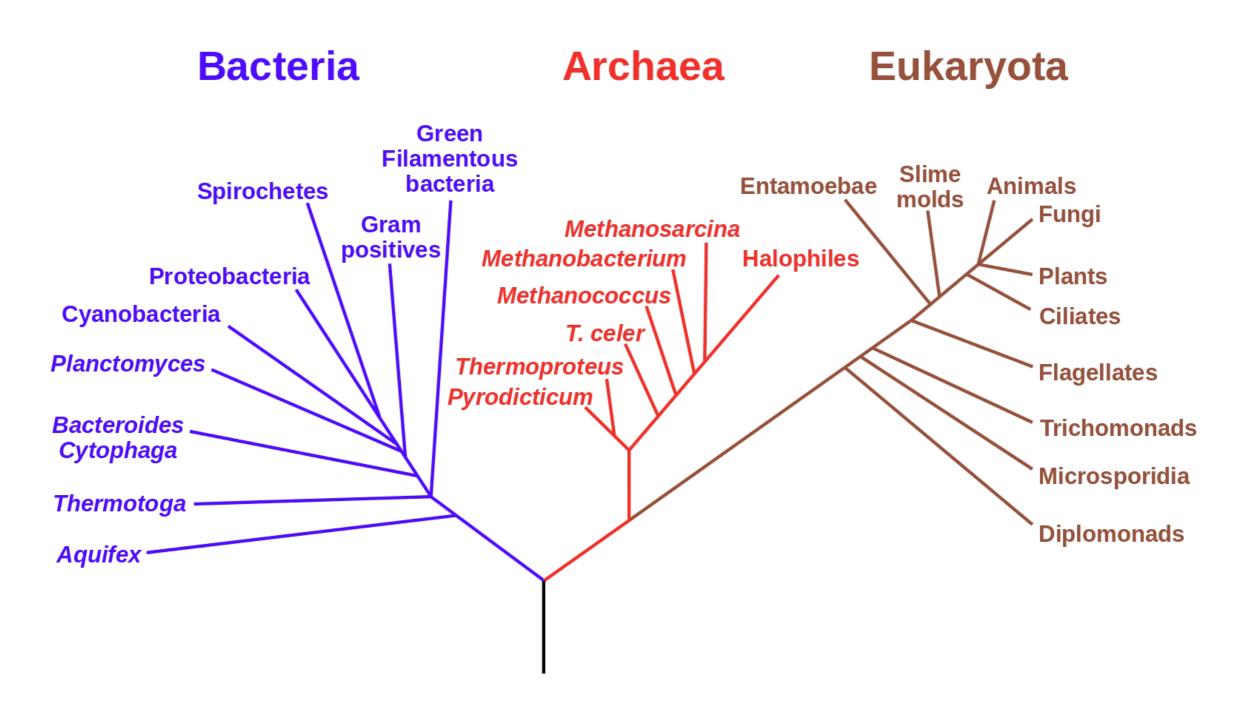
# CSE 549 Lecture 3: Sequence Similarity & Alignment



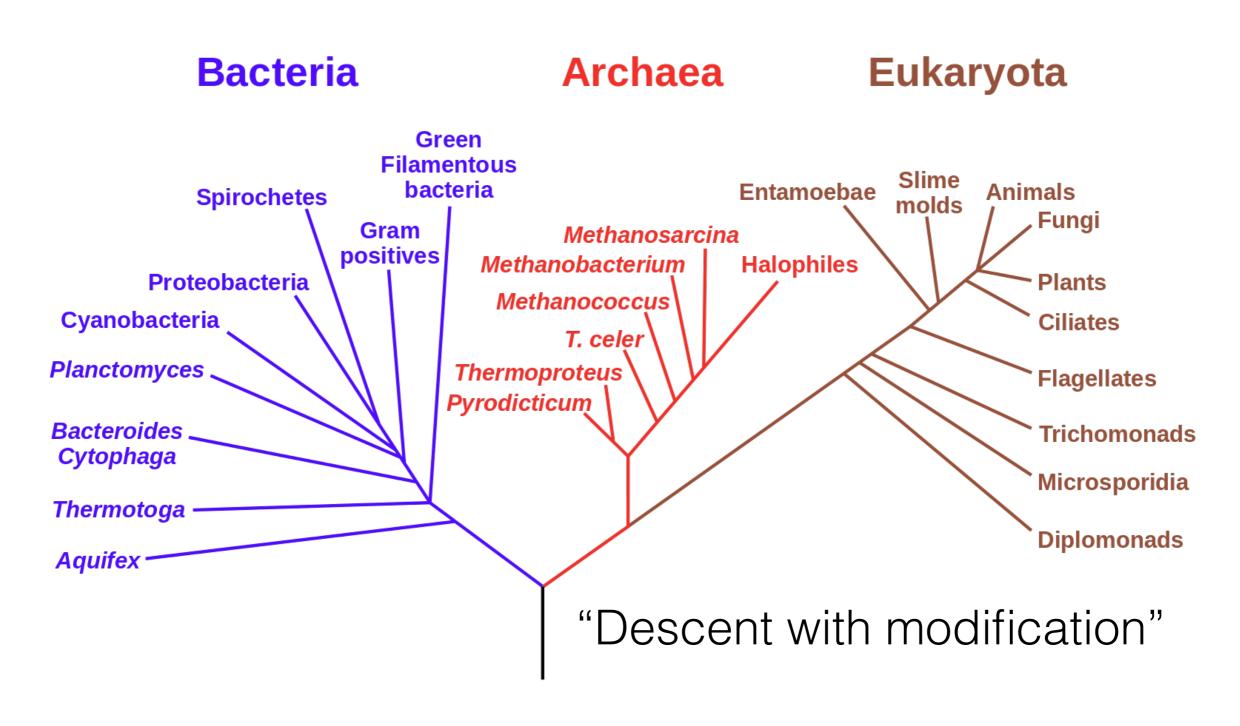
# Relatedness of Biological Sequence

### **Phylogenetic Tree of Life**

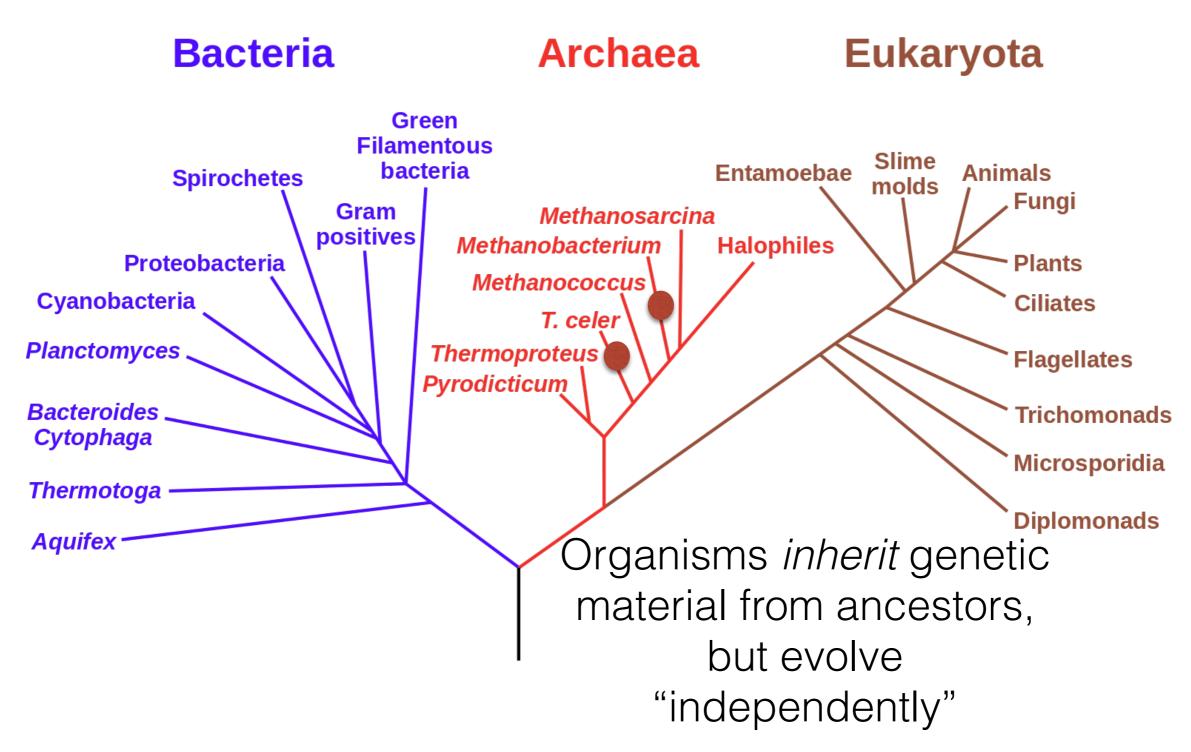


# Relatedness of Biological Sequence

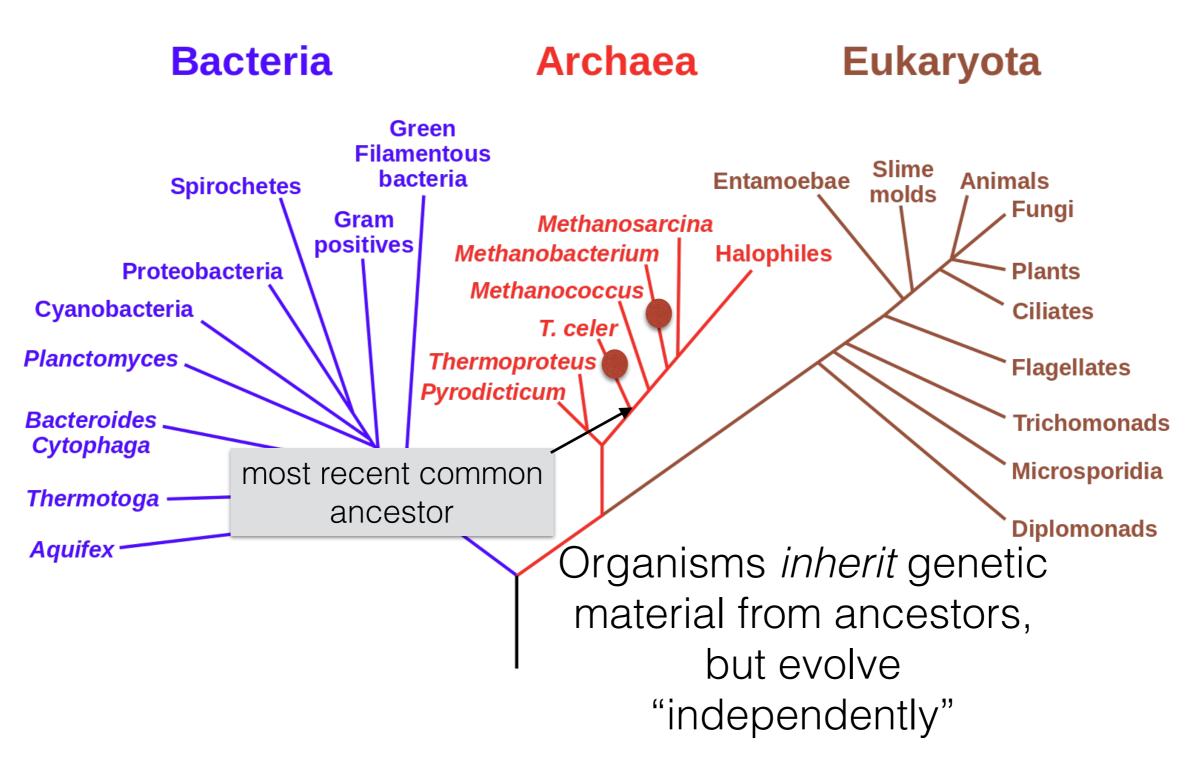
### **Phylogenetic Tree of Life**



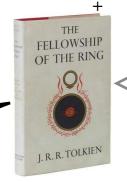
# Relatedness of Biological Sequence Phylogenetic Tree of Life



# Relatedness of Biological Sequence Phylogenetic Tree of Life



# Consider an analogy



THE FELLOWSHIP OF THE RING

THE FELLOWSHIP

"When Mr. Bilbo Baggins of Bag End announced that he would shortly be celebrating his eleventy-first birthday with a party of special magnificence, there was much talk and excitement in Hobbiton"

"When Mr. Bilbo Baggins of Bag End announced that he would shortly be celebrating his **eleventh**-first birthday with a party of special magnificence, there was much talk and excitement in Hobbiton"

"When Mr. Bilbo **Baggens** of Bag End announced that he would shortly be celebrating his **eleventh**first birthday with a party of special magnificence, there was much talk and excitement in Hobbiton"

"When Mr. Bilbo Baggins of Bag End announced that he would shortly be celebrating his eleventh-first birthday with a party of special magnificence, there was much talk and excitement in **Hobbit-town**"

"When Mrs. Bilbo Baggins of Bag End announced that she would shortly be celebrating his eleventhfirst birthday with a party of special magnificence, there was much talk and excitement in Hobbit-town"

# Sequence tells a story

 If two sequences are similar, this provides evidence of descent from a common ancestor

Sequences are conserved at different rates

 Very similar sequence can indicate a very recent common ancestor, or a highly conserved function

