

1 **Machine learning prediction and experimental validation of antigenic drift in H3 influenza**

2 **A viruses in swine**

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16 **ABSTRACT (200/200)**

17 The antigenic diversity of influenza A virus (IAV) circulating in swine challenges the
18 development of effective vaccines, increasing zoonotic threat and pandemic potential. High throughput
19 sequencing technologies are able to quantify IAV genetic diversity, but there are no accurate approaches
20 to adequately describe antigenic phenotypes. This study evaluated an ensemble of non-linear regression
21 models to estimate virus phenotype from genotype. Regression models were trained with a phenotypic
22 dataset of pairwise hemagglutination inhibition (HI) assays, using genetic sequence identity and pairwise
23 amino acid mutations as predictor features. The model identified amino acid identity, ranked the relative
24 importance of mutations in the hemagglutinin (HA) protein, and demonstrated good prediction accuracy.
25 Four previously untested IAV strains were selected to experimentally validate model predictions by HI
26 assays. Error between predicted and measured distances of uncharacterized strains were 0.34, 0.70, 2.19,
27 and 0.17 antigenic units. These empirically trained regression models can be used to estimate antigenic
28 distances between different strains of IAV in swine using sequence data. By ranking the importance of
29 mutations in the HA, we provide criteria for identifying antigenically advanced IAV strains that may not
30 be controlled by existing vaccines and can inform strain updates to vaccines to better control this
31 pathogen.

32 INTRODUCTION

33 Influenza A virus (IAV) is a primary respiratory pathogen in commercial swine in the United
34 States (1). Preventing infection and transmission of the virus has proven difficult due to rapid mutation
35 that allows the virus to evade host immune defenses and impacts the efficacy of vaccination programs by
36 antigenic drift (2). The best approach for effective IAV control has been the development of vaccines that
37 reflect the antigenic diversity of circulating swine IAV strains (3). This is dependent on robust sampling
38 and sequencing of contemporary strains, which is currently achieved primarily through passive
39 surveillance, where clinically sick pigs are sampled, and the hemagglutinin (HA) gene is sequenced and
40 compared to vaccine antigens based on either genetic clade or sequence identity. Vaccines that include a
41 well-matched HA can induce the production of antibodies that may provide sterilizing immunity, help
42 reduce clinical signs, or reduce transmission (4,5). Conversely, mismatched vaccine antigens can result in
43 vaccine failure or potentially cause enhanced disease, emphasizing the importance of careful vaccine
44 strain selection (6).

45 In the United States, swine IAV is monitored by the United States Department of Agriculture
46 (USDA) in collaboration with regional veterinary diagnostic laboratories in the National Animal Health
47 Laboratory Network (7). These data are primarily synthesized using phylogenetic analysis (7,8), but there
48 is no coordinated effort to characterize the phenotypic differences between circulating viruses (9). This
49 contrasts the approach for human IAV, where vaccine antigens are selected through comprehensive
50 genetic and antigenic characterization of seasonally circulating IAV (10). Thus, the majority of vaccine
51 antigens in use for IAV in swine are selected based solely on the genetic clade or percent amino acid
52 identity. This effort is fraught with risk as there are at least 16 distinct HA genetic clades of IAV in swine
53 derived from multiple human-to-swine interspecies transmission events and subsequent evolution in the
54 swine host (8,11). Further, there is evidence for regional patterns in HA clade persistence (8,12), and the
55 demonstration that as few as six amino acid mutations within the HA may affect the antigenic phenotype
56 of a virus (13,14). Consequently, there is a critical need to not only sequence and genetically characterize
57 swine IAV, but determine what of the genetic diversity is meaningful for antigenic drift.

58 The antigenic properties of IAV are a manifestation of the structural interaction between IAV and
59 host antibodies (15-18). Structural changes in the HA may alter the interaction with antibodies targeting
60 the virus, and these changes are generally correlated with the number of accumulated amino acid
61 mutations in the HA protein (19). Empirical data has also shown that certain amino acid mutations have a
62 disproportionate effect on antigenic change based on the location of the amino acid in the protein
63 structure (13,15). Though there are relatively few antigenically characterized swine IAV HA genes (9,13),
64 this empirical data may be used to establish antigenic distances between multiple IAV in swine, and be
65 used to gain insight on the contribution of site-specific amino acid mutations. These data can
66 subsequently be used to assign a level of importance to specific amino acid mutations and be used to
67 predict antigenic drift and the biological relevance of genetic diversity collected during surveillance
68 programs.

69 In this study, machine learning methods were used to model the antigenic properties of IAV in
70 swine and predict the antigenic distance between different strains using HA sequences. Modelling
71 methods, such as the ones we present, are able to overcome the prohibitive costs and logistical challenges
72 associated with large scale phenotypic characterization. These data can be used in combination with in-
73 field surveillance platforms (20) as an approach for the early detection of antigenic variants and novel
74 viruses. Additionally, these algorithms can be disseminated to swine practitioners in analytical pipelines
75 (11,20,21) to facilitate the rational design of vaccines that include antigens that will likely protect against
76 the circulating IAV strains. Understanding how genetic diversity, and which amino acids within the HA
77 gene are the most important, can allow for the simulation of the antigenic evolution of swine IAV and
78 make predictions about the persistence and circulation of future IAV strains.

79 **MATERIAL AND METHODS**

80 **The swine IAV H3 antigenic reference dataset**

81 The antigenic properties of two influenza viruses can be quantitatively compared using a
82 hemagglutination inhibition (HI) assay. The assay is based on the ability of the hemagglutinin to
83 agglutinate red blood cells, which express sialic acid on their cell surface (22,23). The HI antibodies

84 raised against a homologous IAV can block the agglutination of red blood cells, even at low
85 concentrations. Genetically different viruses often need a higher concentration of HI antibodies to prevent
86 agglutination compared to the homologous titer. Comparing the antigenic distance between two viruses is
87 calculated by distance $D_{ij} = \log_2(H_{jj}) - \log_2(H_{ij})$, representing a two-fold loss in HI antibody cross-
88 reactivity between the homologous and heterologous HI antibody titers (24). These data have traditionally
89 been used to generate pairwise antigenic distances between IAV in swine that is then visualized using
90 multidimensional scaling to form an antigenic map (9,25,26).

