

1 Full title

2 **Unsupervised phenotypic analysis of cellular images with multi-scale convolutional neural**  
3 **networks**

4 Short title

5 **Unsupervised deep learning for cellular image analysis**

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11 **Abstract**

12 Large-scale cellular imaging and phenotyping is a widely adopted strategy for understanding  
13 biological systems and chemical perturbations. Quantitative analysis of cellular images for  
14 identifying phenotypic changes is a key challenge within this strategy, and has recently seen  
15 promising progress with approaches based on deep neural networks. However, studies so far  
16 require either pre-segmented images as input or manual phenotype annotations for training, or  
17 both. To address these limitations, we have developed an unsupervised approach that exploits the  
18 inherent groupings within cellular imaging datasets to define surrogate classes that are used to  
19 train a multi-scale convolutional neural network. The trained network takes as input full-  
20 resolution microscopy images, and, without the need for segmentation, yields as output feature  
21 vectors that support phenotypic profiling. Benchmarked on two diverse benchmark datasets, the

22 proposed approach yields accurate phenotypic predictions as well as compound potency  
23 estimates comparable to the state-of-the-art. More importantly, we show that the approach  
24 identifies novel cellular phenotypes not included in the manual annotation nor detected by  
25 previous studies.

## 26 **Author summary**

27 Cellular microscopy images provide detailed information about how cells respond to genetic or  
28 chemical treatments, and have been widely and successfully used in basic research and drug  
29 discovery. The recent breakthrough of deep learning methods for natural imaging recognition  
30 tasks has triggered the development and application of deep learning methods to cellular images  
31 to understand how cells change upon perturbation. Although successful, deep learning studies so  
32 far either can only take images of individual cells as input or require human experts to label a  
33 large amount of images. In this paper, we present an unsupervised deep learning approach that,  
34 without any human annotation, analyzes directly full-resolution microscopy images displaying  
35 typically hundreds of cells. We apply the approach to two benchmark datasets, and show that the  
36 approach identifies novel visual phenotypes not detected by previous studies.

## 37 **Introduction**

38 Image-based high-throughput cellular assays allow meticulous monitoring of chemical or genetic  
39 perturbations of cellular systems at large scale(1–4). Quantitative analysis of the collections of  
40 image data generated by these assays is pivotal for an objective assessment of the phenotypic  
41 diversity observed within the data. Conventional workflows developed for image analysis  
42 involve a series of disjoint data-processing tasks, such as detection of cellular objects, numerical  
43 characterization of these objects via feature engineering, as well as classification of cellular

44 objects based on their features into different phenotypes(5,6). Many of these steps have been  
45 addressed with the *deep learning* methodology(7,8), which has previously yielded state-of-the-  
46 art results for such computer vision tasks(9–13). Approaches(14–16) based on deep learning for  
47 analyzing high-content cellular images follow primarily a *supervised learning* paradigm,  
48 whereby images annotated with phenotypic labels are used to train a deep neural network model  
49 that maps images to one of the labels. The predictions of supervised approaches are therefore  
50 constrained to the set of phenotypes defined during training, and therefore do not naturally  
51 support the identification of additional phenotypes. The acquisition of these phenotypic labels  
52 through manual annotation of the image data is also time-consuming (e.g., requiring  
53 crowdsourcing efforts(17)), and error-prone(18). The applicability of supervised approaches is  
54 thus contingent upon the availability and quality of the manual annotation.

55         Strategies to escape the limitations imposed by the a priori definition and acquisition of  
56 phenotypic labels include *transfer learning* as well as *unsupervised learning*. In the former, a  
57 neural network classification model trained in a supervised manner on a non-cellular image  
58 dataset is applied to a cellular image dataset(19). Since the categories defined in the *source* non-  
59 cellular dataset do not match those of the *target* cellular dataset, the aim of this strategy is to map  
60 cellular images to a continuous coordinate system, i.e., a *feature space*, by treating the activation  
61 of the hidden layers of the pre-trained deep model as a feature vector. While this strategy has  
62 been shown to work well for extracting biologically informative features(19), there are no  
63 guarantees that models trained on non-cellular data generalize well to arbitrary cellular image  
64 data. Technical issues such as different channel encodings (e.g., RGB channels in non-cellular  
65 images compared with an arbitrary number of fluorescence channels in cellular images) and  
66 noise models (e.g., additive Gaussian noise models in non-cellular images(20) compared with

67 Mixed-Poisson-Gaussian statistics(21) in fluorescence images) also hinder the applicability of  
68 approaches based on transfer learning.

69 Approaches following an unsupervised learning paradigm are, in contrast, typically  
70 optimized on the specific cellular dataset of interest. The aim of unsupervised learning is to map  
71 images to a feature space where biologically relevant patterns within the dataset might emerge.  
72 While in the supervised learning paradigm deep models are designed to predict an *extrinsic*  
73 characteristic or attribute of the data, e.g., the phenotypic label manually assigned to the images,  
74 in the unsupervised learning paradigm deep models are designed to predict an *intrinsic*  
75 characteristic of the data. The most inherent property of each image is the pixel data itself. The  
76 training process of both *autoencoder networks*(22) as well as *generative adversarial networks*  
77 (23)(GANs) therefore typically involves the optimization of an image synthesis function aiming  
78 to reconstruct an image's raw pixel data from a low dimensional representation of the input  
79 image. This type of approaches has been able to map single-cell images with small dimensions  
80 (e.g.,  $40 \times 40$  pixels) to a low-dimensional space (e.g., 64-D) where aberrant morphologies  
81 during cell division as induced by siRNAs may be identified(24). Because of the high spatial and  
82 phenotypical variability found in multi-cellular images with larger dimensions (e.g.,  $1280 \times 1024$   
83 pixels over three fluorescent channels, i.e., a 3932160-D space), the compression and  
84 reconstruction of high-content images via a neural network is currently a computationally  
85 prohibitive task.

