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# Tradeoffs of alignment-based and protein language models for predicting viral mutation effects

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## Abstract

Protein mutation effect prediction has advanced several fields, from designing enzymes to forecasting viral evolution. These models are typically trained on sequence data, structural data, or a combination of both. Sequence-based models learn constraints governing protein structure and function from sequence data and fall broadly into two categories: alignment-based models and protein language models (PLMs). We provide the first detailed comparison of modeling approaches specifically for viruses. We curated a dataset of over 59 standardized viral deep mutational scanning assays and assessed the relative performance of three alignment-based models (PSSM, EVmutation, and EVE), three PLMs (ESM-1v, Tranception, and VESPA), and two versions of SaProt, a structurally-aware protein language model (SaProt-AF2 and SaProt-PDB). Interestingly, for alignment-based models, deeper multiple sequence alignments, including more diverse sequences, often led to worse performance. On the other hand, PLMs tended to perform better as the size of the training database increased. Overall, alignment-based models outperformed sequence-only PLMs, while the best alignment-based model (EVE) performed on par with the best PLM (SaProt-PDB). Our findings suggest that modeling strategies that are effective for other taxa may not translate directly to viruses, likely due to the limited number of viral sequences used for training many PLMs. However, incorporating additional virus-specific data into PLMs could enhance their predictive power for viral mutation effects. Improvements in viral mutational effect prediction is crucial not only for understanding viral evolution but also for the design of vaccines and antibody therapeutics.

## 1 Introduction

Predicting the functional impact of protein mutations is critical for a wide range of biological applications, including identifying human disease variants (Frazer et al., 2021), designing enzymes (Lu et al., 2022; Sumida et al., 2024), and forecasting viral evolution (Thadani et al., 2023; Youssef et al., 2024). With advances in machine learning, computational methods for mutation effect prediction have seen significant improvements, offering faster and more scalable alternatives to traditional experimental methods. These models can leverage protein sequence data, structural

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data, or a combination of both. Sequence models fall into two primary categories: alignment-based models and protein language models (PLMs). Alignment-based models use evolutionary information from multiple sequence alignments (MSAs) to predict the impact of mutations (Hopf et al., 2017; Frazer et al., 2021; Laine et al., 2019). Alternatively, PLMs leverage deep learning techniques to capture patterns and relationships between residues by training on large databases of sequences, without relying on MSAs (Alley et al., 2019; Elnaggar et al., 2021; Yang et al., 2024; Lin et al., 2022; Meier et al., 2021a; Rives et al., 2021; Jumper et al., 2021; Marquet et al., 2022; Notin et al., 2022). More recently, structurally-aware protein language models, such as SaProt (Su et al., 2023), that incorporate both protein structural information and amino acid sequences have yielded higher predictive performance.

Given the rapid emergence of new models for predicting the effects of mutations, benchmarks such as ProteinGym (Notin et al., 2023) were curated to aid in the comprehensive evaluation and comparison of these models. Conclusions from such comparisons revealed that across proteins from diverse taxa, PLMs often outperform alignment-based models. However, this trend does not hold true for viruses. Viral genomes often have disproportionately fewer and less diverse sequences for training, which can limit the effectiveness of PLMs that rely on large datasets for optimal performance. Viral proteins also contain unique biophysical features, with lower protein stability, loosely packed cores, and an abundance of short disordered segments and coil residues (Tokuriki et al., 2009). These adaptations facilitate an increased structural flexibility, enabling diverse interactions with varying host proteins across a broad host range and avoidance of host immune response. They may also compensate for the deleterious effects of mutations that arise due to the abnormally high mutation rate of viruses or the overlapping reading frames required by the unusually compact genomes of RNA viruses, which mean single mutations impact multiple proteins. Conversely, rather than learning across the protein universe, we have previously shown that alignment-based methods trained on single viral families are successful for viral antibody escape prediction (Thadani et al., 2023) and vaccine evaluation (Youssef et al., 2024), effectively predicting SARS-CoV-2 evolution from pre-pandemic information. Thus, it remains unclear which modeling approaches are most effective for predicting viral mutation effects, where the biological and evolutionary constraints may differ from those observed in other taxa.

We present the first comprehensive evaluation of mutation effect prediction models for viruses. We assessed three alignment-based models, three PLMs, and two structurally-aware PLMs. We curated a collection of 59 standardized viral deep mutational scanning (DMS) assays measuring expression, host receptor binding, or infectivity. The viruses included are relevant for vaccine design (e.g., SARS-CoV-2 and other sarbecoviruses, seasonal and pandemic Flu, and pandemic-threat Lassa and Nipah viruses) as well as for viral vector design (e.g., AAV). We found that while deeper sequence alignments do not consistently improve the performance of alignment-based models, PLMs tend to benefit from larger training databases. Importantly, structure-aware PLMs outperformed other PLMs despite more limited viral representation, suggesting that incorporating structural information is useful for viral mutation effect prediction. These findings challenge existing assumptions about optimal modeling strategies and highlight the potential for further improvements by tailoring PLMs to virus-specific data. The information gained from this work can inform the development of next-generation models for viral mutation effect prediction that can facilitate pandemic protection efforts, aiding in the surveillance of pandemic variants and the design and testing of variant-proof vaccines as well as de-immunized and targeted viral vectors.