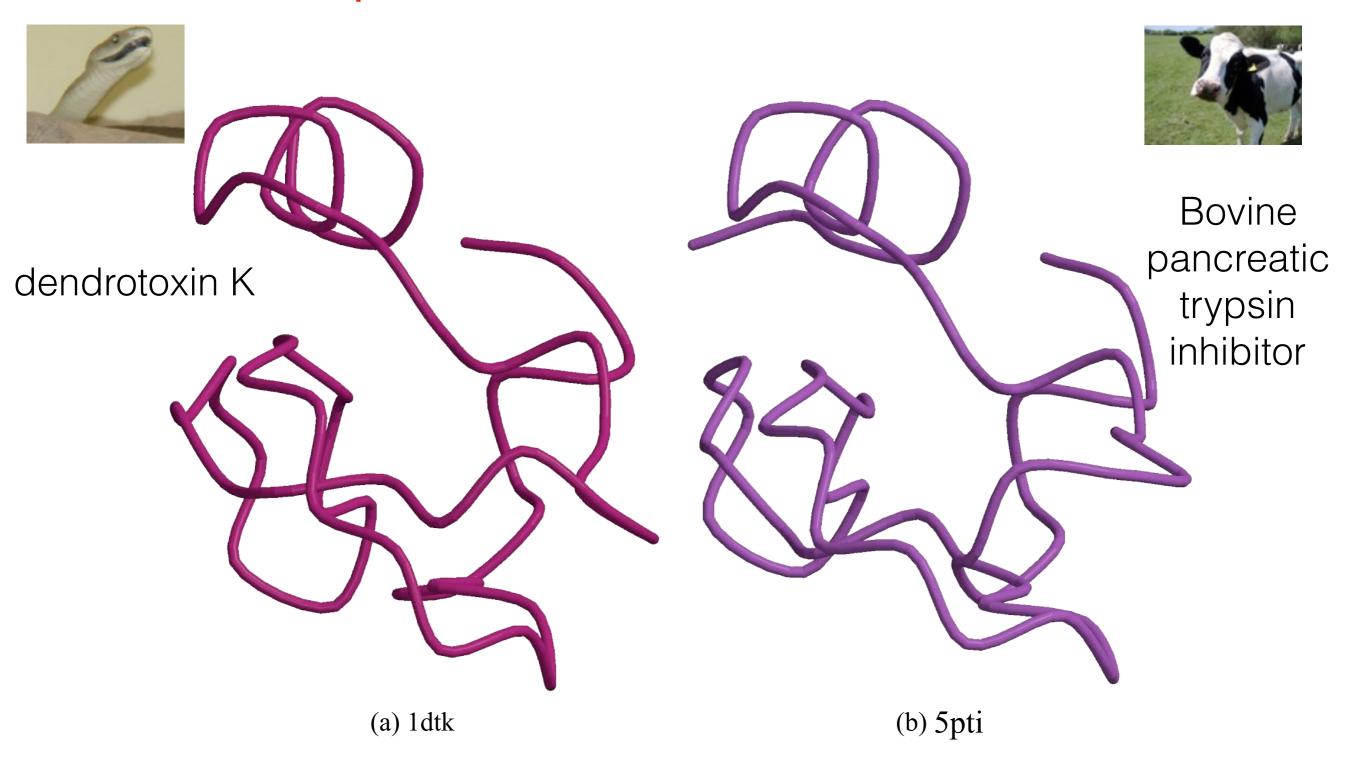
### Why compare DNA or protein sequences?

#### Partial CTCF protein sequence in 8 organisms:

```
-EDSSDS-ENAEPDLDDNEDEEEPAVEIEPEPE-----PQPVTPA
H. sapiens
                -EDSSDS-ENAEPDLDDNEDEEEPAVEIEPEPE-----POPVTPA
P. troglodytes
                -EDSSDS-ENAEPDLDDNEDEEEPAVEIEPEPE-----POPVTPA
C. lupus
                -EDSSDS-ENAEPDLDDNEDEEEPAVEIEPEPE-----POPVTPA
  taurus
M. musculus
                -EDSSDSEENAEPDLDDNEEEEEPAVEIEPEPE--PQPQPPPPPQPVAPA
R. norvegicus
                -EDSSDS-ENAEPDLDDNEEEEEPAVEIEPEPEPOPOPOPOPOPOPAPA
                -EDSSDSEENAEPDLDDNEDEEETAVEIEAEPE-----VSAEAPA
G. gallus
D. rerio
                DDDDDDSDEHGEPDLDDIDEEDEDDL-LDEDQMGLLDQAPPSVPIP-APA
```

- Identify important sequences by finding conserved regions.
- Find genes similar to known genes.
- Understand evolutionary relationships and distances (D. rerio aka zebrafish is farther from humans than G. gallus aka chicken).
- Interface to databases of genetic sequences.
- As a step in genome assembly, and other sequence analysis tasks.
- Provide hints about protein structure and function (next slides).

# Sequence can reveal structure



1dtk XAKYCKLPLRIGPCKRKIPSFYYKWKAKQCLPFDYSGCGGNANRFKTIEECRRTCVG-5pti RPDFCLEPPYTGPCKARIIRYFYNAKAGLCQTFVYGGCRAKRNNFKSAEDCMRTCGGA

# Why Not Exact Matching?

Suffix tree / array and BWT / FM-index are powerful tools for finding exact patterns in a large text, but exact matching is insufficient. Reads have **errors** and there is **true genomic variation** between a reference and a sample.

### Typical strategy (many variants):

- Find all places where a substring of the query matches the reference exactly (seeds)
- Requires efficient exact search

- Filter out regions with insufficient exact matches to warrant further investigation
- Perform a "constrained" alignment that includes these exact matching "seeds"

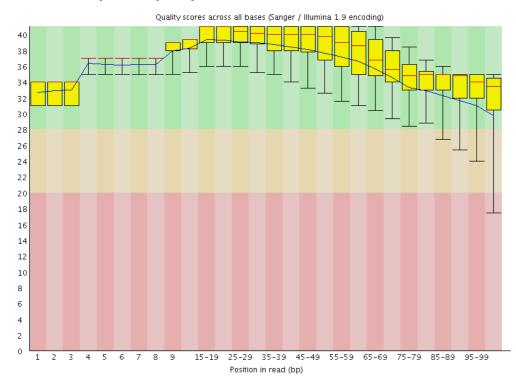
Here is where we use our alignment DPs

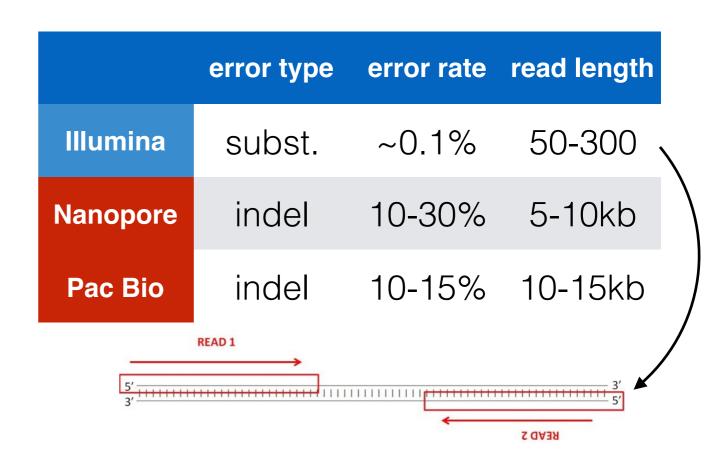
# Why Is This Possible?

This is (*usually*) a **heuristic** (doesn't guarantee you find all alignment locations within the budget for a read).

But, due to the error profiles of reads, this often works well.

#### Per base sequence quality

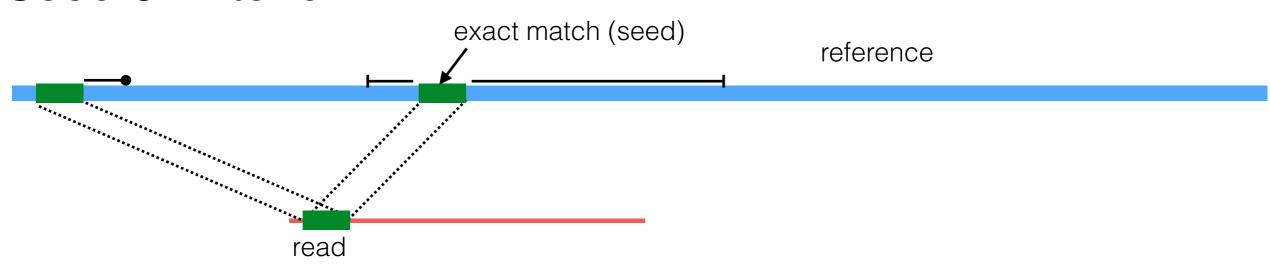




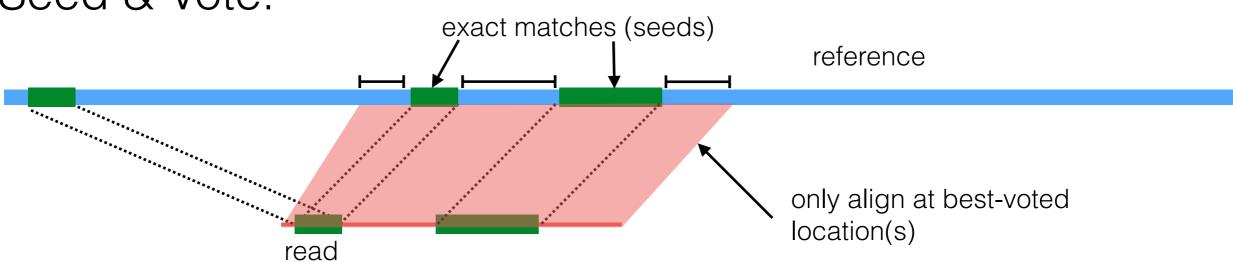
2<sup>nd</sup> generation reads are often "paired-end"

# Typical Strategies

#### Seed & Extend:



### Seed & Vote:



# The Language of Strings

A string s is a finite sequence of characters

|s| denotes the length of the string — the number of characters in the sequence.

A string is defined over an alphabet,  $\Sigma$ 

```
\begin{split} &\Sigma_{DNA} = \{A,T,C,G\} \\ &\Sigma_{RNA} = \{A,U,C,G\} \\ &\Sigma_{AminoAcid} = \{A,R,N,D,C,E,Q,G,H,I,L,K,M,F,P,S,T,W,Y,V\} \end{split}
```

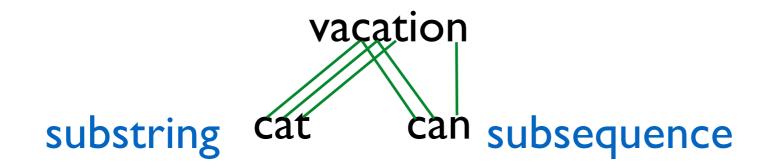
The empty string is denoted  $\epsilon - |\epsilon| = 0$ 

# The Language of Strings

Given two strings  $\mathbf{s,t}$  over the same alphabet  $\Sigma$ , we denote the concatenation as  $\mathbf{st}$  — this is the sequence of  $\mathbf{s}$  followed by the sequence of  $\mathbf{t}$ 

String **s** is a substring of **t** if there exist two (potentially empty) strings **u** and **v** such that  $\mathbf{t} = \mathbf{usv}$ 

String **s** is a subsequence of **t** if the characters of **s** appear in order (but not necessarily consecutively) in **t** 



String **s** is a prefix/suffix of **t** if t = su/us — if neither **s** nor **u** are  $\epsilon$ , then **s** is a proper prefix/suffix of **t** 

+

# The Simplest String Comparison Problem

**Given**: Two strings

$$a = a_1 a_2 a_3 a_4 ... a_m$$
  
 $b = b_1 b_2 b_3 b_4 ... b_n$ 

where  $a_i$ ,  $b_i$  are letters from some alphabet,  $\Sigma$ , like {A,C,G,T}.

Compute how similar the two strings are.

#### What do we mean by "similar"?

**Edit distance** between strings a and b = the smallest number of the following operations that are needed to transform a into b:

- mutate (replace) a character
- delete a character
- insert a character

$$riddle \xrightarrow{delete} ridle \xrightarrow{mutate} riple \xrightarrow{insert} triple$$

## The String Alignment Problem

#### Parameters:

- "gap" is the cost of inserting a "-" character, representing an insertion or deletion (insertion/deletion are dual operations depending on the string)
- cost(x,y) is the cost of aligning character x with character y. In the simplest case, cost(x,x) = 0 and cost(x,y) = mismatch penalty.

#### Goal:

- Can compute the edit distance by finding the **lowest cost** alignment. (often phrased as finding **highest scoring alignment**.)
- Cost of an alignment is: sum of the cost(x,y) for the pairs of characters that are aligned +  $gap \times$  number of characters inserted.

# Another View: Alignment as a Matching

Each string is a set of nodes, one for each character.

Looking for a low-cost matching (pairing) between the sequences.

$$a = GCGTATGAGGCTAAACGC$$

$$b = GCTATGCGCTATACGC$$

The operations at our disposal

Insertion (into  $a \sim deletion from b$ )

Mutation

Deletion (from  $a \sim insertion into b$ )

When we "delete a" character in  $\bf a$  this is the same as inserting the character "-" in  $\bf b$ . Conceptually, you can think of this as aligning the deleted character with "-". Under this model cost(x,'-') = cost('-',x) = gap for any  $\bf x \in \Sigma$ 

# Another View: Alignment as a Matching

Each string is a set of nodes, one for each character.

Looking for a low-cost matching (pairing) between the sequences.

$$a = GCGTATGGGCTAAGGGC$$

$$b = GCTATGGGGCTATAGGG$$

Cost of a matching is:

$$gap \times #unmatched + \sum_{(a_i,b_j)} cost(a_i,b_j)$$

Edges are not allowed to cross!