91 The HI titers were collected from prior swine H3 HA virus characterization studies that used HI
92 assays (23,27,28). The HI titers from new IAV selected as reference strains were collected to expand the
93 dataset using methods described in prior literature, totaling 128 reference antigens tested against 47
94 reference antisera in various combinations from combined experiments (22). Distances between available
95 HI titers were calculated by subtracting the log2 of the heterologous titer from the log2 of the homologous
96 titer (24). Distances corresponding to the same antigen-antiserum pair were calculated as the log2 of the

97 geometric mean as $\bar{D}_{ij} = \frac{\log_2\left(\frac{H_{jj_1}H_{jj_2}}{H_{ij_1}H_{ij_2}}\right)}{n}$.

98 **Training and validation of machine learning regression models**

99 Full length HA amino acid sequences for each antigen represented in the dataset were aligned
100 using MAFFT v7.311 (29) and then trimmed to the HA1 domain (amino acids 1-328 using the H3 HA
101 numbering with the signal peptide removed) for subsequent analyses. Percent amino acid difference
102 (100% - amino acid identity) was calculated between each HA pair for all combinations of sequences.
103 Specific amino acid substitutions were not weighted to minimize model assumptions, and prior research
104 in human IAV has suggested that these approaches may add noise to analysis (30,31). All observed site-
105 specific amino acid substitutions in the reference data were identified and treated as bi-directional.

106 The regression model data was constructed with antigenic distance calculated from HI titer as the
107 training value, with percent amino acid difference as a continuous predictor feature, and site-specific
108 mutations as binary predictor features. Three different machine learning regression models were trained

109 using scikit-learn (32): random forest; adaBoost decision tree; and multilayer perceptron. For each
110 regression model, hyperparameters were tuned using a random search optimization (Supplemental Table
111 1). A fourth regression model was created by averaging the three prior machine learning model predictors
112 and referred to as the ensemble model.

113 Data was split into 80% training data and 20% testing data groups to calculate the Pearson
114 correlation and root mean squared error. Additionally, 10-fold cross validation was used to assess the root
115 mean squared error (Table 1). Given the sparsity of antigenic data available, a leave-one-out cross
116 validation approach was employed to generate a distribution of prediction error for each model (Figure 1).
117 Each antigen included in the training set ($n = 128$) was iteratively excluded from the training set and
118 distances were predicted using each of the four regression models. The error was calculated as the
119 absolute value of difference between the predicted distance and the empirical distance.

120 **Mapping antigenic predictions onto phylogenetic trees**

121 Maximum-likelihood phylogenetic trees were created to assess antigenic distance predictions of
122 genetically similar sequences of the test antigen sequence compared to the reference sequence. Sequences
123 were aligned using MAFFT v7.311 (29) and phylogenetic trees were inferred using FastTree v2.1.10 (33).
124 Trees were annotated using FigTree v1.4.3 (34) with each tree rooted to a reference strain and sorted in
125 ascending order relative to inferred evolutionary relationship. Each tip within the tree was color-coded
126 based on the antigenic motif designated by H3 numbering positions 145, 155, 156, 158, 159, and 189 as
127 prior work identified these sites as significant for antigenic phenotype (15). Branches were annotated
128 with the ensemble-predicted antigenic distance relative to the root. Trees were pruned to 30 leaves to
129 facilitate viewing.

130 **Determining the relative importance of genetic mutations**

131 Random forest regression models provide a natural ranking system of feature importance (35).
132 The importance of each predictor feature was calculated by the decrease in the node variance after fitting
133 the random forest model. The feature rankings for the random forest regression model were analyzed to
134 assess the biological importance of observed mutations in the swine H3 antigenic reference dataset. The

135 significance of each amino acid position in the HA was determined by summing the mutation-based
136 features grouped by the position they represented. The resultant significance of each amino acid was
137 projected onto a protein model of a human H3 HA gene A/Victoria/361/2011 obtained from the Research
138 Collaboratory for Structural Bioinformatics (4O5N) (36).

139 **Empirical validation of machine learning regression models**

140 The H3 HA amino acid sequences of uncharacterized IAV in swine submitted to NCBI GenBank
141 from the Iowa State University Veterinary Diagnostic Lab from January 2016 to August 2018 were
142 collected and clustered by phylogenetic clade (7,11). The HA gene sequences were trimmed to the HA1
143 domain (positions 1-328 using H3 numbering with the signal peptide removed). The HA1 sequences were
144 compared against all antigenically characterized sequences to calculate percent amino acid difference and
145 compare the presence or absence of site-specific amino acid mutations. Site-specific amino acid mutations
146 absent from the training set were not considered in additional analyses. The antigenic distance from each
147 uncharacterized HA gene to each reference antigen was predicted using the previously described four
148 trained regression models.

149 A selection of four contemporary IAV were selected as test antigens to be antigenically
150 characterized with in vitro HI assays to validate the regression models using their HA genes. We selected
151 these HA genes from within the H3-Cluster IVA genetic clade, as: a) this is a significant genetic clade
152 that is frequently detected in diagnostic submissions to the Iowa State University Veterinary Diagnostic
153 Lab (11); b) this genetic clade was responsible for more than 300 zoonotic infections from 2012 to
154 present; c) there was a significant amount of uncharacterized data within the last 2 years ($n = 299$ from
155 2018 to present, representing 8% of sequenced HA genes). Since the ensemble predictions demonstrated
156 the least error in the analyses above, antigenic distances of 106 H3-cluster IVA viruses were predicted
157 against a panel of 44 available antisera using this model. We selected four test antigens/antisera prediction
158 pairs within this genetic clade based on the following criteria: near amino acid sequence identity ($\geq 98\%$)
159 and near predicted ensemble antigenic distance measured in antigenic units (AU) ($\leq 2\text{AU}$); a near identity

160 and far antigenic distance (≥ 3 AU); far identity ($\leq 95\%$, $\geq 90\%$) and near antigenic distance (≤ 2 AU); or
161 far identity ($\leq 95\%$, $\geq 90\%$) and far antigenic distance (≥ 3 AU) (Figure 2, Table 3).

162 The four selected antigen/antisera pairs were tested via HI assay. HI assays were conducted as
163 previously described (23) with empirical distances calculated by taking the \log_2 of the heterologous titer
164 subtracting from the \log_2 of the homologous titer. Empirical distances were compared against predicted
165 values by subtraction.

166 **RESULTS**

167 **Machine learning model performance**

168 Comparison of the empirical antigenic distances against the predicted values indicated that the
169 Pearson correlation for all regression models was within a range between 77%-80% (Table 1). The root
170 mean squared error (RMSE) was between 1.21 – 1.60 antigenic units of error depending on the model.
171 Ten-fold cross validation of the random forest, adaBoost decision tree, and multilayer perceptron
172 regression models had an RMSE of 1.56 ± 0.29 , 1.59 ± 0.33 , and 1.76 ± 0.39 respectively. The leave-one-
173 out cross validation demonstrated that for all models, 25% had ≤ 0.5 AU, 50% had ≤ 1.0 AU, and 75%
174 had ≤ 1.7 AU distance error. The maximum observed error was 6.3 AU, with each model producing
175 errors > 6.0 AU (Figure 1).