## 2 Methods

We curated and standardized a set of 59 viral DMSs (more than doubling the number of viral datasets in ProteinGym) to evaluate eight models, which were selected to span differing modeling approaches and training on diverse sequence datasets. For alignment-based methods, we tested three models: position-specific scoring matrix (PSSM), EVmutation (Hopf et al., 2017), and EVE (Frazer et al., 2021). PSSM assumes each position in the protein evolves independently and assigns a prediction score for each mutation dependent on its frequency in the alignment. In addition to capturing position-specific frequencies, EVmutation infers pairwise residue dependencies and can therefore account for epistatic interactions (Hopf et al., 2017). Meanwhile, EVE captures higher order interactions by using a variational autoencoder architecture (Frazer et al., 2021). For these methods, we used three different sequence datasets for alignment generation: UniRef100, a non-redundant protein sequence database; UniRef90, a 90% identity-clustered version of UniRef100; and UniRef100+BFD+Mgnify which

combines UniRef100 with the Big Fantastic Database (BFD) and the Mgnify database. The BFD integrates sequences from UniProt (Swiss-Prot and TrEMBL) (uni, 2021), Metaclust (Steinegger & Söding, 2018), and the Soil and Marine Eukaryotic Reference Catalog (Steinegger et al., 2019). Mgnify includes proteins from metagenomic assemblies (Richardson et al., 2022). We generated alignments with six different length-normalized bit scores: 0.5, 0.3, 0.1, 0.05, 0.03, and 0.01 bits per residue. To mitigate redundancy, sequences in the MSA were clustered at 99% identity, with each sequence within a cluster assigned a weighted contribution equal to the inverse of the cluster size. A challenge during the process of fitting alignment-based models was the memory required to query large sequence databases. Some models encountered memory limitations that prevented training on the largest alignments (Supp Table S2). This highlights the computational intensity of alignment-based approaches, particularly when using comprehensive databases like BFD and Mgnify, with 2.1 billion and 2.4 billion sequences, respectively.

For PLMs, we evaluated Tranception (without MSA retrieval) (Notin et al., 2022), ESM-1v (Meier et al., 2021b) and VESPA (Marquet et al., 2022). Tranception is an autoregressive PLM trained on UniRef100. ESM-1v has a Transformer encoder architecture and was trained on UniRef90. VESPA combines per-residue conservation prediction with the embeddings from ProtT5 (Elnaggar et al., 2021), a PLM with T5 architecture trained first on BFD and then finetuned on UniRef50.

We also evaluate a structure-aware protein language model, SaProt (Su et al., 2023), which employs the same architecture as ESM-2 (trained on UniRef50) but expands the embedding layer to encompass 441 structurally-aware tokens instead of the original 20 amino acid residue tokens. We evaluated two versions of SaProt: SaProt-AF2 which was trained on the AlphaFold2 database comprising of approx. 40 million predicted structures (without eukaryotic viruses, though including phages), and SaProt-PDB which continues pretraining of the SaProt-AF2 model on the 60,000 experimentally derived structures from the PDB. We use the ProteinGym benchmark (Notin et al., 2023) to extrapolate the results of the models tested here to the over 50 alignment-based, protein language model, hybrid, and inverse folding models evaluated previously on a more limited set of viral assays.

### 3 Results

Using the ProteinGym benchmark (Notin et al., 2023), which evaluated over 50 protein fitness models across 250+ DMS assays, we observed a clear trend: PLMs consistently outperformed other models across nearly all taxa, with one notable exception—viruses (Fig 1, Supp Table S1). For viral proteins, alignment-based models frequently achieved better performance than PLMs, as measured by Spearman correlation with DMS data. This divergence highlights a critical difference in the predictive power of PLMs when applied to viral proteins. To this end, we sought to investigate the tradeoffs of alignment-based models and PLMs for viral mutation effect prediction.

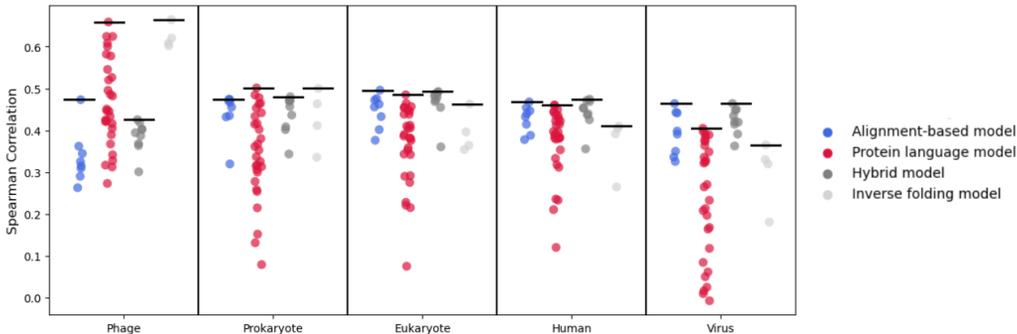


Figure 1: Protein language models have higher performance across all taxa except for eukaryotic viruses. Each point represents the average correlation across 250 DMS assays for each of the 50 fitness models in ProteinGym, labeled with their model type. Viral performance is on the dataset provided by ProteinGym which is a more limited set of DMSs than available in this paper. Lines denote maximum Spearman correlation per model type for each taxa. For details of included models see Supp Table S1. Notably, this benchmark excludes SaProt-PDB.

### 3.1 Alignment-based model

For each protein in our newly curated viral benchmark, we trained three alignment-based models—PSSM, EVmutation, and EVE. We used the EVcouplings pipeline (Hopf et al., 2019) to generate MSAs from three databases (Uniref90, Uniref100, and Uniref100+BFD+Mgnify) and to infer PSSM and EVmutation scores. For training the EVE models, we selected the alignment for each protein that maximized both the effective number of sequences (Neff) and percent coverage.

Our analysis revealed that, although alignment depth varied across the different sequence databases, model performance remained largely consistent (Supp Fig S1). Note that despite adequate performance when compared to prediction from DMS assays, almost none of the evaluated viral proteins have sufficient sequence diversity to accurately predict structural contacts from EVcouplings (Supp Fig S2), as can commonly be done for non-viral proteins. EVE outperformed both PSSM and EVmutation across most assays (Fig 2A, Supp Fig S3), consistent with previous findings that EVE’s probabilistic approach offers better predictive accuracy than simpler alignment-based models Frazer et al. (2021); Riesselman et al. (2018); Thadani et al. (2023).