86 Here we present an unsupervised approach based on the *exemplar convolutional neural*  
87 *network*(25) (Exemplar-CNN) training methodology that optimizes a network model to  
88 discriminate among *surrogate classes*, which, in our case, are automatically defined through the  
89 intrinsic groupings of images (e.g., images belonging to the same treatment) typically found in

90 high-content imaging studies. The proposed approach uses exclusively dataset-specific multi-  
91 cellular images, and requires no phenotypic annotations or optimization of computationally-  
92 expensive image reconstruction functions. Using this unsupervised strategy, we train our multi-  
93 scale convolutional neural network architecture (M-CNN(16)) on the multi-cellular images of the  
94 KiMorph(26) and BBBC021(27,28) datasets, which involve genetic and chemical perturbations  
95 of cellular systems at scale, respectively. Our approach, without any user-provided phenotypic  
96 labels and without any object segmentation, is able to map images to a feature space that enables  
97 prediction of phenotypes that match well with held-out labels. In addition, we show that the  
98 approach identifies novel phenotypes in the benchmark datasets not detected by previous studies.

## 99 **Results**

### 100 **Training and validating a deep neural network with the Exemplar-CNN methodology**

101 To train a neural network model without any user-provided phenotypic annotation, we used the  
102 Exemplar-CNN(25) training methodology (see **Methods** for details). When applied to high-  
103 content cellular images, the trained network model maps in one step an image to a continuous  
104 feature space representing the phenotypic homogeneity and variability observed in the data (see  
105 **Fig. 1** for a schematic overview of the approach). We validated this unsupervised strategy on the  
106 Kimorph and BBBC021 datasets, which include images of cells subjected to siRNA and  
107 compound treatments, respectively. On each dataset, we trained a multi-scale convolutional  
108 neural network (M-CNN(16)) model with the Exemplar-CNN training methodology. To define  
109 the surrogate classes required by this methodology, we hypothesized that images belonging to  
110 the same well (KiMorph) or compound treatment (BBBC021) defined a single surrogate class.  
111 No phenotypic categories and annotations were therefore needed for training. Note that different

112 surrogate classes might belong to the same phenotypic category, but this information is not  
113 known to the network. We trained the neural network exclusively with the pixel data of  
114 annotated images; the annotations were removed during training, and only used subsequently to  
115 validate the performance of the approach.

116 **Fig. 1. Schematic overview of the Exemplar-CNN approach.** Images are grouped into  
117 surrogate classes based on intrinsic information (such as treatment information) instead of  
118 external annotation. Taking the full-resolution images of the surrogate classes as input, an M-  
119 CNN model is trained with the objective of separating the different surrogate classes. Once  
120 trained, as input images are fed to the network, the neural activation values are extracted as  
121 feature vectors, thus mapping the input images to a low-dimensional feature space. Finally,  
122 distance calculation and clustering analysis enable the identification of novel phenotypes.

123

124       Once the dataset-specific network models were trained, we validated the performance of  
125 the approach in two steps. First, we built a nearest-neighbor classifier based on the feature  
126 vectors computed by the trained M-CNN model to predict the phenotype of annotated images.  
127 We used the classification accuracy of the nearest neighbor classifier to evaluate whether the  
128 feature vectors computed by the network encoded relevant phenotypic information. Second, we  
129 applied the trained M-CNN model to the dataset's entire image collection, including images with  
130 no annotation and not used during training, thereby obtaining one feature vector for each image  
131 in the entire collection. We performed hierarchical clustering analysis on the feature vectors, and,  
132 through visual inspection of images in selected clusters, identified novel phenotypes. The next  
133 two sections describe in detail the results for each dataset.

## 134 **KiMorph analysis and results**

135 The Kimorph dataset comes from an RNAi screen where HeLa cells were reverse transfected  
136 with siRNAs targeting ca. 800 kinases in duplicate. siRNA-mediated perturbations of the UBC,  
137 CLSPN and TRAPPC3 genes were used as positive controls while the Renilla luciferase (*Rluc*)  
138 siRNA treatment was used as a neutral control. After transfection, cells were fixed and labeled  
139 for DNA, F-actin, and B-tubulin, and imaged through an automated microscope (experimental  
140 details can be found in the original publication(26)). Each of the four control siRNA treatments  
141 (UBC, CLSPN, TRAPPC3, and *Rluc*) was spotted across 12 wells in duplicate. We declared all  
142 fields-of-view (FOVs) coming from each well to define a single surrogate class, which amounted  
143 to 48 surrogate classes (i.e., one class per replicate well). We then trained an M-CNN model to  
144 maximize separation among these classes (see **Methods** for training details). Note that some  
145 surrogate classes belong to the same control siRNA treatment but this information is not known  
146 to the network. Previous studies(26,29) have shown that each of the four control siRNA  
147 treatments induces a consistent phenotype across wells. If the network learned to identify  
148 invariant and discriminative features reflecting the control phenotypes, we hypothesized that  
149 these would remain relatively similar within surrogate classes belonging to the same control  
150 while varying more strongly across surrogate classes belonging to different controls.

151 After training, we used the M-CNN model and PCA to extract a 94-dimensional feature  
152 vector for each original FOV image. We aggregated the feature vectors at the well level, and  
153 calculated cosine distance values between each pair of wells (see **Methods** for details). The  
154 resulting distance matrix, with rows ordered by control groups, is shown in **Fig. 2a**. We observe  
155 square blocks (submatrices) along the diagonal of the matrix, which reflect the low distance  
156 values (i.e., high similarity) within wells from the same control siRNA treatment as entailed by

157 the feature vectors computed by the network. To quantitatively verify the invariant and  
158 discriminative properties of the feature vectors within and across the four different phenotypes,  
159 we tested whether we could predict the phenotype of each well based on the phenotype of the  
160 well's nearest neighbor in feature space. Over 50 repetitions of a random hold-out cross-  
161 validation strategy, this nearest-neighbor classification approach identifying the four control  
162 phenotypes yielded 100% classification accuracy (**Supplementary Table 1**). The results show  
163 that the feature vectors computed by the M-CNN model, which was trained without any  
164 phenotypic annotation, remain relatively similar within the same phenotype yet vary across  
165 different ones, thus encoding phenotypic information that enables the identification of distinct  
166 phenotypes.

167 **Fig. 2. Exemplar-CNN training and clustering analysis results for the KiMorph dataset. (a)**  
168 Cosine distance matrix between pairs of wells of control siRNA treatments. Rows are ordered by  
169 control groups. Blue indicates a small distance value while yellow corresponds to a large  
170 distance value. **(b)** Sample images from clusters including the control siRNA treatments (left  
171 column) as well as from clusters including phenotypes distinct from the control treatments (right  
172 column).

