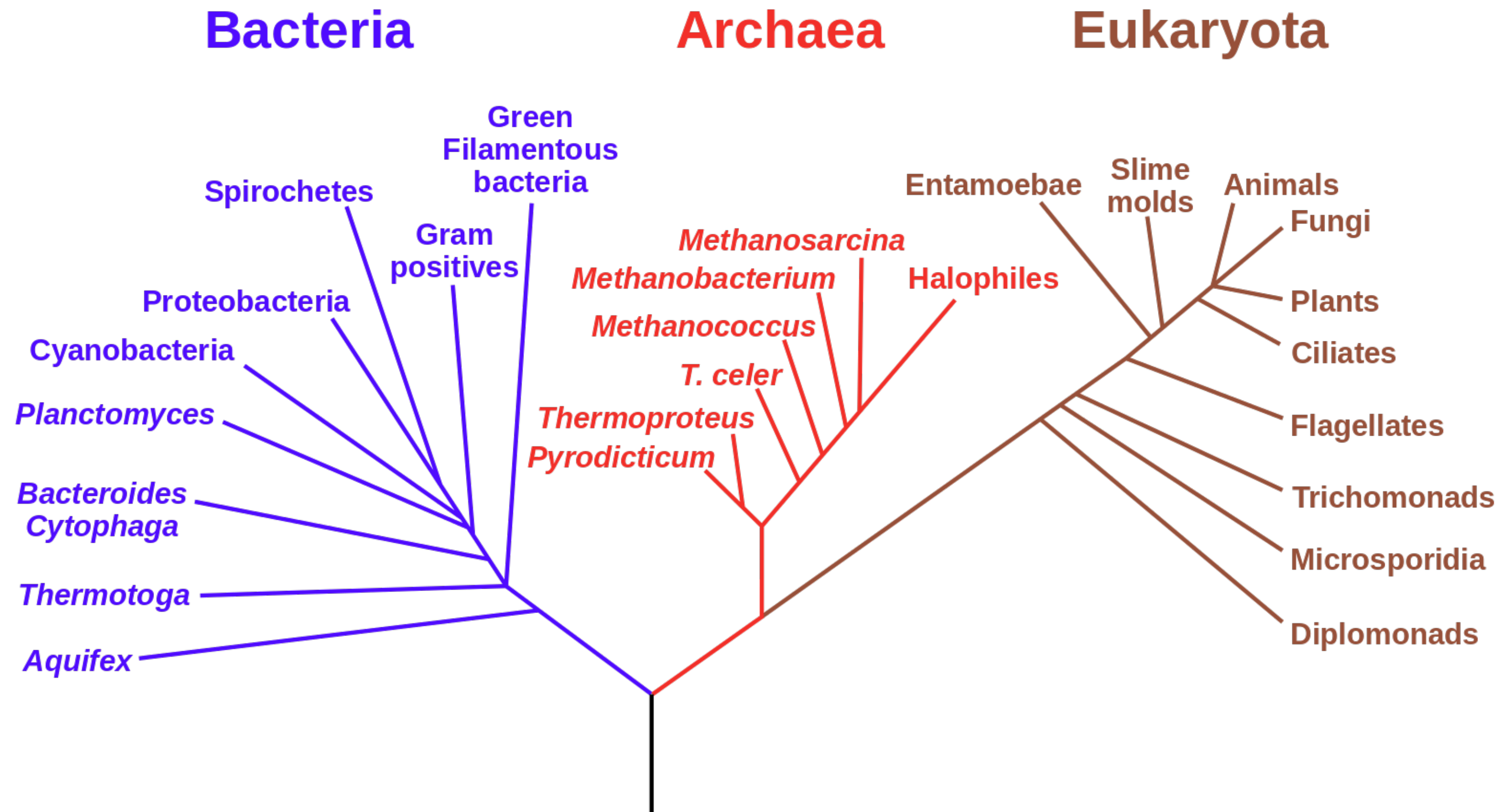


Sequence similarity and global alignment

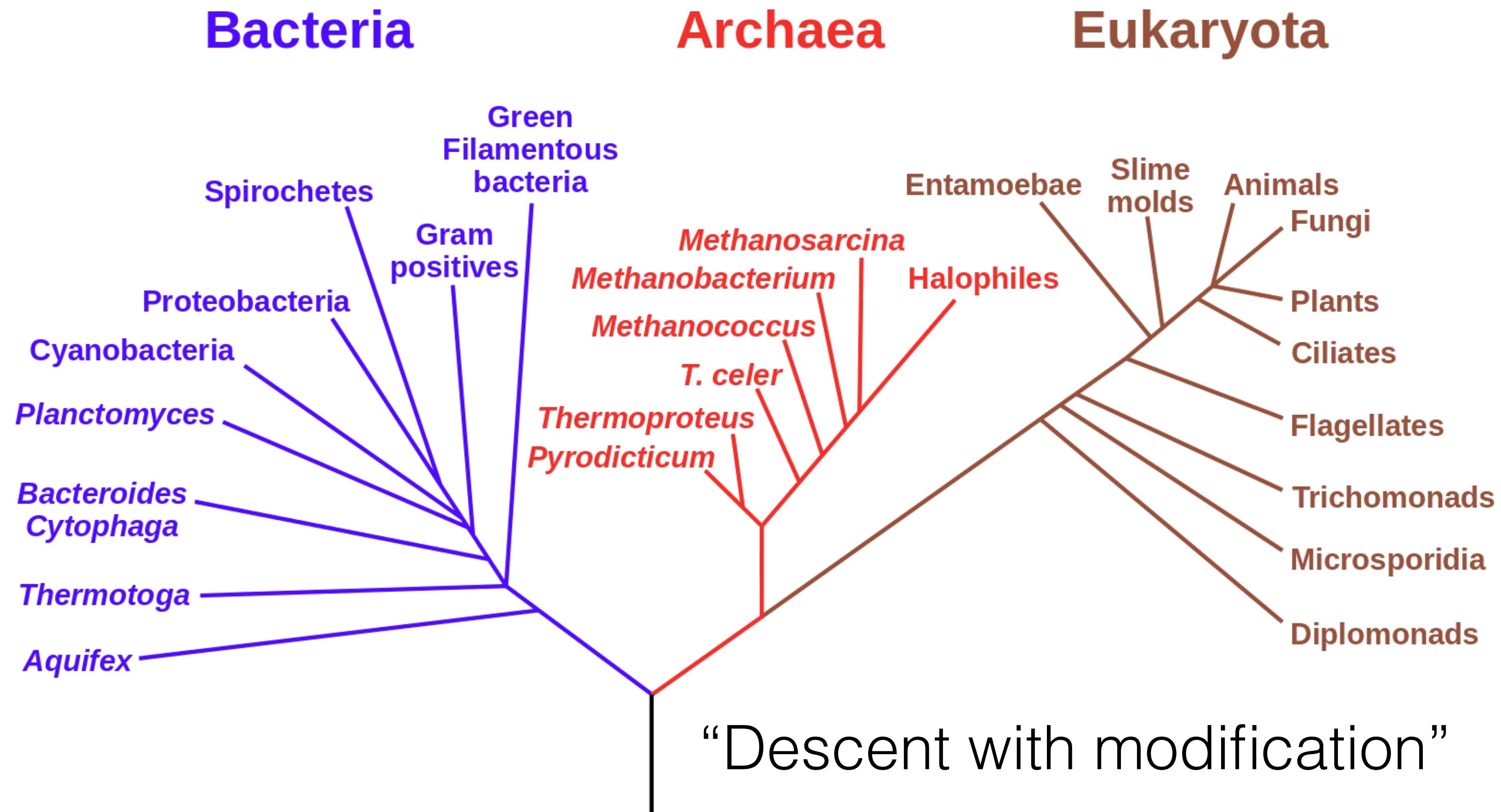
Relatedness of Biological Sequence

Phylogenetic Tree of Life



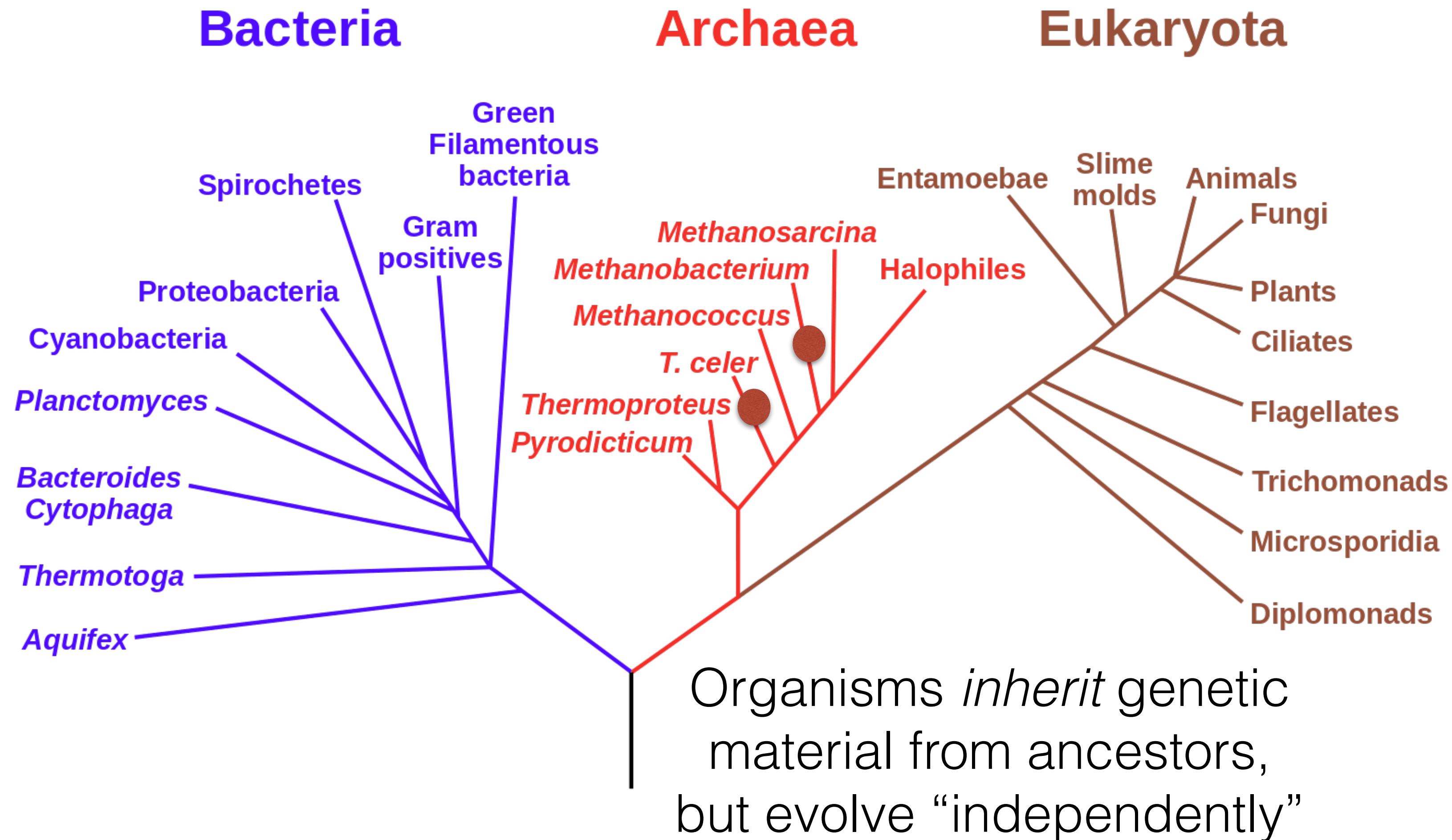
Relatedness of Biological Sequence

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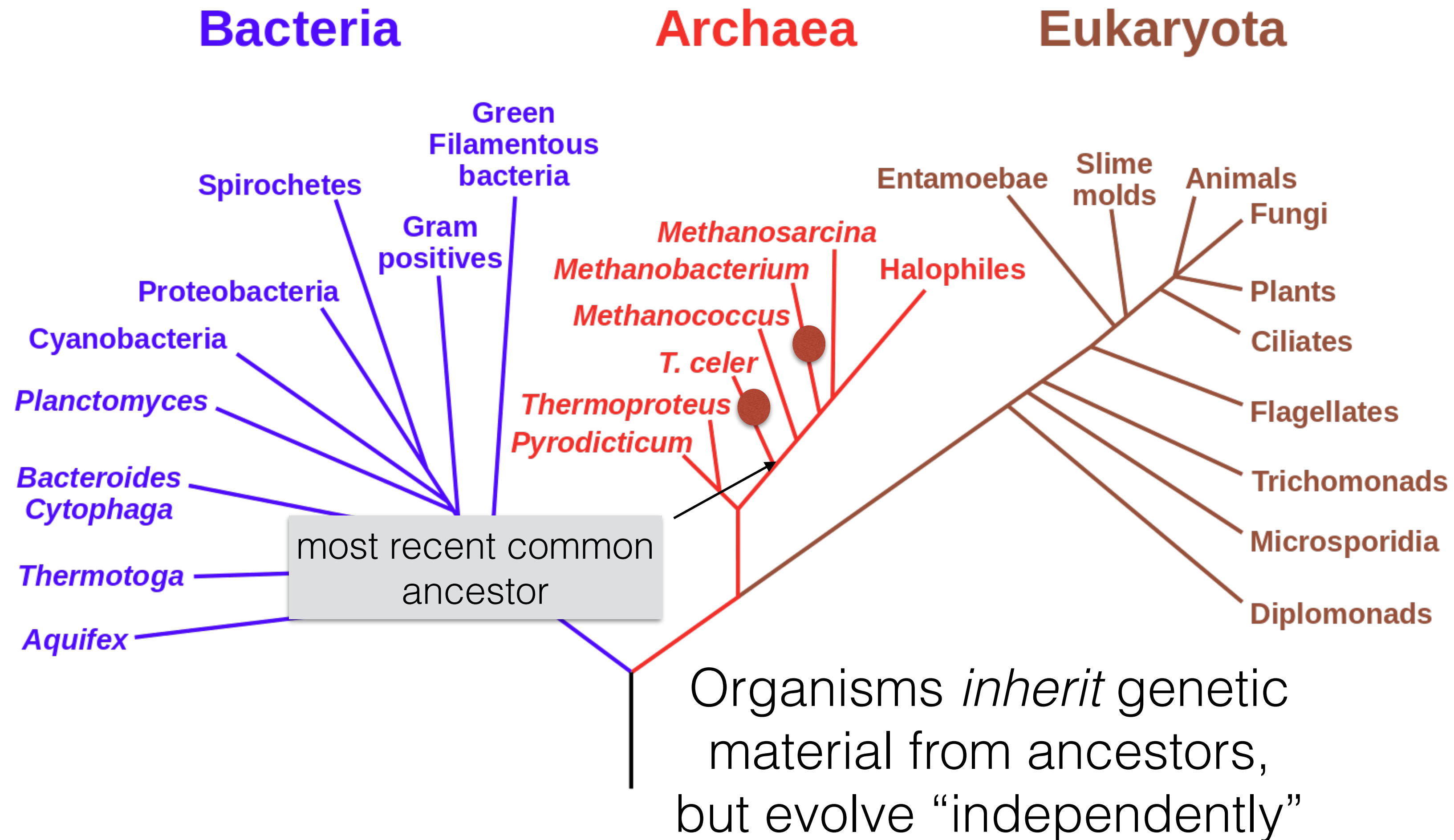
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Phylogenetic Tree of Life