We next sought to assess whether alignment depth correlated with model performance. Overall, no consistent trend was observed between Neff and performance across all proteins (Supp Fig S4). To determine if this relationship held true for individual proteins—i.e., whether increasing alignment depth specifically improves performance—we employed EVmutation models to analyze the correlation between Neff and model performance on a per-protein basis. For some proteins, increasing alignment depth improved performance (resulting in positive slopes between alignment depth and correlation with DMS), while it decreases performance for other proteins (negative slopes; Fig 2B-C, Supp Fig S5). Interestingly, our results showed a general trend where increasing the size of the MSA was most often associated with decreased performance (Fig 2D). This effect was particularly pronounced in the PSSM models compared to EVmutation models (Supp Fig S6). This suggests that after a certain threshold, adding more sequences introduces noise or redundant information that can negatively impact model predictions as mutations are seen on vastly different background sequences, that are likely to be under different functional constraints.

### 3.2 Protein language models

Existing PLMs have underperformed for viruses when compared to other taxa or to alignment-based methods (Fig 1). This discrepancy can largely be attributed to the composition of the training data. Most PLMs are trained on subsets of UniRef, such as UniRef90 or UniRef50, which contain disproportionately low numbers of viral sequences, 0.6% and 0.9% respectively (Fig 3A). Sequence counts drop drastically between UniRef100 and UniRef90, severely limiting the viral diversity available for training. For example, while UniRef100 contains over 6,000 paramyxovirus fusion protein sequences, less than 10% of these remain in UniRef90—despite UniRef90 being roughly half the size of UniRef100 overall (Fig 3A). This stark reduction in viral sequence diversity might explain why PLMs underperform for viruses and suggests that additional viral-specific training data could improve their predictive accuracy.

To examine the impact of training data on PLM performance across viruses, we evaluated our newly compiled viral DMS datasets using three sequence-only PLMs: ESM-1v (trained on UniRef90), Tranception (trained on UniRef100 without MSA retrieval), and VESPA (trained on BFD and UniRef50). Notably, some PLMs such as CARP (Yang et al., 2024) were trained on Uniref50, but were excluded due to their generally low performance on viruses (Table S1). Our analysis revealed that sequence scale of the training dataset significantly improves PLM performance for viruses, with ESM-1v performing markedly worse on viruses compared to other taxa (Fig 3B). However, for viruses with higher effective sequence numbers (Neff), using clustering at 99% sequence identity, such as Flu and HIV, the detrimental effect of training on UniRef90 was less pronounced. Moreover, the inclusion of BFD in the training data provided the greatest performance boost for phages (Supp Fig S7), which are overrepresented in metagenomic sequencing compared to eukaryotic viruses. Remarkably, inverse folding models also perform particularly well for phages (Fig 1), likely due to the nature of the tested datasets that focused on stability assays. These findings highlight the importance of training PLMs on diverse and comprehensive datasets, particularly for viruses, where sequence representation can vary significantly across databases.





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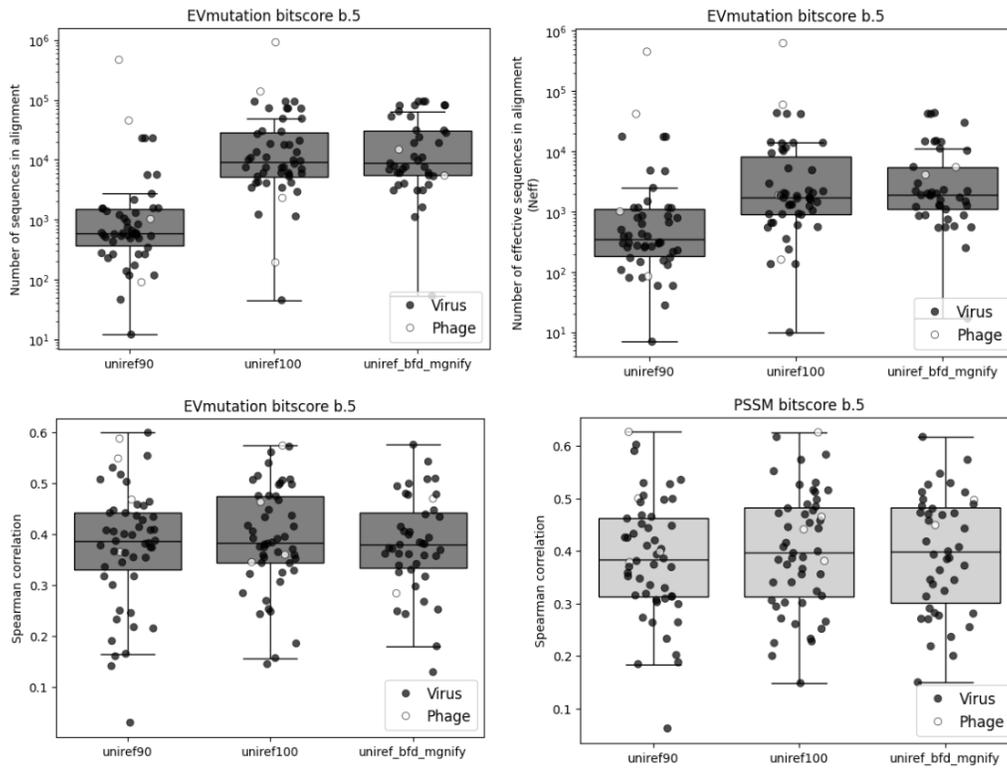
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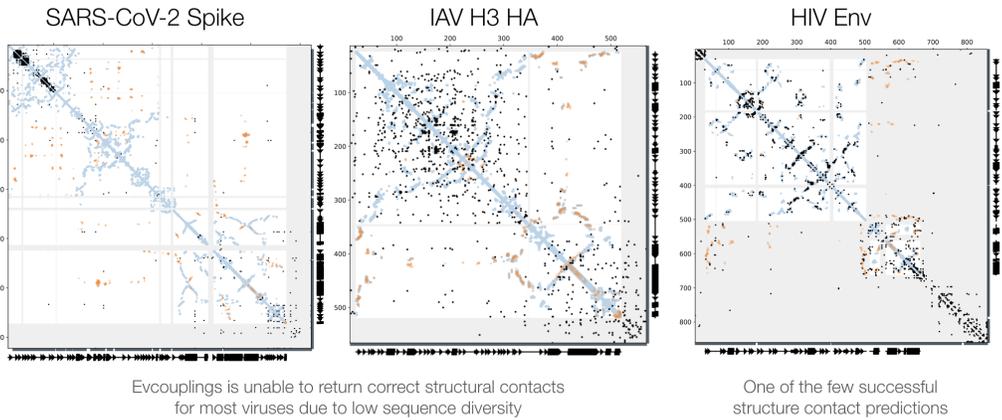
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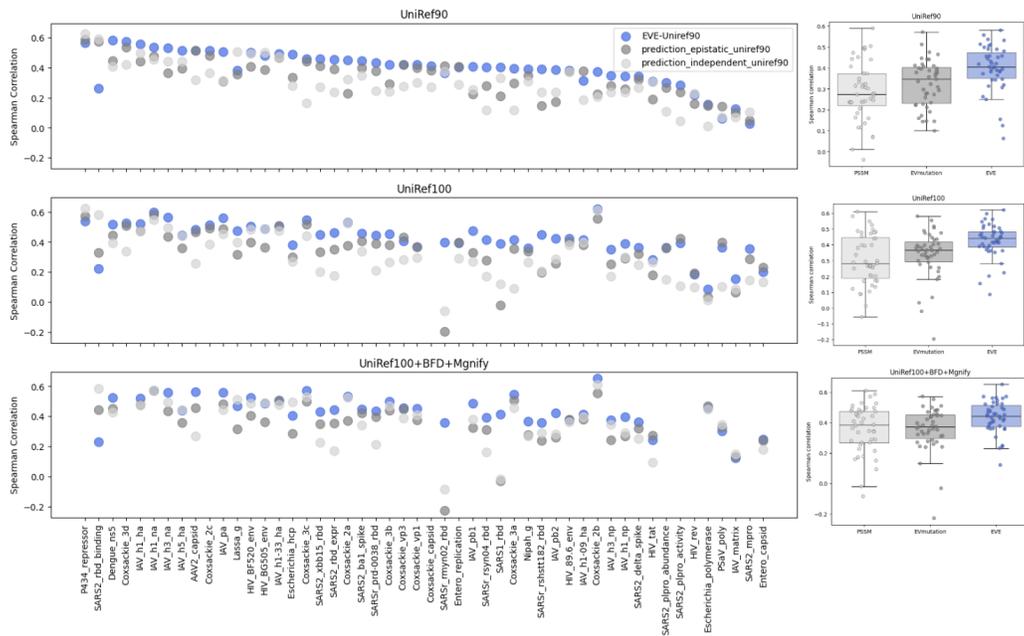
## A Supplementary Figures