173  
174 We next tested whether the M-CNN model trained with four control siRNA treatments  
175 could generalize to images and phenotypes not used during training. We therefore fed each  
176 image of the entire KiMorph dataset through the trained M-CNN model and PCA, and obtained a  
177 94-D feature vector per image. Feature vectors of images belonging to the same siRNA treatment  
178 were aggregated onto a single vector (see **Methods** for details). We calculated pairwise cosine



179 distances among all vectors corresponding to all 781 siRNA perturbations (see **Supplementary**  
180 **Table 2**), performed hierarchical clustering, and grouped all siRNA perturbations onto 27  
181 clusters (see **Supplementary Table 3**). On each cluster, we carried out a Gene Ontology (GO)  
182 enrichment analysis for biological processes through the topGO R package(30), with all kinases  
183 in the library taken as the background set. After Benjamini–Hochberg correction for multiple  
184 testing, we found that 22 clusters out of the 24 clusters that included more than one gene were  
185 enriched with two or more GO terms. This indicates that the feature vectors computed by the  
186 network supported the identification of shared biological functions of groups of genes (see  
187 **Supplementary Table 4**). To validate the results, we first inspected clusters 17, 16, and 18,  
188 which included the three positive siRNA controls (viz. UBC, CLSPN, and TRAPPC3),  
189 respectively (**Fig. 2b**). The UBC cluster, which the enrichment analysis associates with DNA  
190 damage and integrity checkpoints, includes essential genes such as COPB2 and PLK1 that, when  
191 knocked down, cause a lethal phenotype akin to that of the UBC treatment. Likewise, the  
192 CLSPN cluster comprises genes such as CDC7 and CDK3, which are associated with cell cycle  
193 control, and whose knockdowns induce an enlarged cell phenotype resembling that of the  
194 CLSPN treatment. In the TRAPPC3 cluster, which is enriched with the ‘integrin-mediated  
195 signaling pathway’ GO term, we typically observe an elongated cell phenotype that is likewise  
196 triggered by the CARD10 and SYK knockdowns. Overall, the clustering results and the  
197 recapitulation of known biological functions of groups of genes suggest the feature vectors  
198 learned by the network capture phenotypic information.

199 The main advantage of an unsupervised approach is its ability to discover novel phenotypes.  
200 To verify this premise, we identified clusters that were relatively distant (in terms of the cosine  
201 distance values) from the four siRNA controls (see **Methods** for details). One of these distant

202 clusters (viz. cluster 3) only includes images from the LAK perturbation. Visual inspection of the  
203 images reveals an experimental artifact in images from replicate 1 (**Fig. 2b** top right; compare to  
204 images from replicate 2). The artifact is not visible in images of any other treatment, and so the  
205 approach correctly grouped images with this artifact onto a separate cluster. Images from cluster  
206 27, which includes genes such as ACVR1 and GALK2, display a phenotype of enlarged nuclei  
207 and cells with a strong actin signal (**Fig. 2b** middle right) that do not resemble any of the control  
208 phenotypes. Likewise, in cluster 20, which includes genes such as RAC1 and PDGFRB, and  
209 shows enrichment for the ‘positive regulation of Rho protein signal transduction’ GO term, we  
210 observe a reduced cell count and cell size in the images. These results suggest that the proposed  
211 unsupervised strategy supports the identification of novel imaging phenotypes.

## 212 **BBBC021 analysis and results**

213 In the BBBC021 dataset, MCF-7 breast cancer cells were treated with 113 compounds at eight  
214 concentrations in triplicate, before being fixed and labeled for DNA, F-actin, and B-tubulin.  
215 Images were captured from each channel with four fields per well(28). A subset of 103  
216 compound-concentration pairs (hereafter defined as treatments) covering 38 compounds was  
217 previously inspected and annotated for one of twelve mechanisms-of-action (MoAs)(31). We  
218 declared all images coming from each treatment to belong to the same surrogate class, which  
219 resulted in 103 surrogate classes. The M-CNN model was trained to discriminate among all 103  
220 surrogate classes (see **Methods** for training details). Note that the network is not aware that  
221 certain surrogate classes (i.e., treatments) belong to the same compound or the same MoA. If the  
222 network learned MoA-relevant features, we posited that these would remain relatively invariant  
223 within each MoA yet vary across different MoAs.

224           Once trained, we used the M-CNN model and PCA to extract an 8-D vector for each  
225 input image used during training. We aggregated the feature vectors of images belonging to the  
226 same treatment onto a single feature vector and computed cosine distances between all pairs of  
227 treatments (**Fig. 3a**). Each row of the matrix corresponds to one treatment. Treatments are  
228 ordered by MoA, and then by compound and concentration. Overall we observe sub-matrices  
229 (squares) along the diagonal indicating that the network learned features that remain relatively  
230 invariant within each MoA. To quantitatively verify the homogeneity and variation of the learned  
231 features within and across phenotypes, respectively, we tested whether the MoA of a treatment  
232 could be identified based on the MoA label of the treatment's nearest neighbor in feature space.  
233 Here we adopted the same leave-one-compound-out cross-validation strategy used in previous  
234 benchmarking studies(31) that prevents matching treatments from the same compound (see  
235 **Methods** for details). With this nearest-neighbor classification strategy, we achieve a median  
236 accuracy over all classes of 88%. The confusion matrix is shown in **Supplementary Table 5**.  
237 For certain MoAs (e.g., aurora kinase inhibitors, cholesterol-lowering, protein degradation, and  
238 protein synthesis), the approach achieved 100% classification accuracy. For other MoAs, the  
239 accuracy ranged from 75% to 89%. The performance of the approach is comparable to our  
240 previous supervised approach(16), which is explicitly optimized to distinguish these twelve  
241 MoAs, as well as to other non-supervised approaches(19,31). Overall the results show that, while  
242 the MoA categories are unknown to the network, it manages to learn features which remained  
243 relatively invariant within each MoA yet varied across MoAs.

244 **Fig. 3. Exemplar-CNN training results for the BBBC021 annotated subset. (a)** Cosine  
245 distance matrix between pairs of treatments. Labels on the left are the MoA annotations. Rows  
246 are ordered by MoA annotation, compound, and concentration. Blue indicates a small distance

247 value while yellow corresponds to a large distance value. **(b)** Zoomed-in view of the red box in  
248 **(a)**, KI for kinase inhibitors and MD for microtubule destabilizers. Labels on the right are  
249 compounds and concentrations in  $\mu\text{M}$ . **(c)** Sample images corresponding to the treatments in **(b)**.  
250 Colchicine, which is annotated as a microtubule destabilizer (MD), visually looks more similar  
251 to treatments annotated as kinase inhibitors (KI).