176 **Mapping antigenic predictions onto phylogenetic trees**

177 Four trees were built with sequences genetically similar to each test antigen (Figure 2). Trees
178 were annotated with an amino acid motif based on positions 145, 155, 156, 158, 159, and 189 as these
179 sites have been found to have a disproportionate effect on the observed antigenic phenotype in both
180 human and swine H3 (14). The antigenic motif between test antigen A/swine/Nebraska/A01672826/2017
181 and reference antiserum A/swine/Indiana/A00968373/2012 match, both being NYNNYK (Figure 2A).
182 The antigenic motif of test antigen A/swine/Indiana/A02214844/2017 was NYNNYK, while reference
183 antiserum A/swine/Iowa/A01480656/2014's motif was KYNNYK, differing at position 145 (Figure 2B).
184 The antigenic motif between test antigen A/swine/North Carolina/A01732197/2016 and reference
185 antiserum A/swine/Pennsylvania/A01076777/2010 match, both being NYNNYK (Figure 2C). The

186 antigenic motif of test antigen A/swine/Iowa/A01733626/2016 was SYKKNYK, while reference antiserum
187 A/swine/Indiana/A01202866/2011's motif was NYHGHE, differing at positions 145, 156, 158, 159, 189
188 (Figure 2D).

189 **Empirical validation of the predicted antigenic distance predictions**

190 The predicted ensemble distances of the selected test antigens were validated via HI assay
191 (Supplemental Table 2). Test antigen A/swine/Nebraska/A01672826/2017 was predicted to be 0.15 AU
192 from reference strain A/swine/Indiana/A00968373/2012, sharing 99.4% amino acid identity between the
193 HA1 segments of the HA (Table 2). Both the reference and test antigens were from the H3-cluster IVA
194 clade (Figure 2A), and this pairing represented the near identity and near antigenic distance prediction.
195 The amino acid differences between the reference strain and the test antigen were at M10T and R208I
196 (Table 2). The HI assay demonstrated the antigenic distance between the reference strain antiserum and
197 test antigen was 0.5 AU (Table 3) with an error between the predicted distance and the empirical distance
198 of 0.35 AU.

199 Test antigen A/swine/Indiana/A02214844/2017 was predicted at 3.39 AU from reference strain
200 A/swine/Iowa/A01480656/2014, sharing 98.5% amino acid identity between the HA1 segments. Both the
201 reference strain and test antigens are from the H3-cluster IVA clade (Figure 2B), and this pairing
202 represents near identity but far antigenic distance prediction. There were 5 amino acid differences
203 between the reference strain and test antigen (Table 2). The HI assay found a distance of 4.0 antigenic
204 units between the test antigen and reference antiserum and an error of 0.61 AU between empirical and
205 predicted distances.

206 Test antigen A/swine/North Carolina/A01732197/2016 was predicted at 0.81 AU from reference
207 strain A/swine/Pennsylvania/A01076777/2010, sharing 94.2% amino acid identity between the HA1
208 segments. The test antigen was selected from the H3-cluster IVA clade and the reference strain from the
209 H3-cluster IV clade (Figure 2C), and this pairing represented a distant identity that was predicted to be
210 antigenically similar. There were 19 amino acid differences between the reference strain and test antigen,
211 with the A107T mutation being the only position not accounted for in the trained model (Table 2). The HI

212 assay demonstrated an average antigenic distance between reference antiserum and test antigen of 2.5
213 AU, with a prediction error of 1.69 AU.

214 A/swine/Iowa/A01733626/2016 was predicted at 6.37 AU from reference strain
215 A/swine/Indiana/A01202866/2011, sharing 91.2% amino acid identity between the HA1 segments. The
216 test antigen is from the H3-cluster IVA clade of virus and reference strain from the H3-cluster IVC clade
217 (Figure 2D). This pairing represents a far identity and far predicted antigenic distance prediction. There
218 were 29 amino acid differences between the reference strain and test strain (Table 2). The HI assay
219 demonstrated 6.5 antigenic units between test antigen and reference antiserum, giving an error of 0.13 AU
220 between empirical and predicted distances.

221 **Ranking of predictor features**

222 Random forest regression ranks user-selected features by a metric of importance, calculated by
223 the decrease in the node variance and normalized across the forest for a single model run (Supplemental
224 Table 3). The highest-ranking features were stable across runs as they had a consistent decrease in their
225 average variance, though these metrics were susceptible to starting conditions (data provided at
226 <https://github.com/flu-crew/antigenic-prediction>). The most important feature in predicting the antigenic
227 distance between two strains was amino acid identity within the HA1, accounting for 31.4% of the
228 importance. Transitions between K and N at position 145 accounted for 8.1% of the model importance
229 and was ranked as the most important amino acid mutation. However, transitions between K and S and N
230 and S at the same position 145 received lower ranking in model importance (totaling 0.2% importance
231 cumulatively), demonstrating that the context of the positional mutation is important. Features I202V and
232 R222W (representing bi-directional mutations) ranked at 5.4% and 5.2% importance respectively. The
233 remainder of the features in the models accounted for less than 3% of the model on an individual basis
234 (Figure 3, Supplemental Table 3), with the next ten bidirectional mutations in order of importance as
235 H75Q, R137Y, D101Y, E62K, I25L, P289S, D133N, E189K, K92T, and H159Y (Figure 3). Projecting
236 the cumulative importance of each amino acid position on an H3 crystal structure indicated that position
237 145, the most important position in the model, is located in the groove of the active site (Figure 4). Other

238 sites of higher importance were more likely to be observed on the solvent facing side of the trimer. Amino
239 acid position 202 was an exception as it was ranked as of high importance but was located on the inside of
240 the trimer.

241 Of the 728 features included in the model, amino acid identity and the sum of the top ten amino
242 acid mutation features of the model accounted for 58.3% of the importance. Identity and the top 253
243 amino acid mutation features accounted for 95% of the calculated importance, whereas the top 397
244 features accounted for 99% of the calculated importance.