# Representing alignments as edit transcripts

Can think of edits as being introduced by an *optimal editor* working left-to-right. *Edit transcript* describes how editor turns *x* into *y*.

```
Operations:
x: G'CGTATGCGGCTAACGC
                                  M = match, R = replace,
y: GCT♠TGCGGCTATACGC
                                  I = insert into x, D = delete from x
x: GCGTATGCGGCTAACGC
                                 MMD
y: GC-TATGCGGCTATACGC
y: GC-TATGCGGCTATACG
y: GC-TATGCGGCTATACGC
```

## Representing edits as alignments

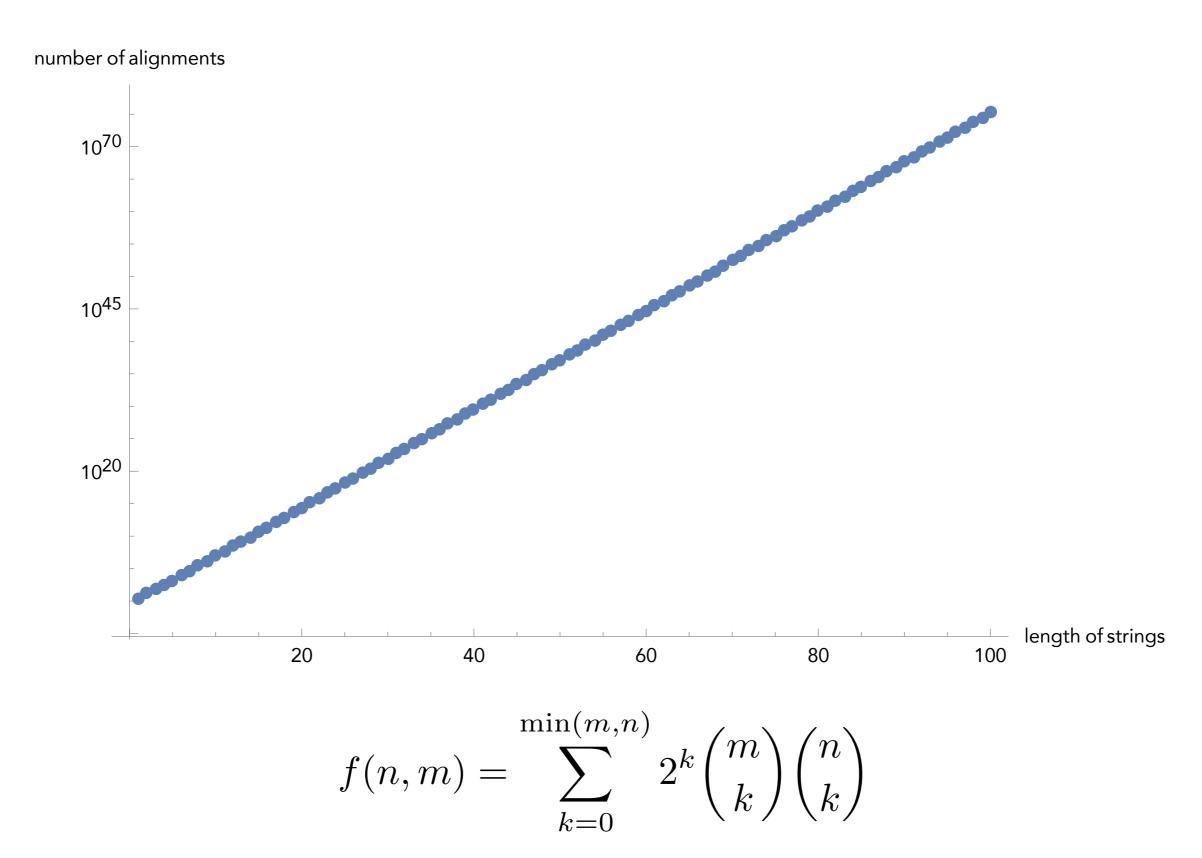
```
prin-ciple
                         prin-cip-le
prinncipal
                         prinncipal-
(1 gap, 2 mm)
                          (3 gaps, 0 mm)
MMMMIMMMRR
                         MMMMIMMIMD
misspell
                          prehistoric
mis-pell
                          ---historic
 (1 gap)
                          (3 gaps)
MMMTMMMM
                          DDDMMMMMMMM
aa-bb-ccaabb
                         al-go-rithm-
                          XX X
ababbbc-a-b-
                         alKhwariz-mi
(5 gaps, 1 mm)
                          (4 gaps, 3 mm)
MRIMMIMDMDMD
                         MMIRRIMMRDMI
```

# NCBI BLAST DNA Alignment

>gb|AC115706.7| Mus musculus chromosome 8, clone RP23-382B3, complete sequence

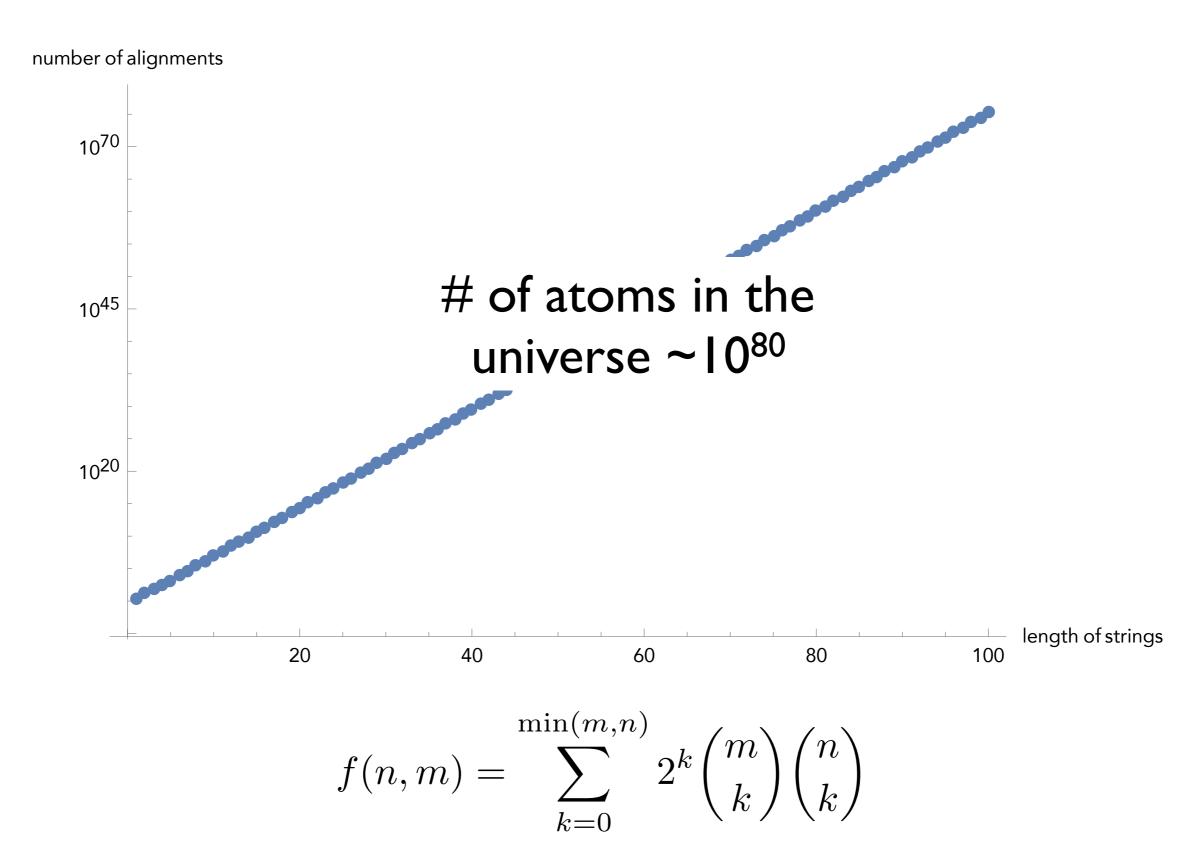
Query	1650	gtgtgtgtgggtgcacatttgtgtgtgtgtgcgcctgtgtgtg	1709
Sbjct	56838	GTGTGTGTGGAAGTGAGTTCATCTGTGTGTGCACATGTGTGCATGCATGCATGTGT	56895
Query	1710	gtg-gggcacatttgtgtgtgtgtgtgcctgtgtgtgggtgcacatttgtgtgtg	1768
Sbjct	56896	GTCCGGGCATGCATGTCTGTGTGCATGTGTGTGTGTGTGCATGTGTGAGTAC	56947
Query	1769	ctgtgtgtgtgtgcctgtgtgtgggggtgcacatttgtgtgtg	1828
Sbjct	56948	CTGTGTGTATGCTTGTGTGTGTGTGTGTGTGTGTGTGTGT	57007
Query	1829	gggtgcacatttgtgtgtgtgtgtgcctgtgtgtgtgtgggtgcacatttgtgtgtg	1888
Sbjct	57008	TCATCTGTGTATGTGTGTGTGAGAGTGCATGCATGTGTGTGTGAGT	57055
Query	1889	gcctgtgtgtgtgggtgcacatttgtgtgtgtgtgtcctgtgtgtgtgggtgcac	1942
Sbjct	57056	TCATCTGTGTCAGTGTATGCTTATGGGTATAACT-TAACTGTGCATGTGTAAGTGTGTTC	57114
Query	1943	atttgtgtgtgtgtgcctgtgtgtgtgggtgcacatttgtgtgtg	2002
Sbjct	57115	ATCTGTGTATGTGTGTGTGTGAGTTAGTTCATCTGTGTGAGAGTGTGTGA	57168
Query	2003	gtgcacatttgtgtgtgtgtgtgtgtgtgtgtgtgtgtgt	2062
Sbjct	57169	GCTCATCTGTGTGAGTTCATCTGTATGAGTGTGTGTATGTGTGTGTACAAATGA	57224
Query	2063	gtgtgtgtgtgcctgtgtgtgggtgcacatttgtgtgtgt	2122
Sbjct	57225	GTTCATCTGTGCATGTGTGTGTTTAAGTGTGTTCATCTGTGTGCGTGT	57274

# How many alignments are there?



Andrade, Helena, et al. "The number of reduced alignments between two DNA sequences." BMC bioinformatics 15.1 (2014): 94.

# How many alignments are there?



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# Interlude: Dynamic Programming

General and powerful algorithm design technique

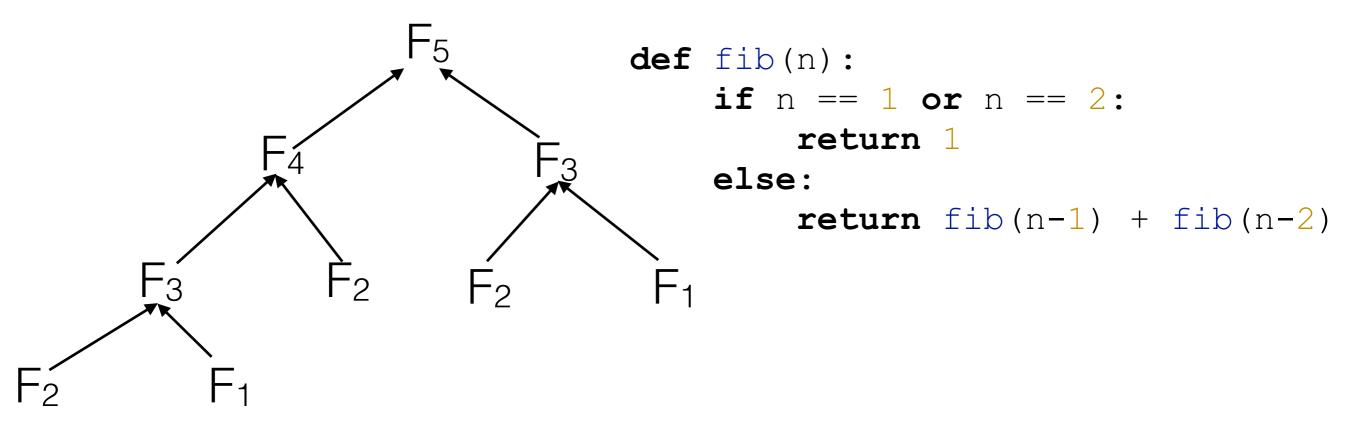
"Programming" in the mathematical sense — nothing to do with e.g. code

To apply DP, we need optimal substructure and overlapping subproblems

optimal substructure — can combine solutions to "smaller" problems to generate solutions to "larger" problems.

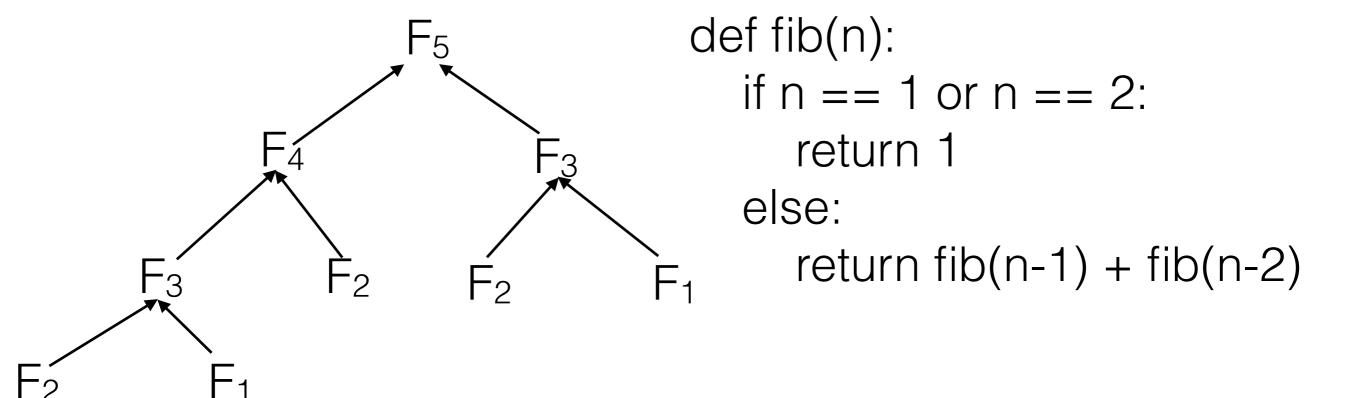
overlapping subproblems — solutions to subproblems can be "re-used" in multiple contexts (to solve multiple) larger problems

$$F_n = F_{n-1} + F_{n-2}$$
 with  $F_1 = F_2 = 1$ 



This recursive way of computing fib(n) is **very** inefficient! What is the runtime of this approach (i.e. fib(n) = O(?))

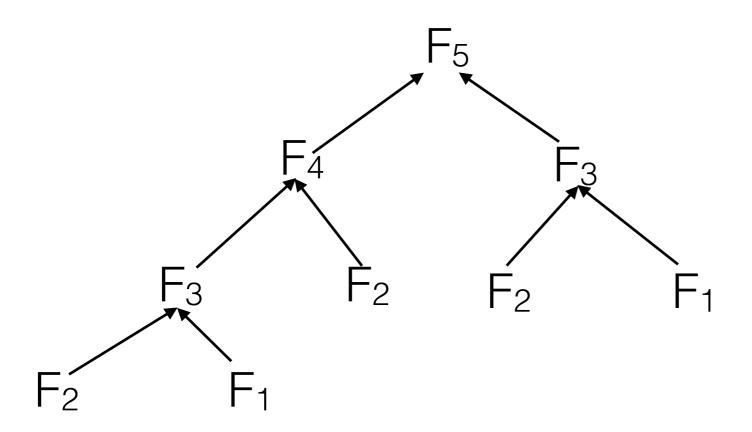
$$F_n = F_{n-1} + F_{n-2}$$
 with  $F_1 = F_2 = 1$ 



This recursive way of computing fib(n) is **very** inefficient! Runtime of this approach is fib(n) =  $O(\Phi^n) = O(2^n)$ golden ratio

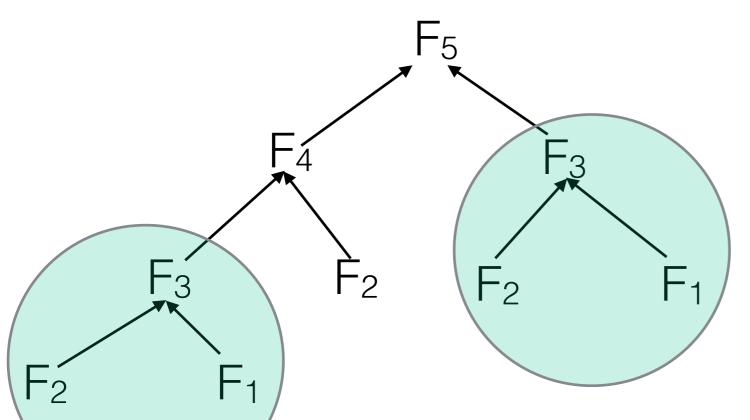
 $F_n = F_{n-1} + F_{n-2}$  with  $F_1 = F_2 = 1$ 

How do we do better than  $O(\Phi^n)$ ?



