FunGeneTyper: An Expandable Deep Learning-Based Framework for Ultra-

Accurate Classification and Discovery of Functional Protein-Coding Genes

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Abstract

Next-generation metagenomic sequencing technologies have generated large quantities of protein-coding gene sequence data from microbial dark matter. However, accurately assigning protein functions to new gene sequences remains challenging. To this end, we developed FunGeneTyper, an expandable deep learning-based framework with models, structured databases, and tools for ultra-accurate (>0.99) and fine-grained classification of both antibiotic resistance genes (ARGs) and virulence factor genes. This new framework also achieves superior performance in discovering new ARGs from human gut (accuracy: 0.8512; and F1-score: 0.6948), wastewater (0.7273; 0.6072), and soil (0.8269; 0.5445) samples, beating the state-of-the-art bioinformatics approaches and protein sequence (F1-score: 0.0556-0.5065) and domain (0.2630-0.5224)-based alignment tools. We empowered the generalized application of the framework by implementing a lightweight, privacy-preserving and plug-and-play neural network module shareable among global developers and users. The FunGeneTyper[*] is released to promote the global discovery of novel and precious microbial, genetic, and enzymatic resources in environmental and animal microbiomes.

Keywords: Functional classification, Protein-coding gene, Deep learning, Structured database, Microbiome, Bioinformatics

* The codes and database resources are available at: https://github.com/emblab-westlake/FunGeneTyper.

Main

High-throughput DNA sequencing and metagenomics have generated extensive protein-coding gene (PCG) sequences from diverse environmental and human microbiomes[1-3]. Accurate classification of genes into related protein functions is the key to effective gene discovery. However, these datasets pose significant computational challenges in metagenomic studies. Sequence alignment (SA), implemented using NCBI's BLAST[4], usearch[5], and Diamond[6], is commonly used for functional annotation of PCGs[7]. To minimize false-positives, SA-based methods are routinely conducted with strict user-defined cutoffs or thresholds (alignment identity, coverage, and bit scores) to retain high-confidence best hits for each query sequence from validated databases. This practice is widely implemented in the development of tools for categorizing genes, including antibiotic resistance genes (ARGs)[8,9] and virulence factor genes (VFGs)[10]. SA-based approaches effectively predict functions between genes that share high homology (>80% identity [8,9]), but exclude distantly homogeneous genes that fall below arbitrarily-defined and one-size-fits-all cutoffs that may represent the majority of targeted functional genes in environmental samples (e.g. core ARGs in activated sludge[11] and soil[12]). Therefore, these SA approaches with stringent bioinformatic cutoffs unavoidably generate numerous false-negative results and heavily underestimate true novelties and diversity of functional genes in largely uncultured bacteria, thus biasing research outcomes or conclusions. Therefore, it is crucial to develop intelligent and accurate classification paradigm and bioinformatic tools to

overcome limitations of existing SA-based classification approaches. Importantly, this

endeavor will accelerate discovery of new genes in future metagenomic-based

environmental and human microbiome studies[13,14].

Hidden Markov models (HMM) with manual-crafted sequence alignments and

scoring functions are powerful tools for protein domain-based functional gene

annotation for detecting remote gene homologues with low sequence identity (< 30%)

to known proteins[15,16]. However, these methods rely on token (amino acid) matching,

which fail to detect high-level semantic representation similarity or structure-level

representation similarity, leading to false-positives[17], and thus cannot distinguish

functions of proteins in the same family[18]. In contrast, deep learning (DL) methods

excel at learning rich and high-level semantic representations when sufficient training

data are available, and are effective at identifying proteins with structural and functional

similarities[19-22]. Specifically, ground-breaking big language models initially developed

for natural language processing tasks have been successfully applied to protein function

prediction tasks[23,24], often termed protein language models (PLMs). The high-level

semantic representations learned from PLMs establish valid connections between

sequences and function[25,26]. Notwithstanding the power of PLMs, gene classification

tasks, particularly identifying fine-grained protein function subclasses, pose challenges

for data-hungry deep learning paradigms because of limited supervised training dataset

for certain genes. Additionally, it remains unclear whether advanced PLMs perform

better than state-of-the-art metagenomic bioinformatics tools at microbiome gene

classification and discovery.

Here, we propose FunGeneTyper, a PLM-based deep-learning framework for

accurate and expandable prediction of PCG function. FunGeneTyper implements a two-

stage pipeline that separately handles the assignment of the main types and subtypes of

PCG functional classes, reducing issues associated with insufficient training data during

subtype-level predictions. To improve conciseness, it first performs standard

classification of genes of the main types and then performs fine-grained retrieval by

comparing similarities between learned protein subtype representations. FunGeneTyper

models classify ARGs with ultra-high accuracy (>0.99) and outperforms the state-of-

the-art SA and HMM-based methods and tools. Furthermore, we also demonstrate the

generalized application of FunGeneTyper models in ultra-high classification of VFGs

and introduce the adapter module, a lightweight neural network that can be inserted into

the current backbone architecture to realize parameter-efficient training. The adapter-

tuning-based FunGeneTyper models are expandable to the classification of various

categories of genes and enables sharing of both task-agnostic and task-specific

parameters without accessing the private training dataset. Thus, FunGeneTyper offers

a unified and innovative way of integrating the global efforts of the microbiome and

bioinformatics communities, endowing the FunGeneTyper framework with the ability

to conduct unlimited prediction of functional gene categories beyond the ARGs and

VFGs demonstrated here, which is key to accelerating the global discovery of new and

precious genetic and enzymatic resources from microbiomes.