245 **DISCUSSION**

246 In this study, a model was developed to computationally estimate antigenic distances between
247 different IAV in swine based on amino acid sequence using non-linear machine learning methods. The
248 method leverages data that was generated from previous antigenically characterized IAV strains in swine
249 to train regression models. After in silico validation, the models were used to predict the antigenic
250 distance between paired IAV strains based on their amino acid identity and the mutations present between
251 each strain. Finally, the antigenic distance predictions were experimentally confirmed by comparing the
252 distance between homologous and heterologous hemagglutination inhibition (HI) titers. Predicting
253 antigenic distances between two genetically related but antigenically different IAV reduces the number of
254 HI assays that are required to perform the analysis and select candidate strains for a vaccine when
255 sufficient antigenic distance between two IAV suggests a loss in antibody cross-reactivity.

256 We experimentally validated our model using four test antigens, with the empirical data
257 demonstrating predictions generally had an error less than 1 AU. The error between the test antigen and
258 reference antiserum representing a near identity with a near predicted antigenic distance was 0.35 AU
259 (Table 3). The distance between the same test antigen and reference antiserum HI titers was calculated at
260 0 and 1 AU (Supplemental Table 2), giving an average distance of 0.5. It should be noted that the HI
261 assay is a discrete measure whereas the prediction is continuous, thus an error less than 1 AU is not
262 biologically meaningful. Additionally, because of the discrete nature of the HI assay, the 0.5 AU error is
263 negligible as the true antigenic distance is somewhere between 0 and 1 AU. The near identity with a far

264 predicted antigenic distance had a wider range between the two sera's HI titers 3 and 5, but the predicted
265 distance 3.39 was within this range, and had an error of 0.61 AU from the average of 4 AU. The far
266 identity with a near predicted antigenic distance had HI titers of 2 and 3, with a predicted distance of 0.81,
267 giving an error of 1.69 AU from the average of 2.5 AU. Although the error was higher than the other
268 predictions, the ensemble prediction was able to discern that these two strains were more antigenically
269 similar than would be predicted based on sequence similarity alone. For the far identity and far predicted
270 antigenic distance test antigen and reference antiserum pair, the predicted distance was 6.37 and the
271 empirical distance was 6.5. Given the raw antigenic distances calculated from the pair of titers were 6 and
272 7 for the two serum samples, the real distance is likely somewhere between the two values. Consequently,
273 our approach that was developed using a small IAV in swine empirical dataset made predictions that in
274 the majority of cases are useful in biological applications

275 Machine learning methods can assign importance to the position and context of amino acid
276 mutations, allowing biological interpretation. Assessing the importance of the random forest model
277 revealed that both the position and context of the amino acid mutation contributed to observed antigenic
278 phenotype. While sequence difference had the highest importance in the random forest model, further
279 assessment of the model revealed unequal weight between amino acid positions representing different
280 mutations. An example of this dynamic was H3 HA position 145 where a mutation between K and N
281 bidirectionally was ranked as the most important amino acid mutation feature. Other observed mutations
282 at position 145 between K and S and N and S were ranked as less important, matching the biological
283 nuances that have been observed with empirical testing and other computational predictions (15,43).
284 Literature reports suggested that the conservation of biochemical properties of the amino acid mutation
285 may also have some effect on the observed antigenic change (15,19). Unequal weighting of mutations in
286 the model suggests antigenic distance may help improve vaccine antigen selection when compared to HA
287 sequence comparison alone, as this approach captures not only sequence homology but how amino acid
288 can influence antigen-antibody interactions.

289 Our method identified sites that had a major impact of the antigenic phenotype of swine IAV. The
290 majority of these sites were located on the solvent exposed surface of the HA protein and in antibody
291 epitopes that have been identified in human IAV (Figure 4) (50,51). Interestingly, the profile of positional
292 feature importance displayed some differences to prior literature describing human H3N2 IAV. While
293 there was considerable overlap between the positions in our model with the highest cumulative
294 importance (Supplemental Table 3) compared to the positions in the JRFR algorithm (positions 62, 121,
295 131, 133, 135, 137, 142, 144, 145, 155, 156, 158, 159, 172, 173, 189, 193, 196, 276), the relative
296 importance of these predictor features varied. Specifically, position 189 was the most important site in
297 human H3 with ferret antisera, whereas our model identified position 145 as the most important position
298 in swine H3 with swine sera (31). These differences of importance may be reflective of host specific
299 interactions. Additionally, the distribution of importance was more evenly spread across the JRFR model
300 whereas in the model presented here a small number of sites had disproportionate importance. Direct
301 sequence comparison and sequence homology remain the standard approach to determining swine IAV
302 vaccine control strategies; our data supports this approach but suggests that consideration of the location
303 and context of mutation is more important than crude measures of sequence homology.

304 This work adds to a growing body of literature that aims to quantitatively predict antigenic
305 phenotypes of IAV from the sequence without requiring HI titers for each IAV strain (19,31,42-44).
306 Similar methodologies have been implemented for use with other viruses such as Dengue virus, where
307 neutralizing titer distances have been predicted based on amino acid differences (45). To the best of our
308 knowledge, prior approaches to calculate antigenic distances between IAV were trained and tested on
309 human IAV strains where the HA genes are characterized by phylogenetic trees with a single thick trunk
310 with short interspersed branches with far less cocirculating genetic diversity (46-48). Antigenic data for
311 the human IAV strains used in prior approaches was generated using ferret antisera with the caveat that
312 human and ferret immune systems potentially interact differently with the viral antigenic phenotype (49).
313 Compared to IAV circulating in humans, HA gene phylogenetic trees from endemic IAV circulating in
314 swine demonstrate multiple genetic clades within the same subtype that are derived from multiple human-

315 to-swine spillover events across the last 100 years (7,39). The large genetic diversity of strains coevolving
316 within the swine population has resulted in a similarly large breadth of antigenic diversity and evolution.
317 Consequently, a broad range of HI assays including many genetically different IAV are needed to capture
318 assess antigenic diversity of IAV circulating within swine. The scale of these studies has been difficult in
319 the swine IAV research community, and there is a sparsity of antigenic characterization of IAV in swine
320 frequently with large gaps of time between characterizations. This has the unfortunate consequence of
321 potentially misrepresenting the antigenic diversity of swine IAV and can make it difficult to improve our
322 understanding of evolution of IAV in swine (19,42,45).