 $F_n = F_{n-1} + F_{n-2}$  with  $F_1 = F_2 = 1$ 

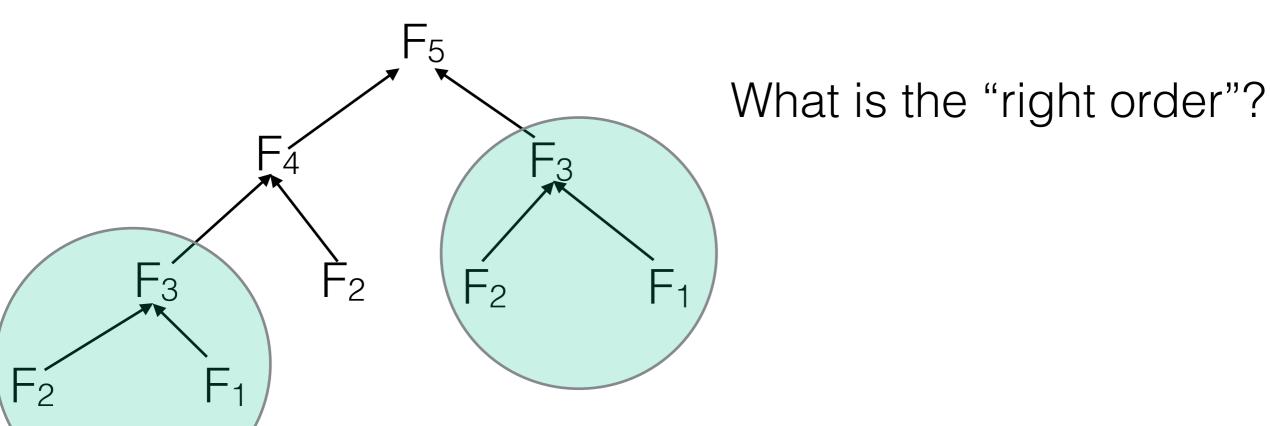
How do we do better than  $O(\Phi^n)$ ?



If I compute the solutions in the "right order", I don't need to waste time re-computing the same values.

$$F_n = F_{n-1} + F_{n-2}$$
 with  $F_1 = F_2 = 1$ 

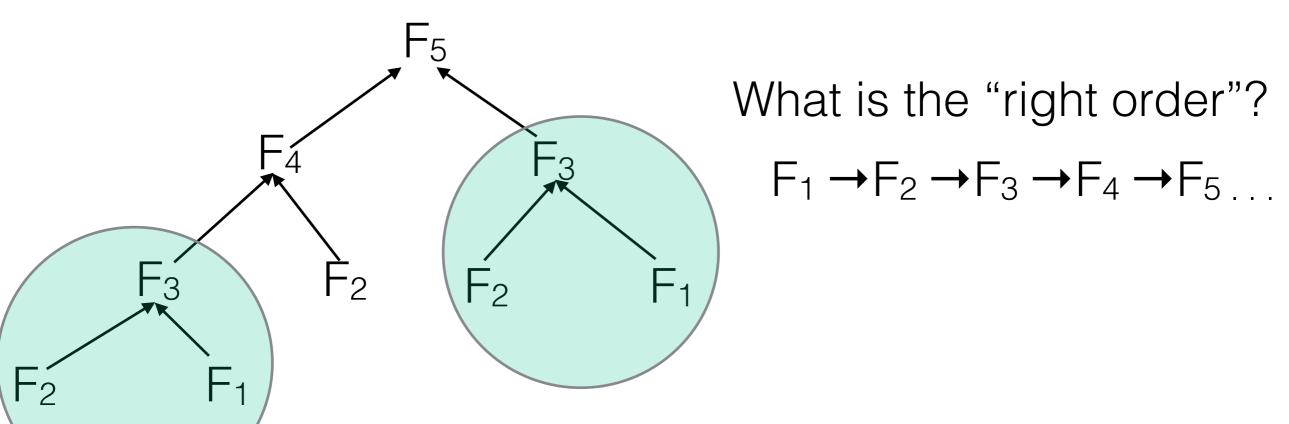
How do we do better than  $O(\Phi^n)$ ?



If I compute the solutions in the "right order", I don't need to waste time re-computing the same values.

$$F_n = F_{n-1} + F_{n-2}$$
 with  $F_1 = F_2 = 1$ 

How do we do better than  $O(\Phi^n)$ ?



If I compute the solutions in the "right order", I don't need to waste time re-computing the same values.

```
F_n = F_{n-1} + F_{n-2} with F_1 = F_2 = 1
How do we do better than O(\varphi^n)?
Take 2:
```

```
def fib(n):
   if n == 1 or n == 2:
      return 1
   fm2, fm1 = 1, 1
   for i in xrange(2, n):
      fm2, fm1 = fm1, fm2 + fm1
   return fm1
```

We loop up to n, and perform an addition in each iteration —> O(n); **much better!** Note: O(n) assumes addition is constant, not true for large enough n.

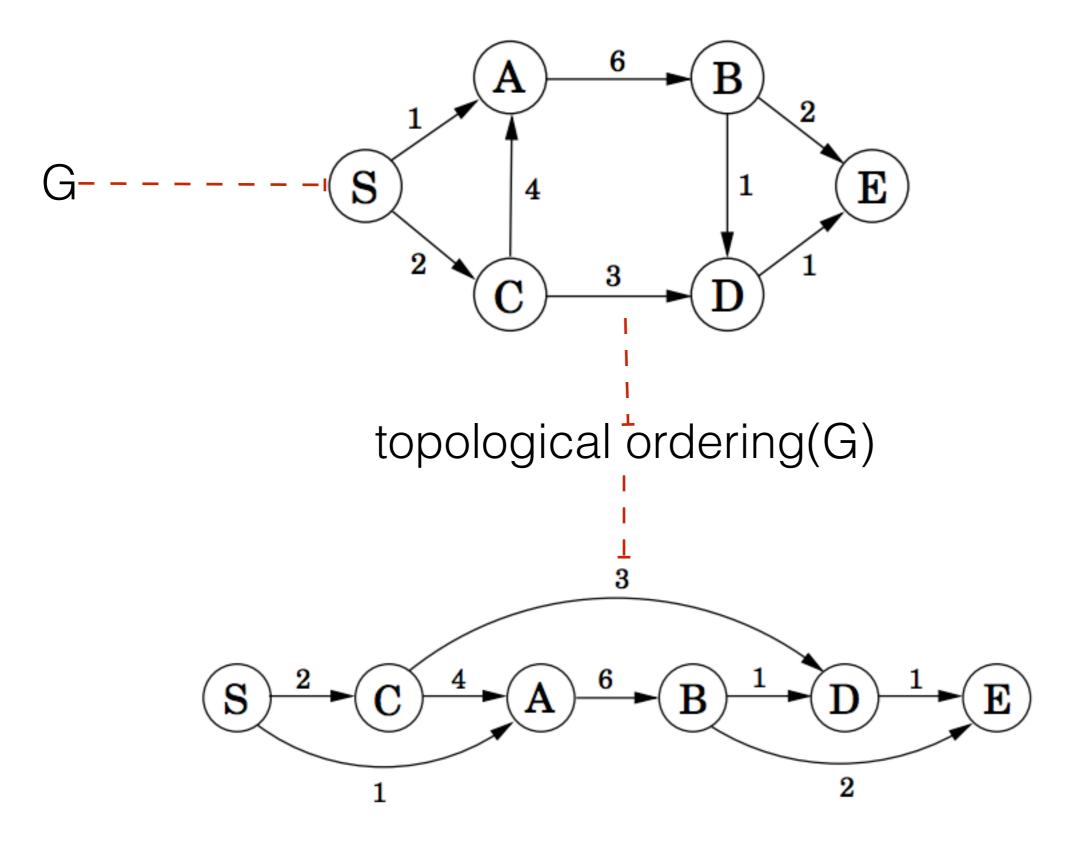
## Example 2: Shortest Path in a DAG

Let G = (V,E) be a **d**irected **a**cyclic **g**raph (DAG) with vertex set V and edge set E.

Since G directed and free of cycles, there exists a (at least one) **topological order** of G — an ordering  $p(v_1)$ ,  $p(v_2)$ , ...,  $p(v_n)$  such that for all  $e = (v_i, v_j)$  in E,  $p(v_i) < p(v_j)$ 

In other words, we can label the nodes of G such that all edges point from a vertex with a smaller label to a vertex with a larger label.

# Example 2: Shortest Path in a DAG



# Obtaining a topological ordering

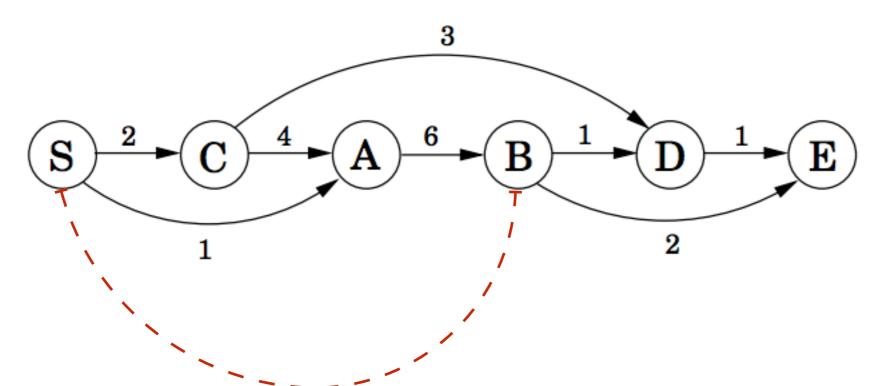
### Kahn's algorithm

Builds up a valid topo order node-by-node

```
L ← Empty list that will contain the sorted elements
S ← Set of all nodes with no incoming edges
while S is non-empty do
    remove a node n from S
    add n to tail of L
    for each node m with an edge e from n to m do
        remove edge e from the graph
        if m has no other incoming edges then
            insert m into S
if graph has edges then
        return error (graph has at least one cycle)
else
    return L (a topologically sorted order)
```

$$O(|V| + |E|)$$
; why?

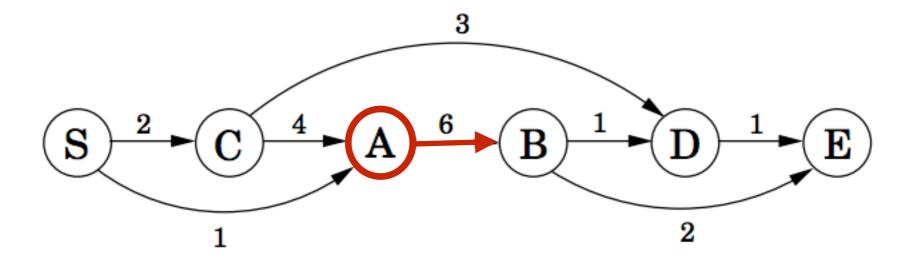
## Example 2: Shortest Path in a DAG



What's the distance from S to B — d(S,B)?

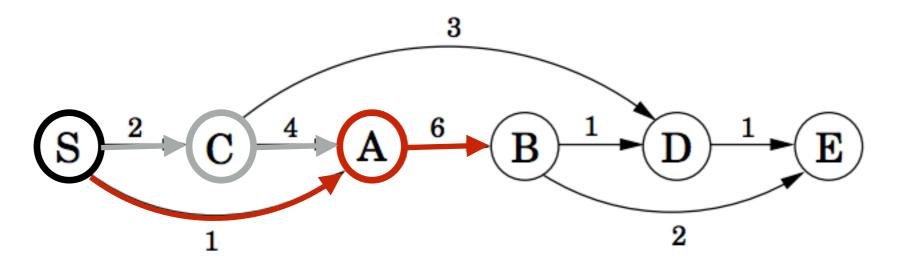
## Example 2: Shortest Path in a DAG

First, I must go through A, so it's at least d(S,A) + 6



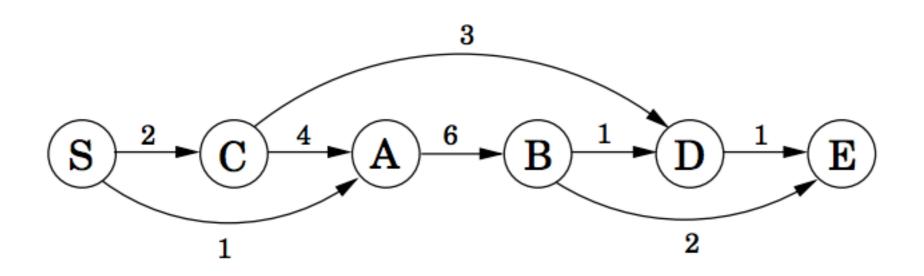
### Example 2: Shortest Path in a DAG

Then, there are 2 ways of getting to A — we choose the shortest.