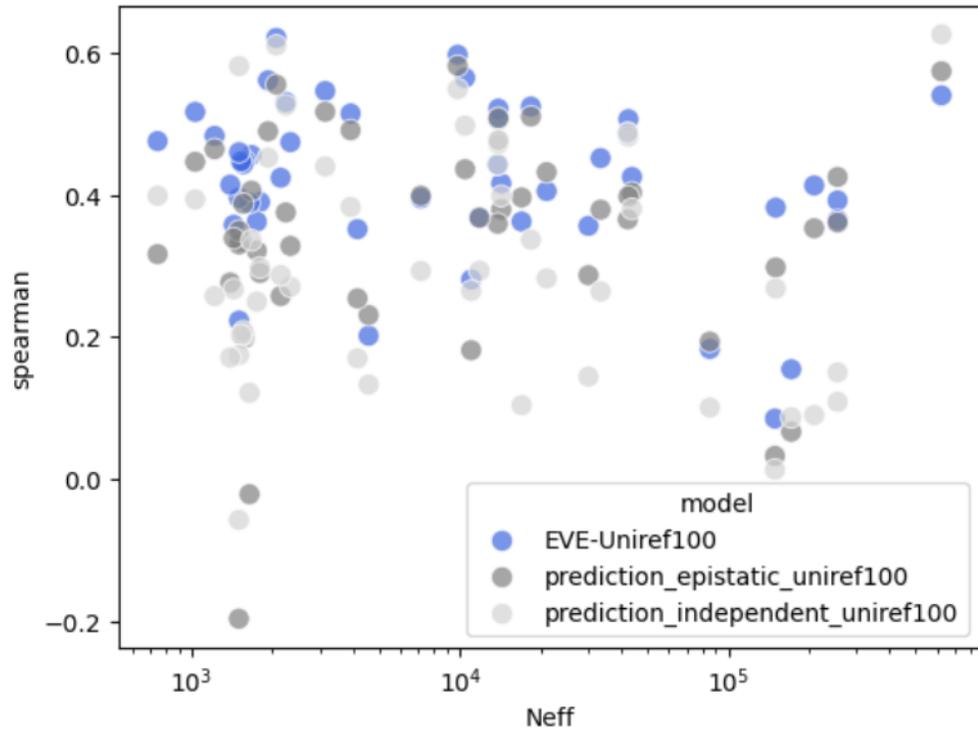
Supplementary Figure 1: Impact of sequence database choice (UniRef100, UniRef90, or UniRef100+BFD+Mgnify) on alignment depth and model performance across viral DMSs.