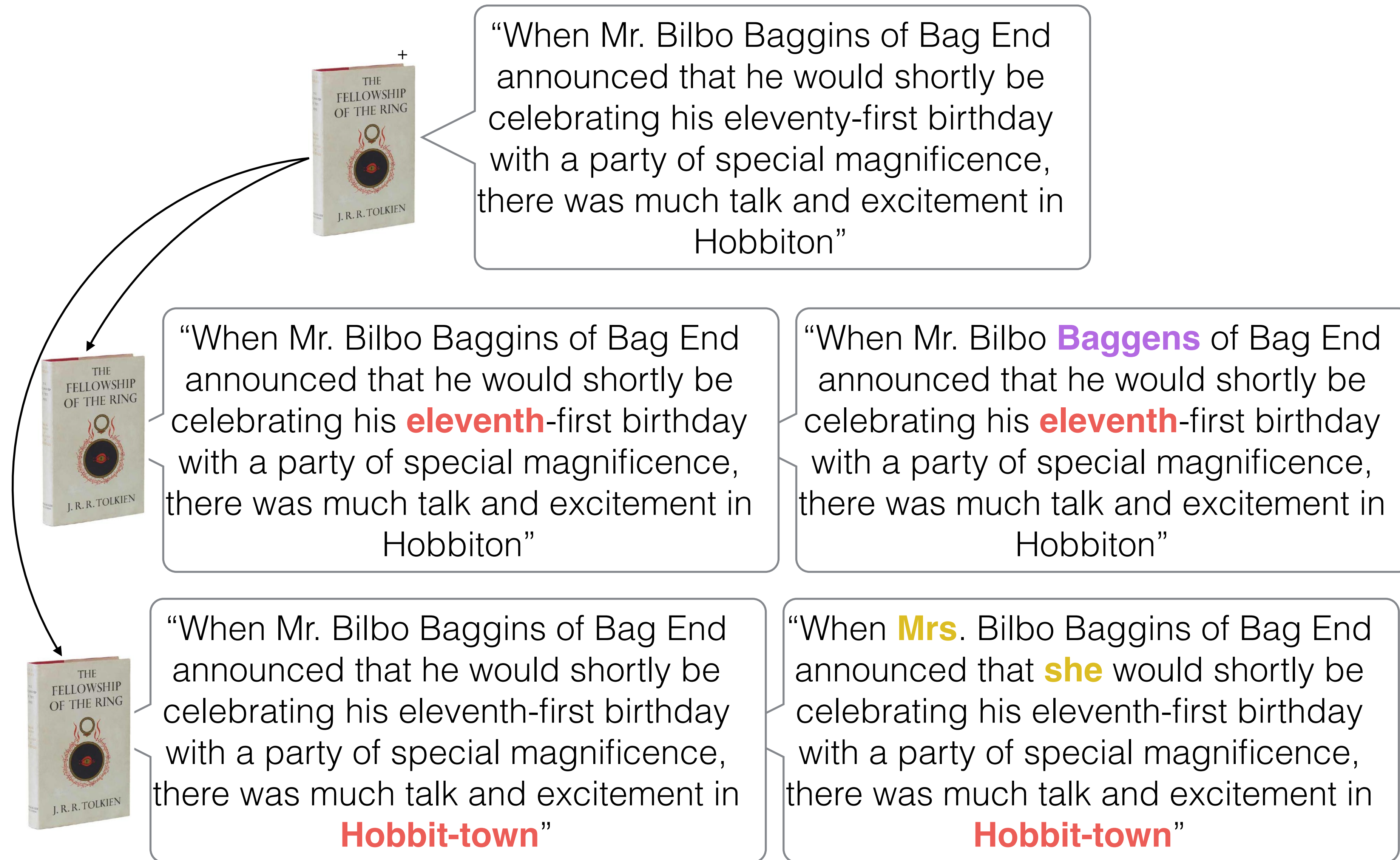


Relatedness of Biological Sequence

Phylogenetic Tree of Life



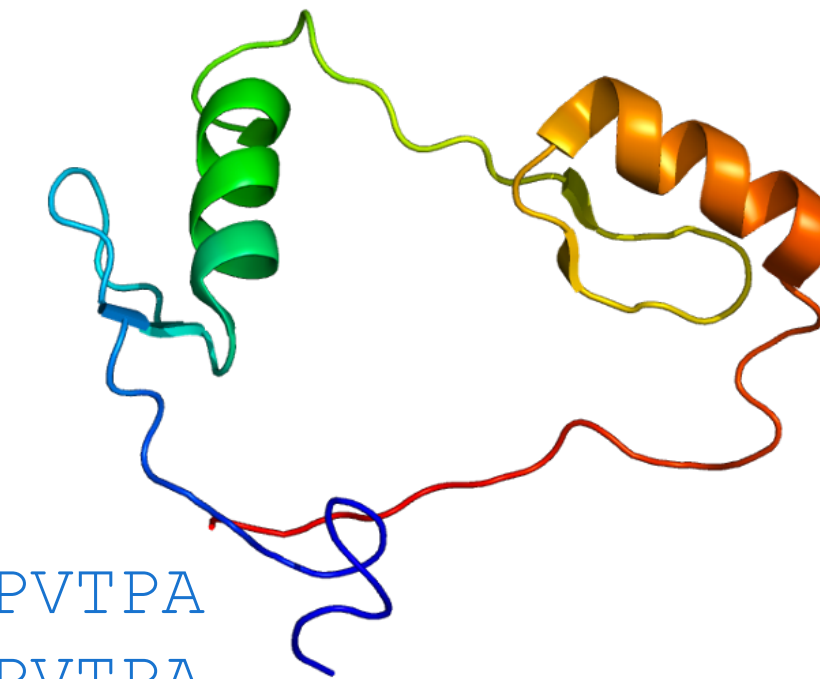
Consider an analogy



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:

<i>H. sapiens</i>	-EDSSDS-ENAEPDLDDNEDEEEPAVEIEPEPE-----PQPVTTPA
<i>P. troglodytes</i>	-EDSSDS-ENAEPDLDDNEDEEEPAVEIEPEPE-----PQPVTTPA
<i>C. lupus</i>	-EDSSDS-ENAEPDLDDNEDEEEPAVEIEPEPE-----PQPVTTPA
<i>B. taurus</i>	-EDSSDS-ENAEPDLDDNEDEEEPAVEIEPEPE-----PQPVTTPA
<i>M. musculus</i>	-EDSSDSEENAEPDLDDNEEEEPAVEIEPEPE--PQPQPPPPPQPVAPA
<i>R. norvegicus</i>	-EDSSDS-ENAEPDLDDNEEEEPAVEIEPEPEPQPQPQPQPQPQPVAPA
<i>G. gallus</i>	-EDSSDSEENAEPDLDDNEDEEETAVEIEAEPE-----VSAEAPA
<i>D. rerio</i>	DDDDDSDEHGEPDLDDIDEEDEDDL-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



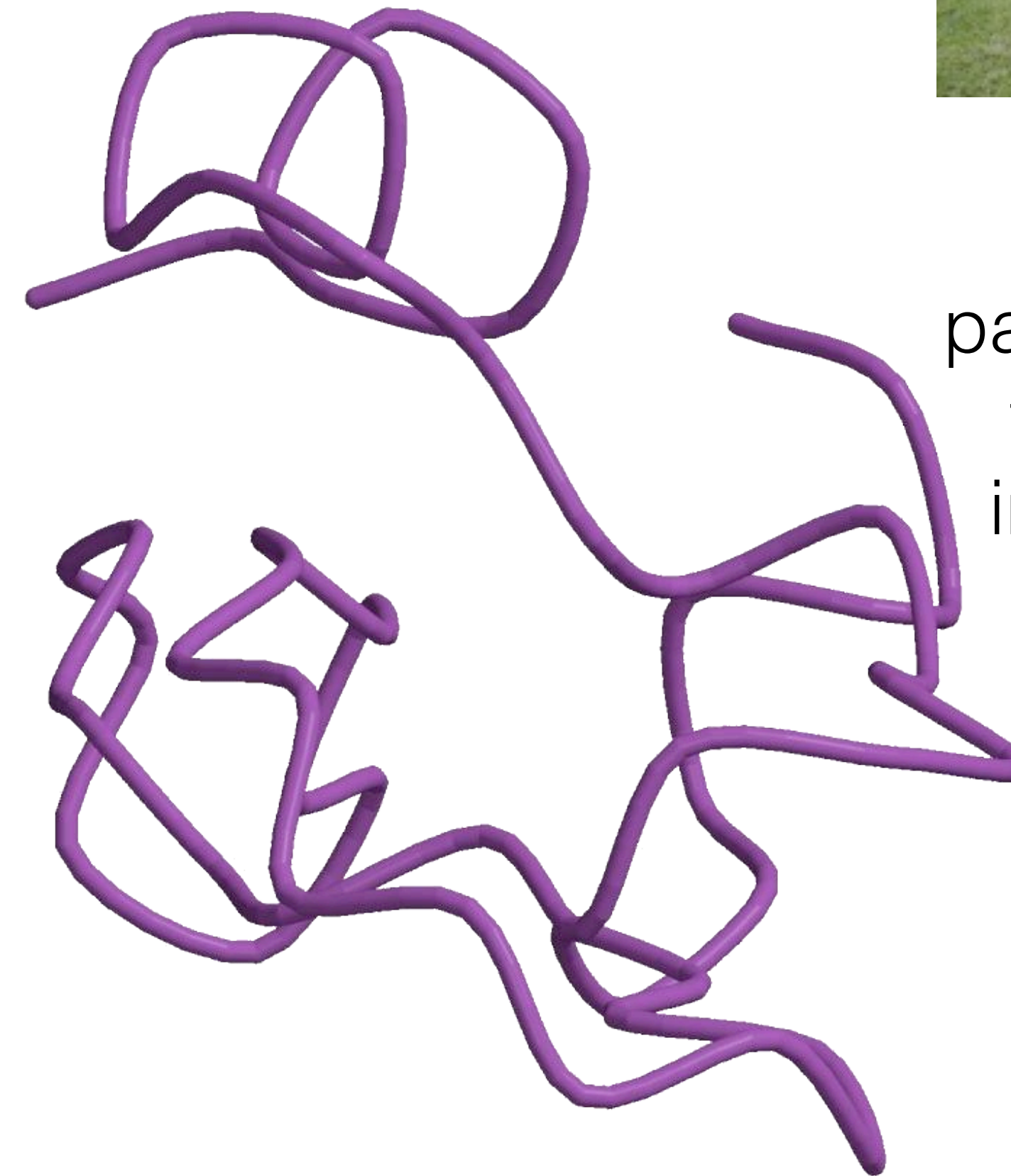
dendrotoxin K



(a) 1dtk



Bovine
pancreatic
trypsin
inhibitor



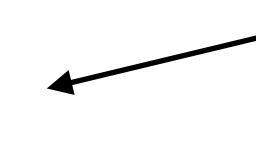
(b) 5pti

1dtk	XAKYCKLPLRIGPCKRKIPSFYKWKAKQCLPFDYSGCGGNANRFKTIEECRRTC VG-
5pti	RPDFCLEPPYTGPCKARIIRYFYNAKAGLCQTFVYGGCRAKRNNFKSAEDCMRTC GGA

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):

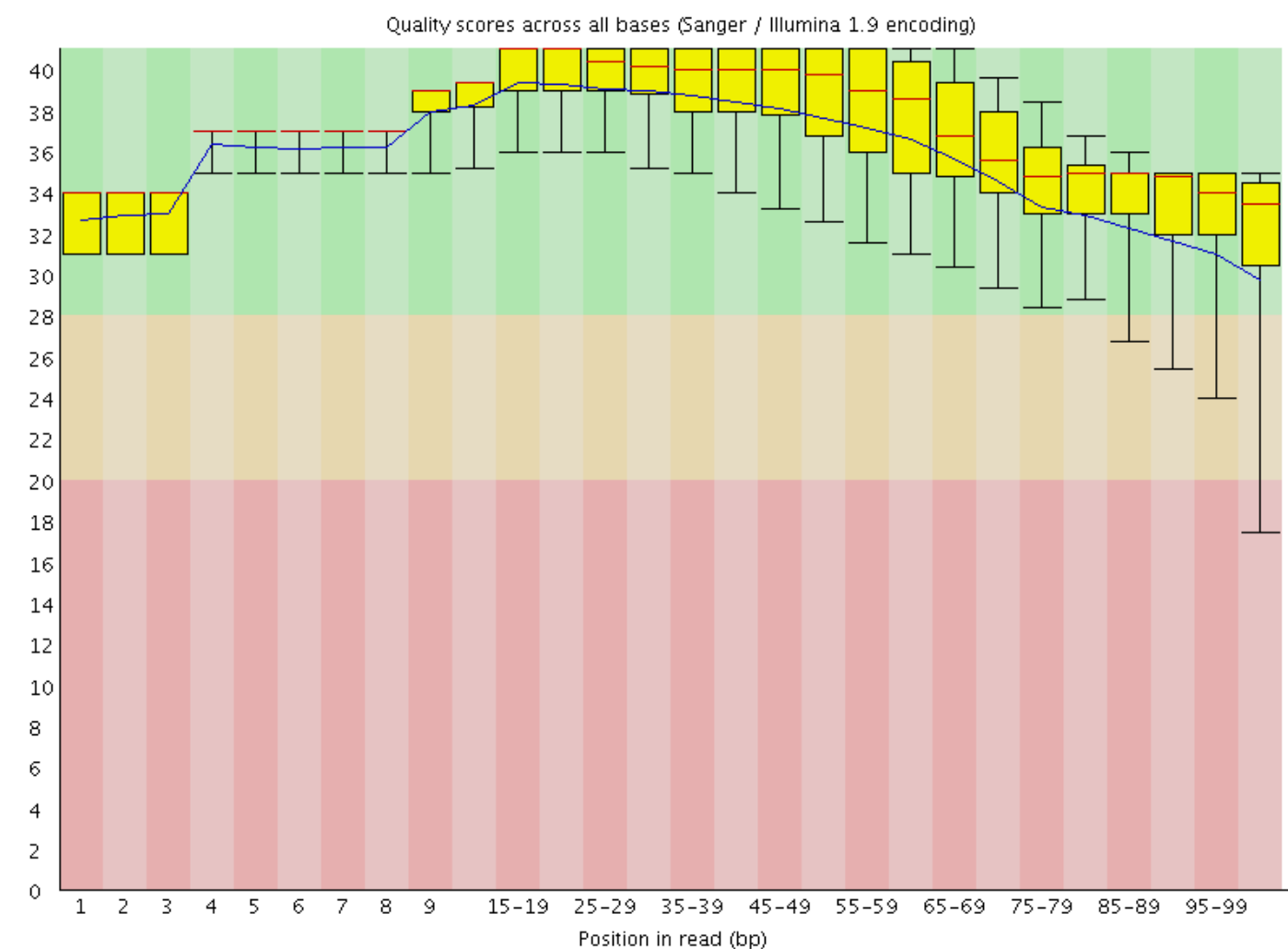
- Find all places where a substring of the query matches the reference exactly (seeds)  Requires efficient exact search
- Filter out regions with insufficient exact matches to warrant further investigation
- Perform a “constrained” alignment that includes these exact matching “seeds”  Here is where we use our alignment DPs

Why Is This Possible?