### Example 2: Shortest Path in a DAG

In general, d(S,X) is the minimum value of d(S,Y) + d(Y,X) for all Y that precede X and are connected by an edge



 $d(S,X) = \min_{Y \mid (Y,X) \in E} \{d(S,Y) + d(Y,X)\}$ 

This becomes the DP recurrence for our problem

### Example 2: Shortest Path in a DAG

The problem is solved efficiently by the following algorithm

```
initialize all \operatorname{dist}(\cdot) values to \infty \operatorname{dist}(s)=0 for each v\in V\backslash\{s\}, in linearized order: \operatorname{dist}(v)=\min_{(u,v)\in E}\{\operatorname{dist}(u)+l(u,v)\}
```

### Algorithm for Computing Edit Distance

Consider the last characters of each string:

$$a = a_1 a_2 a_3 a_4 ... a_m$$
  
 $b = b_1 b_2 b_3 b_4 ... b_n$ 

#### One of these possibilities must hold:

- 1.  $(a_m,b_n)$  are matched to each other
- 2. a<sub>m</sub> is not matched at all
- 3.  $b_n$  is not matched at all
- 4.  $a_m$  is matched to some  $b_i$  ( $j \neq n$ ) and  $b_n$  is matched to some  $a_k$  ( $k \neq m$ ).

### Algorithm for Computing Edit Distance

Consider the last characters of each string:

$$a = a_1 a_2 a_3 a_4 ... a_m$$
  
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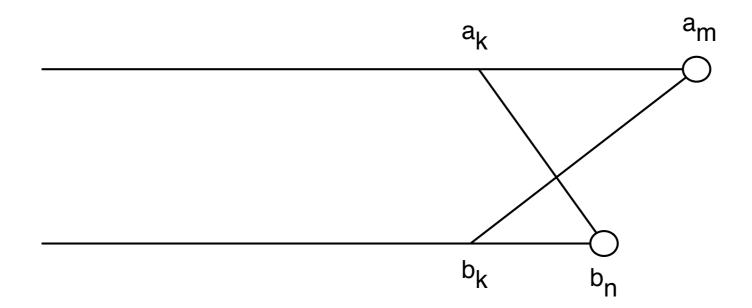
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- 3.  $b_n$  is not matched at all
- 4.  $a_m$  is matched to some  $b_j$  ( $j \neq n$ ) and  $b_n$  is matched to some  $a_k$  ( $k \neq m$ ).



### No Crossing Rule Forbids #4

4.  $a_m$  is matched to some  $b_j$  ( $j \neq n$ ) and  $b_n$  is matched to some  $a_k$  ( $k \neq m$ ).



So, the only possibilities for what happens to the last characters are:

- 1.  $(a_m, b_n)$  are matched to each other
- 2.  $a_m$  is not matched at all
- 3.  $b_n$  is not matched at all

#### Recursive Solution

Turn the 3 possibilities into 3 cases of a recurrence:

$$OPT(i,j) = \min egin{cases} \cos t(a_i,b_j) + OPT(i-1,j-1) & \operatorname{match}\ a_i,b_j \ \operatorname{gap} + OPT(i-1,j) & a_i & \operatorname{is\ not\ matched}\ \operatorname{gap} + OPT(i,j-1) & b_j & \operatorname{is\ not\ matched}\ \operatorname{gap} + \operatorname{optimal}\ \operatorname{alignment\ between}\ a_1...a_i & \operatorname{and\ }b_1...b_j & \operatorname{the\ costs\ of\ smaller}\ \operatorname{problems} \end{cases}$$

Key: we don't know which of the 3 possibilities is the right one, so we try them all.

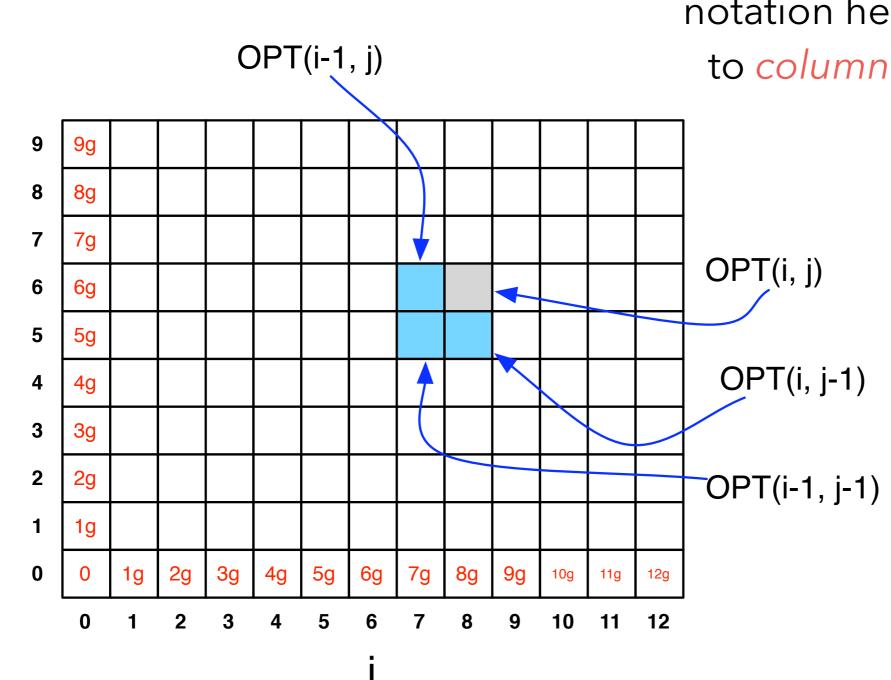
Base case: 
$$OPT(i,0) = i \times gap$$
 and  $OPT(0,j) = j \times gap$ .

(Aligning *i* characters to 0 characters must use *i* gaps.)

### Computing OPT(i,j) Efficiently

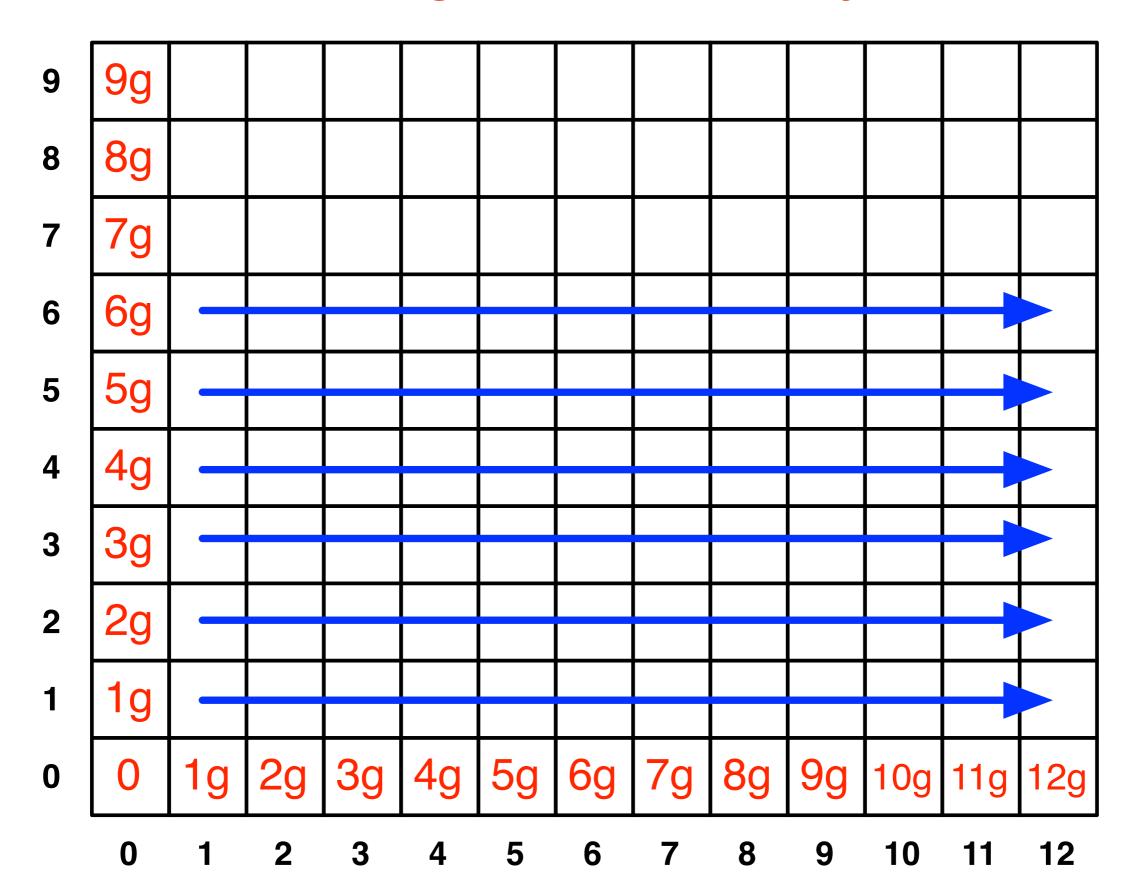
We're ultimately interested in OPT(n,m), but we will compute all other OPT(i,j)  $(i \le n, j \le m)$  on the way to computing OPT(n,m).

Store those values in a 2D array:



**NOTE:** observe the non-standard notation here; OPT(**i**,**j**) is referring to *column* i, *row* j of the matrix.

### Filling in the 2D Array



### Edit Distance Computation

```
EditDistance(X,Y):
   For i = 1, ..., m: A[i, 0] = i*qap
   For j = 1, ..., n: A[0,j] = j*gap
   For i = 1, ..., m:
      For j = 1, ..., n:
         A[i,j] = min(
             cost(a[i],b[j]) + A[i-1,j-1],
             qap + A[i-1,j],
            gap + A[i,j-1]
      EndFor
   EndFor
   Return A[m,n]
```

#### Where's the answer?

OPT(n,m) contains the edit distance between the two strings.

Why? By induction: EVERY cell contains the optimal edit distance between some prefix of string 1 with some prefix of string 2.

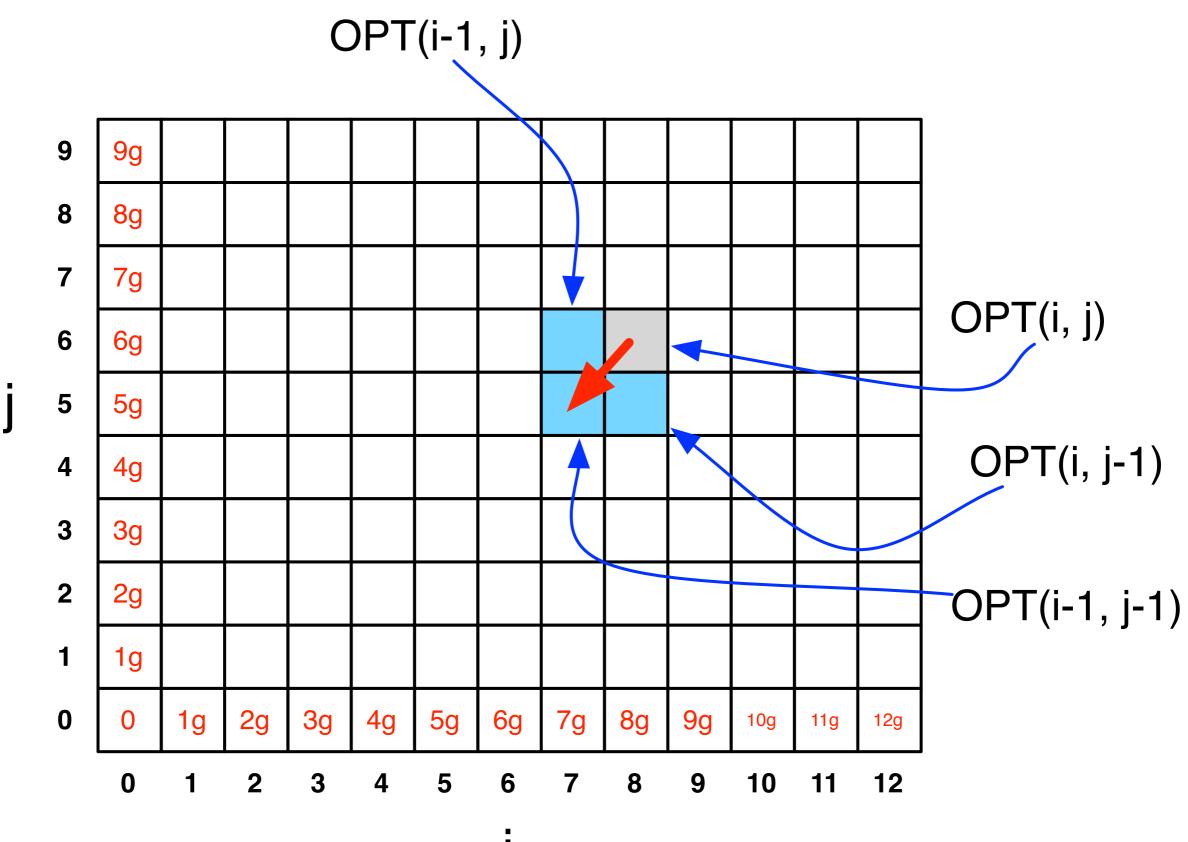
#### Running Time

Number of entries in array =  $O(m \times n)$ , where m and n are the lengths of the 2 strings.

Filling in each entry takes constant O(1) time.

Total running time is O(mn).