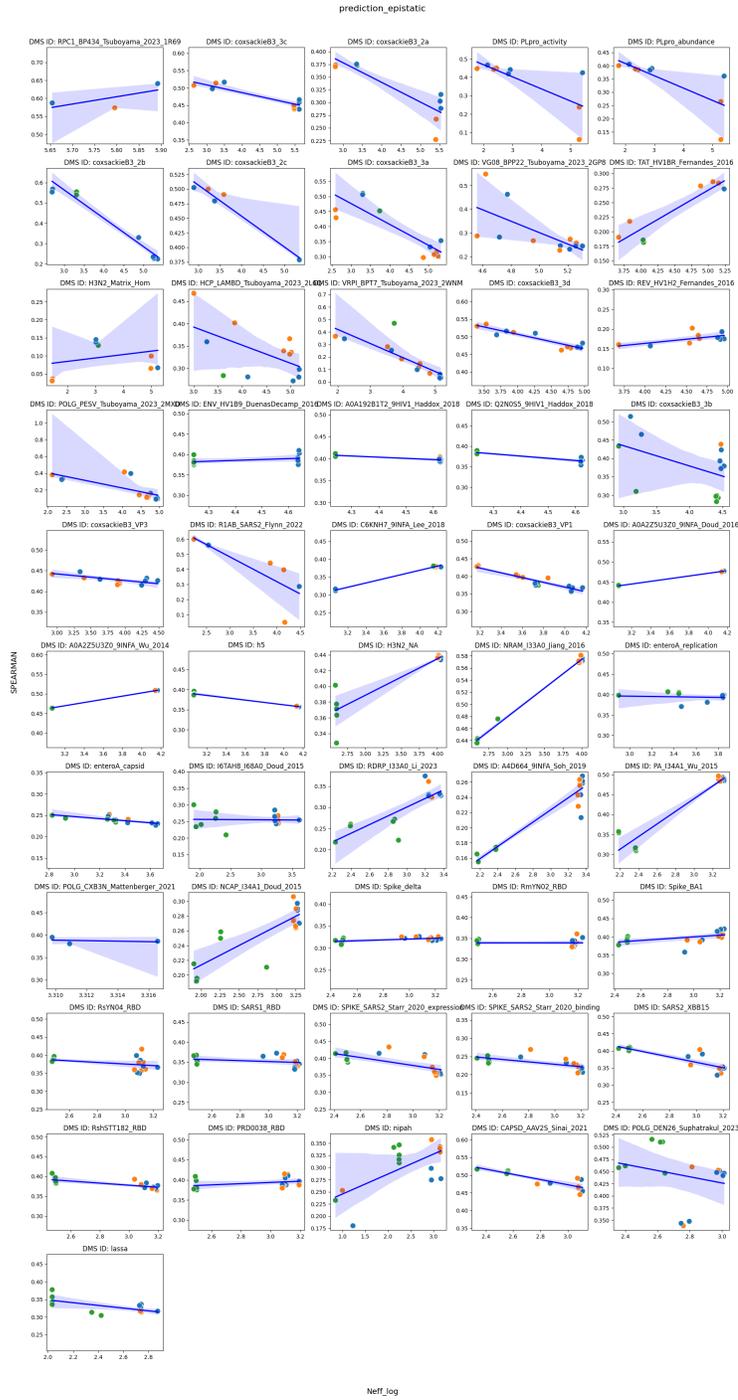
Supplementary Figure 2: Selected contact maps from Uniref100 alignments with bit score 0.1 for SARS-CoV-2 Spike, Influenza H3 and HIV Envelope proteins. HIV Env is one of the few examples of viral proteins with a DMS where EVcouplings successfully predict structure contacts, while ability to predict structural contacts is a strong predictor of model performance for other taxa.



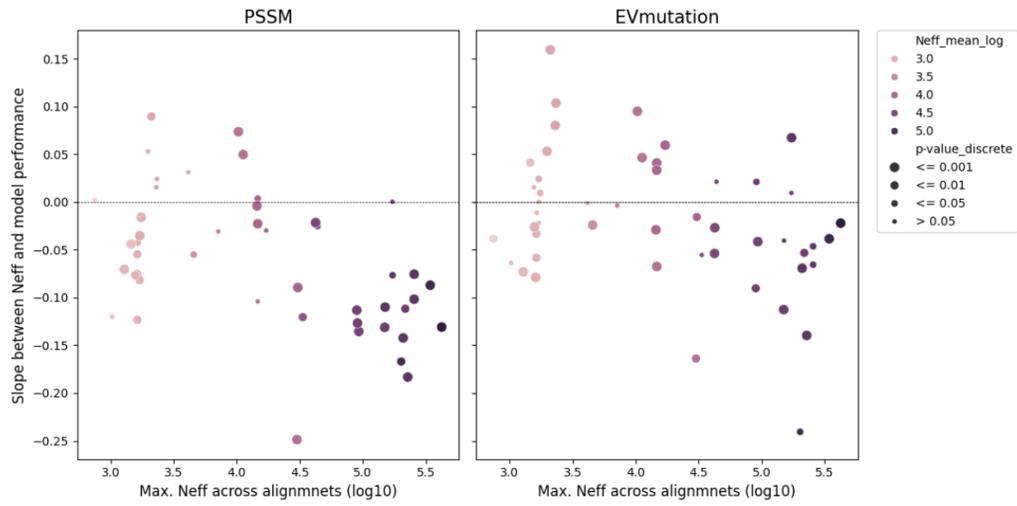
Supplementary Figure 3: EVE consistently outperforms other alignment-based models (Evmutation and PSSM) across sequence databases (rows; UniRef90, UniRef100, or UniRef100+BFD+Mgnify) for viral DMSs.