Results

FunGeneTyper framework, structured database, and deep learning models

FunGeneTyper is the first unified framework that utilizes DL models and structured

functional gene datasets (SFGD) to develop new DL-based classifiers for any gene

category via transfer learning. This novel framework achieves highly accurate PCG

classification from metagenomic studies and extends the models to efficiently predict

broad categories of gene functions from large varieties of microbiomes with

corresponding customizable SFGD.

Structured functional gene datasets

We deployed a transferable strategy to collect high-quality reference gene sequences to

meet FunGeneTyper's training requirements with high reliability (Fig 1a).

Experimentally-confirmed reference sequences of target genes from literature and/or

expert-curated databases were used as the core dataset, and highly homologous protein

sequences (at least 80% identity and 80% coverage) were extracted from Uniref100

database and used as the expanded functional genes dataset. A non-target sequence

dataset was selected from Swiss-Prot database (version: June 2021) by excluding

perfect matches to the target genes, and used as the negative training set so that

FunGeneTyper could learn sufficient features of non-target genes. Core and expanded

functional gene datasets and the non-target dataset were integrated to form the SFGD,

which was organized hierarchically into a secondary structure based on gene ontology.

The SFGD was divided into training, validation, and testing sets (ratio 6:2:2) and used

to train the following two DL models.

Deep learning models: The framework has a top-down protein function prediction

workflow featuring two DL models (Fig. 1b), FunTrans and FunRep, which

progressively classify protein sequences from the upper (type) to lower (subtype)

functional levels. FunGeneTyper was pre-trained on ESM-1b, a large-scale pre-trained

protein sequence model based on the transformer architecture released by Facebook[22].

ESM-1b is composed of the 33-layer transformer architecture consisting of 650 million

parameters trained on Uniref50. It has the superior capacity to infer fundamental

structural and functional characteristics of proteins from sequences that can

significantly increase the performance metrics for sequence-function tasks. Despite

sharing the 33-layer transformer architecture, FunTrans and FunRep were

independently constructed, trained, and optimized, to complete two-level functional

classification tasks that successively assigned a PCG to its best matches of functional

type and subtype in a structured database, respectively.

FunTrans distinguishes protein sequences and classify them into specific functional

types equivalent to gene families with the same or similar functions. It is inspired by

the fact that proteins with similar structures and functions clustered closer together in

the embedding space. The main FunTrans structure is a 33-layer transformer that

implements initial classification of input data (Fig 1c). Adapter modules are inserted

into each transformer block as trainable parameters. The adapter enables efficient fine-

tuning of parameters for different gene classification tasks. High parameter sharing is

achieved under the premise that the parameters of the original network remain

unchanged. Adapter modules enable flexible and parameter-efficient transfer learning

and prevent overfitting[27]. FunTrans adds a nonlinear classification layer at the end of

the sequence semantic representation for functional classification.

FunRep has a structure similar to that of FunTrans and can be used to embed

representation retrieval for further subtype classification of protein function (Fig 1d). It

uses embedding representation retrieval to accurately predict functional subtypes of the

FunTrans output results for classification. FunRep also adds an adapter layer to increase

robustness and insight into a broader range of gene classification.

Fig. 1 FunGeneTyper model design and database construction workflows. **a**, Two-level hierarchical structure of FunGeneTyper. **b**, Schematic representation of FunTrans model. **c**, Schematic representation of FunRep model. **d**, Process of preparing a structured functional gene dataset (SFGD). The data set is divided into the training set, validation set and testing set in a 6:2:2 ratio.

FunGeneTyper classification performance and learning ability

The spread of antibiotic resistance has raised public health concerns globally[28]. Reliable

ARG model classification is important for surveillance and control of the spread of

antibiotic resistance, and achieving sufficient model sensitivity to remote homologues

is key to discovering new ARGs. Therefore, we first classified ARGs and demonstrated

the ability of the FunGeneTyper framework to achieve this goal. Before building the

ARGs classification models, we constructed a hierarchical structured ARG database

(SARD) based on antibiotic resistance ontology of the comprehensive antibiotic

resistance database (CARD)[7]. Based on CARD's ontological rules, ARGs were

assigned to class and group hierarchies based on the types of drugs to which they confer

resistance, and the subtypes of genes with the same resistance function, respectively

(Dataset S1). To test and improve the sensitivity of the model, we used different identity

thresholds to collect four non-target sequence sets from Swiss-Prot database —

excluding ARGs — as negative training datasets, for model training (Supplementary

Figure 1, see Methods). The addition of a negative training set allows the model to learn

features of non-targeted genes., which gives the model the ability to directly classify

targeted (e.g., ARGs) and non-targeted genes (e.g., non-ARGs) from new datasets to be

tested. We evaluated the impact of four identity thresholds of the negative datasets on

the learning features of the model. The results of five-fold cross-validation revealed that

the model with 0% identity as the threshold for recruiting non-target sequences had the

best performance metrics, including accuracy, recall, precision, and F1-score (Fig. 2a).