323 The process and methodology we present has potential to help select vaccine IAV candidates
324 when antigenic distance suggests a loss of cross-protection with current vaccine strains. Our process
325 included a robust analysis of prediction error and was able to identify the limits of the models. Using 10-
326 fold cross validation, our ensemble model had a higher RMSE when compared to a different machine
327 learning approach developed for human IAV by Yao et al. (2017) (31). This approach used a Joint
328 Random Forest Regression (JRFR) algorithm that also included substitution matrices for predicting
329 antigenic distances and had a RMSE < 1.0 (31). A linear mixed-effects model employed by Harvey et al.
330 (2016) (42) for human IAV, also had better performance than our model but this used different datasets
331 and had a different application. The strength of our approach is that our predictions that in the majority of
332 cases would be useful in biological applications. Leave-one-out cross validation demonstrated 54% of the
333 predictions made with the ensemble model were at or below 1 AU of error, and 86% were below 2AU of
334 error where <2AU distance is frequently used to indicate biological equivalence. Further, our ensemble of
335 non-linear regression methods were chosen due to their robustness against collinearity. Several prior
336 machine learning methods implement linear regression, despite the relationship between amino acid
337 mutation being non-linear and not strictly additive (19,44). Linear models can mitigate issues of
338 collinearity by implementing approaches such as ridge regression in antigen-bridges (43), or lasso
339 regression used by nextstrain (19,45), but these approaches may result in models that are more difficult to
340 interpret biologically. Our random forest approach was able to identify the top 10 features accounting for

341 58.3% of the antigenic phenotype (253 features were needed to account for 95% importance), generating
342 explicit predictions on when mutation of the HA gene may result in antigenic drift and reduced vaccine
343 efficacy.

344 This study implemented a non-linear machine learning approach to predict antigenic distances
345 between IAV in swine based on HA1 sequence, and experimentally validated the model predictions. Our
346 validation with HI assays using test antigen and reference strains demonstrated that this computational
347 approach can be used to determine antigenic differences between IAV without requiring extensive HI
348 testing in laboratories. It is currently impractical to antigenically characterize all strains of IAV isolated
349 from swine, and our work shows that the antigenic phenotype can be reasonably predicted from genetic
350 sequence. The performance of our approach was sufficient even though it was parametrized with a limited
351 empirical dataset; it seems feasible that prediction can be improved as more empirical data is made
352 available. Due to multiple introductions of IAV into swine from human and avian sources, the genetic
353 diversity of IAV in swine exceeds what is observed for human IAV strains (11,39,40). The genetic
354 diversity of IAV in swine is also confounded by transportation patterns that move regional IAV strains
355 with swine to new geographic locations where additional antigenic drift and reassortment with endemic
356 strains may occur (41). Consequently, this method can aid in IAV in swine vaccine design efforts, which
357 currently do not have an integrated and comprehensive system such as the World Health Organization's
358 (WHO) global influenza surveillance program for IAV in humans (37). Providing accurate methods such
359 as ours that predict antigenic distances of IAV in swine increase the ability of swine producers and
360 veterinarians to make informed decisions regarding vaccine antigens with broad application across IAV in
361 swine to help maintain swine herd health.

362 **AVAILABILITY**

363 Data and code used in this research are available in a GitHub repository (<https://github.com/flu-crew/antigenic-prediction>)
364

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389 **CONFLICT OF INTEREST**

390 The authors report no conflicts of interest.

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538

539

540 **TABLES AND FIGURES**

541 Table 1. Performance indicators for the random forest, adaBoost decision tree, multilayer perceptron, and
542 ensemble regression models with tuned hyperparameters. Pearson correlation and root mean squared error
543 were determined using an 80/20% split between training and test antigen data. A 10-fold cross validation
544 based on the root mean squared error was applied.

Performance Indicator	Random Forest	AdaBoost Decision Tree	Multilayer Perceptron	Ensemble
Pearson Correlation	0.78	0.77	0.78	0.80
RMSE	1.60	1.28	1.32	1.21
10-Fold CV (RMSE)	1.56 (± 0.29)	1.59 (± 0.33)	1.76 (± 0.39)	1.58 (± 0.27)

545

546

547 Table 2. Amino acid mutations detected between test antigen and reference strains used for the model
 548 validation.

Test Antigen	Reference Strain	Amino Acid Changes
A/swine/Nebraska/A01672826/2017	A/swine/Indiana/A00968373/2012	M10T, R208I
A/swine/Indiana/A02214844/2017	A/swine/Iowa/A01480656/2014	G49S, E83K, V112I, K145N, S289P
A/swine/North Carolina/A01732197/2016	A/swine/Pennsylvania/A01076777/2010	T10M, E83K, V106S, A107T*, V112I, T117N, N124S, K142S, A163E, M168V, N173K, I196V, T203I, P273H, G275D, N276E, K278N, R299K, V304A
A/swine/Iowa/A01733626/2016	A/swine/Indiana/A01202866/2011	I29L, G50R, E83K, S107T, T117N, S124N, A131D, D133G, R137N, S138T, R140K, G144V, N145S, H156K, G158N, H159Y, A163E, L164Q, T167A, N173K, E189K, S193N, V196A, I203V, R220V, R269K, S273H, N276E, R299K