252

253 While the approach is able to recapitulate known information about the annotated data,  
254 we tested further its ability to reveal phenotypic information beyond the annotation. To this aim,  
255 we conducted a closer examination of the distance matrix. While treatments annotated with the  
256 same MoA are mapped by the network to nearby positions in feature space, and are therefore  
257 distinguishable via a nearest-neighbor classifier, the sub-matrices along the diagonal of the  
258 distance matrix in **Fig. 3a** reveal a certain heterogeneity within individual MoAs. For example,  
259 for the aurora kinase inhibitors (Aur) MoA, the corresponding sub-matrix reveals three groups  
260 corresponding to the three compounds annotated with this MoA (viz. AZ-A, AZ258 and AZ841),  
261 which suggests that the compounds caused slightly different sub-phenotypes. A similar  
262 observation can be made for the actin disruptors (Act), protein degradation (PD), and protein  
263 synthesis (PS) MoAs. The microtubule destabilizers (MD) MoA is comprised by four  
264 compounds (14 treatments, sub-matrix highlighted in red in **Fig. 3a**. and zoomed in view in **Fig.**  
265 **3b**). Three of the four compounds, Demecolcine, Nocodazole, and Vincristine, are relatively  
266 similar to each other as well as distant to the kinase inhibitor (KI) group, although Nocodazole  
267 shows a sub-phenotype different from Demecolcine and Vincristine. The fourth compound,  
268 Colchicine at  $0.03\mu\text{M}$ , which is annotated as MD, instead seems to be closer to the kinase  
269 inhibitors (KI) treatments than to the other MD treatments, and is accordingly predicted as KI by

270 the nearest-neighbor classification scheme. Visual examination of the corresponding images also  
271 confirms Colchicine's similarity to the KI treatments (**Fig. 3c**). Although only one concentration  
272 (0.03 $\mu$ M) of Colchicine is included in the annotation subset, there are seven concentrations  
273 (0.001 – 3.0  $\mu$ M) in the entire BBBC021 dataset. Only at 3.0 $\mu$ M, Colchicine causes phenotypes  
274 similar to other microtubule destabilizers (**Supplementary Fig. 2**). The proposed unsupervised  
275 approach is thus able to detect phenotype information in the data beyond the manual annotation,  
276 which is not feasible with a supervised method.

277       Next, we set out to verify the applicability of the approach to the entire BBBC021  
278 dataset. Here we first trained an M-CNN model using all images from the 103 annotated  
279 treatments (amounting to 103 surrogate classes) plus images from the neutral control (DMSO),  
280 which were grouped into an additional surrogate class. Once trained, we applied the model to all  
281 13200 images included in the dataset. Using PCA, we obtained a 77-D feature vector per image.  
282 Vectors of images belonging to the same treatment replicate (well) were aggregated onto a single  
283 vector. We then determined the *similarity* of each replicate vector to each of the 12 MoAs and  
284 DMSO based on the cosine distances of each vector to all replicate vectors belonging to the 103  
285 MoA-annotated treatments as well as to all DMSO wells (see **Methods** for details). The 13  
286 similarity values of each treatment replicate are shown in **Supplementary Table 6**.

287       In our previous supervised analysis of the BBBC021 dataset, four compounds were  
288 selected as representative concentration-response curves (16). In the current study, we selected  
289 the same four compounds and plotted the similarity values to each MoA and DMSO as a  
290 function of the concentration (**Supplementary Fig. 1**). In the previous supervised approach, the  
291 y-axis was the classification probability and for each compound there was only one or two  
292 dominant MoAs across concentrations. In the current unsupervised approach, the y-axis is the

293 similarity to each MoA which ranges from 0 to 2, and the gaps between curves are much less  
294 pronounced. To compare the overall trend, we simplified the plot by only showing MoAs shown  
295 as dominant in the previous supervised approach (**Fig. 4a**). Data points highlighted by dashed  
296 circles correspond to concentrations annotated with the curve's MoA (and therefore achieving  
297 maximum similarity). For Floxuridine, consistent with the supervised approach, the DNA  
298 replication (DR) MoA is the top MoA prediction for all concentrations. For Nocodazole, the  
299 curve shows a similar trend to the supervised approach, with DMSO as the top MoA in low  
300 concentrations (0.001-0.01 $\mu$ M) and microtubule destabilizers (MD) as the top MoA in high  
301 concentrations (0.1-4.0 $\mu$ M). For Alsterpaullone, in the current unsupervised analysis, kinase  
302 inhibitor (KI) and DMSO are on the same level until the higher concentrations. DNA-damage  
303 (DD) increases at the last concentration but does not pass the level of KI. In the previous  
304 supervised analysis the differences among the MoAs were much more obvious although with  
305 larger error bars. Finally, for Hydroxyurea, for which none of the concentrations was included in  
306 the training data, the trend of the curve is consistent with the supervised approach, where DMSO  
307 decreases over concentration while DNA-damage (DD) increases and takes over at the two  
308 highest concentrations.

309 **Fig. 4. Example concentration-response curves and clustering analysis for the BBBC021**  
310 **dataset. (a)** Similarity-vs-concentration plots for four compounds. The similarity (y-axis) to  
311 selected MoAs and DMSO over concentration (x-axis) computed using the features vectors  
312 yielded by the proposed approach is shown. The dots and error bars represent the median and  
313 MAD over the experimental replicates ( $n=2$  for Alsterpaullone and  $n=3$  for the other three  
314 compounds). Data points marked by dashed circles are annotated with the curve's MoA and

315 therefore achieve maximum similarity. **(b)** Sample images of clusters including distinct  
316 phenotypes not related to the annotated phenotypes.