Under these optimized conditions, the positive SARD set contained 61874 ARG

sequences, including 2972 experimentally-confirmed core sequences inherited from the

CARD and 58902 homology-predicted (>80% identity and >80% coverage) expanded

ARG sequences from Uniref100. All ARG reference sequences were hierarchically

assigned to 19 classes and 2972 groups (Dataset S2 and Supplementary Figure 2).

To demonstrate the powerful utility of FunGeneTyper, we used the reference

protein sequences in SARD to train two transformer models (FunTrans and FunRep)

and developed them as a new deep-learning ARGTyper deep-learning classifier. We

used the trained ARGTyper to classify the testing set to validate the performance of the

ARGTyper. The overall ARGTyper performance metrics prove that FunGeneTyper

provides an excellent and robust framework for gene classification. Specifically, the

optimal FunTrans model at the ARG class level reached an accuracy of 0.9979, a

precision of 0.9830, a recall rate of 0.9683, and an F1 score of 0.9756 (Fig. 2b).

Moreover, the prediction precision and recall of all 17 ARG classes exceeded 0.96 (Fig.

2c), apart from fusidic acid and triclosan, which showed lower precision and recall

because they have only 21 and 53 reference sequences, respectively, in SARD (Dataset

S3). More training data helps the model learn more features. Nonetheless, the power of

FunTrans to classify these temporarily less-represented classes of ARGs will improve

as more functionally-verified sequences will be available for model training.

The vector space generated by FunGeneTyper was semantically rich and encoded

structural, evolutionary, and functional information. To explain what our model

intuitively learns, we obtained representations of all classes of ARG and non-ARG

sequences in the training set. We used uniform manifold approximation and projection

(UMAP) to reduce data dimensions in each layer to two. Visualizations performed in

the four essential representative layers (1st, 5th, 32nd, and 33rd) revealed the learning

process of the model (Fig. 2d). All ARG sequences were highly entangled at the first

level of encoding input. However, they became increasingly separated as the

transformer model got deeper. Each type of ARG undergoes a process from dispersion

to aggregation. This finding verified that FunTrans can efficiently learn the

representation features of sequences from raw input data with high entanglement.

Prediction multiclass confusion matrix was used to represent the effect of FunTrans

on the learning features of each ARG class. The results indicated that the FunTrans

model was excellent at predicting all ARG classes (Fig. 2e). We continued to locate

significant classification errors in the ARG classes using error detection counts (Fig.

2f). Prediction error was concentrated in the multidrug class. Specifically, 33 non-ARG

sequences were mispredicted as multidrug resistance, whereas 39 multidrug resistance

protein sequences were mispredicted as non-ARG sequences. The poor prediction

performance of these proteins is mainly due to their high structural differences and

diverse biological functions that include roles other than multidrug resistance[29], making

it challenging for a DL model to effectively learn sufficient discriminative features in

the absence of sufficient training data. Multidrug efflux pumps[29] export antibiotics and

other diverse extraneous substrates, including organic solvents, toxic heavy metals, and

antimicrobials, and also fulfill other key biological functions such as biofilm formation,

quorum sensing and survival and pathogenicity of bacteria[29]. Therefore, multidrug

resistance proteins or efflux pumps were not seriously considered as ARGs[17,30] and we

recommend excluding their sequences from ARG analysis unless they can be reliably

or unambiguously assigned to resistance functions of certain antibiotic classes.

Once the FunTrans model was shown to be robust and accurate in identifying ARGs

and classifying them into 19 classes, we trained FunRep, which conducted a more

detailed lower-level classification of ARGs into 2972 groups (Dataset S3). FunRep

achieved an overall prediction accuracy of 0.9023 for all ARG groups (Dataset S4). We

used UMAP to visualize FunRep model's learning process. UMAP was used to visualize

the characteristics of the final layer of all classes except the Fusidic acid class (21

sequences, Dataset S3). UMAP showed that FunRep can cluster the features of each

group in the main ARG classes, including beta-lactams (5909 sequences), Macrolides-

Lincosamides-Streptogramines (MLS, 2317 sequences), aminoglycosides (3483

sequences), and glycopeptides (2037 sequences) (Supplementary Figure 3).