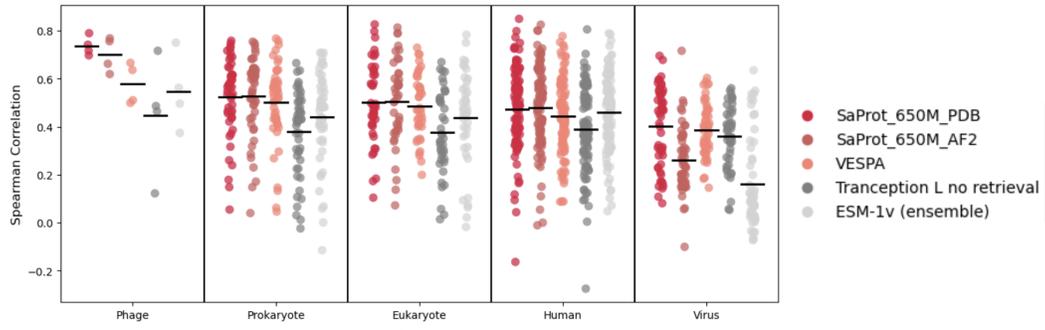
Supplementary Figure 4: Alignment-based model performance across viral DMSs does not depend on alignment depth (Neff).



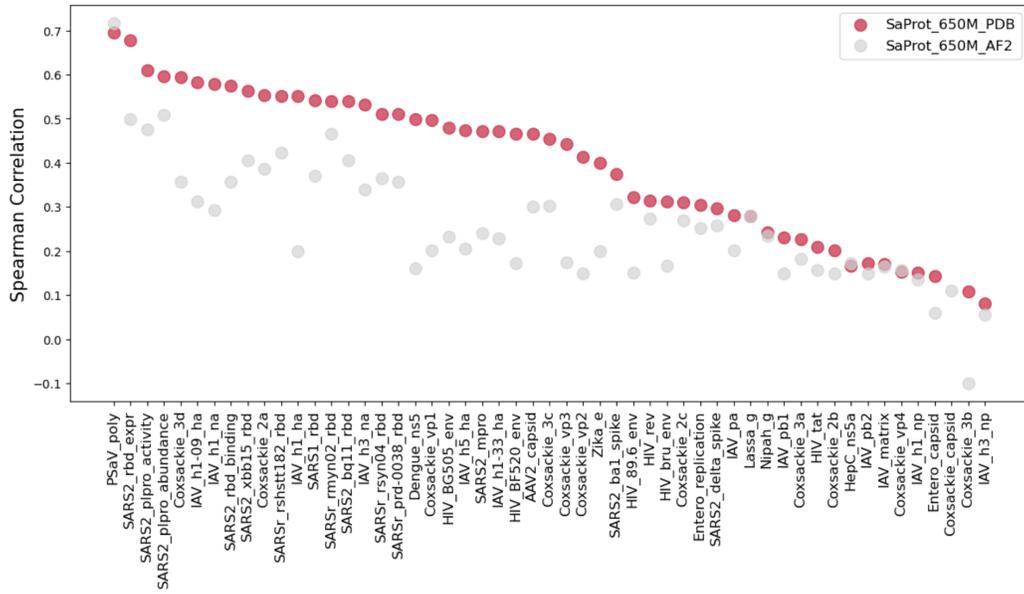
Supplementary Figure 5: Relationship between Neff and model performance (Spearman rank correlation) between model scores and DMS.



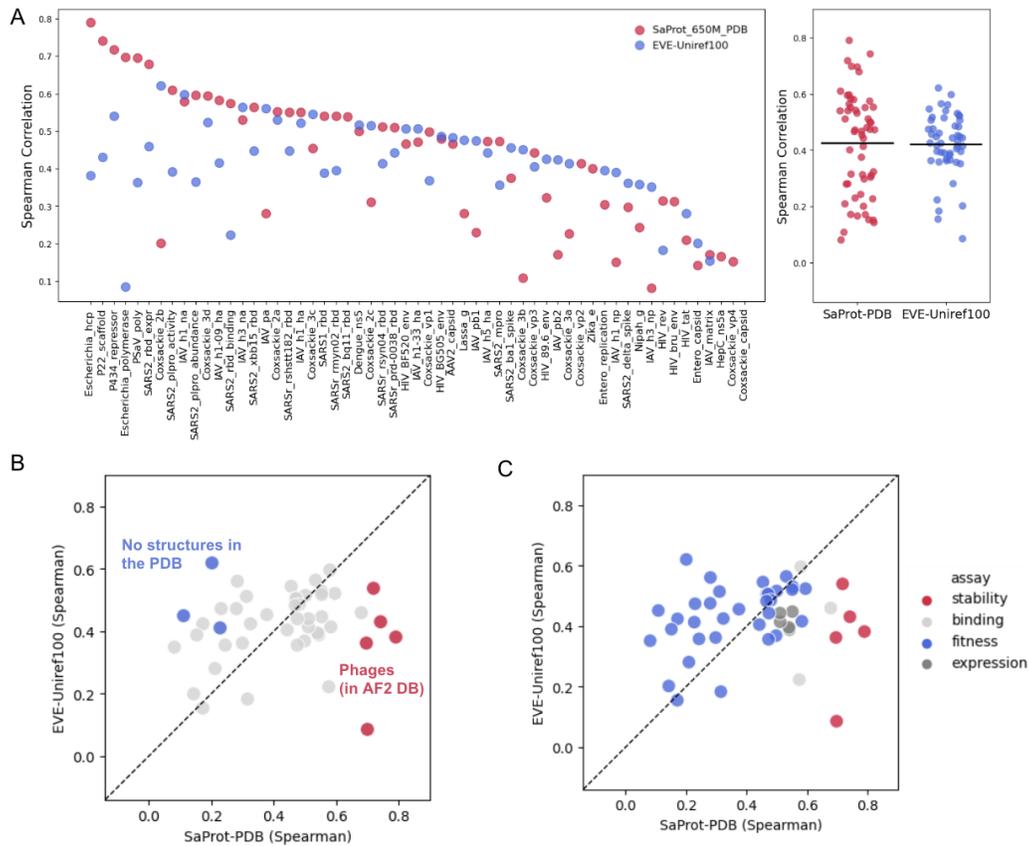
Supplementary Figure 6: Increasing alignment depth worsens model performance for some viral proteins. Y-axis plots the slope between model performance and Neff. X-axis plots the maximum Neff for a given viral protein.