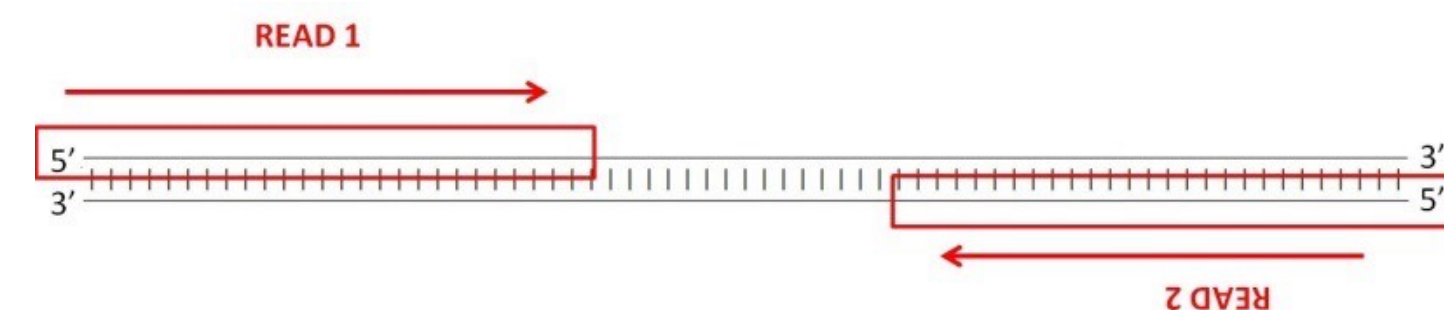
This is (*usually*) a **heuristic** (doesn't guarantee you find all alignment locations within the budget for a read).

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

Per base sequence quality



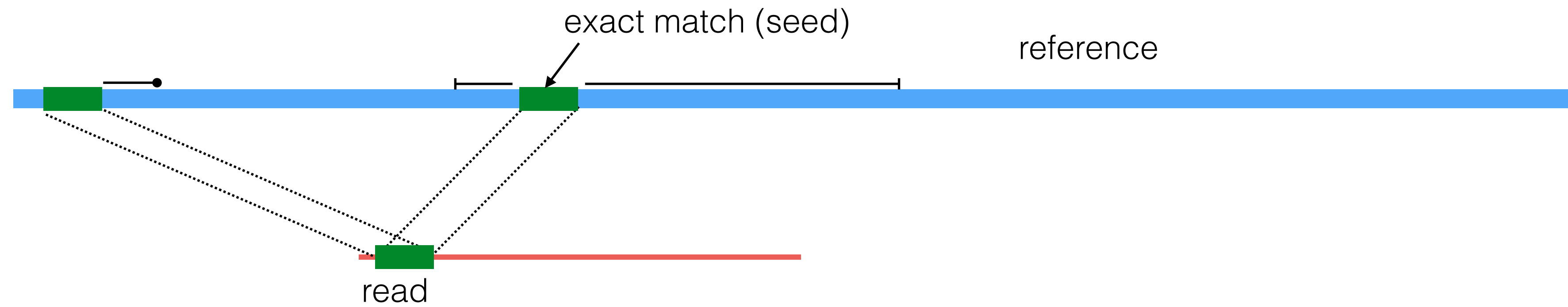
	error type	error rate	read length
Illumina	subst.	~0.1%	50-300
Nanopore	indel	10-30%	5-10kb
Pac Bio	indel	10-15%	10-15kb



2nd generation reads are often “paired-end”

Typical Strategy

Seed & Extend:



The Language of Strings

A **string** $\mathbf{s}$ is a finite sequence of characters

$|\mathbf{s}|$ denotes the **length** of the string — the number of characters in the sequence.

A string is defined over an **alphabet**, Σ

$$\Sigma_{\text{DNA}} = \{A, T, C, G\}$$

$$\Sigma_{\text{RNA}} = \{A, U, C, G\}$$

$$\Sigma_{\text{AminoAcid}} = \{A, R, N, D, C, E, Q, G, H, I, L, K, M, F, P, S, T, W, Y, V\}$$

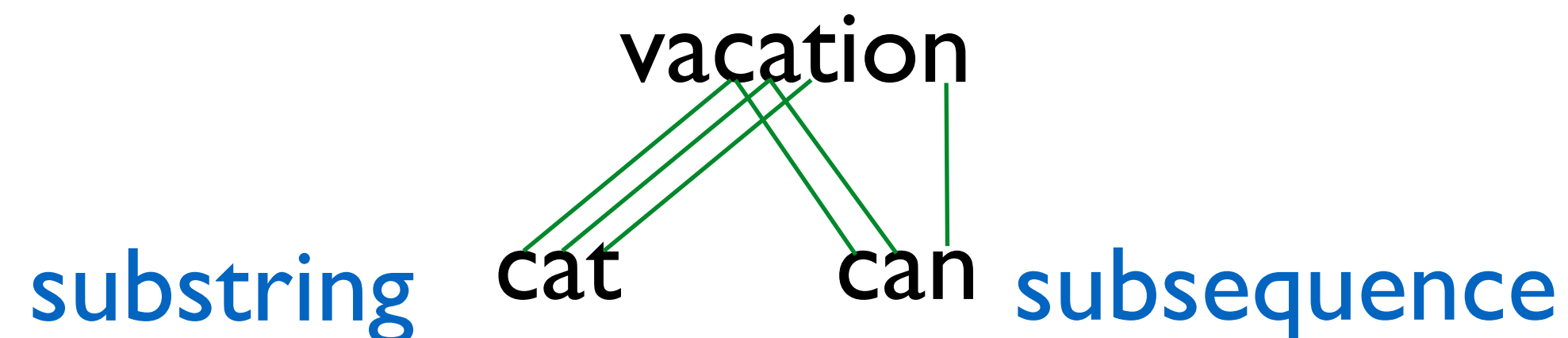
The **empty string** is denoted ϵ — $|\epsilon| = 0$

The Language of Strings

Given two strings **s**, **t** over the same alphabet Σ , we denote the **concatenation** as **st** — this is the sequence of **s** followed by the sequence of **t**

String **s** is a **substring** of **t** if there exist two (potentially empty) strings **u** and **v** such that **t** = **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 ϵ , then **s** is a **prefix/suffix** of **t**

The Simplest String Comparison Problem

Given: Two strings

$$a = a_1a_2a_3a_4\dots a_m$$
$$b = b_1b_2b_3b_4\dots b_n$$

where a_i, b_i are letters from some alphabet, Σ , 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 $\xrightarrow{\text{delete}}$ ridle $\xrightarrow{\text{mutate}}$ riple $\xrightarrow{\text{insert}}$ 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 $cost(x,y) = \text{mismatch penalty}$.

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 + $gap \times \text{number of - characters inserted}$.

e.g. $gap = 3$
 $cost('D', 'P') = 1$

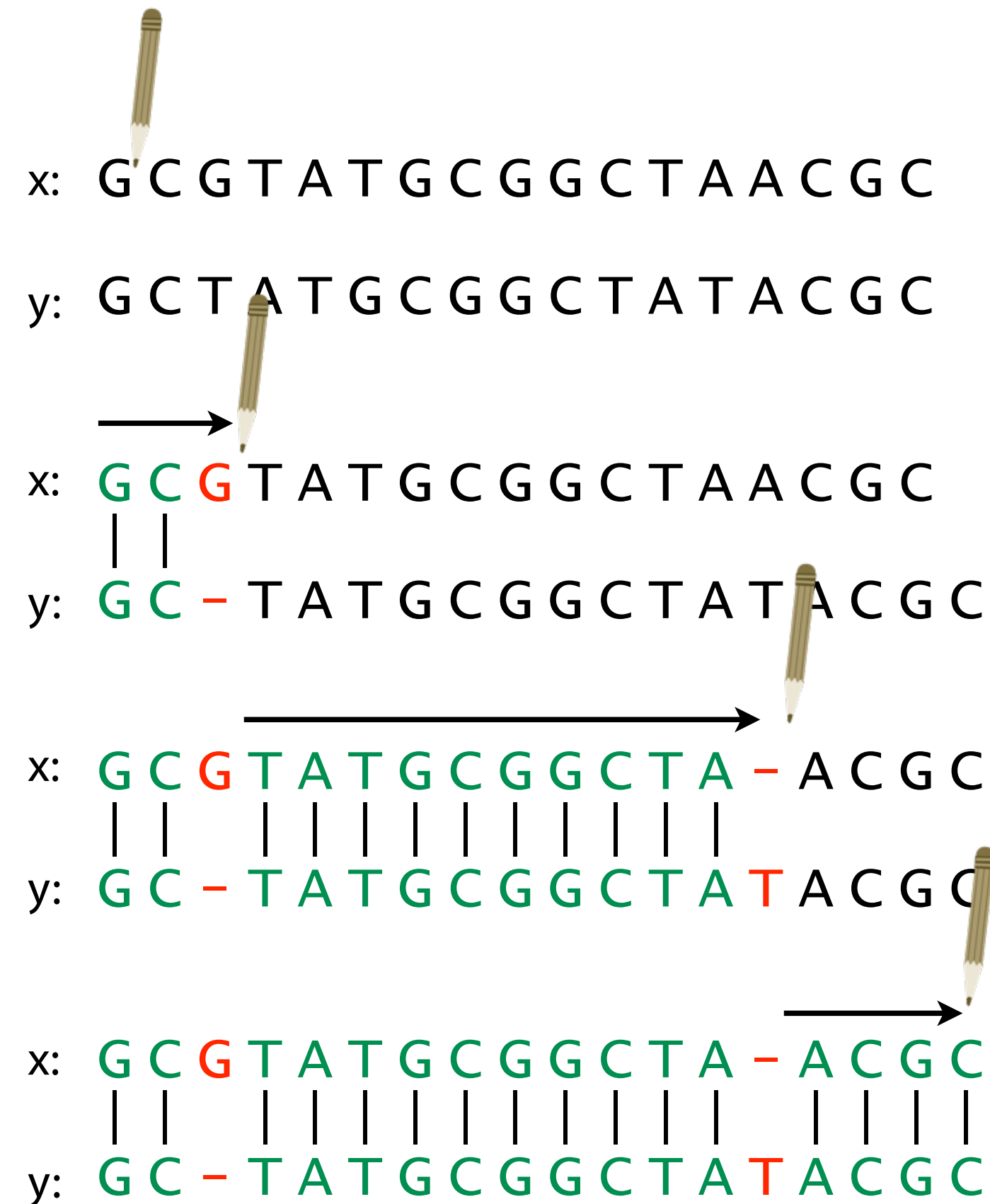
- RIDDLE
TRIP - LE

Total cost = $3+0+0+1+3+0+0 = 7$

*

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:

M = match, **R** = replace,

I = insert into x , **D** = delete from x

MMD

MMDMMMMMMMMMI

MMDMMMMMMMMMI MMM

Representing edits as alignments

prin-ciple
|||| |||xx
prinncipal
(1 gap, 2 mm)
MMMMIMMRR

prin-cip-le
|||| ||| |
prinncipal-
(3 gaps, 0 mm)
MMMMIMMIMD

misspell
||| |||
mis-pell
(1 gap)
MMMIMMMM

prehistoric
||| |||
---historic
(3 gaps)
DDDMMMMMMM

aa-bb-ccaabb
|x || | |
ababbbc-a-b-
(5 gaps, 1 mm)
MRIMMIMDMDMD

al-go-rithm-
|| xx ||x |
alKhwariz-mi
(4 gaps, 3 mm)
MMIRRIMMRDMI

NCBI BLAST DNA Alignment

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

```
Query 1650 gtgtgtgtgggtgcacatttgtgtgtgtgtg'gcgcctgtgtgtgtgggtgcctgtgtgtgt 1709
          ||||| ||| | ||||| ||| ||| |||||
Sbjct 56838 GTGTGTGTGGAAGTGAGTTCATCTGTGTGTGCACATGTGTGTGCA--TGCATGCATGTGT 56895

Query 1710 gtg-gggcacatttgtgtgtgtgtgtgtgcctgtgtgtgggtgcacatttgtgtgtgtgc 1768
          || |||| | || ||| ||||| ||||| ||| ||| ||||| |||
Sbjct 56896 GTCCGGGCA-----TGCATGTCTGTGTGCATGTGTGTGTGTGTGCAT--GTGTGAGTAC 56947

Query 1769 ctgtgtgtgtgtgcctgtgtgtgggggtgcacatttgtgtgtgtgtgtgcctgtgtgtgg 1828
          ||||| ||| ||| |||| | ||| ||| |||| | |||| |
Sbjct 56948 CTGTGTGTGTATGCTTGTATGTGTGTGTGTGCATGTGTGTAGGTGTGTATATGTGTAAGT 57007

Query 1829 ggggtgcacatttgtgtgtgtgtgtgcctgtgtgtgtgggtgcacatttgtgtgtgtgtgt 1888
          ||| ||||| ||||| |||| | ||| |||| | ||||| |||
Sbjct 57008 T-----CATCTGTGTGTATGTGTG--TGTGAGAGTGCATGCA----TGTGTGTGTGAGT 57055

Query 1889 gcctgtgtgt--gtgggtgcacatttgtgtgtgtgtgcctgtg--tgtgt--gggtgcac 1942
          | | |||| ||| ||| || | | | |||| |||| | ||| |
Sbjct 57056 TCATCTGTGTCAGTGTATGCTTATGGGTATAACT-TAACTGTGCATGTGTAAGTGTGTTC 57114

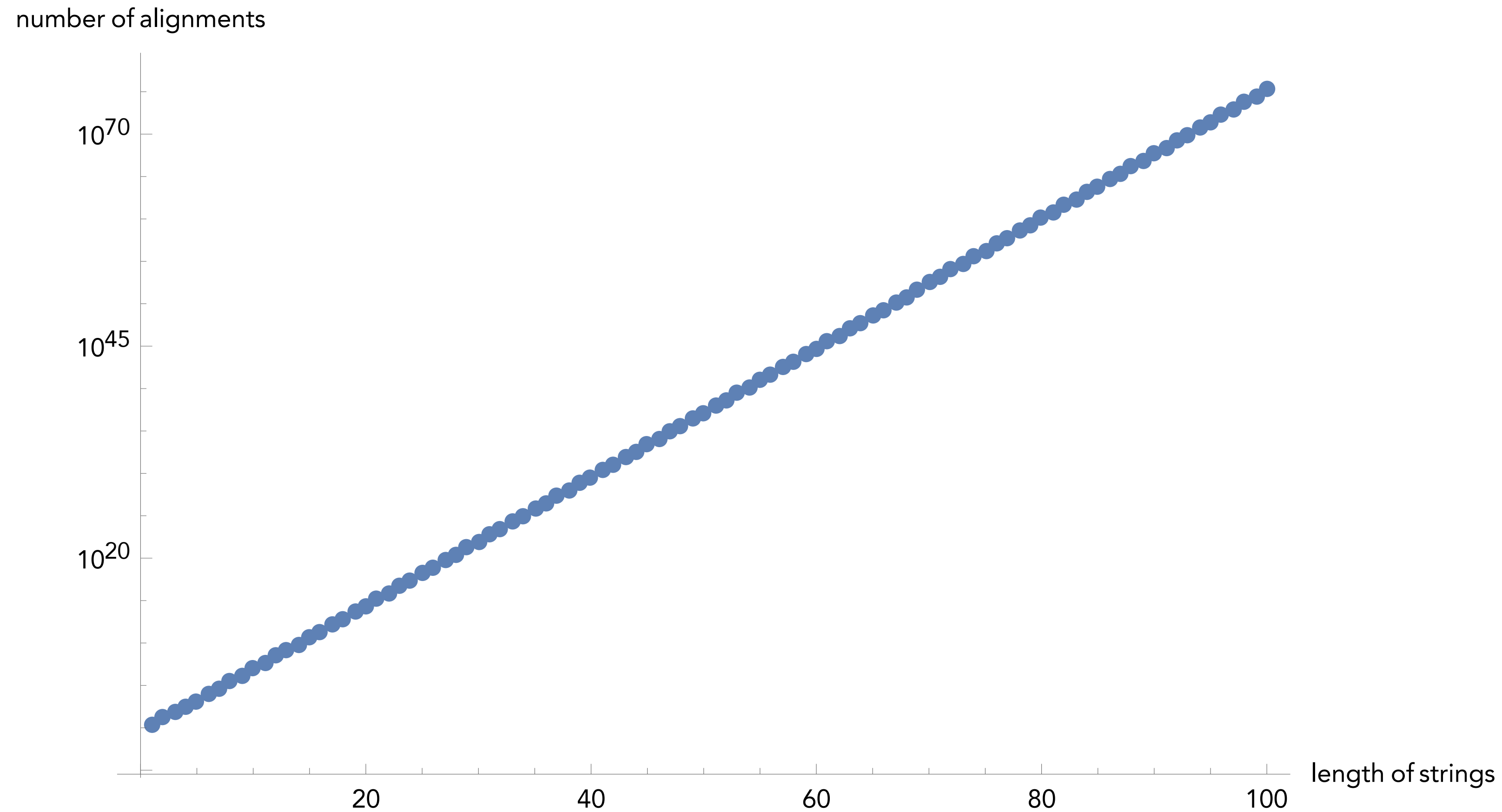
Query 1943 atttgtgtgtgtgtgtgcctgtgtgtgtgggtgcacatttgtgtgtgtgcctgtgtgtgg 2002
          || |||| ||||| ||||| || ||| | ||||| |||||
Sbjct 57115 ATCTGTGTATGTGTGTG--TGTGTGAGTTAGTTCA----TCTGTGTGTGAGAGTGTGTGA 57168

Query 2003 gtgcacatttgtgtgtgtgtgcctgtgtgtgtgtgcctgtgtgtgtgggtgcacatttgt 2062
          | | ||| ||||| || | | ||| || ||| |||| |||| ||| |||
Sbjct 57169 G--CTCATCTGTGTGTGAGTTCATCTGTATGAGTG--TGTGTATGTGTGTGTACAAATGA 57224

Query 2063 gtgtgtgtgtgcctgtgtgtgtgggtgcacatttgtgtgtgtgtgtgtgcctgtgtgtgt 2122
          || | |||| ||||| |||| | ||| |||| | || |||| ||||
Sbjct 57225 GTTCATCTGTGCATGTGTGTGTG-----TTTAAGTGTGTTCATCTG--TGTGCGTGT 57274
```