* Changes not accounted for by regression models

549

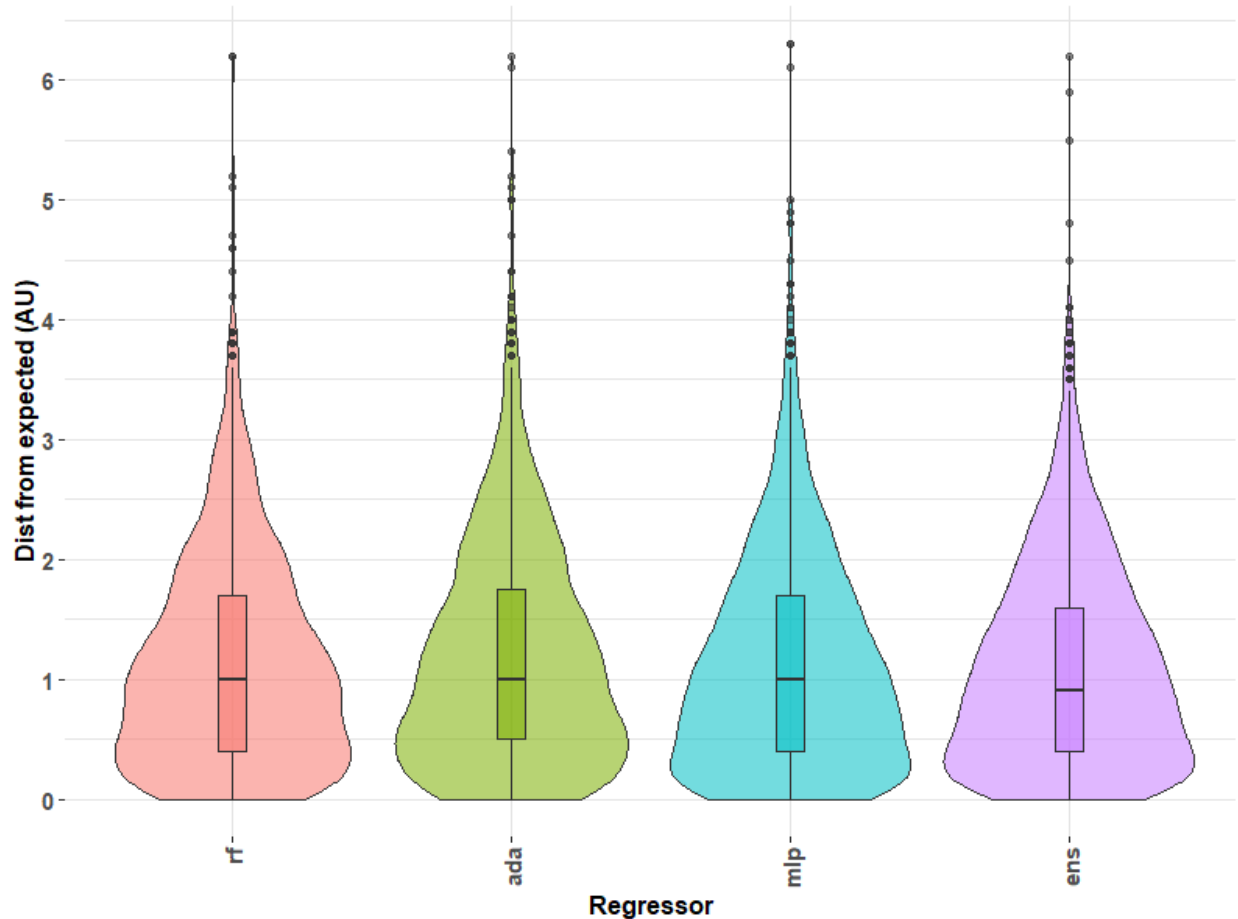
550

551 Table 3. Predicted and measured antigenic distances between test antigens and reference strain antisera using the model to calculate the predicted
 552 distance and hemagglutination inhibition (HI) titers to calculate the empirical distance in antigenic units. Error is calculated by taking the absolute
 553 value of the predicted distance subtracted from the empirical distance.

Test Antigen	Reference Antiserum	Test Antigen Motif	Amino Acid Identity	Predicted Distance (AU)	HI Distance (AU)	Error (AU)
A/swine/Nebraska/A01672826/2017	A/swine/Indiana/A00968373/2012	NYNNYK	99.4% (near)	0.15 (near)	0.5	0.35
A/swine/Indiana/A02214844/2017	A/swine/Iowa/A01480656/2014	NYNNYK	98.5% (near)	3.39 (far)	4.0	0.61
A/swine/North Carolina/A01732197/2016	A/swine/Pennsylvania/A01076777/2010	NYNNYK	94.2% (far)	0.81 (near)	2.5	1.69
A/swine/Iowa/A01733626/2016	A/swine/Indiana/A01202866/2011	SYKNYK	91.2% (far)	6.37 (far)	6.5	0.13

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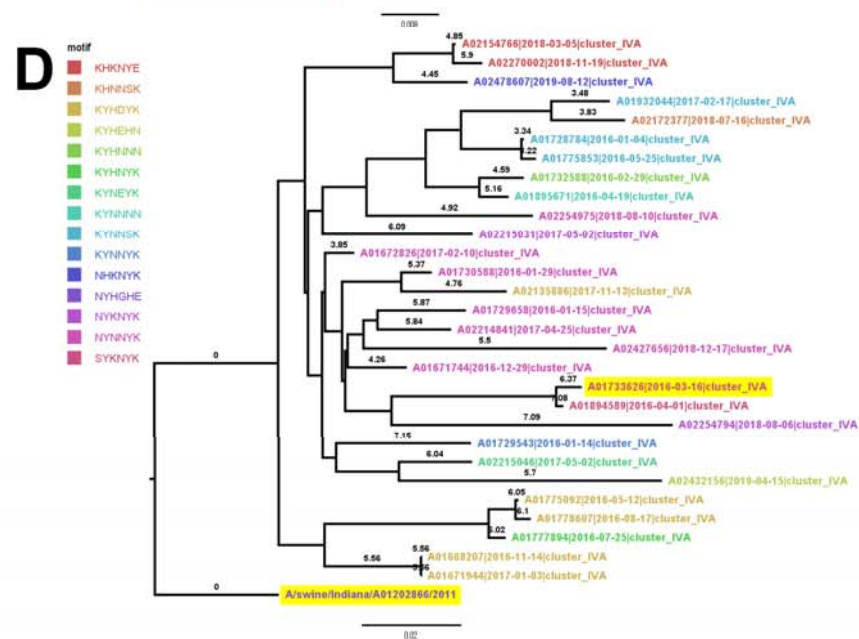
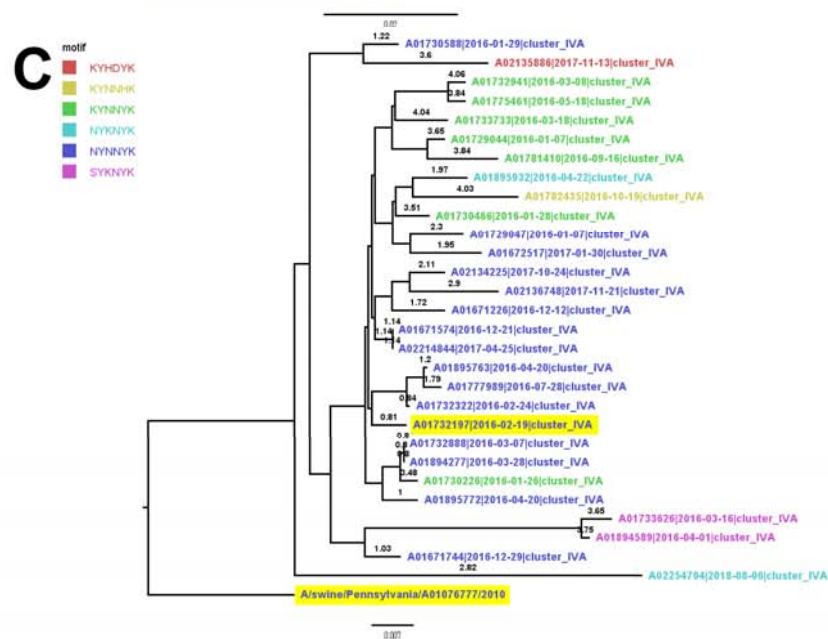
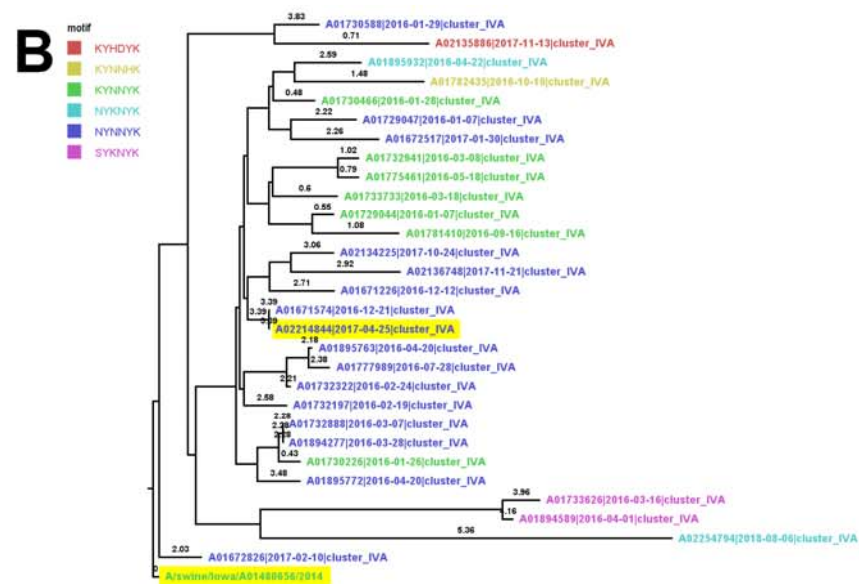
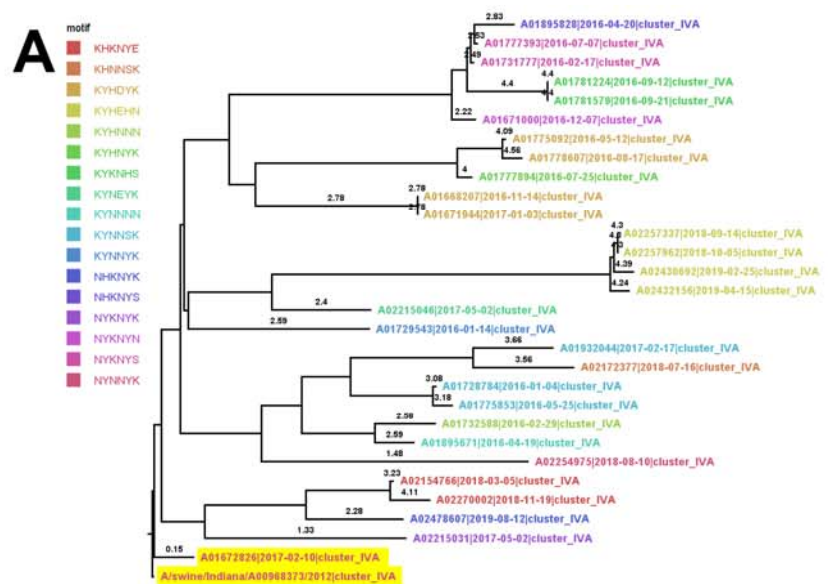
556