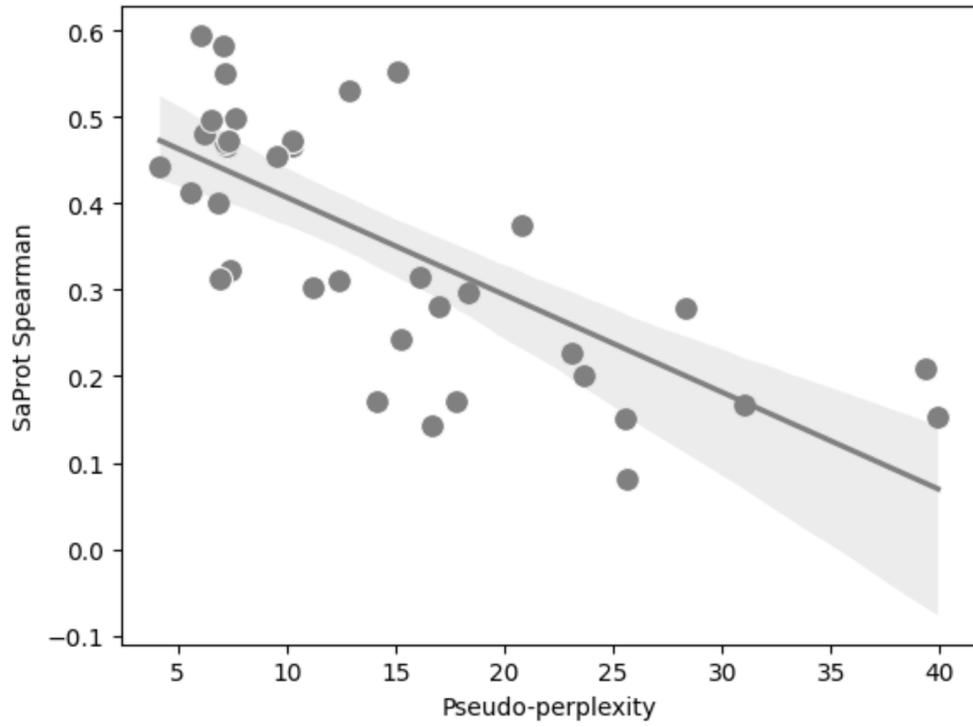
Supplementary Figure 7: Comparison of the Spearman rank correlation of all PLM models across DMSs separated by taxa.



Supplementary Figure 8: Comparison of the Spearman rank correlation of the SaProt-PDB model to SaProt-AF2 model for all viral DMSs. SaProt-PDB performs best on almost all viruses. SaProt-PDB has an advantage over SaProt-AF2 especially for viruses like SARS-CoV-2 and Influenza that are vastly over-represented in the PDB.



Supplementary Figure 9: A. Comparison of the Spearman rank correlation of the SaProt-PDB model to the EVE model trained on alignments from Uniref100 for all viral DMSs. Notably, some viruses do not have EVE scores given the memory constraints. The two models perform best on different DMSs. EVE is better at proteins with no structures within 90% identity in the PDB while SaProt is better on phages (with structures in the AF2 Database, while other eukaryotic viruses have been excluded). C. Models also perform best on different assay types, with EVE better at predicting overall fitness in replication or infectivity assays. SaProt's seemingly superior performance on stability assays must however be dissociated from the fact that the viral DMSs with stability assays are also the only phages, for which there is much more structural training data.



Supplementary Figure 10: SaProt pseudo-perplexity, used as a measure of uncertainty for PLMs, of the wildtypes for each of the viral fitness DMSs is a good predictor of SaProt mutation effect performance for that virus.

## B Supplementary Tables

Model Type	Model	Avg Spearman	Viral Avg Spearman
<b>Alignment-based model</b>	GEMME	0.455	0.469
	EVE (ensemble)	0.439	0.428
	EVE (single)	0.433	0.424
	DeepSequence (ensemble)	0.419	0.344
	DeepSequence (single)	0.407	0.323
	EVmutation	0.395	0.388
	Wavenet	0.373	0.328
	Site-Independent	0.359	0.383
<b>Hybrid - Alignment &amp; PLM</b>	TranceptEVE L	0.456	0.453
	TranceptEVE M	0.455	0.441
	TranceptEVE S	0.452	0.433
	Tranception L	0.434	0.432
	MSA Transformer (ensemble)	0.434	0.414
	Tranception M	0.427	0.415
	MSA Transformer (single)	0.421	0.390
	Tranception S	0.418	0.405
	Tranception M no retrieval	0.348	0.349
	Unirep evotuned	0.347	0.349
<b>Hybrid - Structure &amp; PLM</b>	SaProt-AF2 (650M)	0.457	0.300
	ProtSSN (ensemble)	0.449	0.356
	ProtSSN (k=20 h=1280)	0.442	0.347
	ProtSSN (k=20 h=512)	0.441	0.359
<b>Protein language model</b>	VESPA	0.436	0.432
	VESPAI	0.394	0.392
	Progen2 XL	0.391	0.391
	Progen2 L	0.380	0.333
	Progen2 M	0.379	0.342
	Progen2 Base	0.378	0.328
	Tranception L no retrieval	0.374	0.395
	ESM-1v (ensemble)	0.407	0.279
	RITA XL	0.372	0.402
	CARP (640M)	0.368	0.273
	RITA L	0.365	0.391
	RITA M	0.350	0.385
	Progen2 S	0.336	0.285
	CARP (76M)	0.328	0.150
	ESM2 (3B)	0.406	0.274
	ESM2 (15B)	0.401	0.313
	ESM2 (150M)	0.387	0.137
	ESM2 (650M)	0.414	0.238
	ESM2 (35M)	0.321	0.102
	<b>Inverse folding model</b>	ESM-IF1	0.422
MIF		0.383	0.359
ProteinMPNN		0.258	0.248

Supplementary Table 1: Model performance previously available in ProteinGym (Notin et al., 2023). Note this analysis only covers half of the now curated 59 viral datasets.