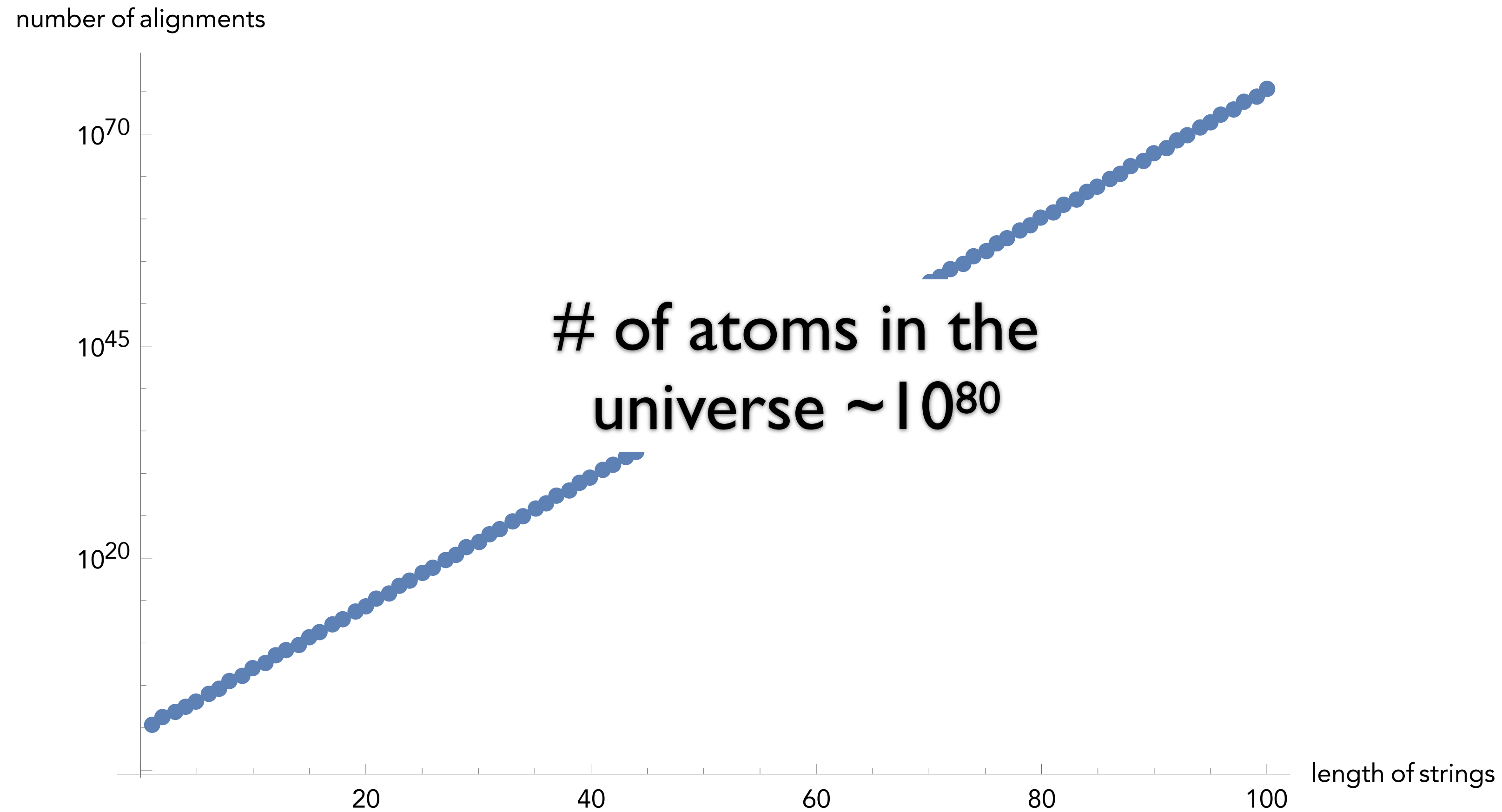
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How many alignments are there?



$$f(n, m) = \sum_{k=0}^{\min(m, n)} 2^k \binom{m}{k} \binom{n}{k}$$

How many alignments are there?



$$f(n, m) = \sum_{k=0}^{\min(m, n)} 2^k \binom{m}{k} \binom{n}{k}$$

Interlude: Dynamic Programming

General and powerful *algorithm design* technique

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

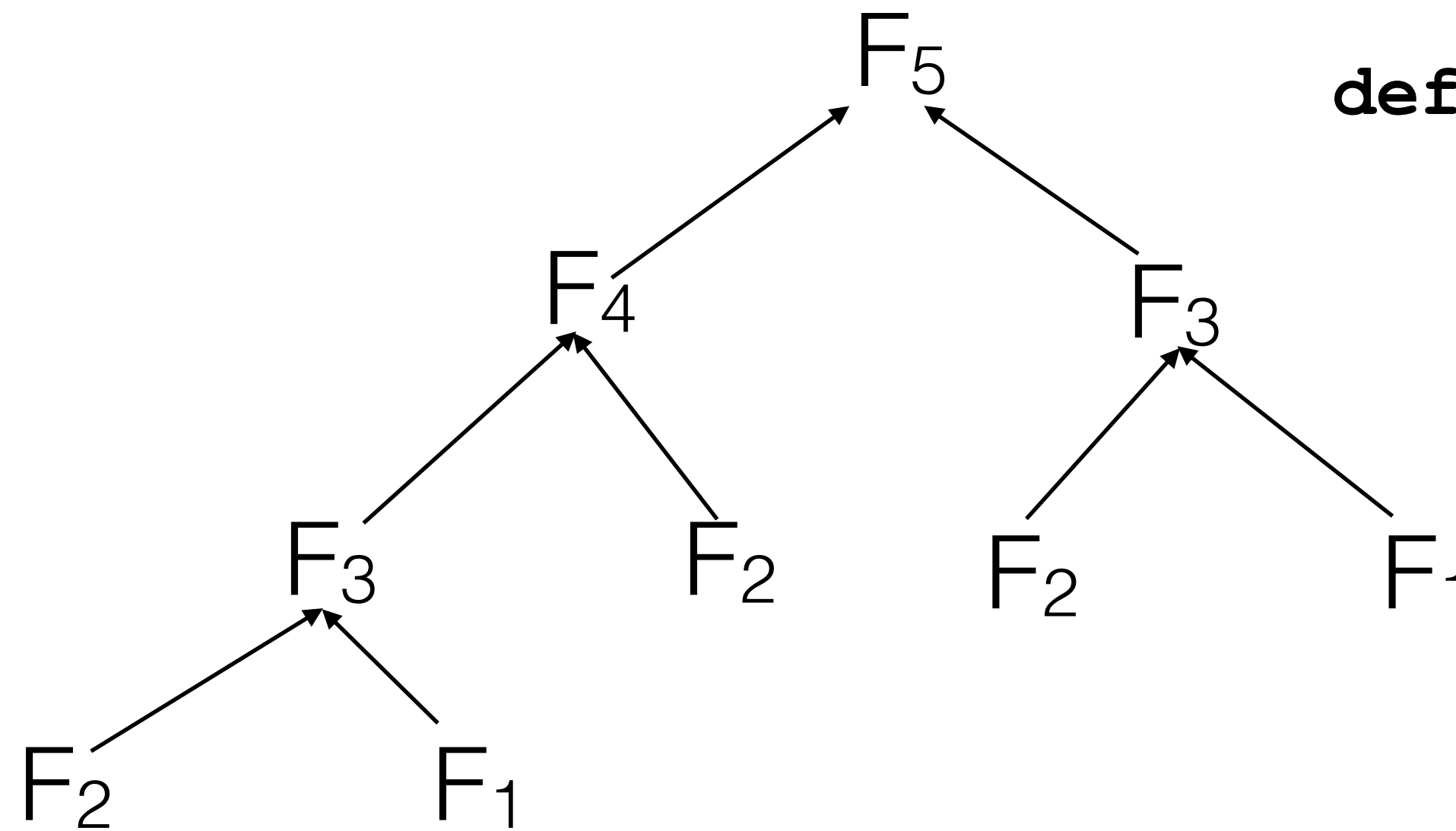
To apply DP, we need **optimal substructure** and
overlapping subproblems

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

Example 1: Fibonacci Sequence

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



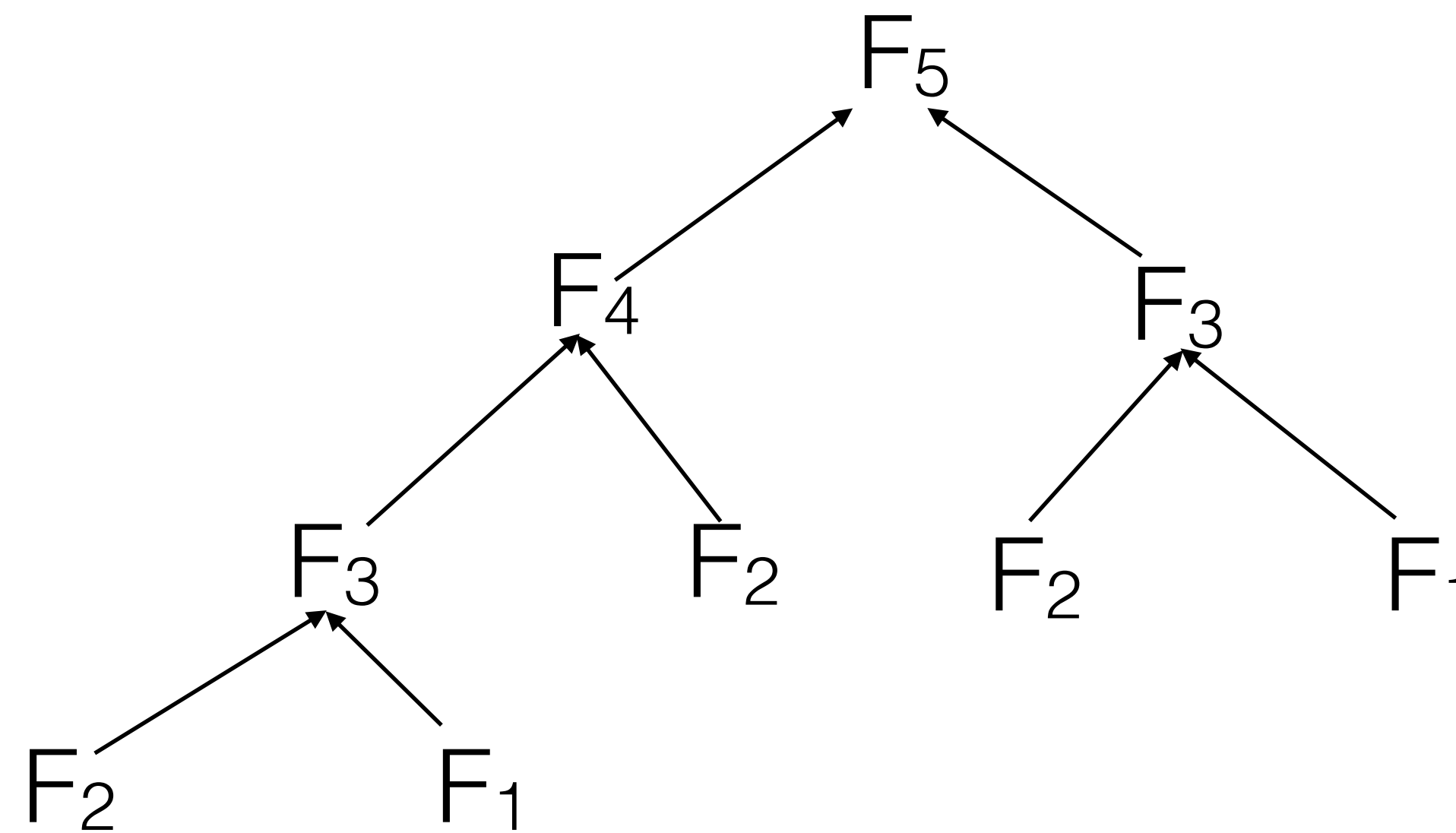
```
def fib(n):  
    if n == 1 or n == 2:  
        return 1  
    else:  
        return fib(n-1) + fib(n-2)
```

This recursive way of computing $\text{fib}(n)$ is **very** inefficient!