### Finding the actual alignment



gap cost = 3mismatch cost = 1

С	27												
А	24												
G	21												
Т	18												
Т	15												
G	12												
С	9												
А	6												
А	3 •	0											
	0	3	6	9	12	15	18	21	24	27	30	33	36
		А	А	G	G	Т	А	Т	G	А	Α	Т	С

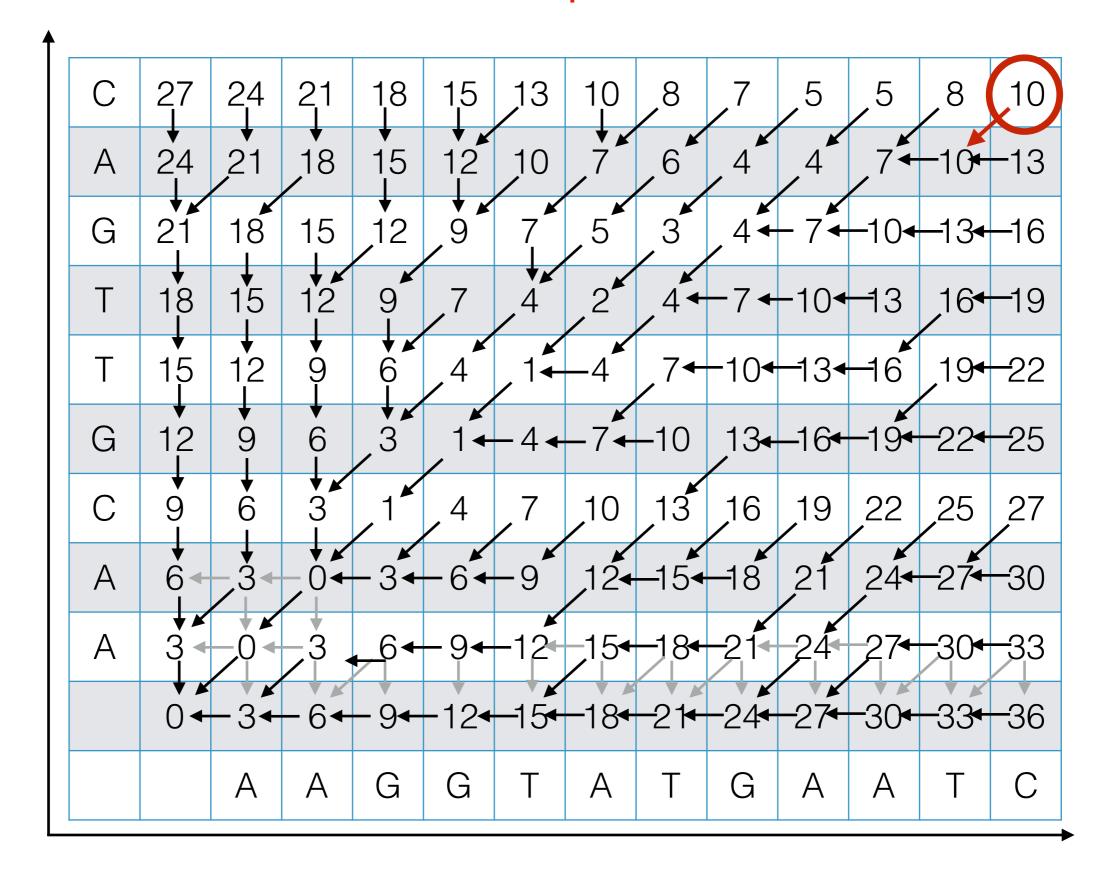
С	27												
А	24												
G	21												
Т	18												
Т	15												
G	12												
С	9												
А	6												
А	3 🕶	0	_3										
	0	3	6	9	12	15	18	21	24	27	30	33	36
		А	Α	G	G	Т	А	Т	G	А	Α	Т	С

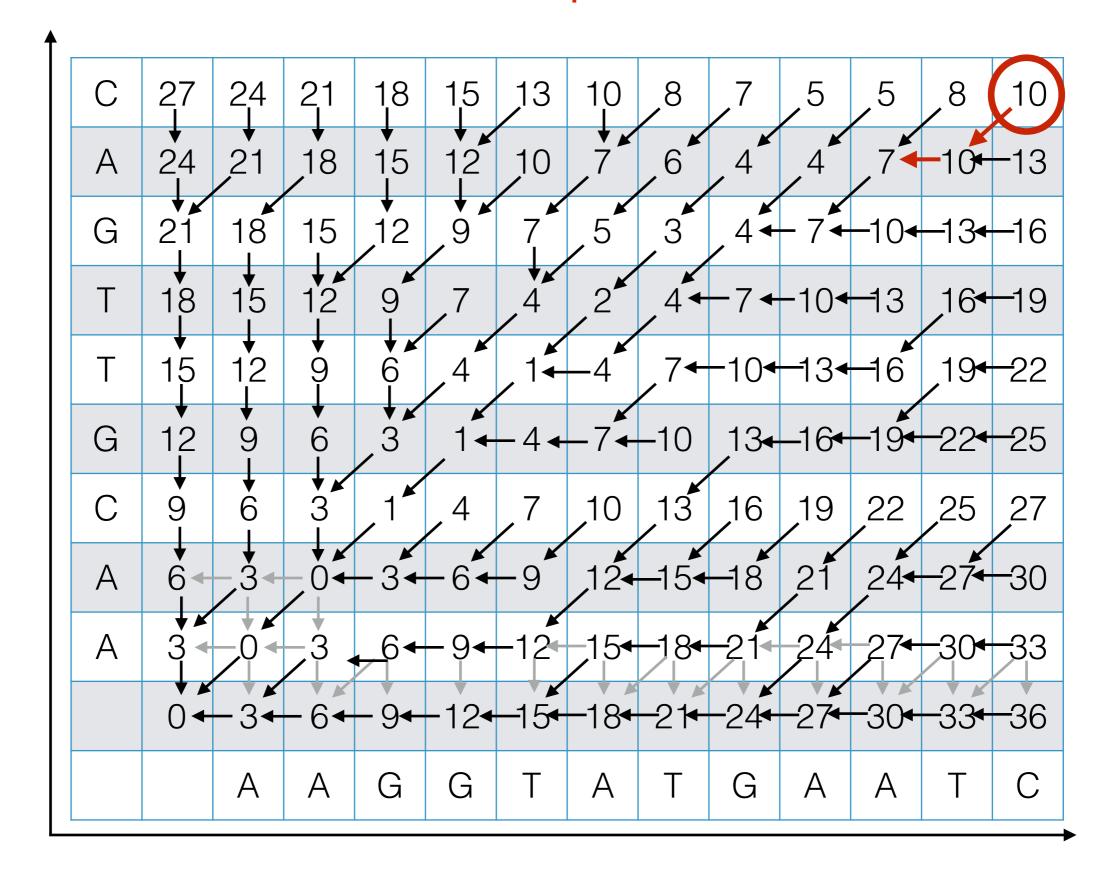
С	27												
А	24												
G	21												
T	18												
Т	15												
G	12												
С	9												
А	6												
А	3 🔸	_0 <	_3 <b>←</b>	-6									
	0	3	6	9	12	15	18	21	24	27	30	33	36
		А	Α	G	G	Т	Α	Т	G	А	А	Т	С

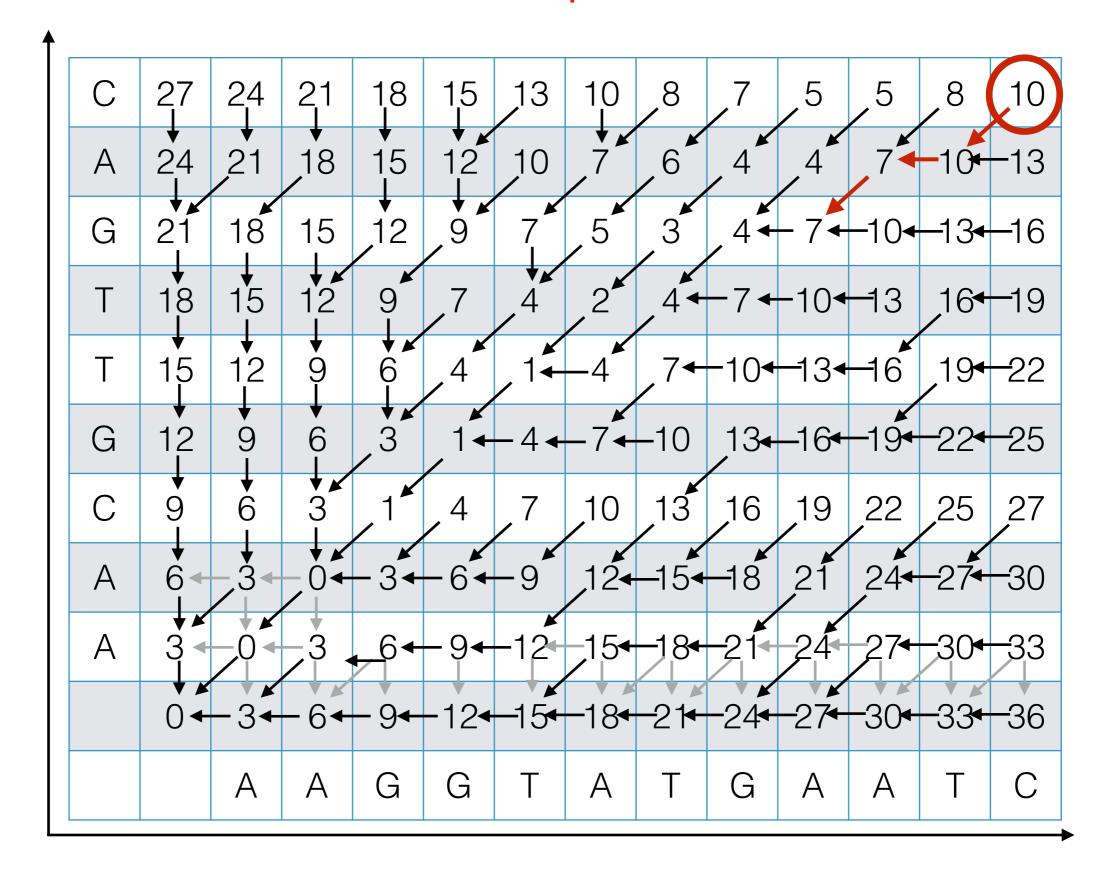
С	27												
А	24												
G	21												
Т	18												
Т	15												
G	12												
С	9												
А	6												
А	3 •	0	_3◆	<b>-</b> 6 <b>←</b>	-9•		_15 <del></del>	<b>-</b> 18 <del>•</del>	21	24	27	_30 <del></del>	33
	0	3	6	9	12	15	18	21	24	27	30	33	36
		А	А	G	G	Т	А	Т	G	А	Α	Т	С

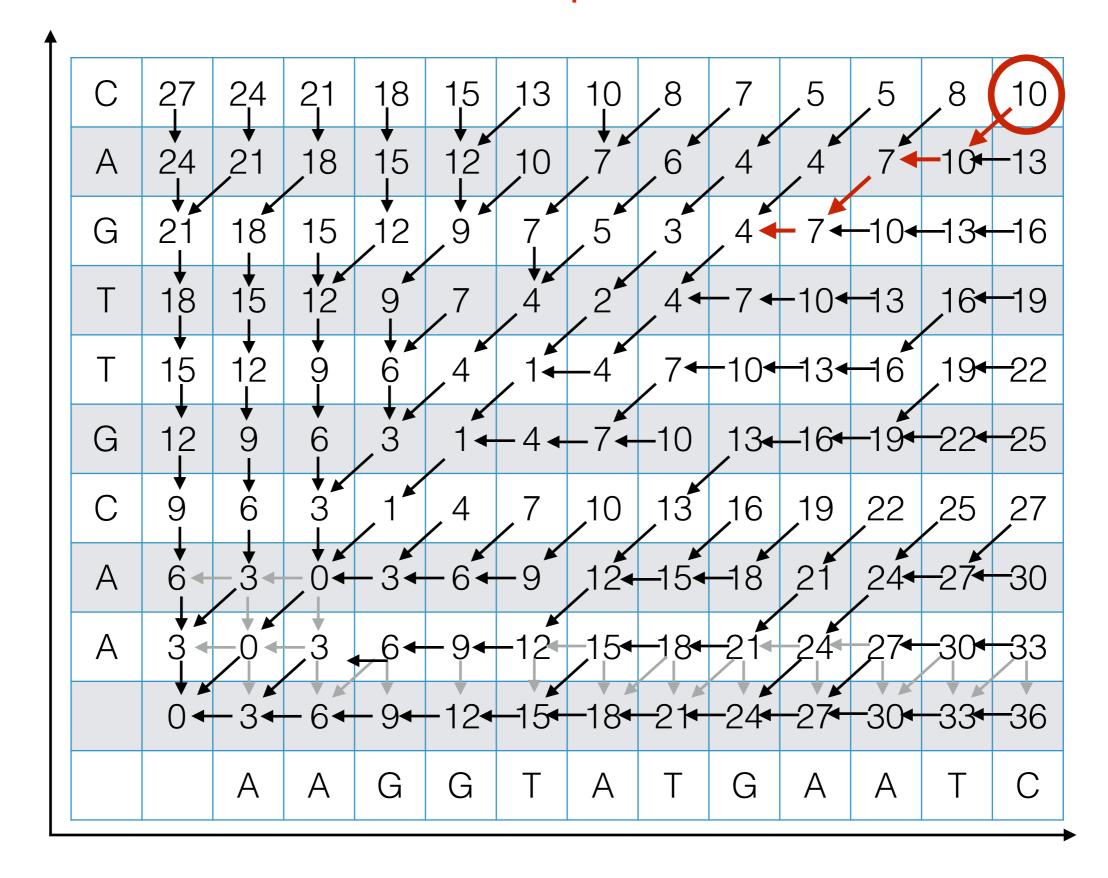
С	27												
А	24												
G	21												
Т	18												
Т	15												
G	12												
С	9												
А	6	_3											
А	3 🖣	0	_3◆	_6←	-9•	-12	_15 <del></del>	<b>-</b> 18 <del>•</del>	21	24	27	_30 <del></del>	33
	0	3	6	9	12	15	18	21	24	27	30	33	36
		А	Α	G	G	Т	Α	Т	G	Α	А	Т	С