317 Finally, we tested the ability of the approach to detect novel phenotypes. To this end, we  
318 further aggregated the replicate vectors belonging to the same treatment onto a single vector.  
319 Likewise, DMSO vectors stemming from the same plate were aggregated onto a single vector.  
320 We calculated pairwise cosine distances among all treatments, including DMSO, and applied a  
321 hierarchical clustering procedure that yielded 79 clusters (see **Methods** as well as  
322 **Supplementary Table 7** for the complete distance matrix). We inspected visually clusters that  
323 included exclusively compound-concentration treatments without any MoA annotation (see **Fig.**  
324 **4b**). For example, in cluster 37, we found images from Mitoxantrone at 10 $\mu$ M and Staurosporine  
325 at 0.1 $\mu$ M and 0.3 $\mu$ M that induced a strong toxic phenotype. In cluster 20, which included images  
326 from AZ-841 at 30 $\mu$ M only, we found images that displayed an unusual purple phenotype that  
327 could hint at a tubulin toxin/disruptor MoA for this treatment. Finally, in cluster 41, we found  
328 images from Staurosporine at 0.0003 $\mu$ M, Bryostatin at 3.0 $\mu$ M, as well as Valproic Acid at  
329 150 $\mu$ M where groups of elongated cells with thin protrusions forming a networked pattern were  
330 visible. The results underscore the ability of the proposed unsupervised approach to identify  
331 novel phenotypes not previously known and not included during training.

## 332 **Discussion**

333 Deep learning has been successfully pioneered in the field of image-based high-throughput  
334 screening(14–16,19,24). The majority of approaches based on deep neural networks adopt a  
335 supervised learning paradigm that requires manual definition and acquisition of phenotypic  
336 labels. As such, supervised approaches do not support naturally the discovery of new

337 phenotypes. In this work, instead of relying on predefined phenotypic labels, we developed an  
338 unsupervised learning approach that exploits the inherent variation across treatments typically  
339 found in imaging-based studies to learn phenotypically relevant features that enable the  
340 discovery of novel phenotypes.

341 The proposed approach obviates the need for manually specified phenotypic categories by  
342 defining automatically surrogate categories through the inherent grouping of images (e.g.,  
343 images belonging to the same well) found in the experimental design of high-content studies.  
344 The fact that multiple surrogate categories may belong to a (known) phenotypic class remains  
345 explicitly held-out to the neural network model throughout. Our results on two benchmark  
346 datasets demonstrate that the feature vectors extracted from the images through the trained  
347 models support the recognition of known phenotypes included within the surrogate categories.  
348 By testing the models on images outside of the surrogate categories, we also showed that the  
349 models generalize to phenotypes beyond those used during training. With a straightforward  
350 clustering analysis of the feature vectors, we managed to pinpoint novel phenotypes, which is  
351 one of the main goals of image-based high-content screening studies, where genetic or chemical  
352 perturbations may potentially induce a range of unexpected phenotypes.

353 Certainly, one could identify novel phenotypes with conventional image analysis  
354 approaches, which typically require segmentation and manual feature engineering(26,28,32,33).  
355 It is however encouraging to see that the proposed unsupervised approach, which requires no  
356 segmentation, no manual feature engineering, and no phenotypic categories and annotations, also  
357 supports the identification of novel phenotypes in a more automated fashion. The proposed  
358 approach does not provide single-cell readouts, and therefore does not replace single-cell  
359 analyses(34,35).



360 With the proposed unsupervised learning strategy, the inferred network models depend on  
361 the phenotypic data included within the surrogate classes. In our study, we restricted the  
362 surrogate classes to images that had a phenotypic annotation. This strategy facilitated the  
363 validation of the approach, as it allowed testing whether the approach supported the recovery of  
364 known phenotypic classes. Additional work is however needed to decide which images and  
365 phenotypes should be included within the surrogate classes. One possibility would be to adapt an  
366 active learning approach, where surrogate classes would be iteratively added based on a certain  
367 performance criterion.

## 368 **Methods**

### 369 **Exemplar Convolutional Neural Networks**

370 We use the Exemplar-CNN optimization strategy(25) to train a convolutional neural network  
371 without relying on any phenotypic label annotation. In contrast to a typical supervised learning  
372 approach, where the neural network is trained to discriminate among a set of predefined  
373 phenotypic classes, the proposed approach is trained to discriminate among a set of *surrogate*  
374 *classes*. The main idea underlying the Exemplar-CNN methodology is to learn image features  
375 that are both *invariant* within each surrogate class as well as *discriminative* across surrogate  
376 classes. In the original strategy, each *exemplar* (i.e., a region-of-interest within an image) and  
377 transformed versions thereof (obtained through extreme data augmentation schemes) defined a  
378 single surrogate class. This strategy was shown to work well with a large number of surrogate  
379 classes (e.g., up to 4000). However, when the number of (exemplar) images is very large and the  
380 images look very similar, discrimination among the surrogate classes becomes more challenging.  
381 A prior grouping (e.g., through clustering) of similar images was suggested as an approach to  
382 reduce the number of classes as well as to group very similar images into a single surrogate class.

383 In our case, instead of taking each image and its variations as a single surrogate class, we take  
384 advantage of the intrinsic grouping of images provided by the experimental design of each study  
385 to define the surrogate classes. For example, for each well, multiple fields-of-view (FOVs) are  
386 typically acquired. We may therefore define all FOVs from a single well to define a single  
387 surrogate class. Similarly, each treatment combination (e.g., a compound at a specific  
388 concentration) is typically replicated. Images from these replicates may be therefore declared as  
389 a single surrogate class. The definition of surrogate classes depends on the experimental details  
390 in each study. After defining  $N_s$  surrogate classes in such a way, we associate a numerical label  
391  $y_{\text{surrogate}}$  with each surrogate class and its images.

392 We use a multi-scale convolutional neural network (M-CNN) architecture to solve the  
393 task of surrogate class discrimination. The last two layers of our M-CNN architecture include a  
394 fully connected layer with 128 hidden units, as well as a soft-max output layer, which yields a  
395 vector  $\mathbf{p}$  with elements  $\rho_k$  that encode a probability score for each of the  $N_s$  surrogate classes to  
396 be identified (all architectural details are provided in **Supplementary Table 8**). Using  $N_t$  images  
397 associated with surrogate classes and their numerical labels, we optimize the parameters of the  
398 M-CNN by minimizing the following error function:

$$399 \frac{1}{N_t} \sum_{i=1}^{N_t} f(\mathbf{p}^{(i)}, y_{\text{surrogate}}^{(i)}) + \lambda \|\mathbf{w}\|_2$$

400 where  $f(\cdot, \cdot)$  is the cross-entropy error function evaluating the agreement between the network's  
401 soft-max output  $\mathbf{p}^{(i)}$  and the surrogate (true) label  $y_{\text{surrogate}}^{(i)}$  for the  $i$ -th training example,  $\|\cdot\|_2$  is  
402 the L2 norm,  $\mathbf{w}$  is a vector including all weights of the network, and  $\lambda$  is a coefficient that  
403 regulates the influence of the magnitude of the weight vector on the error function. We use the

404 stochastic gradient descent (SGD) algorithm via backpropagation and drop-out to approximate a  
405 solution.