Fig. 2. Performance evaluation of deep-learning FunGeneTyper models with structured Antibiotic Resistance Gene Database (SARD) for classification of ARGs. a, Evaluation of the influence of identity threshold used for selecting the negative dataset on model performance in the classification of ARGs. **b**, Performance metrics of ARGTyper developed based on FunGeneTyper models and SARD. **c**, Performance of all 19 classes as indicated by precision and recall of ARGs and non-ARG classes. **d**, Visualization of feature learning at different layers during the ARGTyper training process. **e**, Confusion matrix for ARG class classification,

confusion between true (y-axis) and predicted (x-axis) ARGs. **f**, Number of ARG

protein sequences annotated incorrectly. MLS: Macrolides, Lincosamides and

Streptogramines.

In summary, we demonstrated the application of the FunGeneTyper framework to

develop ARGTyper as the first transformer-based ARG classifier trained from a

customized structured ARG database (SARD). The performance metrics of the testing

set show that FunTrans and FunRep can achieve highly accurate (accuracy=0.998) and

robust (F1-score=0.976) identification of all known types (classes) and subtypes

(groups) of ARGs in the authoritative CARD. Both the accuracy and robustness of

FunGeneTyper models outperform previously published results from DeepARG

(accuracy>0.97, F1-score>0.93 [9]) and HMD-ARG (accuracy=0.935, F1-score=0.893 [31])

on their own testing sets of ARGs.

Model performance in the discovery of new genes

The 'twilight zone' of protein sequence alignment is a complex, long-standing problem

plaguing protein function prediction[32,33], limiting the discovery of PCGs in the largely

uncultured microbial world. In contrast to classic SA-based tools, DL-based models

(FunRep and FunTrans) of the FunGeneTyper framework are designed with unique

features and intrinsic advantages for predicting remote homologues of protein

sequences with guaranteed accuracy and robustness, as previously demonstrated for

ARG classification.

To compare FunGeneTyper's ability to identify new PCGs with those of existing

methodologies, we evaluated its ability of its DL-based models to discover remote

homologues by predicting experimentally-confirmed protein sequences of new ARGs

discovered from three representative habitats: human gut (n = 168)[34], wastewater

treatment plants (n = 77)[35], and soil (n = 52)[36-39]. We computed the predictive

performance of FunGeneTyper classifier for ARGs (ARGTyper) and compared it with

that of three state-of-the-art tools: DL-based tools (HMD-ARG[31] and DeepARG[9]), SA-

based tools (RGI[7]), and HMM-based tools (Resfams[18]) (Table 1). FunGeneTyper had

higher accuracy, precision, recall, and F1-score for predicting new ARGs compared

with HMD-ARG[31] and DeepARG[9]. The significant improvement was primarily

attributed to our implementation of the protein semantic models (i.e., FunTrans and

FunRep) in FunGeneTyper, which can learn more hidden features of protein sequences,

especially the context information[19,21], compared with the traditional one-hot encoding

algorithm and the convolutional neural network used by HMD-ARG[31] and the

multilayer perceptron used by DeepARG[9]. Moreover, the overall classification

performance of FunGeneTyper, as benchmarked by the F1-score (0.5445 to 0.6948),

was much higher than that of the classic SA-based methods (0.0556 to 0.6598) and

HMM-based methods (0.2630 to 0.5224) (Table 1). Although RGI also achieved high

accuracy (0.8830) in human intestinal data, its precision (0.4545), recall (0.3968), and

F1-score (0.4195) were much lower than those of the FunTrans model (0.7500, 0.6642,

and 0.6948, respectively) because many of the new ARG sequences tested here fell

below the commonly applied stringent identity cutoffs (> 95% RGI). It is expected that

when a strict one-size-fits-all filter cutoff is applied to the alignment results, many false-

negatives would result, limiting the discovery of ARGs that show a more remote

homology to database sequences. The superior performance of the FunGeneTyper

classifier over existing tools in identifying new ARGs was further evident when

comparative tests were performed using wastewater treatment plant (WWTP) or soil

samples compared with human gut samples (Table 1). This indicates that

FunGeneTyper has a greater capacity to predict functional genes in complex

environmental samples. To further resolve the superior predictive performance of

FunGeneTyper for remote homologues of functional genes over existing tools, we

divided the ARGs data into lower homology ($\leq 50\%$ identity) and higher homology ($\geq$

50% identity) datasets (Supplementary Figure 4). FunGeneTyper not only consistently

achieved better classification performance of higher homology ARGs in all three

sample groups (WWTP, soil, and human gut), it also showed outstanding performance

at accurately and sensitively predicting the function of remote homologous sequences

(Dataset S5).

Taken together, our results exemplify the discovery and classification of novel

ARGs, especially among relatively remote homologues (<50% identity), and

demonstrate that FunGeneTyper is best at predicting new ARG protein sequences,

exhibiting unprecedented capacity to identify new genes with high accuracy, sensitivity,

and robustness.