557 Figure 1. Distribution of error calculated for the predicted antigenic distance compared to actual antigenic
558 distance as predicted by machine learning models and hemagglutination inhibition assays, respectively.

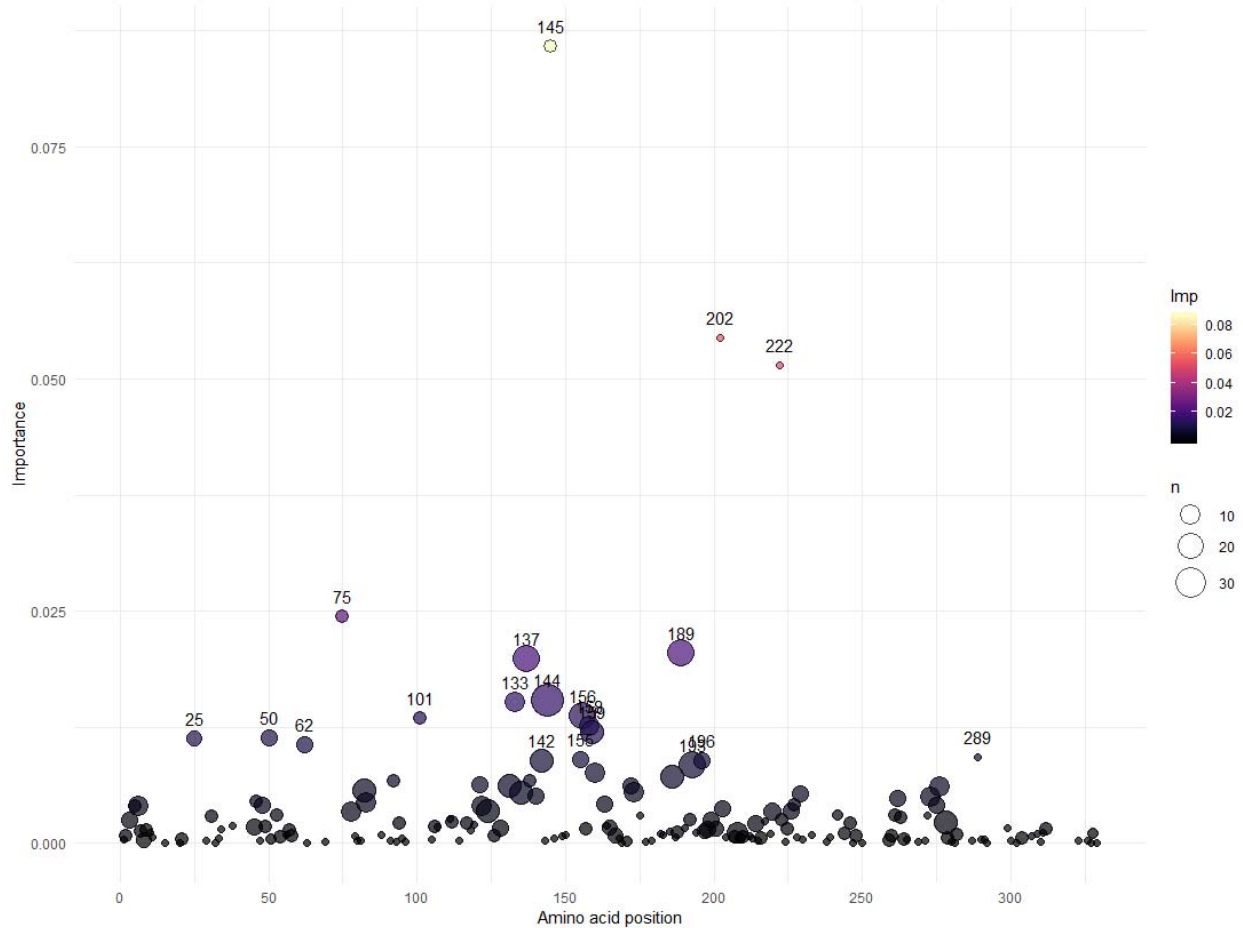
559 Three regression models were used to predict distances from empirically determined antigens using
560 hemagglutination inhibition titers in a leave-one-out approach: random forest regression (rf), adaBoost
561 decision tree regression (ada), and multilayer perceptron (mlp) regression. All three predictions were
562 combined into an ensemble (ens) to prevent overfitting and to minimize errant predictions by averaging
563 across predictions from all models. Approximately 25% of the data has 0.5 antigenic units (AU) of error
564 or less, 50% of the data has 1 AU of error or less, 75% of the data being less than 2 AU of error.