<b>Bitscore</b>	<b>UniRef90</b>	<b>UniRef100</b>	<b>UniRef+BFD</b>
0.5	57	57	48
0.4	57	56	37
0.3	55	51	28
0.05	54	51	21
0.04	53	45	12
0.03	44	37	10

Supplementary Table 2: Number of successful models given the equal memory constraints at different bitscores across UniRef90, UniRef100, and UniRef+BFD datasets.

## C Extended Methods

### C.1 Viral Deep Mutation Scans

We searched for all viral fitness and escape deep mutational scans, focusing here on single substitution mutations (Sinai et al., 2021; Mattenberger et al., 2021; Álvarez-Rodríguez et al., 2024; Suphatrakul et al., 2023; Tsuboyama et al., 2023; Bakhache et al., 2024; Qi et al., 2014; Haddox et al., 2018; Duenas-Decamp et al., 2016; Haddox et al., 2016; Fernandes et al., 2016; Heredia et al., 2019; Doud & Bloom, 2016; Wu et al., 2014; Lee et al., 2018; Dadonaite et al., 2024; Doud et al., 2015; Jiang et al., 2016; Lei et al., 2023; Wu et al., 2015; Soh et al., 2019; Li et al., 2023; Ashenberg et al., 2017; Teo et al., 2024; Hom et al., 2019; Wu et al., 2016; Starr, 2024; Starr et al., 2020; Dadonaite et al., 2023; Taylor & Starr, 2023; Flynn et al., 2022; Wu et al., 2024; Sourisseau et al., 2019; Setoh et al., 2019; Maurer et al., 2024; Welsh et al., 2024; Dingens et al., 2019; Frank et al., 2022; Lei et al., 2024; Kikawa et al., 2023). Some DMSs were excluded from this benchmark depending on the assayed phenotype, for example drug inhibition assays, or difficulties with the data, but may be included in the future.

### C.2 Alignment-based models

#### C.2.1 Generation of multiple sequence alignments

All alignment-based models rely on a method for generating a multiple sequence alignment on which they are trained. Multiple sequence alignments of the corresponding protein family were obtained using the method outlined in Hopf et al. (2017). Briefly, this involved five search iterations of the profile HMM homology search tool jackhmmer against the specified sequences database. We evaluated the impact of searching against three database with vastly different number of sequences: UniRef100, a database of non-redundant protein sequences; UniRef90, a database obtained by clustering the UniRef100 database based on 90% sequence identity and specifying a representative sequence per cluster; Big Fantastic Database (BFD) covering protein sequences from UniProt (Swiss-Prot&TrEMBL; uni (2021)), Metaclust (Steinegger & Söding, 2018) and Soil Reference Catalog Marine Eukaryotic Reference Catalog (Steinegger et al., 2019). We used length-normalized bit scores to threshold sequence similarity. We generated alignments across six bit scores of 0.5, 0.3, 0.1, 0.05, 0.03, 0.01 bits/residue. The alignments were post-processed to exclude positions with more than 50% gaps and to exclude sequence fragments that align to less than 50% of the length of the target sequence.

#### C.2.2 PSSM

To infer the contribution of site-specific amino acid constraints without considering explicit epistatic constraints, we used a site-wise maximum entropy model as implemented in Hopf et al. (2017).

#### C.2.3 EVmutation

To predict the effects of mutations that explicitly captures pairwise residue dependencies between positions, we used EVMutation as implemented in Hopf et al. (2017).

#### **C.2.4 EVE**

To predict the effects of mutations capturing high-order dependencies between positions, we used EVE, a Bayesian VAE model architecture, as implemented in Frazer et al. (2021).

### **C.3 Protein language models**

#### **C.3.1 Sequence datasets**

The protein language models described here do not use multiple sequence alignments, instead using variants of a Transformer (Vaswani, 2017) popularized in natural language modeling for self-supervised training on a large corpus of sequence data. In this case, the models are trained on large protein sequence datasets from across the entire protein universe, rather than only sequences specific to a given family of proteins. These datasets include BFD, Uniref100, and Uniref90, as well as the AF2 and PDB structure databases. Moreover, because these datasets are alignment-free, these models can more naturally score insertions and deletions.

#### **C.3.2 Tranception**

Tranception (Notin et al., 2022) combines an autoregressive protein language model with inference-time retrieval from a MSA. We used Tranception Large (700M parameters) trained on Uniref100 without MSA retrieval as implemented in ProteinGym (Notin et al., 2023).

#### **C.3.3 ESM-1v**

ESM-1v (Meier et al., 2021b) has a Transformer encoder architecture similar to BERT [Devlin et al., 2019] and was trained with a Masked-Language Modeling (MLM) objective on UniRef90. We use the implementation presented in ProteinGym (Notin et al., 2023) to handle sequences that are longer than the model context window (ie., 1023 amino acids).

#### **C.3.4 VESPA**

VESPA (Marquet et al., 2022) combines the embeddings from ProtT5 (Elnaggar et al., 2021) with a per-residue conservation prediction. ProtT5 uses a T5 architecture which uses an encoder and decoder and was first trained on BFD and then finetuned on UniRef50.

#### **C.3.5 SaProt**

SaProt (Su et al., 2023) introduces a structure-aware vocabulary, into protein language modeling by training on Foldseek (van Kempen et al., 2022) 3Di tokens which represent the local geometric conformation information of each residue relative to its spatial neighbors. These 3Di tokens are combined with typical amino acid residue tokens as input to the SaProt model, which utilizes an ESM-2 Transformer architecture (Lin et al., 2022). We use both SaProt-650M-AF2, trained on approximately 40 million AF2 sequences/structures (from Uniref50) which notably excludes all viral proteins, and SaProt-650M-PDB, which continuously pre-trains the SaProt-650M-AF2 model on the PDB.