What is the runtime of this approach (i.e. $\text{fib}(n) = O(?)$)

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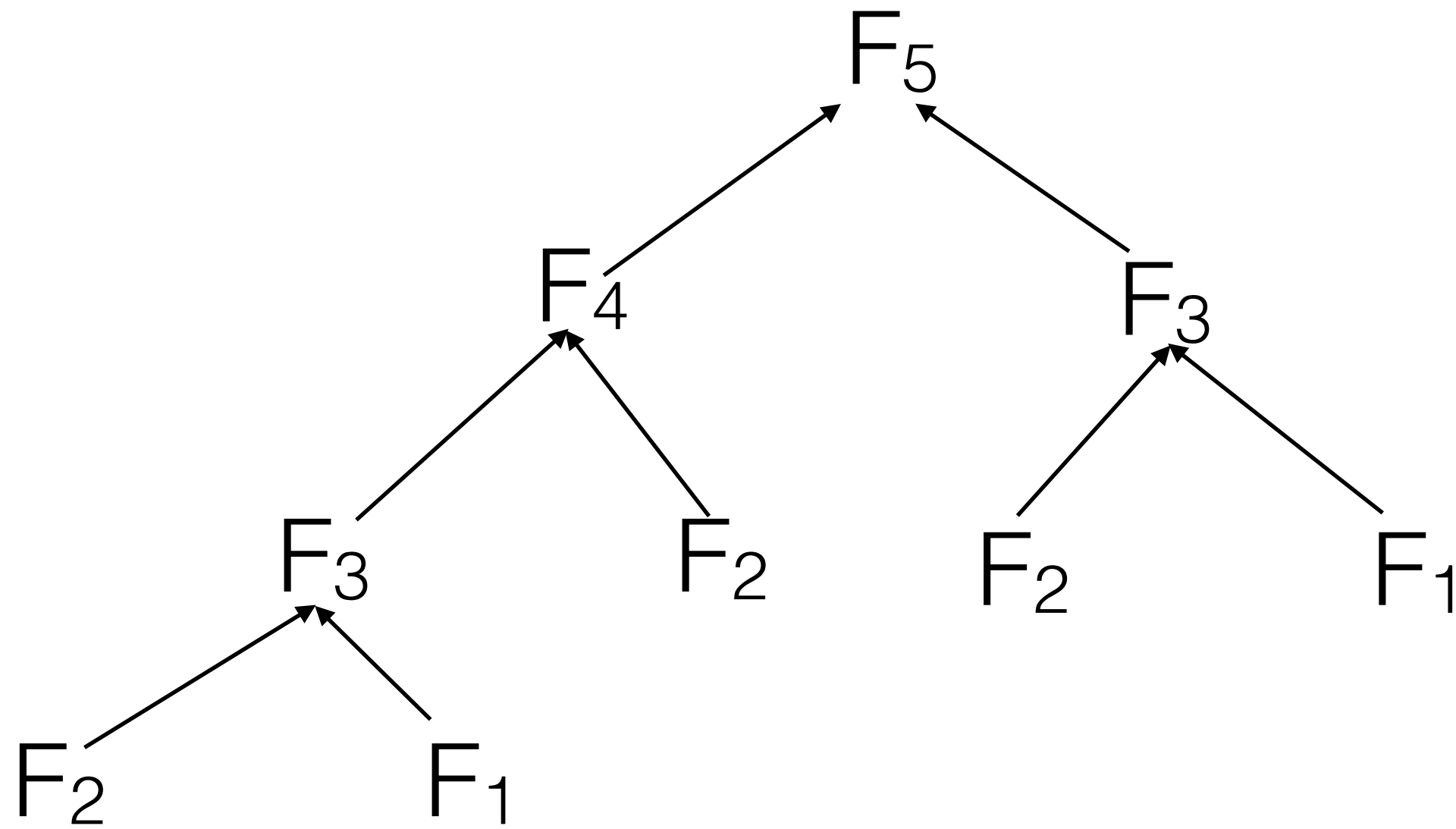
Runtime of this approach is $\text{fib}(n) = O(\phi^n) = O(2^n)$

golden ratio

Example 1: Fibonacci Sequence

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

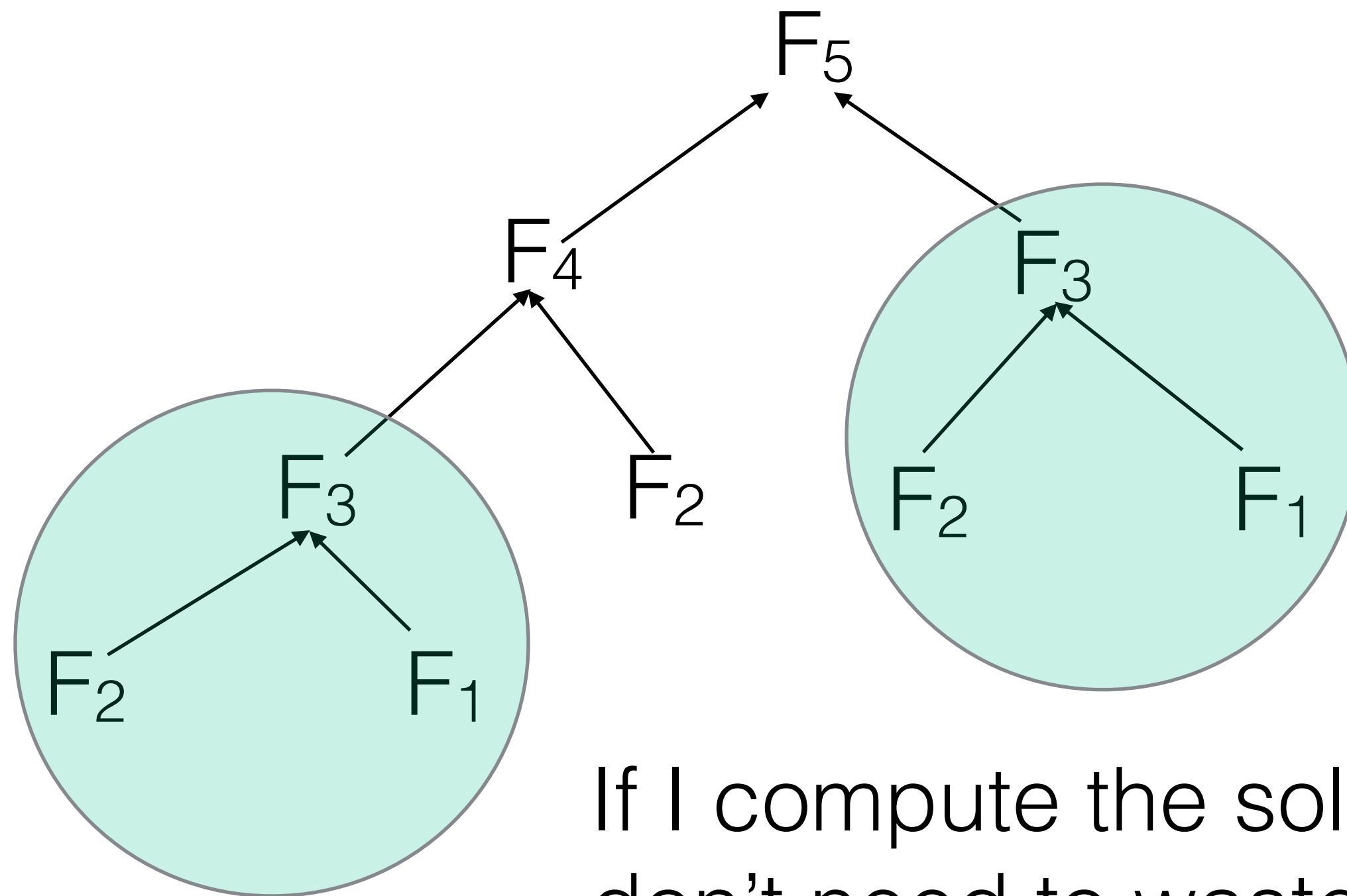
How do we do better than $O(\phi^n)$?



Example 1: Fibonacci Sequence

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

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

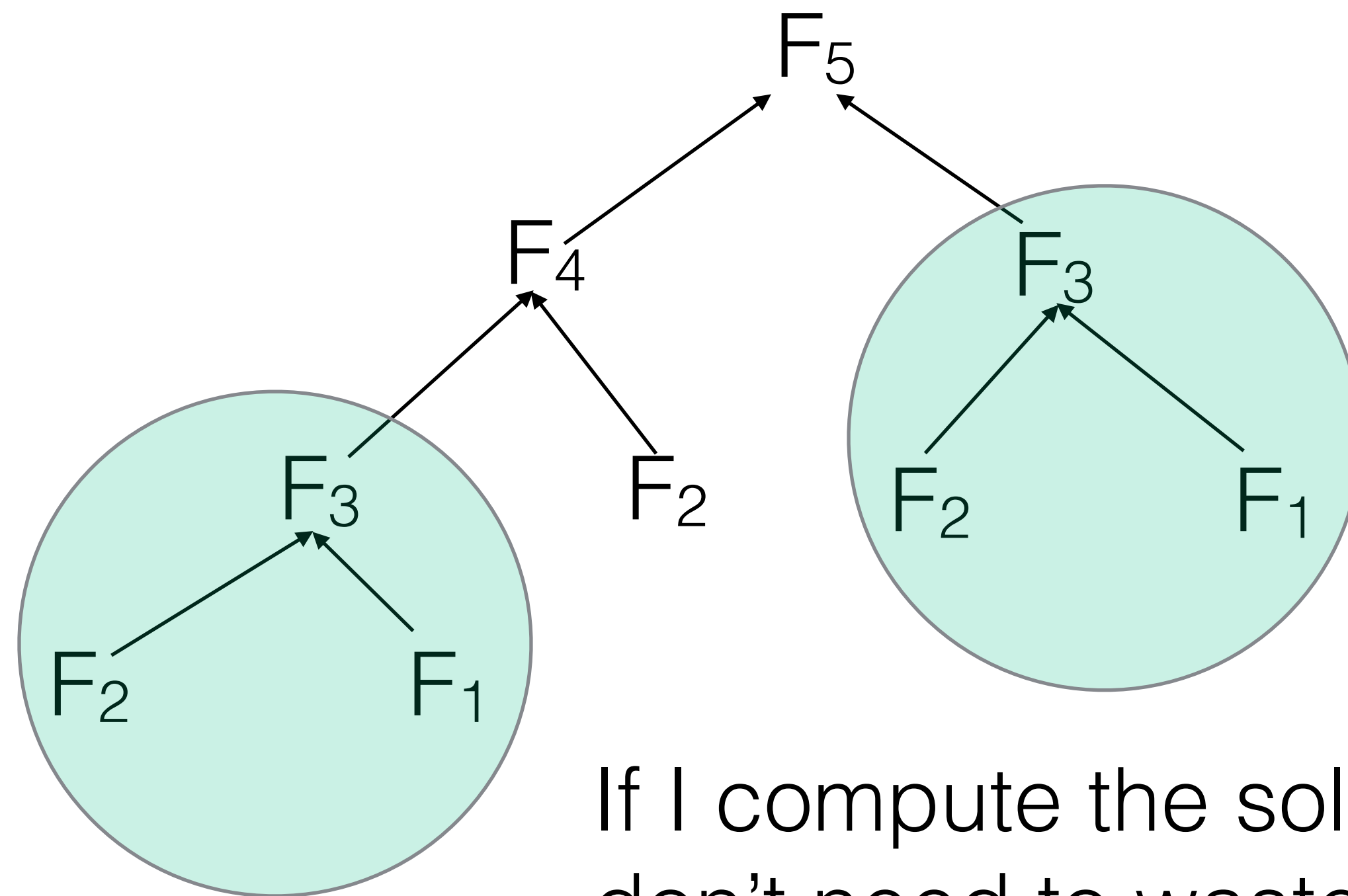


If I compute the solutions in the “right order”, I don’t need to waste time re-computing the same values.

Example 1: Fibonacci Sequence

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

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



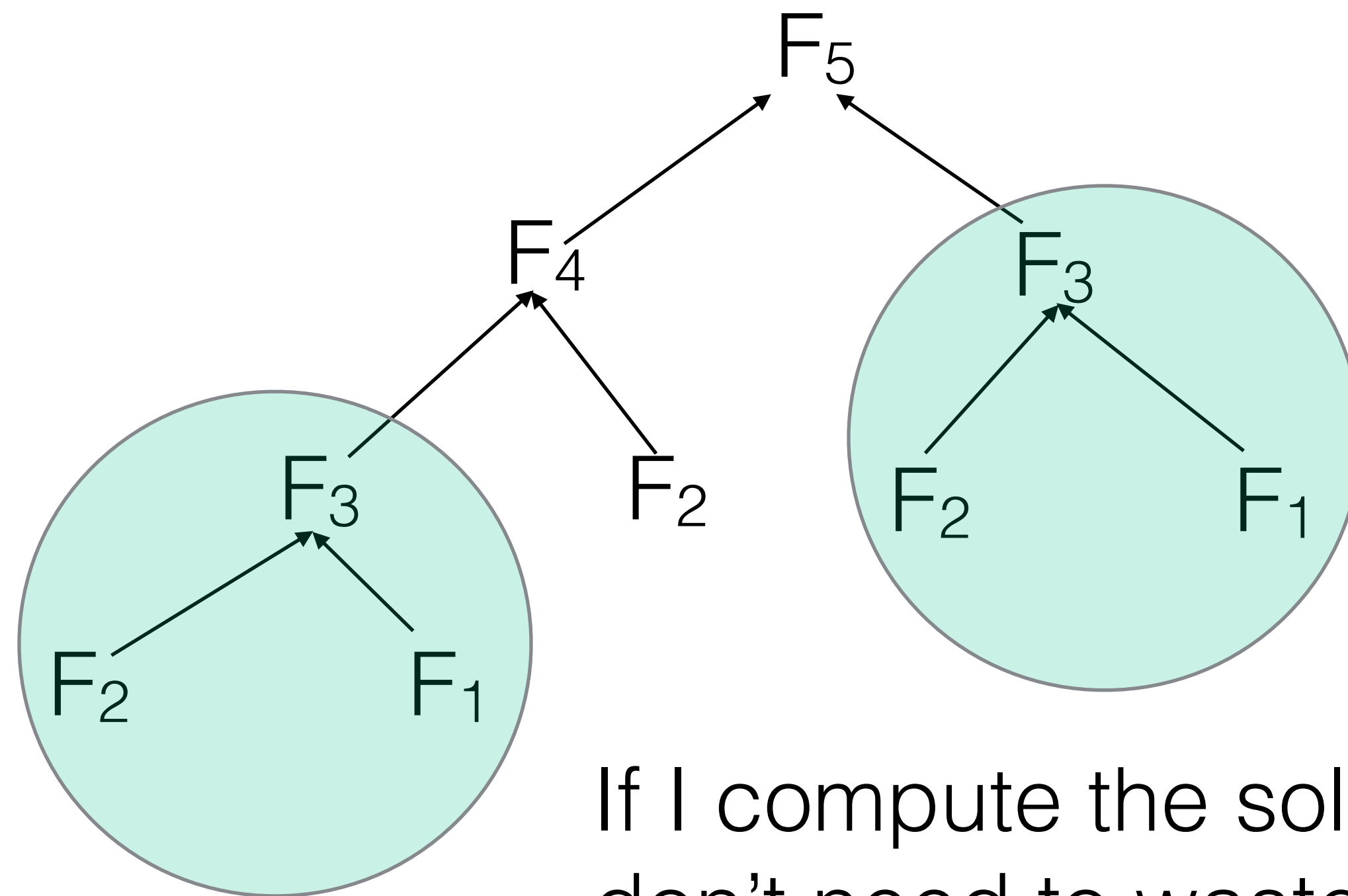
What is the “right order”?