Evaluating the generalizability of FunGeneTyper

To demonstrate the generalizability of FunTrans and FunRep in classifying other gene categories, we trained the models using a calibrated and professionally expanded bacterial virulence factor database, VFNet[40] and utilized them to develop a new transformer-based classifier of VFG, named VFGTyper. Before training the model, we built a two-level expert-curated structured database based on the virulence ontology and reference sequences in the VFNet database. Semantic and categorically ambiguous data were cleaned (Methods). The final structured virulence factor database (SVFD) consisted of 160484 VFG sequences distributed into 2837 classes in 45 families (Dataset S6).

We followed a strategy similar to that mentioned above to train the model, collecting a non-target dataset with 551,783 sequences (excluding VFGs) from Swiss-Prot, as the negative dataset (see Methods). With the merit of the proposed adapter module, we only need to re-train a new adapter when building a VFGTyper. The design of adapter allows us to train only a new classifier and an adapter when predicting new functions. All the parameters in the backbone network can be reused. Therefore, VFGTyper can be regarded as a new task branch in the FunGeneTyper framework, where only the adapter and classifier differ. We verified the VFGTyper using the testing set to provide evidence of its generalizability in the functional genotyping process. VFGTyper achieved an accuracy of 0.9907 (Fig. 3a) in the family level prediction task. The obfuscation matrix results also showed that FunTrans achieved excellent

classification performance for each VFG at the family level (Fig. 3b, Supplementary

Figure 5). In addition, FunRep was 0.9499 accurate at predicting different VFG classes

in the second-stage prediction.

Fig. 3. Transfer learning of FunGeneTyper models on Structured Virulence Factor Gene Database (VFGD) and performance evaluation for VFG classification. a, Performance metrics of VFGTyper developed based on FunGeneTyper models and VFGD. **b**, Precision and Recall of VFGs family and non-VFGs category. **c**, Visualization of feature learning at different layers in VFGs FunTrans training. VFGs: virulence factor genes.

In conclusion, we demonstrated that FunGeneTyper can be successfully applied to

VFGs by adding new adapters to increase the power of the VFGTyper. To determine

whether FunGeneTyper can learn valuable features from different datasets, we

visualized the learning process of FunTrans and FunRep models for VFG sequences at

the family (Fig. 3c) and class (Supplementary Figure 6) levels. Consistent with the

learning process for ARGs, FunTrans and FunRep conducted effective feature

clustering and classification of VFGs at family and class levels.

Privacy-preserving global sharing of plug-and-play adapters for functional gene

discovery

Benefiting from the parameter-efficient property, FunGeneTyper has two novel merits.

First, FunGeneTyper enables effective effort-sharing by the entire community.

Specifically, a researcher who has trained our FunGeneTyper model to discover a new

or unknown gene can submit their adapters (along with a classification layer) to the

adapter hub. Once the adapter has been submitted, the module can be downloaded and

inserted into the FunGeneTyper model.

Second, the adapter design helps solve data privacy issues. Where researchers have

not publicly released their own datasets, they can train FunGeneTyper with their private

datasets, submit only the adapter module (again along with a classification layer), and

provide functional descriptions of their FunGeneTyper. Thus, the private datasets are

protected, while the uploaded adapter models can be used without model training. As

the number of researchers getting involved in the development of FunGeneTyper

increases, the model may become a universal toolkit that can be used for predicting

functional genes simply by looking up related functional modules. We believe that with

the elegant adapter module, FunGeneTyper will facilitate adapter sharing and model

integration globally.

Fig. 4. Schematic of the Adapter Sharing Community (ASC) in the framework of

FunGeneTyper. The community developers are cyber de-centralized to train

customizable structured databases and develop deep learning classifiers of various

categories of functional genes, while users utilize the classifiers of interest to accelerate

the discovery of genes which, in turn, provide new experimentally-confirmed

sequences to expand the structured databases and improve deep-learning models.

Discussion

Metagenomics has provided an opportunity for identifying microbiome diversity and

novel functionalities. However, the speed at which high-throughput DNA sequencing

technologies unravel the vast genetic novelties of uncultured microbes in nature

outpaces our capacity to understand their function. Previous approaches for functional

classification of PCGs were based on sequence alignment using tools such as BLAST[4],

usearch[5], and Diamond[6] or conserved motifs and domains using Hidden Markov

Models. Selection of uniform cutoffs and thresholds usually limit the accuracy and/or

sensitivity of these methods for functional gene prediction. Protein semantic algorithms

based on NLP methods have been developed [20,24]. However, these algorithms are not

optimized for classifying different categories of microbial genes, and a unified thinking

paradigm is required to meet the needs for accelerated discovery of new genes.

Our study provides a scalable and expandable deep learning paradigm and

technical framework for efficient and robust gene function prediction to meet the

aforementioned urgent needs and tackle unprecedented challenges in the prediction of

PCGs. We propose an end-to-end FunGeneTyper framework for the classification

prediction of gene functions. We exemplify the framework by developing two

transformer-based classifiers, ARGTyper and VFGTyper, based on deep learning

models coupled with expert-curated structured databases (SARD and SVFD) to realize

robust functional classification of bacterial ARGs and VFGs, which are two categories

of genes key to WHO's one health approach for human, animal, and environmental

health protection[41].