565 Maximum error for outliers exceeded 6 AU.

566



568 Figure 2. Phylogenetic trees of test antigens rooted to their reference strain. A) Phylogenetic tree of test
569 antigen A/swine/Nebraska/A01672826/2017 and reference strain A/swine/Indiana/A00968373/2012,
570 representing a near predicted antigenic distance prediction (0.16 AU) for two strains of near amino acid
571 identity (99.4%). B) Phylogenetic tree of test antigen A/swine/Indiana/A02214844/2017 and reference
572 strain A/swine/Iowa/A01480656/2014, representing a far predicted antigenic distance prediction (3.3) for
573 two strains of near amino acid identity (98.5%). C) Phylogenetic tree of test antigen A/swine/North
574 Carolina/A01732197/2016 and reference strain A/swine/Pennsylvania/A01076777/2010, representing a
575 near predicted antigenic distance prediction (0.31) for two strains of far amino acid identity (94.2%). D)
576 Phylogenetic tree of test antigen A/swine/Iowa/A01733626/2016 and reference strain
577 A/swine/Indiana/A01202866/2011, representing a far predicted antigenic distance prediction (6.33) for
578 two strains of far amino acid identity (91.2%). Branches of the phylogenetic tree were annotated with the
579 predicted antigenic distance from the ensemble regression model (both test antigen and reference strain
580 are highlighted). Each tree is pruned to 30 sequences. Influenza strains are colored by the antigenic motif
581 formed by amino acid positions 145, 155, 156, 158, 159, and 189: these positions, located near the ligand
582 binding site of the hemagglutinin protein, have been noted to affect the antigenic interactions of the
583 protein.
584

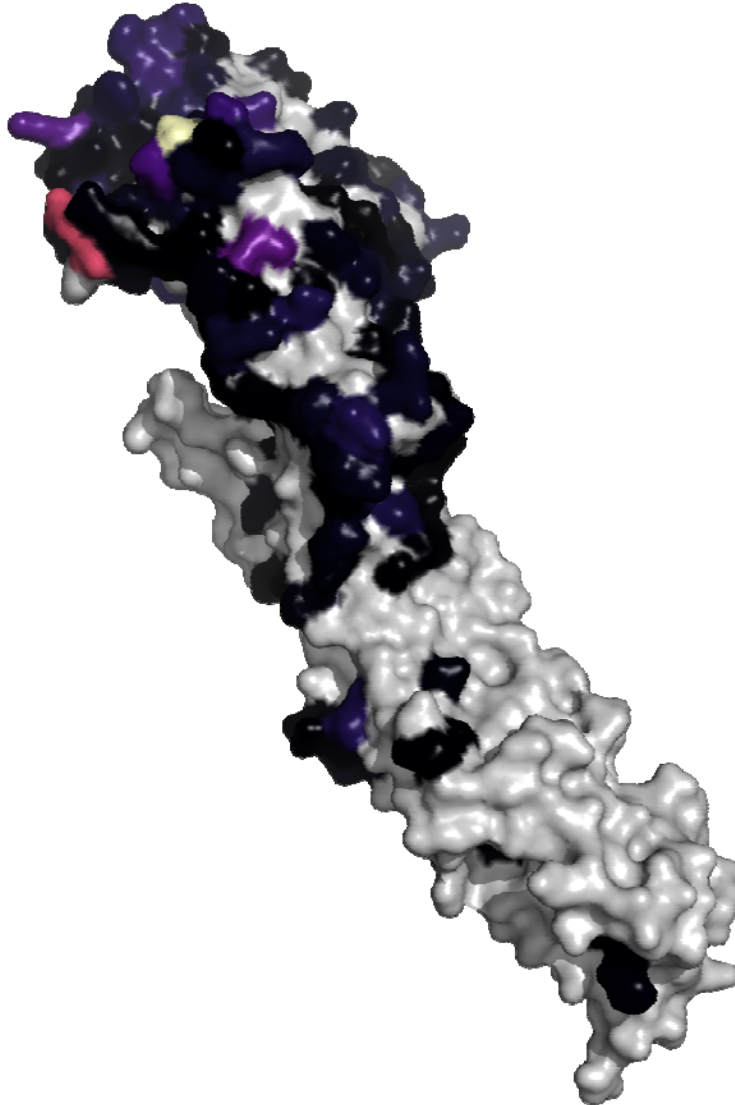


585

586 Figure 3. Rank of amino acid location importance by the cumulative summation of importance per site
587 mutation as determined by random forest regression. Amino acid position using H3 numbering is reported
588 on the x-axis. The importance for each site-specific mutation is summed per site and displayed on the y-
589 axis using a color scale. The size of the circle is relative to the number of mutations observed in the
590 training set per site. Identity was the highest-ranking feature, with an importance of 0.312, but is not
591 displayed on the graph. The top ten amino acid transition features in order of importance are K145N,
592 R222W, I202V, H75Q, I25L, R137Y, D101Y, E62K, P289S, and D133N. The top ten amino acid sites in
593 order of cumulative importance are 145, 222, 202, 75, 189, 137, 25, 133, 144, and 156.

594

595



596

597 Figure 4. Projection of feature importance on a monomer of the A/Victoria/361/2011 hemagglutinin (HA)

598 protein (RCSB 4O5N). The significance of each amino acid position in the HA was determined by

599 summing the substitution-based features grouped by the position they represented. Significant positions

600 were projected onto a hemagglutinin protein model of the human H3. The importance for each site-

601 specific mutation is summed per site and projected onto the hemagglutinin protein model of the human

602 H3. Higher color intensity represents a larger calculated importance. Positions with no data were colored

603 gray.