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

Example 1: Fibonacci Sequence

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

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



What is the “right order”?

$$F_1 \rightarrow F_2 \rightarrow F_3 \rightarrow F_4 \rightarrow F_5 \dots$$

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

Example 1: Fibonacci Sequence

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

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

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 $\rightarrow O(n)$; **much better!** Note: $O(n)$ assumes addition is constant, not true for large enough n .

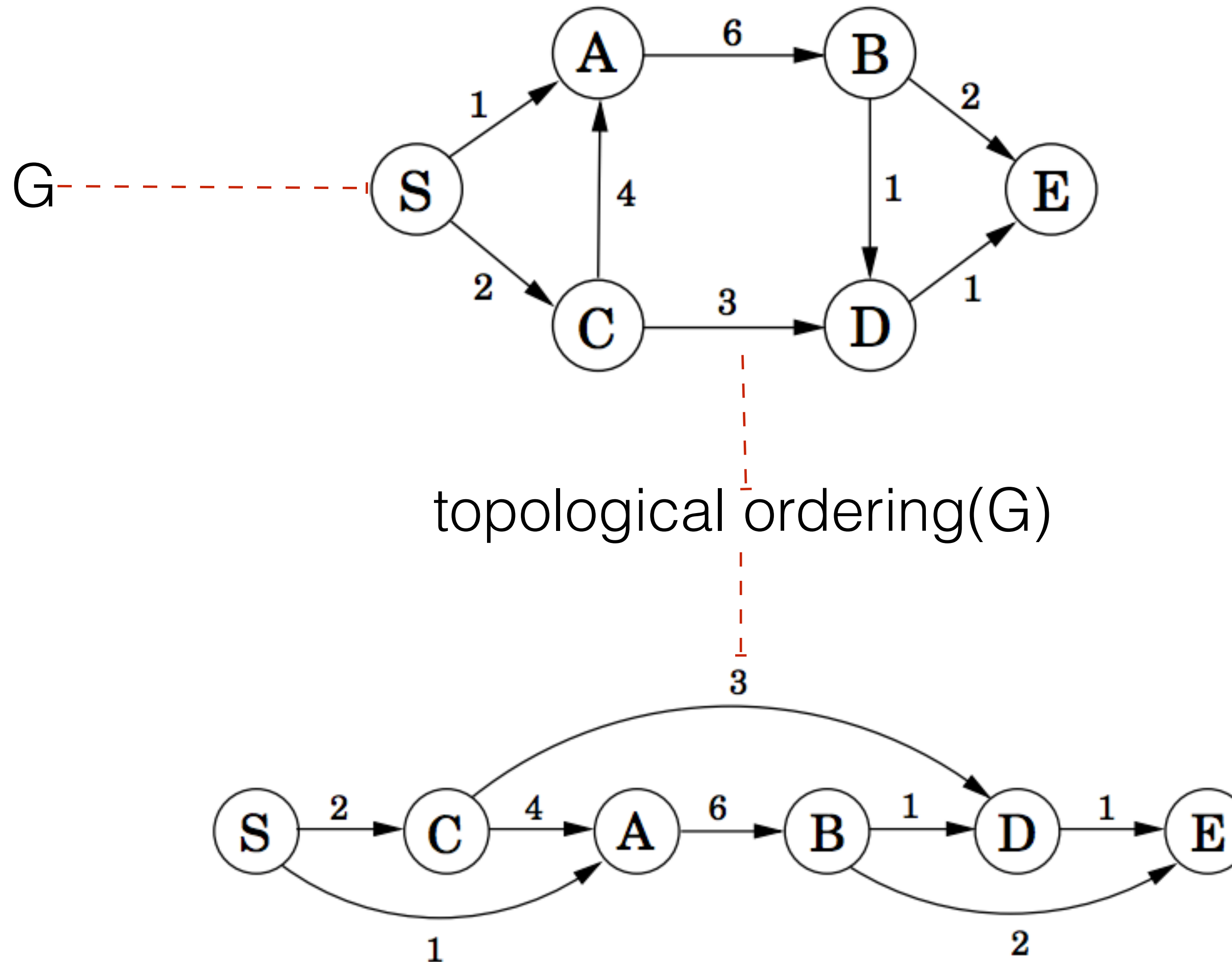
Example 2: Shortest Path in a DAG

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 $p(v_1), p(v_2), \dots, p(v_n)$ 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

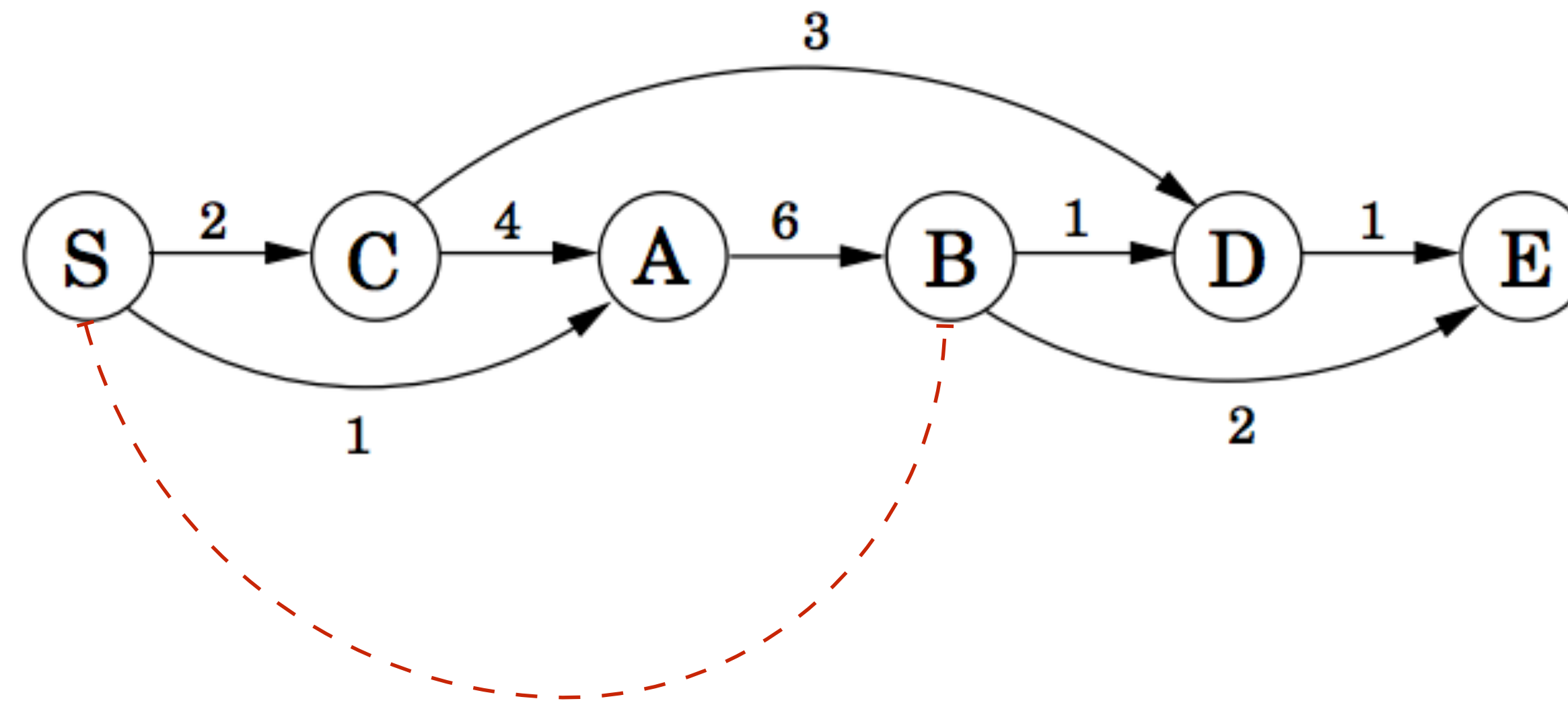
Kahn's algorithm

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?

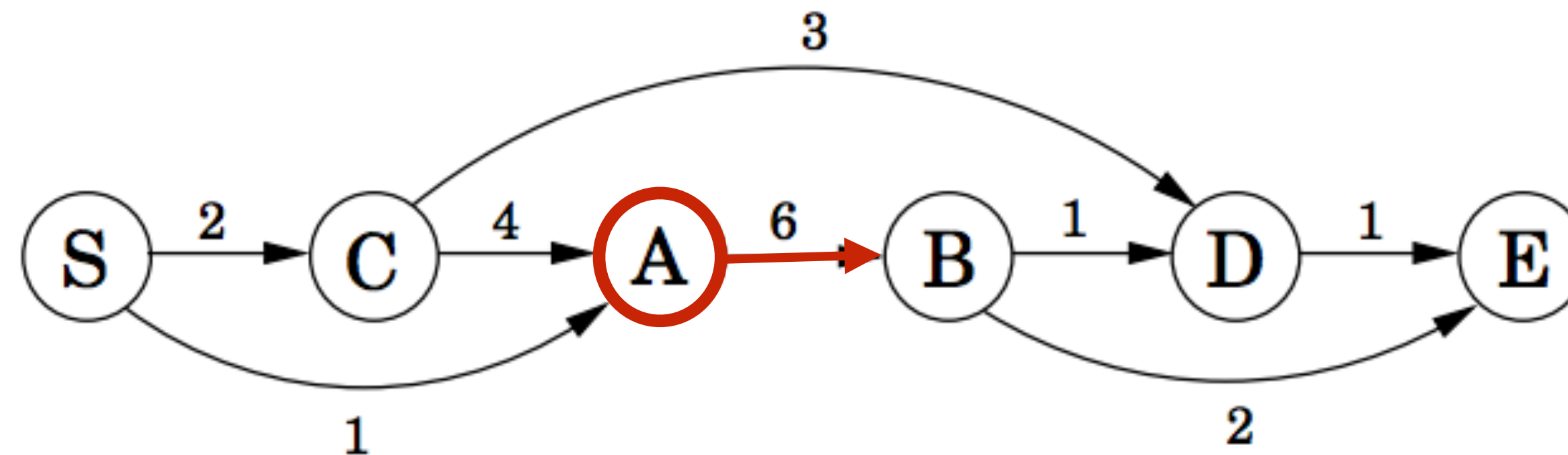
Example 2: Shortest Path in a DAG



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

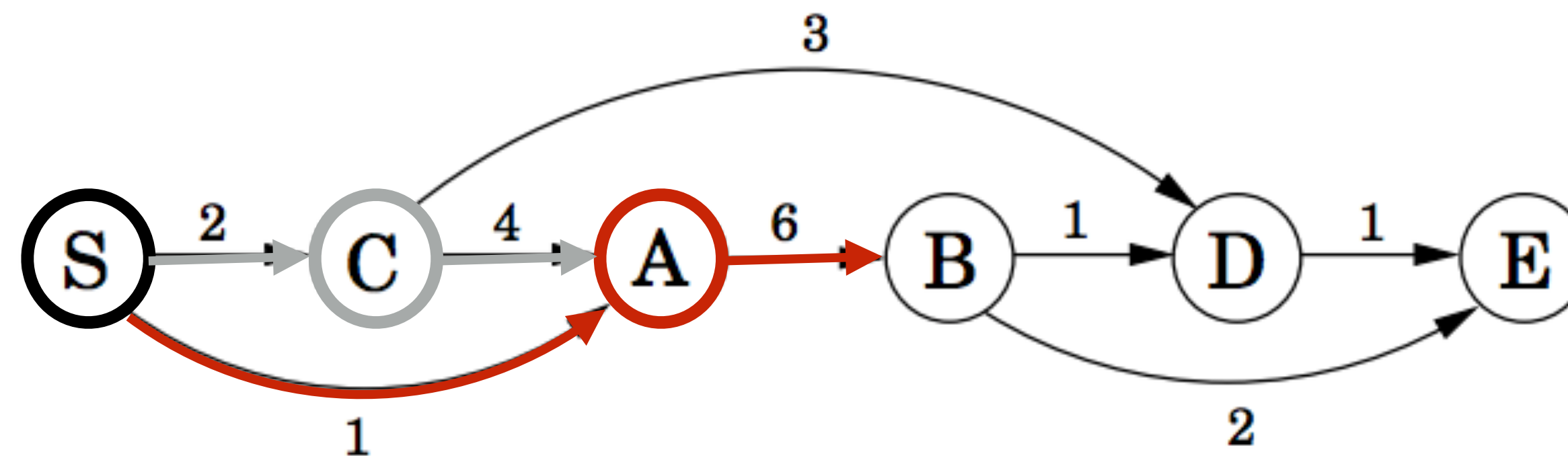
Example 2: Shortest Path in a DAG

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



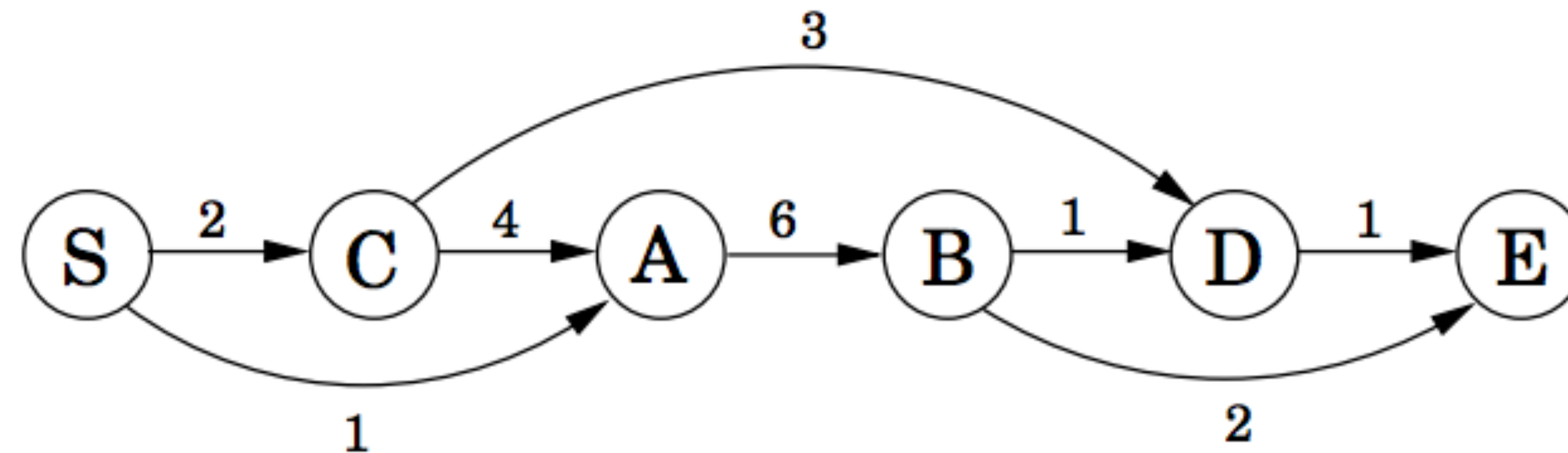
Example 2: Shortest Path in a DAG

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

Algorithm for Computing Edit Distance

Consider the last characters of each string:

$$\begin{aligned}a &= a_1a_2a_3a_4\dots a_m \\ b &= b_1b_2b_3b_4\dots b_n\end{aligned}$$

One of these possibilities must hold:

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

Algorithm for Computing Edit Distance

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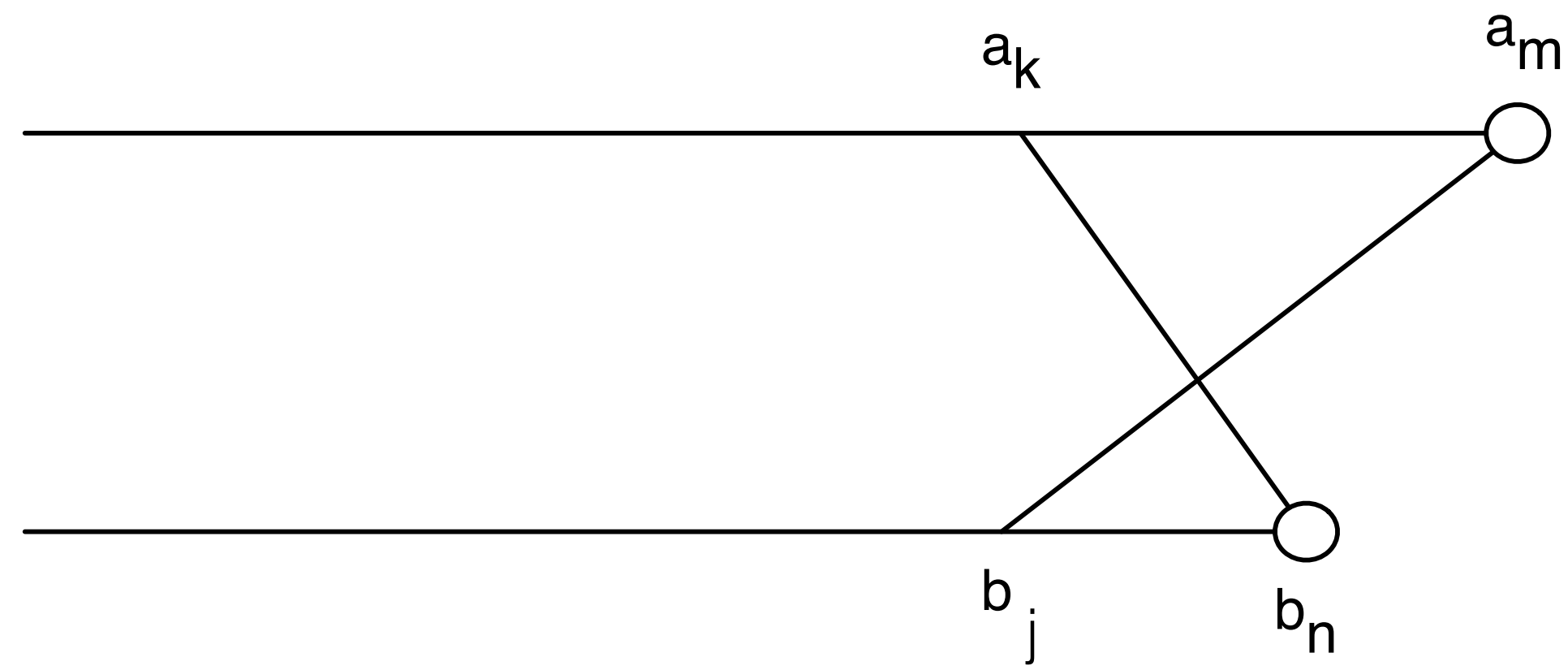
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4. a_m is matched to some b_j ($j \neq n$) and b_n is matched to some a_k ($k \neq m$).

#4 can't happen! Why?

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:

$$OPT(i, j) = \min \begin{cases} \text{cost}(a_i, b_j) + OPT(i-1, j-1) & \text{match } a_i, b_j \\ \text{gap} + OPT(i-1, j) & a_i \text{ is not matched} \\ \text{gap} + OPT(i, j-1) & b_j \text{ is not matched} \end{cases}$$

↑
Cost of the optimal alignment between $a_1...a_i$ and $b_1...b_j$

↑
Written in terms of the costs of smaller problems

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

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

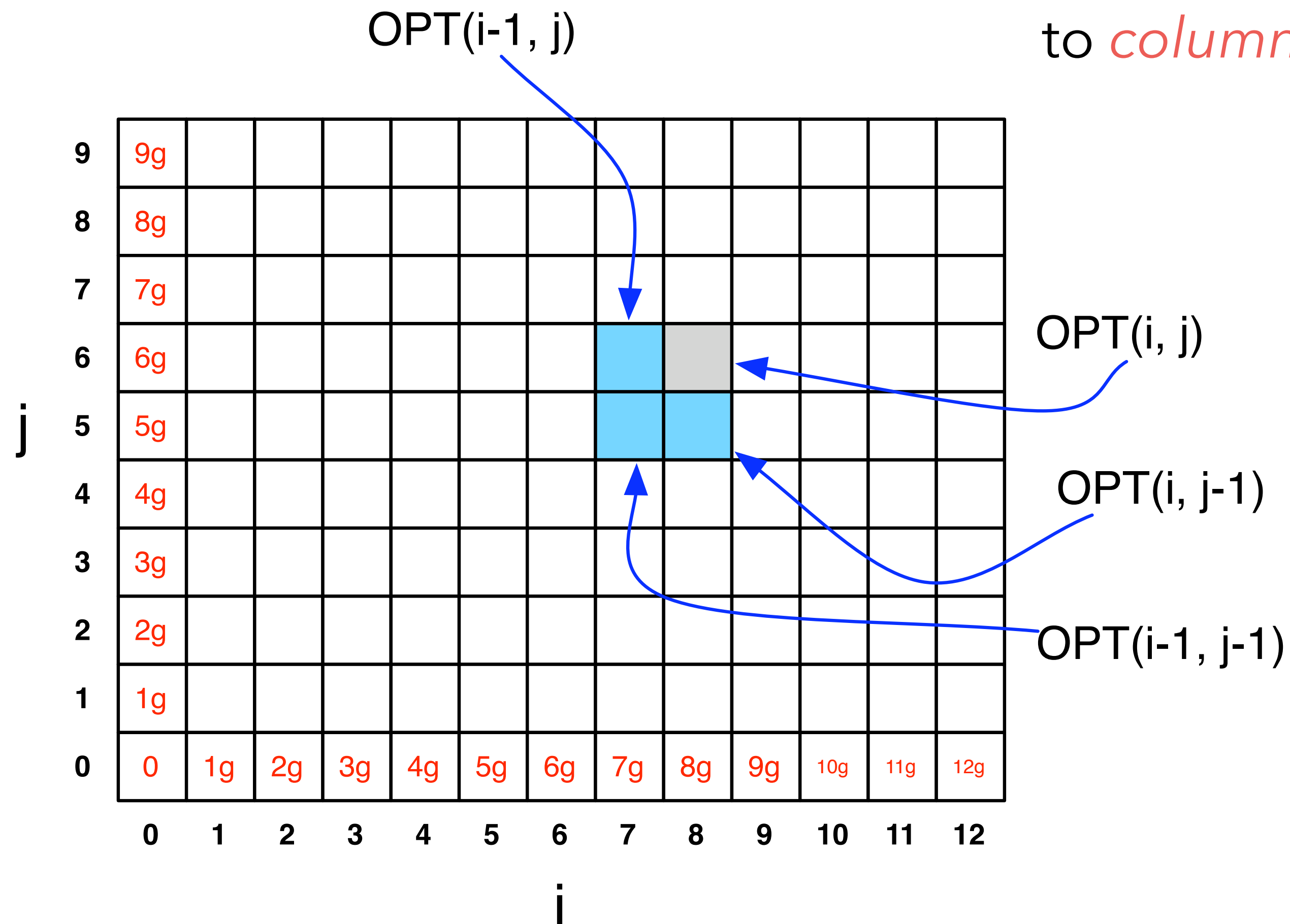
(Aligning i characters to 0 characters must use i gaps.)

Computing $OPT(i,j)$ Efficiently

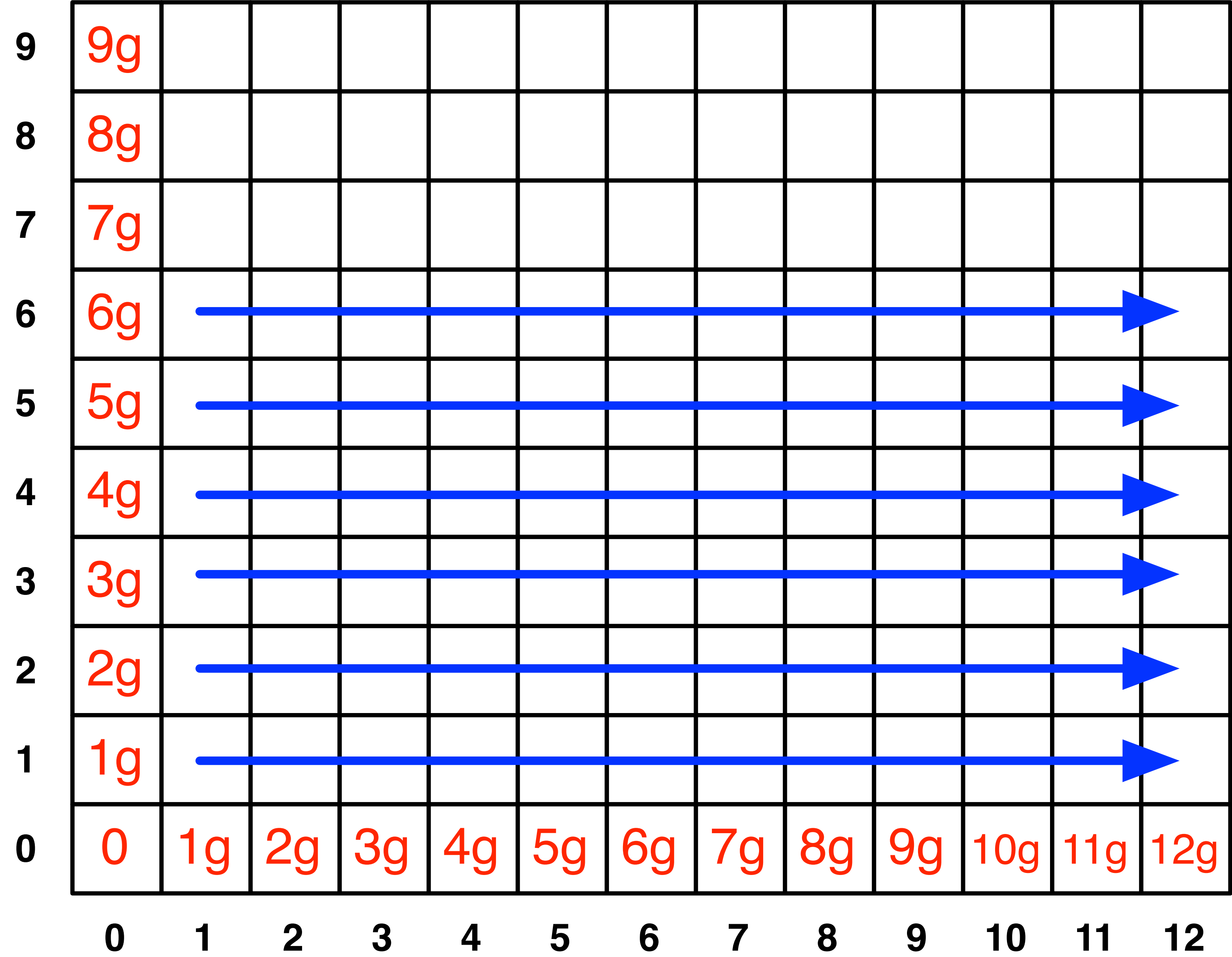
We're ultimately interested in $OPT(n,m)$, but we will compute all other $OPT(i,j)$ ($i \leq n, j \leq m$) on the way to computing $OPT(n,m)$.