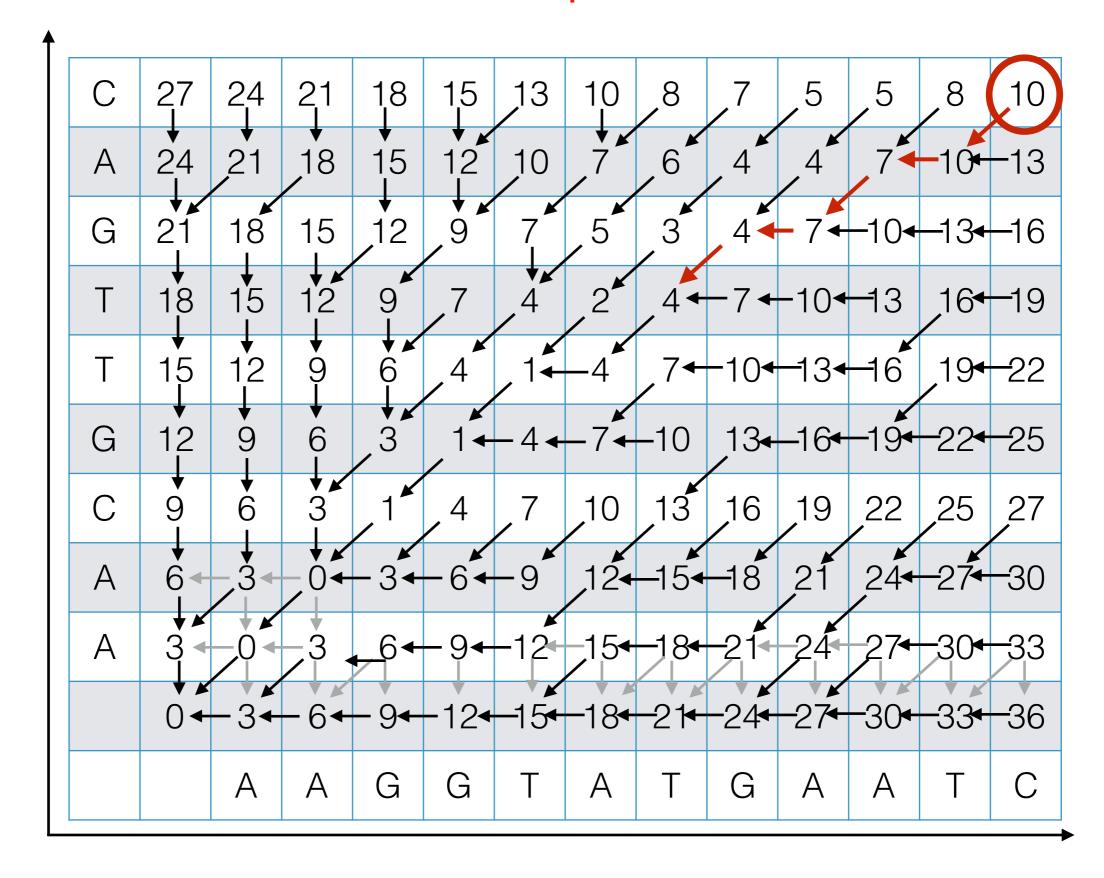
С	27												
А	24												
G	21												
Т	18												
Т	15												
G	12												
С	9												
А	6	-3+	0										
А	3 🕇	0	_3•	_6 <b>←</b>	-9•		_15 <del>&lt;</del>	_18 <del>&lt;</del>	21	24	27	30◀	-33
	0	3	6	9	12	15	18	21	24	27	30	33	36
		А	А	G	G	Т	Α	Т	G	А	Α	Т	С