A series of experimental validations, including five-fold cross-validation, testing

set validation, and experimentally-confirmed protein sequence validation, demonstrate

the effectiveness and robustness of FunGeneTyper. Using ARG as an example,

FunGeneTyper models are more effective than SA-based and DL-based models in

predicting protein sequences of new ARGs from the human gut, WWTP, and soil

microbiomes with relatively low homology (< 50% similarity) to known ARGs. This

shows that ARGTyper has an unmatched advantage in discovering ARGs, primarily

because of the powerful learning ability of protein semantic models. Since

experimentally-confirmed sequences of the major categories, types, and subtypes of

genes are not sufficient, expanding the database based on sequence homology is

common and necessary to obtain sufficient training sequence data. UMAP analysis

showed that the expanded sequences represent reliable datasets and support our model

to better learn discriminative protein semantic features to achieve satisfactory

performance in identifying functional genes, including ARGs and VFGs.

Accurately classifying target genes from the huge interference of non-target gene

data is a problem. Therefore, we purposefully introduced non-functional genetic

datasets as part of the training set. Although this operation increases training complexity,

it enables our model to accurately classify target genes from noisy data when used to

analyze large-scale metagenomic sequence datasets from environmental or animal

microbiome samples. Some machine learning methods rely on sequence alignment

tools to create a similarity score matrix of potential gene sequences and databases[9,42].

Such practices will inevitably be affected (and limited) by the selection of arbitrary

thresholds for the results. The FunGeneTyper framework proposed here can accurately

annotate genes via classification through discriminative features learned from multiple

sequences. The limited number of training sequences may prevent the models from

learning sufficient features. This transient issue would, however, be easily solved once

more experimentally-confirmed reference protein sequences of target genes are

available for model retraining and refinement. Meanwhile, the robustness of deep

learning to noise labels[43] can also help our framework models and classifiers

outperform existing ones in discovering new genes.

In particular, once large amounts of (meta)genomic data are freely available, a

uniform and convenient understanding of the relationship between microbial gene

sequences and protein function becomes a perennial challenge that can be tackled to

create opportunities for gene discovery. There are other gene categories, apart from

ARGs and VFGs, including those associated with microbially-driven global

biogeochemical cycling (carbon, nitrogen, phosphorus, and sulfur) or microbial

biodegradation (bioremediation and bio-restoration) and biosynthesis (biomedicine and

bioresources) (Fig. 5), such as those well established by the RDP's FunGene database[44].

Building a dynamic metagenomic bioinformatics community will help us better

understand gene function. In principle, FunGeneTyper can predict the function of any

gene category based on prior parameters of the pre-trained model and the adapter's

transfer-learning ability. The adapter module used in FunGeneTyper is a lightweight

plug-and-play neural network that only fine-tunes and maintains a small set of

parameters and is conducive for sharing and promotion. Therefore, other researchers

can use the framework and training parameters we provide to train their own core

datasets to easily develop predictive deep learning models of genes of interest.

Researchers can also share a trained adapter through the adapter sharing community

(ASC) without disclosing their private datasets. The future prosperity and collaboration

of the ASC under the guidance of FunGeneTyper framework provide an interactive,

dynamic, and continuously improving or evolving platform for functional classification

of various PCG sequences. More importantly, FunGeneTyper and ASC are expected to

contribute significantly to advances in industrial biotechnology, health and medicine,

food and agriculture, environmental biotechnology, and bioenergy (Fig. 5), as they are

increasingly applied to accelerate the discovery of new genes and enzymatic resources

from microbiomes.

Fig. 5. Potential applications of FunGeneTyper to the discovery of microbiome resources for enhancing our environment, bioeconomy, and human systems. Metagenomic discovery of precious genetic and enzymatic resources facilitated by the Adapter Sharing Community of FunGeneTyper can contribute to follow-up microbiome, genetic and protein engineering researches for enhancing human health and eco-environment systems.

In conclusion, FunGeneTyper provides an innovative and unified framework with deep learning models (i.e., FunTrans and FunRep), expandable toolkits (e.g., ARGTyper and VFGTyper) and customizable structured databases for the classification and discovery of functional genes (e.g., ARGs and VFGs) that have scientific and

biotechnological significance. This framework will contribute to the continuous

discovery of various new genetic and enzymatic resources from diverse uncultured

microbes and microbiomes that are critical to the formation of the earth's biosphere and

the maintenance of our environment (biogeochemistry, bio-restoration, and

bioremediation)[14] bioeconomy (bioenergy and bioresources)[13], and human systems

(food and health)[20,45].

Methods

Collection and expansion of the core dataset

The core dataset used for FunGeneTyper model training is a set of experimentally-

confirmed reference sequences of target functional genes collected from literature

and/or expert-curated databases. Because the core dataset does not always contain a

sufficient number of experimentally-confirmed sequences (no more than 10

sequences[40]) for every type or subtype of functional gene, it is expanded to retrieve

more sequence data to improve and optimize the training of deep learning models. In

the subsequent training method, which separates the extended categories of five or more

sequences into the training set, verification set, and testing set at a ratio of 6:2:2, any

categories that are unsuitable for inclusion in these five sequences are included in the

training set.