#### 406 **Learning details**

407 Generally, we used the same strategy and parameter values that we used previously to train the  
408 M-CNN architecture in a supervised way(16). In this study, we however increased the number of  
409 training epochs to 27. The step size over which the learning rate is held constant was also  
410 increased to 9 epochs. One epoch is equal to the number of iterations needed to evaluate all  
411 images in the training dataset. We additionally used the dropout technique(36) on the  
412 penultimate layer of the M-CNN architecture to encourage a better exploration of the available  
413 activation space.

#### 414 **Feature extraction, projection, and aggregation**

415 Once trained, the application of the M-CNN model to any input image yields a 128-dimensional  
416 activation vector  $\mathbf{z}$  with elements  $z_i$  corresponding to the activation values of each hidden unit  
417 within the fully connected layer (second-to-last layer) that are recorded as the input image is  
418 passed through the network. We subsequently project all activation vectors onto an orthogonal  
419 basis computed via principal component analysis (PCA) that takes exclusively into consideration  
420 the activation vectors of (non-augmented) images used during training. Principal components  
421 explaining 99% of the variance define the new feature sub-space onto which all activation  
422 vectors are typically projected.

423 Feature vectors belonging to the fields-of-view (FOVs) of a well are aggregated by taking  
424 the element-wise median of the vectors. The resulting vector is taken as the feature vector  
425 representing the corresponding well. Likewise, to construct the feature vector for a given

426 treatment, feature vectors of the treatment's replicate wells are summarized by taking the  
427 element-wise median of the vectors.

428

### 429 **Distance and similarity calculations**

430 To compare treatments, we use the cosine distance between two feature vectors. The cosine  
431 distance is defined as one minus the cosine of the angle between the vectors. The values thus  
432 range from 0 (denoting an identical direction for both vectors) to 2 (denoting opposite  
433 directions). To obtain a measure of *similarity* between treatments within the same numerical  
434 range, we subtract each cosine distance value from two.

435

### 436 **Clustering**

437 We compute cosine distances among all pairs of treatments in a dataset. We use a hierarchical  
438 clustering algorithm to group treatments based on these pairwise cosine distance values. The  
439 resulting hierarchical tree is partitioned with a threshold value equivalent to the cosine distance  
440 entailed by an angle of  $\pi / 3$ .

441

### 442 **Nearest neighbor classifier**

443 Using pairwise cosine distances, we build a nearest neighbor classifier to investigate whether the  
444 feature vectors obtained via the unsupervised model encoded information that supported the  
445 retrieval of known phenotypic categories that had been manually assigned to a subset of  
446 treatments. Evaluation of the classifier's performance requires splitting the feature vectors onto a  
447 training set and a test set. Given a feature vector from the test set, we determine its closest

448 feature vector (i.e., its nearest-neighbor) within the training set, and assign the nearest neighbor's  
449 phenotypic or MoA category to the test feature vector.

450 In the KiMorph dataset, we use a random hold-out cross-validation strategy where we  
451 randomly group all feature vectors into a training set and test set. The proportion of treatments  
452 assigned to the training set is 90%. Using the nearest-neighbor classifier, we predict the  
453 phenotype of the feature vectors in the test set, and evaluate the classification performance. We  
454 repeat the partitioning and evaluation process 50 times. The confusion matrix aggregating the  
455 results over the 50 repeats is shown in **Supplementary Table 1**.

456  
457 In the BBBC021 dataset, we use a leave-one-compound-out validation strategy, where the  
458 training dataset excludes feature vectors of treatments (i.e., compound-concentration pairs)  
459 sharing the same compound as the test feature vector. We use all 103 treatments as test feature  
460 vectors once, obtain a nearest-neighbor prediction for the MoA, and compare the prediction with  
461 treatments' known MoA. The resulting confusion matrix is shown in **Supplementary Table 4**.

462  
463 **Image pre-processing**  
464 All image intensities are subjected to an Anscombe transform. Histogram normalization of each  
465 image is carried out on per-plate basis as described previously(16). All image intensities are  
466 mapped to an 8-bit range.

467  
468 **Image datasets**  
469 The KiMorph dataset is available from the Wolfgang Huber Group EBI website at  
470 <https://www.ebi.ac.uk/huber-srv/cellmorph/kimorph/>.

471 The BBBC021 version 1 image dataset is available from the Broad Bioimage Benchmark  
472 Collection at <http://www.broadinstitute.org/bbbc/BBBC021/>.

473

474 Detailed description of the datasets can be found on their corresponding webpages.

475

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480

#### 481 **Author contributions**

482 All authors conceived jointly the study. WJG designed the neural network architecture as well as  
483 training scheme, and performed the analysis. IH set up the deep learning computational  
484 framework. WJG and XZ wrote the manuscript.

485

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489

490

491 **Competing interests**

492 None declared

493

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585

586

587

588 **Supplementary Material**

589 **Supplementary Table 1:** Confusion matrix on control siRNA treatments of the KiMorph  
590 dataset.