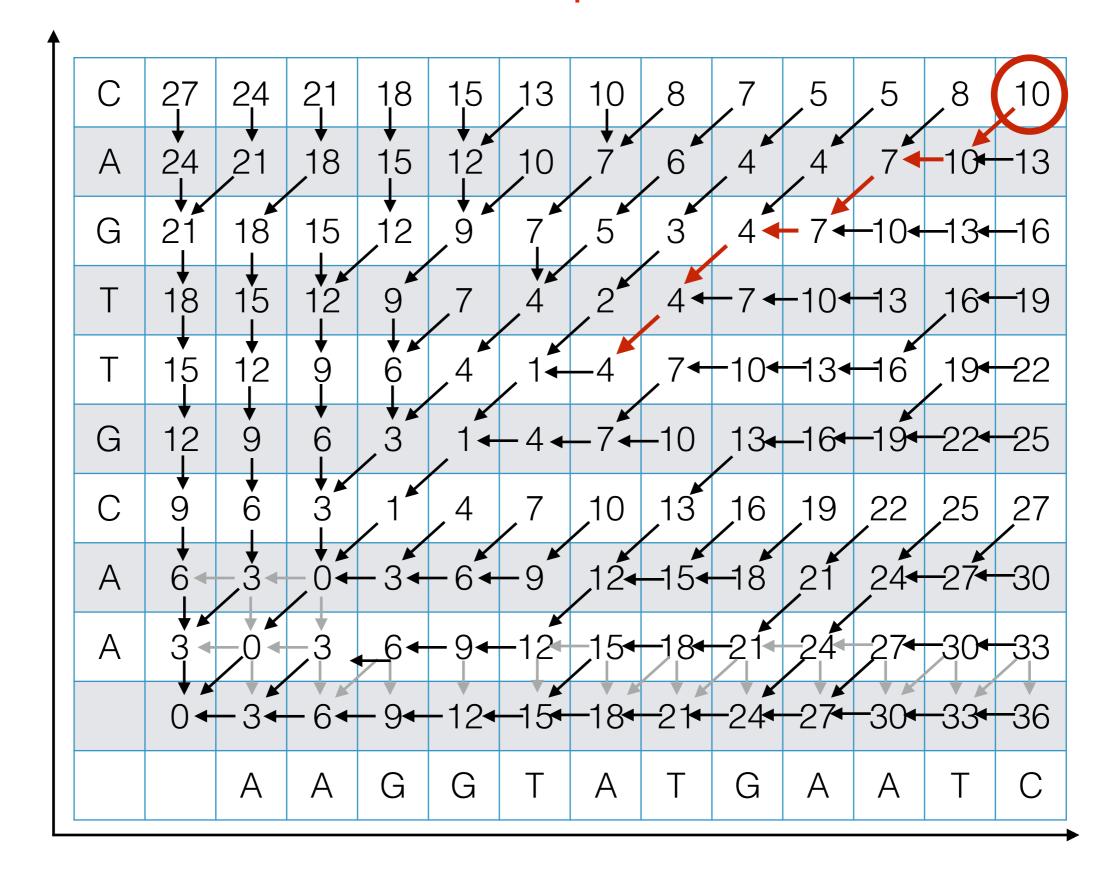


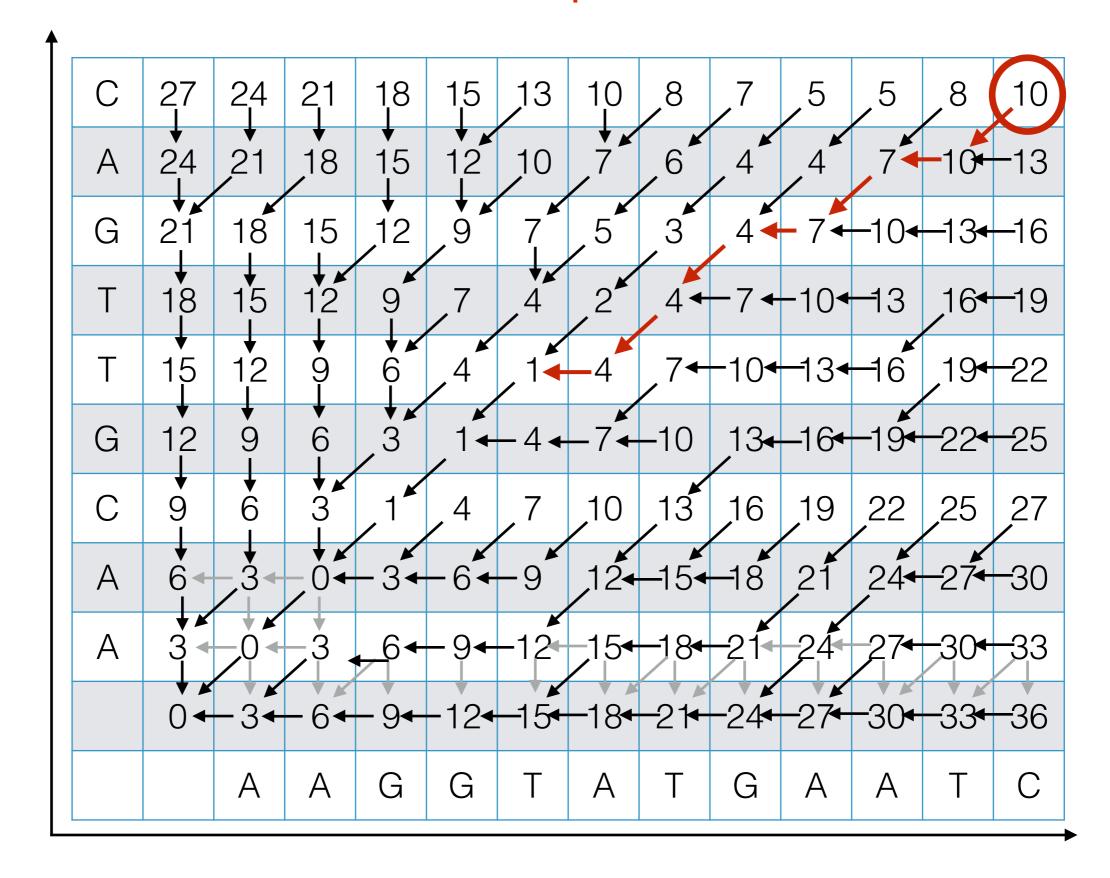


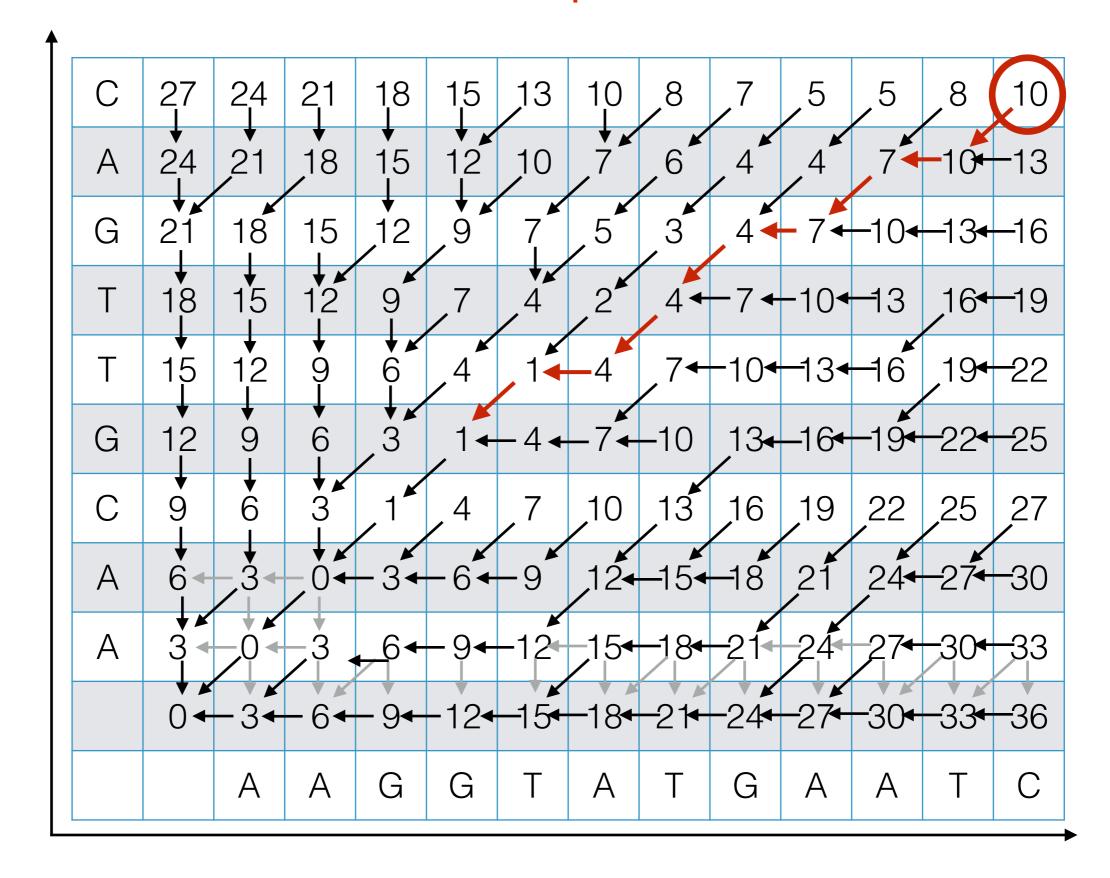


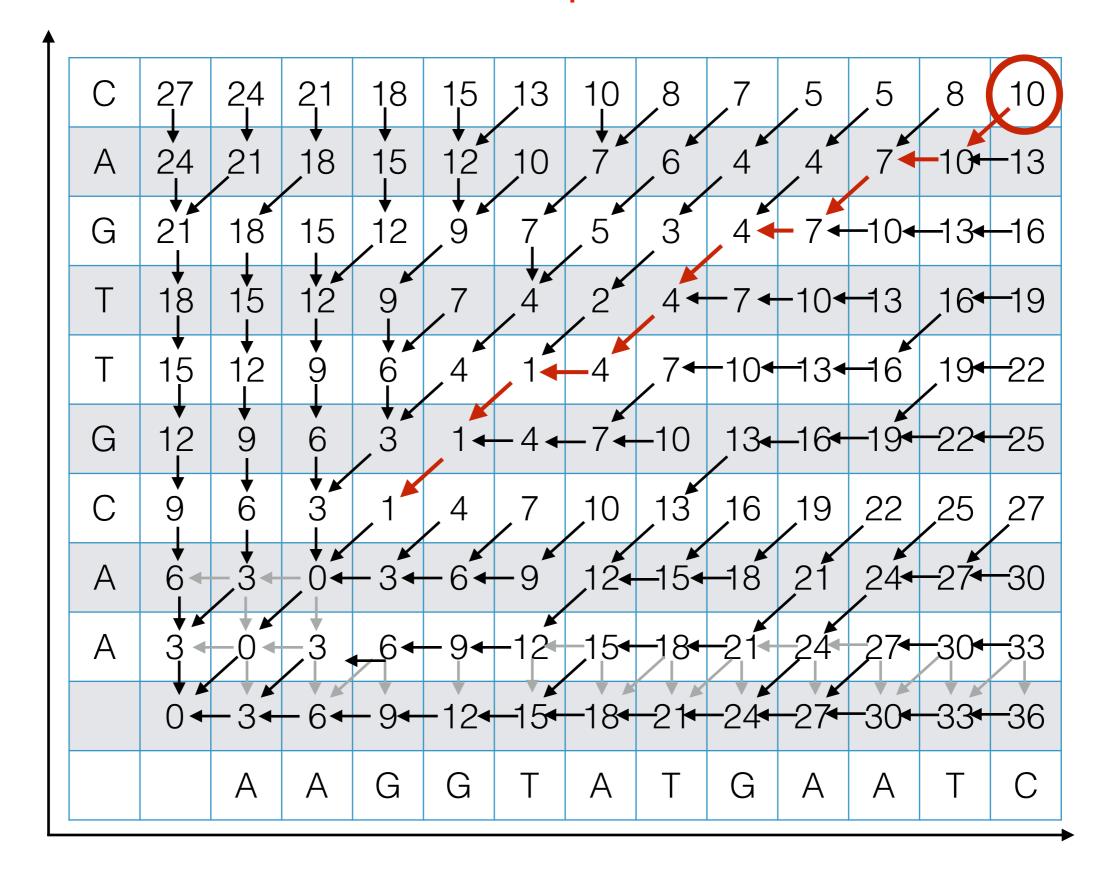


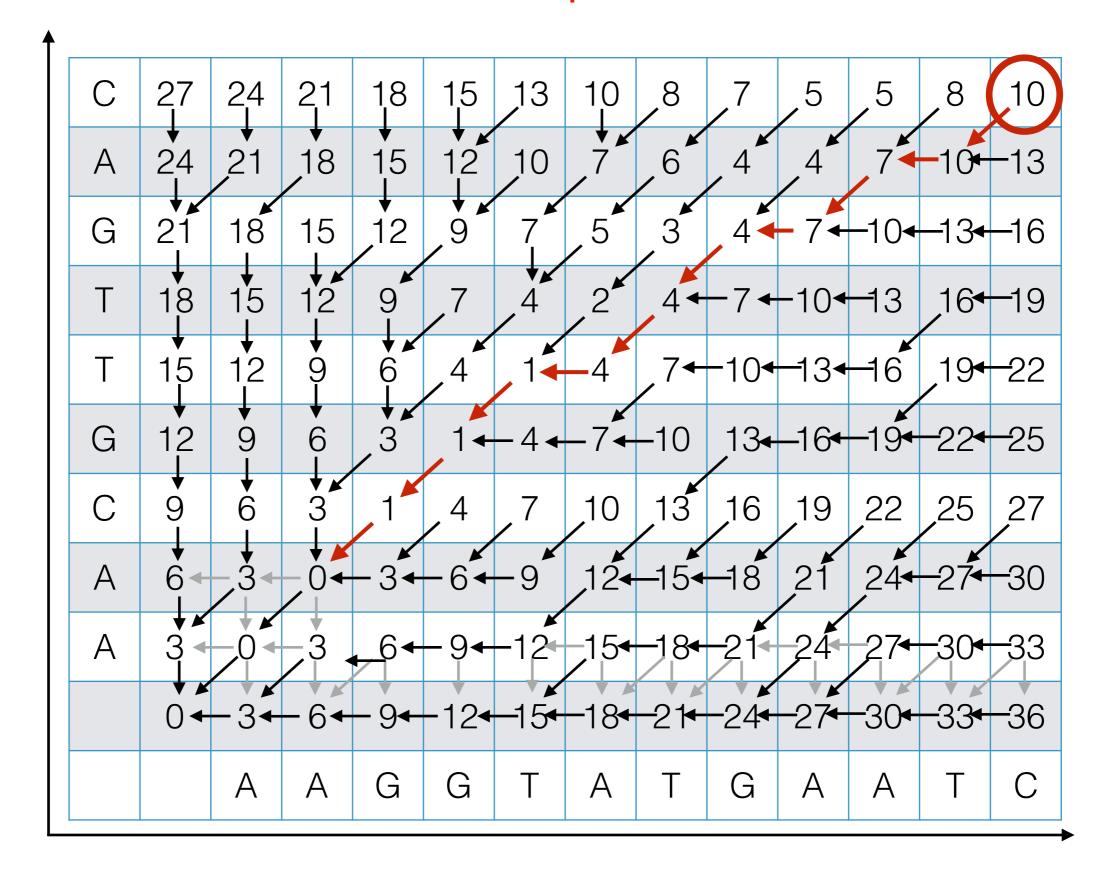


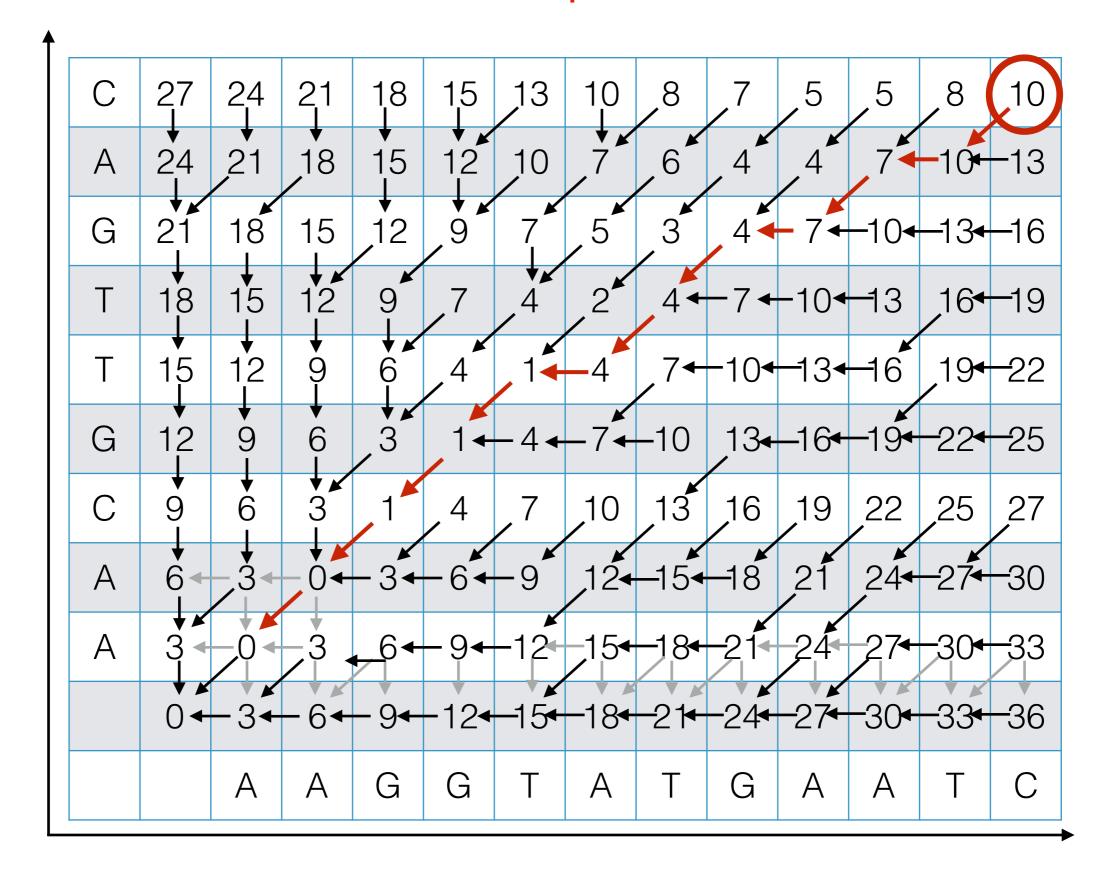


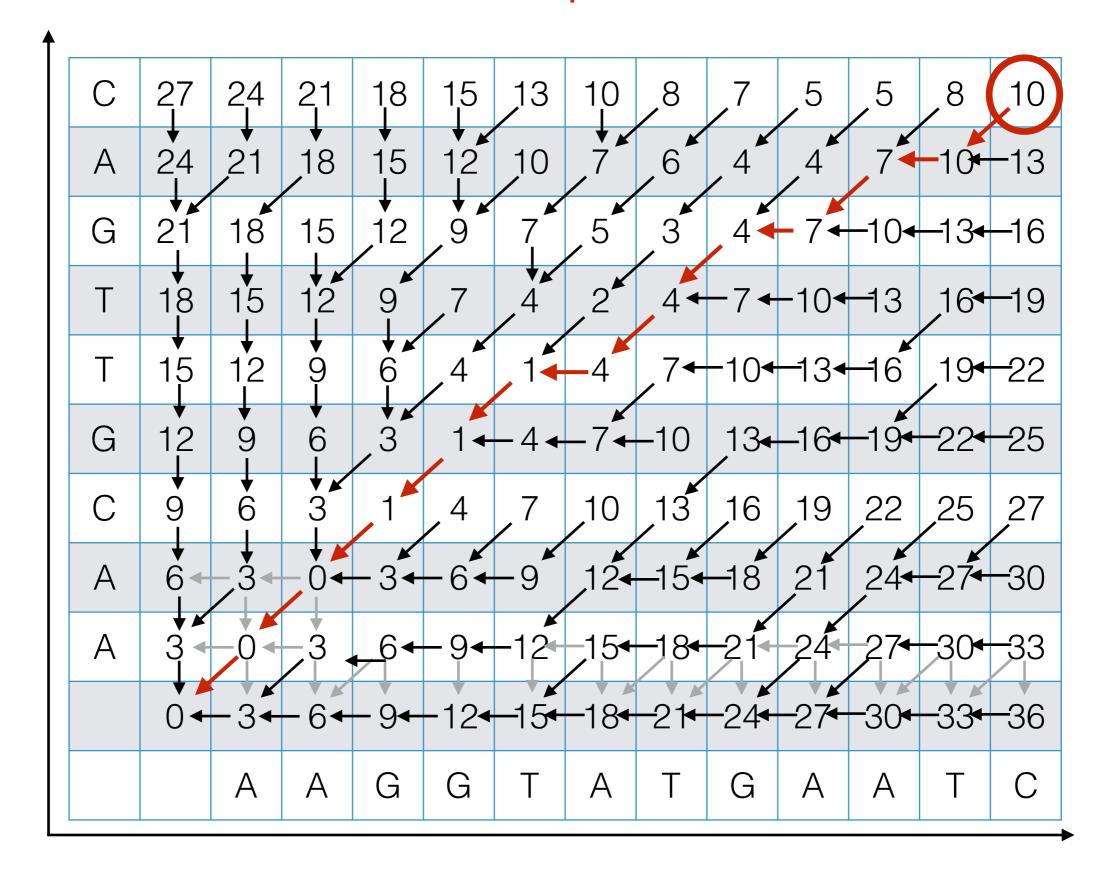












### Outputting the Alignment

Build the alignment from right to left.

ACGT

A-GA

Follow the backtrack pointers starting from entry (n,m).

- If you follow a diagonal pointer, add both characters to the alignment,
- If you follow a left pointer, add a gap to the y-axis string and add the x-axis character
- If you follow a down pointer, add the y-axis character and add a gap to the x-axis string.

### Recap: Dynamic Programming

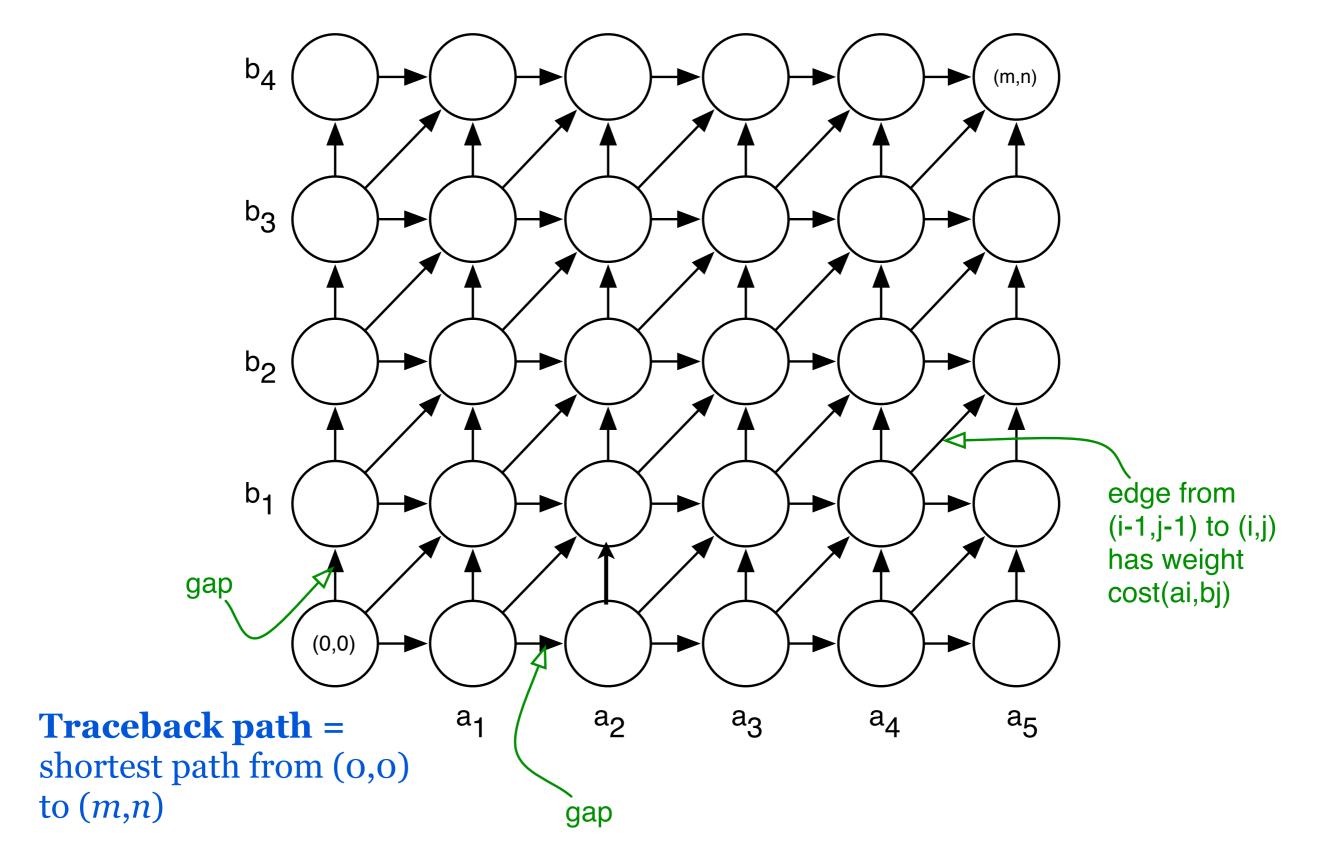
The previous sequence alignment / edit distance algorithm is an example of dynamic programming.

Main idea of dynamic programming: solve the subproblems in an order so that when you need an answer, it's ready.

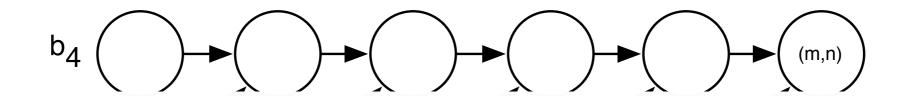
#### Requirements for DP to apply:

- 1. Optimal value of the original problem can be computed from some similar subproblems.
- 2. There are only a polynomial # of subproblems
- 3. There is a "natural" ordering of subproblems, so that you can solve a subproblem by only looking at **smaller** subproblems.

### Another View: Recasting as a Graph



### Another View: Recasting as a Graph



How would you find a shortest path in this graph *efficiently?* 

