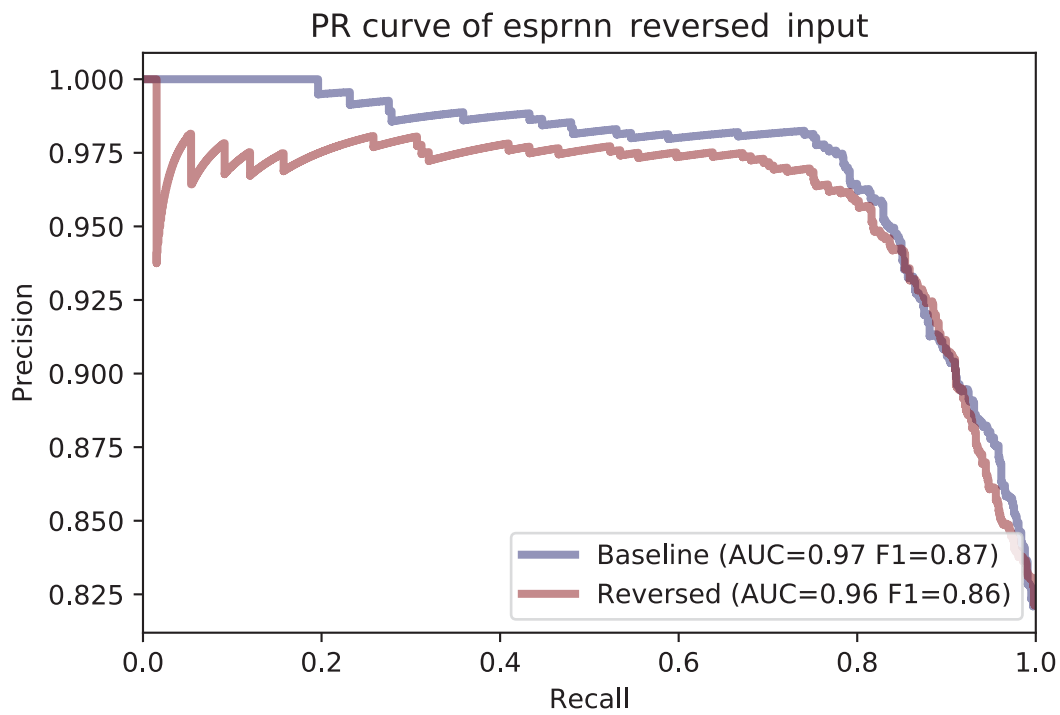


**D**





**A**



**B**