Construction of structured antibiotic resistance database (SARD)

Core ARGs dataset: To ensure the professionalism and accuracy of the training dataset,

reference protein sequences of ARGs defined by homologs in the authoritative CARD

were selected as core data for downstream model training. The sequences were

clustered using CD-HIT[46] (*v*4.8.1) at an amino acid sequence identity of 100%, and all

protein sequences and their ontological information were manually checked to ensure

that each ARG was properly classified into class (type) and group (subtype) based on

their ontological information. Generally, class is equivalent to CARD's ontology terms

for antibiotic drug types, and group is equivalent to the specific sequence category.

Macrolides, lincosamides, and streptogramins were combined into the MLS class.

Based on the above procedures, a core dataset of 2972 non-redundant sequences

representing 2972 groups of ARGs from 19 classes was obtained and used to build the

SARD, which was used in subsequent analyses.

Expanded ARGs dataset: To ensure sufficient training data, the core dataset was

expanded by retrieving close homologues of its ARGs from the Uniref100 database

following strict screening criteria. Briefly, Diamond was used to index the ARG

sequences in the core dataset and to search for homologous sequences with an amino

acid identity and coverage greater than or equal to 80%. The extracted candidate

sequences were dereplicated and used as expanded datasets.

Negative dataset To ensure that the model can learn sufficient features of non-target

gene function, which is essential for robustly predicting target function directly from

metagenomic data, we used the Swiss-Prot database, an expert-validated protein

database, to generate a negative dataset for use as a non-ARG training set. First, protein

sequences associated with antibiotic resistance in the Swiss-Prot database were

screened out using the keywords KW-0046. The remaining sequences were aligned

against the core ARGs dataset using Diamond software. Sequences with an alignment

coverage greater than 80% were extracted and categorized into four negative datasets

based on their sequence alignment identity (ID): identity 0 (ID ≤0%), identity 30 (ID

≤30%), identity 50 (ID ≤50%), and identity 80 (ID ≤80%).

Construction of structured virulence factor database (SVFD)

Core VFGs dataset. Virulence factor databases were collected from VFNet[40]. Zheng

et al[40] performed a detailed similarity search for known and potential VFGs in the

complete bacterial genome downloaded from the NCBI server using VFanalyzer[47], with

Virulence Factor Database (VFDB) as the core database[47]. VFNet is an expanded

virulence factor database that can be used directly in the training process.

Negative dataset. The non-VFG collection process is similar to that of the non-ARG

collection process, except that KW-0800 is used to filter sequences from Swiss-Prot

database (version: June 2021).

Architecture of the FunGeneTyper model

FunGeneTyper is a universal function classification framework composed of two core

deep learning models, FunTrans and FunRep, which share similar structures but are

designed to classify functional genes at the type and subtype levels, respectively. Both

models are modular adapter-based architectures that leverage a few extra parameters to

achieve efficient fine-tuning of large-scale PLMs. In detail, utilizing the state-of-the-art

large-scale protein PLM esm-1b as a 33-layer transformer encoder framework as the

foundation, we plug adapters in each transformer layer of the PLM, which are

individual modular units that are used as newly introduced weights to be fine-tuned for

specific functional tasks. Notably, ESM-1b, through self-supervised learning on the

UniRef50 dataset, was shown to have a superior capacity to infer fundamental structural

and functional characteristics of proteins from gene sequences[48].

The holistic architecture is depicted in Fig. 1a and consists of three main

components: a multi-headed self-attention, a feed-forward network, and an adapter

layer. Each sublayer contains layer normalization and skip connections to effectively

train the neural network and avoid overfitting. It is worth noting that the bottleneck-

shaped adapter module consists of a down-project linear $H \in \mathbb{R}^{d \times k} H \in \mathbb{R}^{d \times k}$

where d is embedding size of the Transformer model, k is the dimension of the adapter

and $d \gg k$, a ReLU activation followed by an up-projection $L \in \mathbb{R}^{k \times d} L \in \mathbb{R}^{k \times d}$. The

adapter layer is formulated as follows:

542
$$O_l = LayerNorm(T_l)$$
$$Adapter_l = L_l(\text{ReLU}(H_l(O_l))) + T_l$$

where T_l is the hidden feature at transformer layer l, $d = 1280$, and $k = 256$ in the

actual training.

Following the approach of BERT[49], hidden features from the first token of the

sequence of the last layer are extracted. In contrast to FunTrans, which adds a nonlinear

layer for protein function classification after the representations of the last layer,

FunRep first computes the hidden features of experimentally-confirmed core sequences

and then annotates PCGs by finding the sequence's category with the closest Euclidean

distance in the representation space.