591 **Supplementary Table 2:** Distance matrix of entire siRNA collection of the KiMorph dataset  
592 with entries sorted according to an optimal leaf ordering for the hierarchical cluster tree  
593 computed based on the distance values

594 **Supplementary Table 3:** Clustering results of entire kinase siRNA collection of the KiMorph  
595 dataset

596 **Supplementary Table 4:** GO term enrichment analysis on the entire kinase siRNA collection of  
597 the KiMorph dataset

598 **Supplementary Table 5:** Confusion matrix on annotated treatments of the BBBC021 dataset

599 **Supplementary Table 6:** Similarity values of all treatments to reference treatments of the  
600 BBBC021 dataset

601 **Supplementary Table 7:** Distance matrix of entire compound collection of the BBBC021  
602 dataset with entries sorted according to an optimal leaf ordering for the hierarchical cluster tree  
603 computed based on the distance values

604 **Supplementary Table 8:** M-CNN architecture used to analyze both the KiMorph and BBBC021  
605 dataset

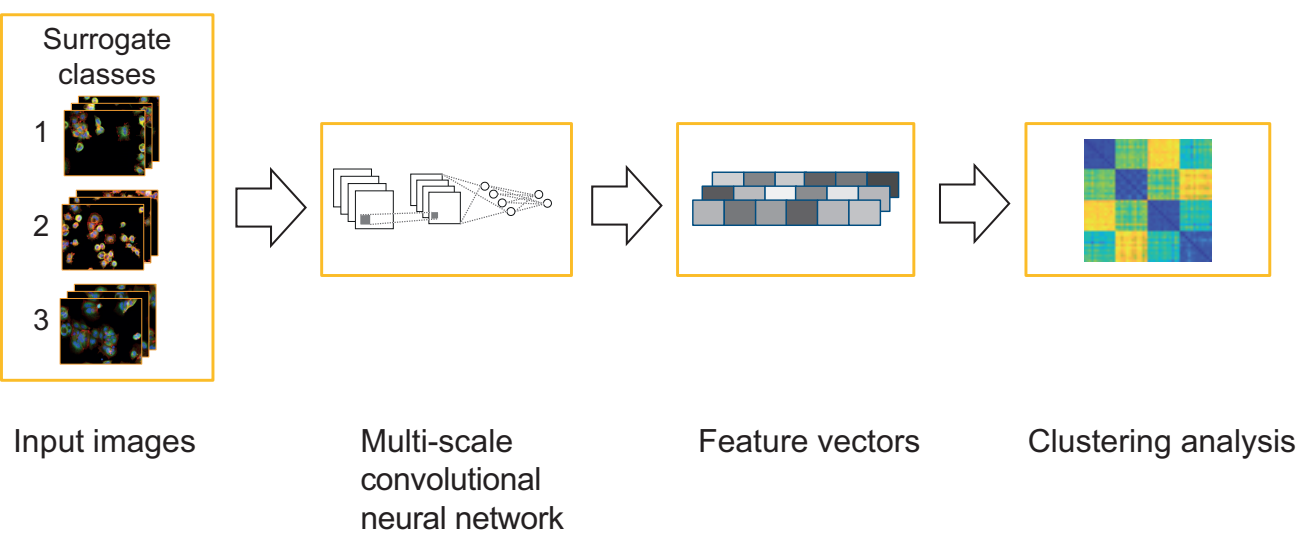
606

607 **Supplementary Figure 1:** Similarity-vs-concentration curves for selected compounds of the  
608 BBBC021 dataset.

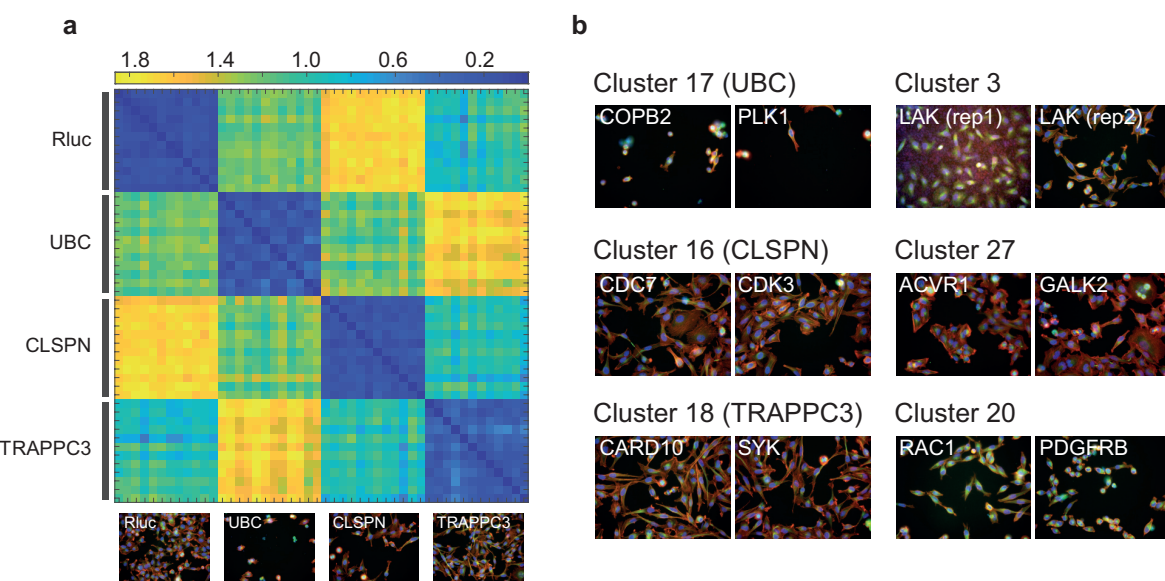
609 **Supplementary Figure 2:** Example images of Cochicine at varying concentrations.

610

611 **Supplementary Software:** Solver definition and network specification files.