FunRep model training. Here, we use a dual-tower architecture with shared

parameters similar to Sentence-BERT[50] for model training in order to place sequences

with the same category closer in the representation space. FunRep is trained by

constructing $< A, P, N >$ triples, where A is the anchor sequence, P is a positive

example possessing the same category as A, and N is a negative example whose

category is different from A and the hidden representations they obtained through

FunRep are a, p, and n, respectively. The loss function adopts Triplet Loss, which is

defined as follows:

$$Loss(a, p, n) = max(D(a, p) - D(a, n)) + margin, 0)$$

where D is the Euclidean distance between vectors, and $margin$ is an adjustable

threshold, set to 1.0 during model training. ARGTyper-FunRep and VFGTyper-FunRep

are classified at the group level with the same 21.76M learnable training parameters.

Training settings

All datasets are divided into training, validation and testing in a 6:2:2 ratio, and the five-

fold cross-validation is performed. Adam optimizer with default parameters is used,

dropout is set to 0.2, learning rate is 1e-5, and the early stopping method is adopted to

prevent overfitting. The accuracy, precision, recall and F1-score are used to evaluate

the performance. As a result, the micro average of the F1-score also equals that of

precision and recall, as well as the overall accuracy. Thus, we report only the overall

accuracy for the micro average metrics while reporting precision, recall and F1-score

for the macro average metrics.

Evaluation of FunGeneTyper for new functional gene discovery

To validate the capacity of FunGeneTyper models in discovering new functional genes,

experimentally confirmed ARGs from functional metagenomics studies were retrieved

from NCBI's protein database (accession numbers in Dataset S7). After removing those

ARGs showing perfect sequence match to the CARD database (or core dataset of

ARGs), 297 experimentally confirmed ARG sequences of human gut[34] (n = 168),

WWTPs[35] (n = 77), and soil[36-39] (n = 52) bacteria were retained for use in the

downstream comparisons between FunGeneTyper and the well-established SA-based

(RGI[7]), HMM-based (Resfams[18]), and DL-based (DeepARG[9] and HMD-ARG[31])

approaches in terms of classification performance of the new ARGs. In this study, four

evaluation metrics including the accuracy, precision, recall and F1-score were

computed to assess the multi-classification results performance using the following

equations:

586
$$Accuracy = \frac{TP + TN}{TP + FP + FN + TN}$$

587
$$Precision = \frac{TP}{TP + FP}$$

588
$$Recall = \frac{TP}{TP + FN}$$

589
$$F1\ Score = \frac{2 * Precision * Recall}{Precision + Recall}$$

where TP is the number of true positives, TN is the number of true negatives, FP is the

number of false positives, and FN is the number of false negatives.

Abbreviations

SFGD: Structured Functional Gene Dataset

PCG: Protein-Coding Gene

ARG: Antibiotic Resistance Gene

VFG: Virulence Factor Gene

MLS: Macrolides, Lincosamides and Streptogramines

Author Contributions

F. Ju conceived the idea of FunGeneTyper, obtained funding, and supervised the project.

G. Zhang and H. Wang performed the model construction, data analysis and

visualization. F. Ju and F. Yuan co-supervised G. Zhang and H. Wang on the deep-

learning model construction with additional support from G. Guo. G. Zhang constructed

the structured databases and improved the data presentation with the help from Z.

Zhang, L. Zhang and J. Yang. F. Ju and G. Zhang co-wrote the manuscript with

assistance from F. Yuan and H. Wang. J. Yang, L. Zhang and Z. Zhang helped to revise

the manuscript. All authors have given approval to the final version of the manuscript.

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767   Table 1 Comparative performance between FunGeneTyper and other alternative classification tools for the discovery of experimentally confirmed

768   new ARGs. In total, 297 experimentally confirmed ARGs sequences of human gut[34] (n = 168), WWTPs[35] (n = 77), and soil[36-39] (n = 52) bacteria

769   were included in the analysis which was performed based on default parameters of each tools recommended by the developers.

Tools	Human gut (n=168)				WWTP (n=77)				Soil (n=52)			
	Accuracy	Precision	Recall	F1-score	Accuracy	Precision	Recall	F1-score	Accuracy	Precision	Recall	F1-score
DL-based tools												
FunGeneTyper	0.8512	**0.7500**	**0.6642**	**0.6948**	**0.7273**	**0.7500**	**0.5403**	**0.6072**	**0.8269**	0.5926	**0.5529**	**0.5445**
HMD-ARG	0.8452	0.6000	0.5230	0.5486	0.5714	0.7161	0.3877	0.4589	0.8077	**0.6000**	0.4560	0.5119
DeepARG	0.3512	0.6250	0.4720	0.5149	0.1688	0.5714	0.1682	0.2591	0.2885	0.3750	0.1057	0.1607
SA-based tools												
RGI	0.3452	0.6250	0.4596	0.5065	0.0390	0.3750	0.0349	0.0632	0.1538	0.1250	0.0357	0.0556
HMM-based tools												
Resfams	**0.8830**	0.4545	0.3968	0.4195	0.6234	0.6250	0.4736	0.5224	0.8088	0.2727	0.2545	0.2630

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