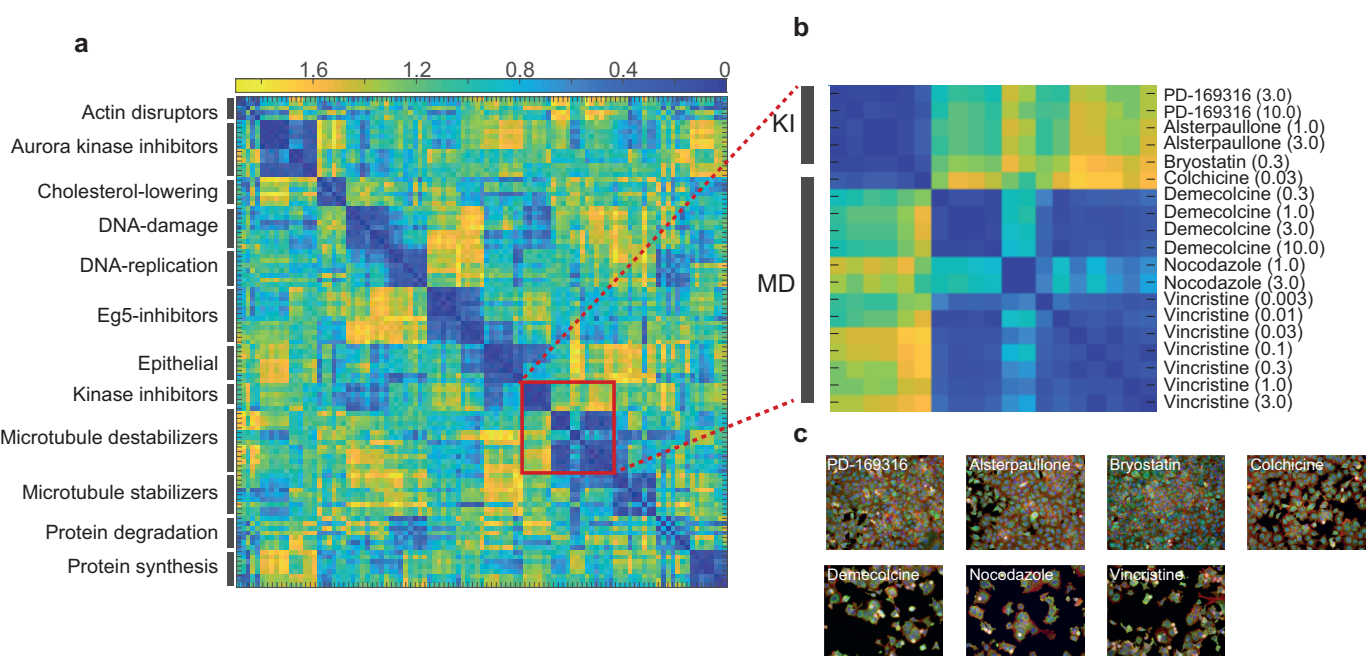


**Figure 1**

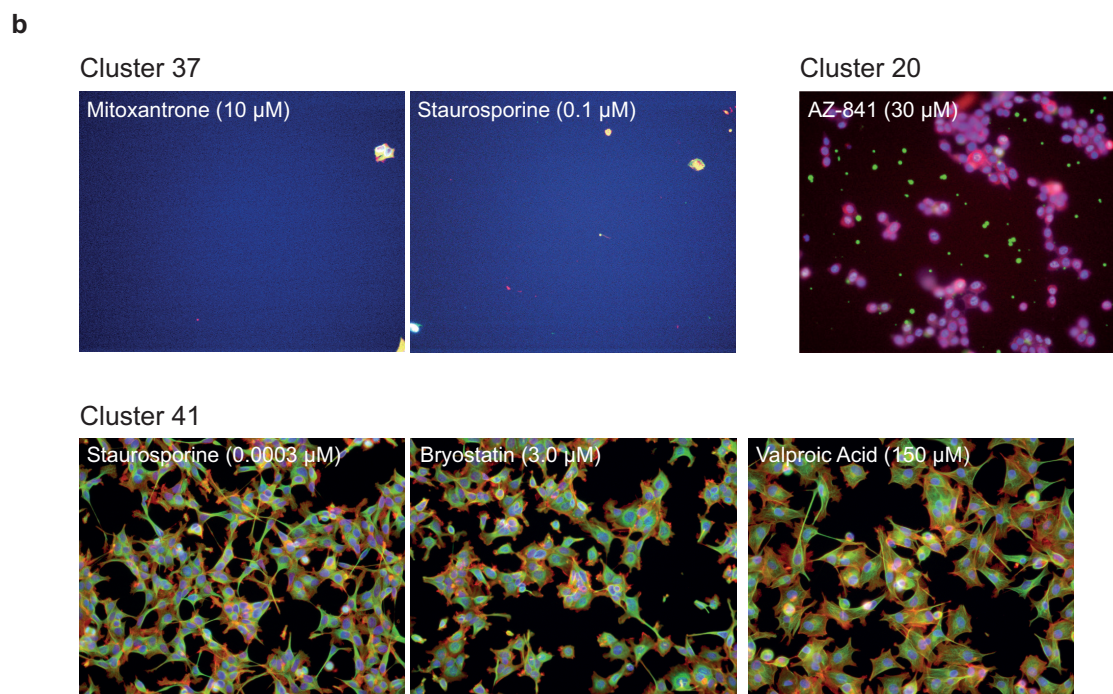
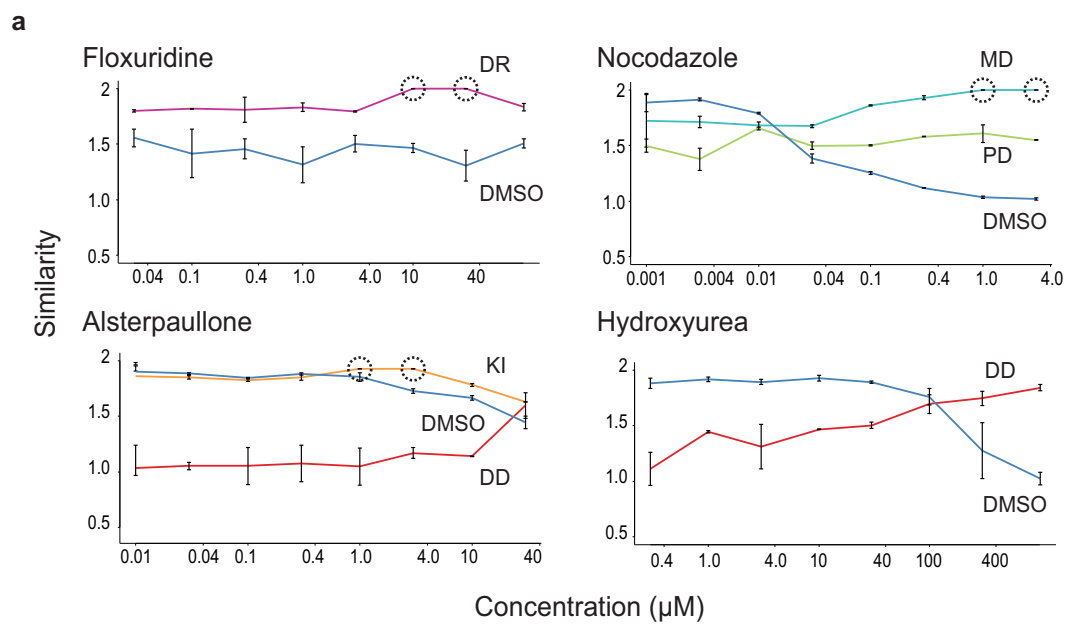


**Figure 2**





**Figure 3**



**Figure 4**