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*gap  
  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],  
        gap + A[i-1,j],  
        gap + A[i,j-1]  
      )  
    EndFor  
  EndFor  
  Return A[m,n]
```

Where's the answer?

$\text{OPT}(n,m)$ 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.

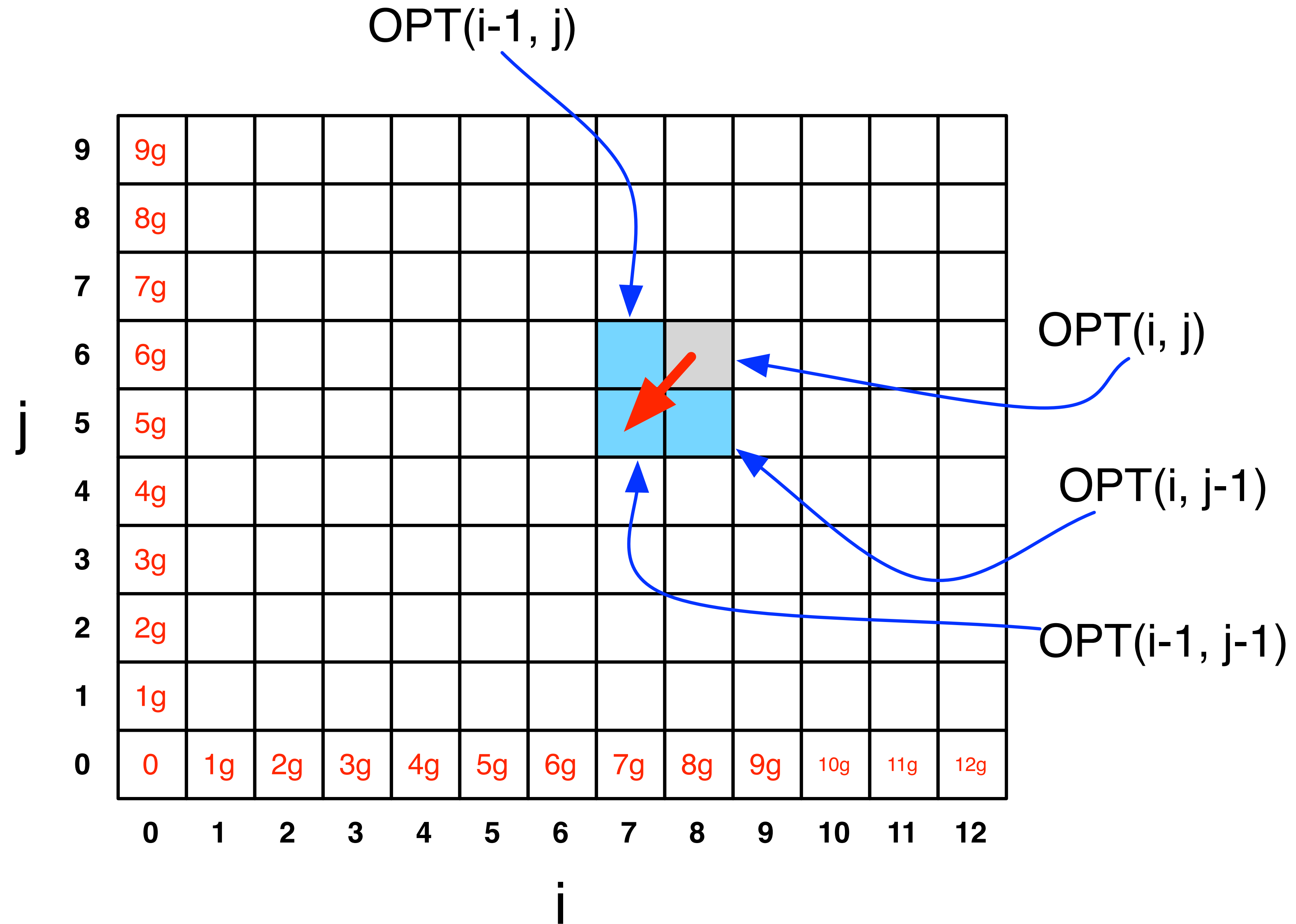
Running Time

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.

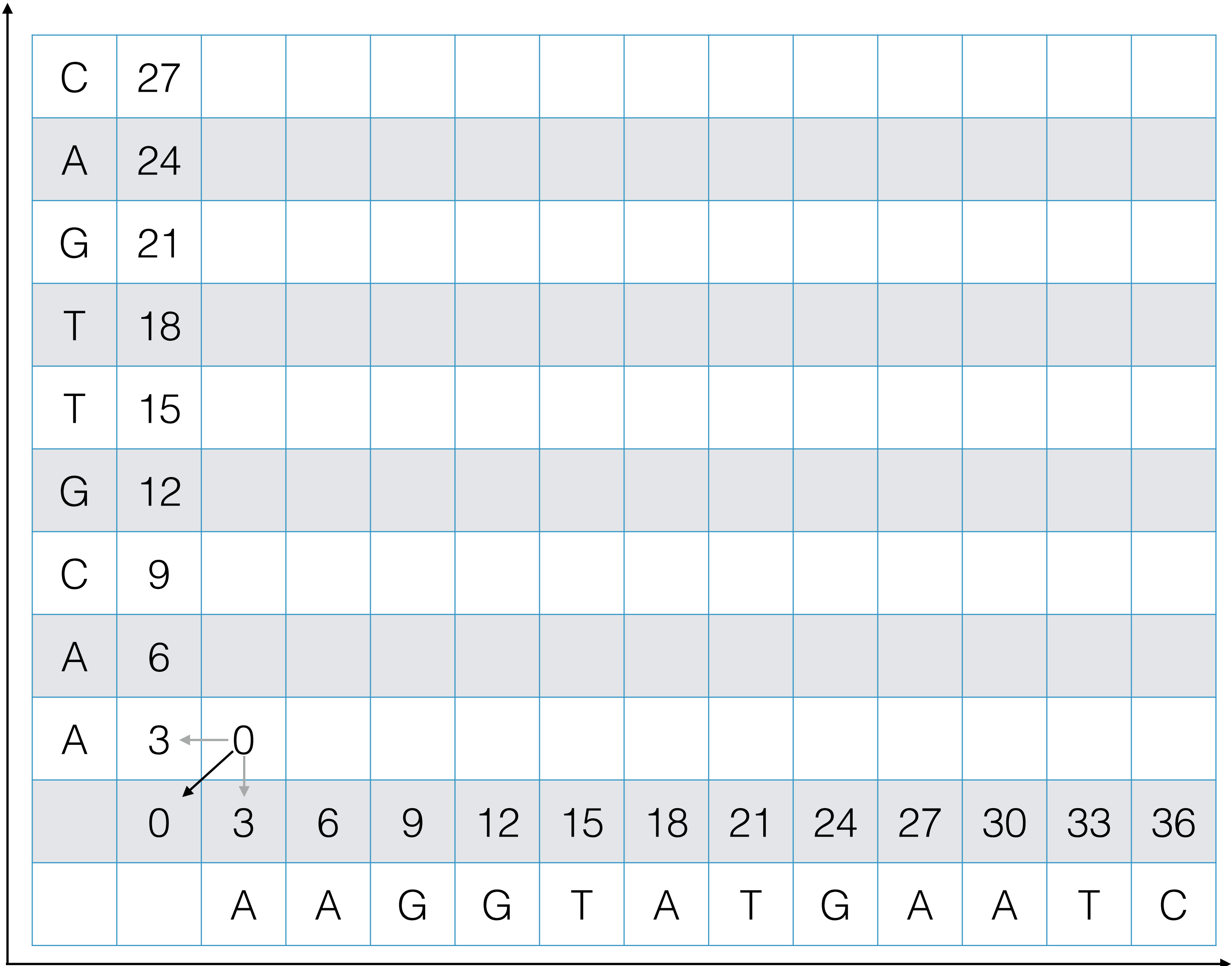
Total running time is $O(mn)$.

Finding the actual alignment

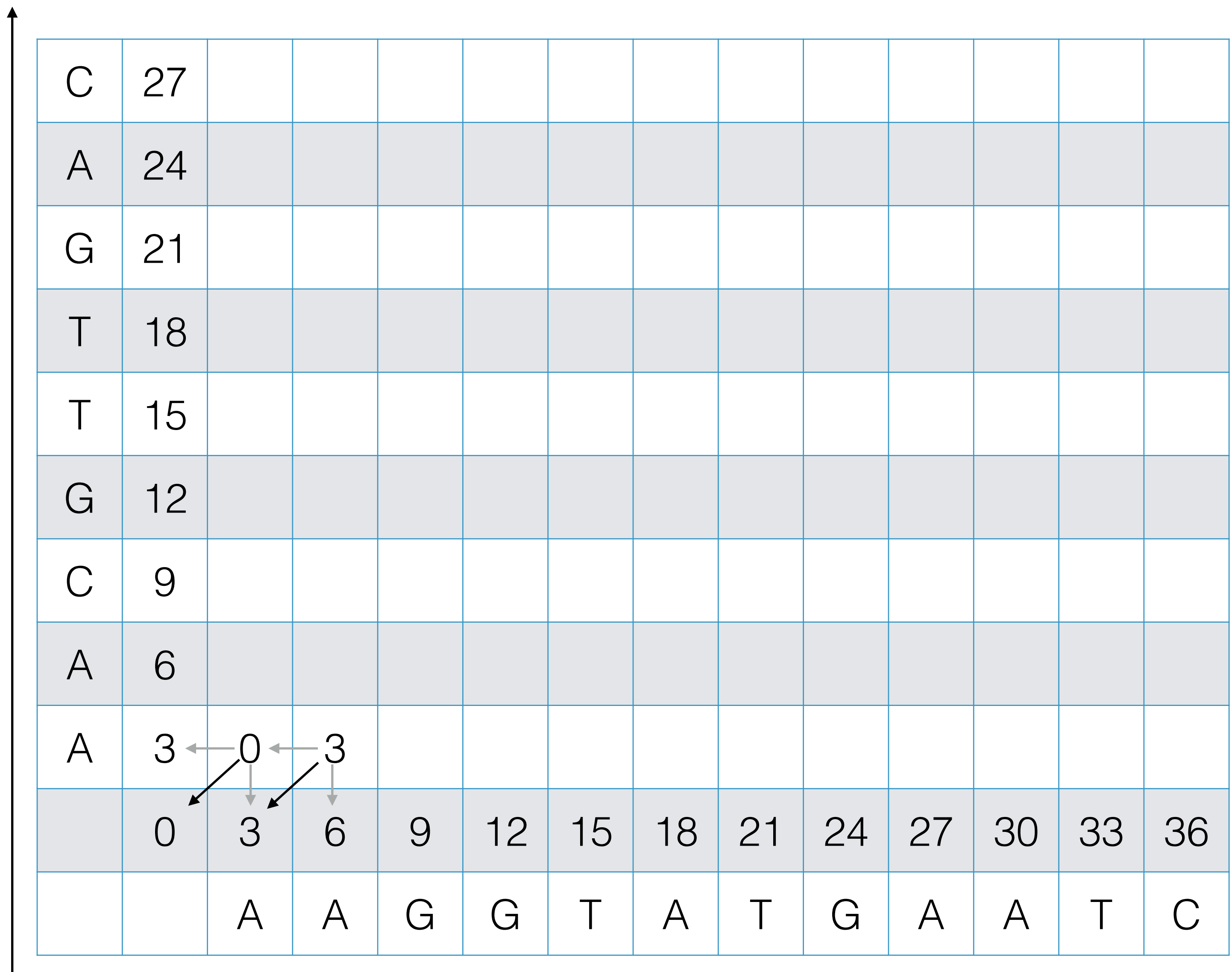


gap cost = 3
mismatch cost = 1

Example



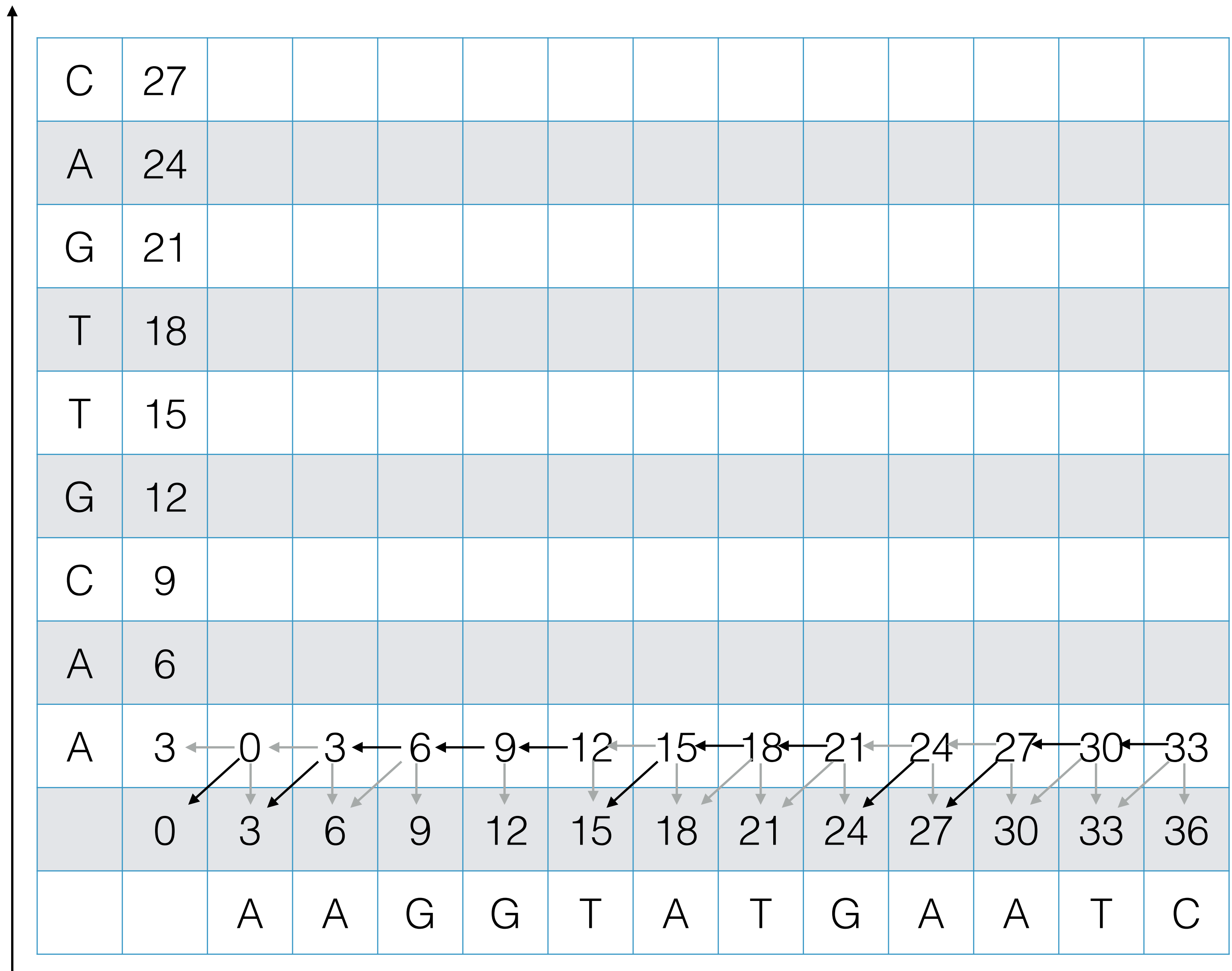
Example



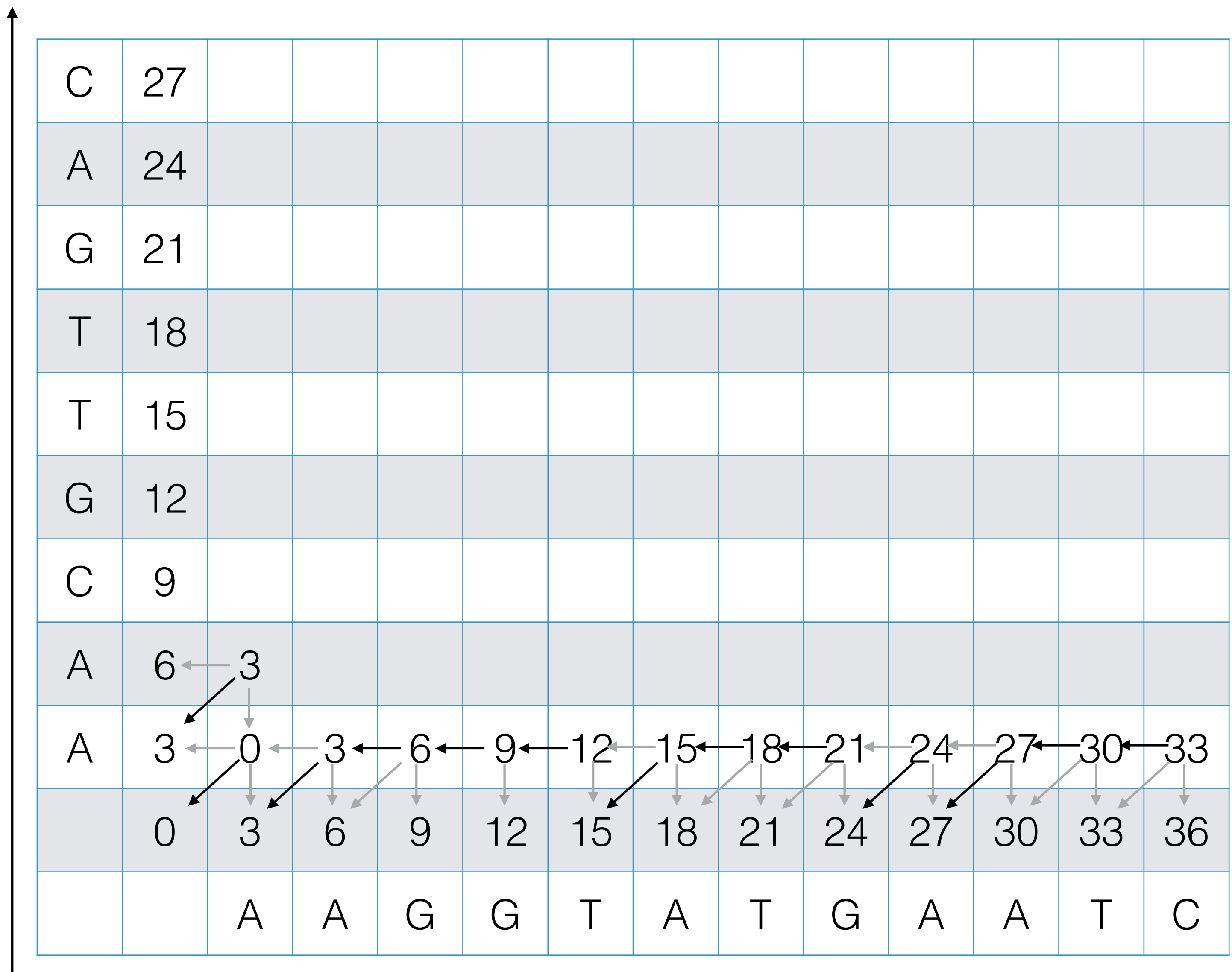
Example

C	27												
A	24												
G	21												
T	18												
T	15												
G	12												
C	9												
A	6												
A	3	← 0	← 3	← 6									
	0	3	6	9	12	15	18	21	24	27	30	33	36
		A	A	G	G	T	A	T	G	A	A	T	C

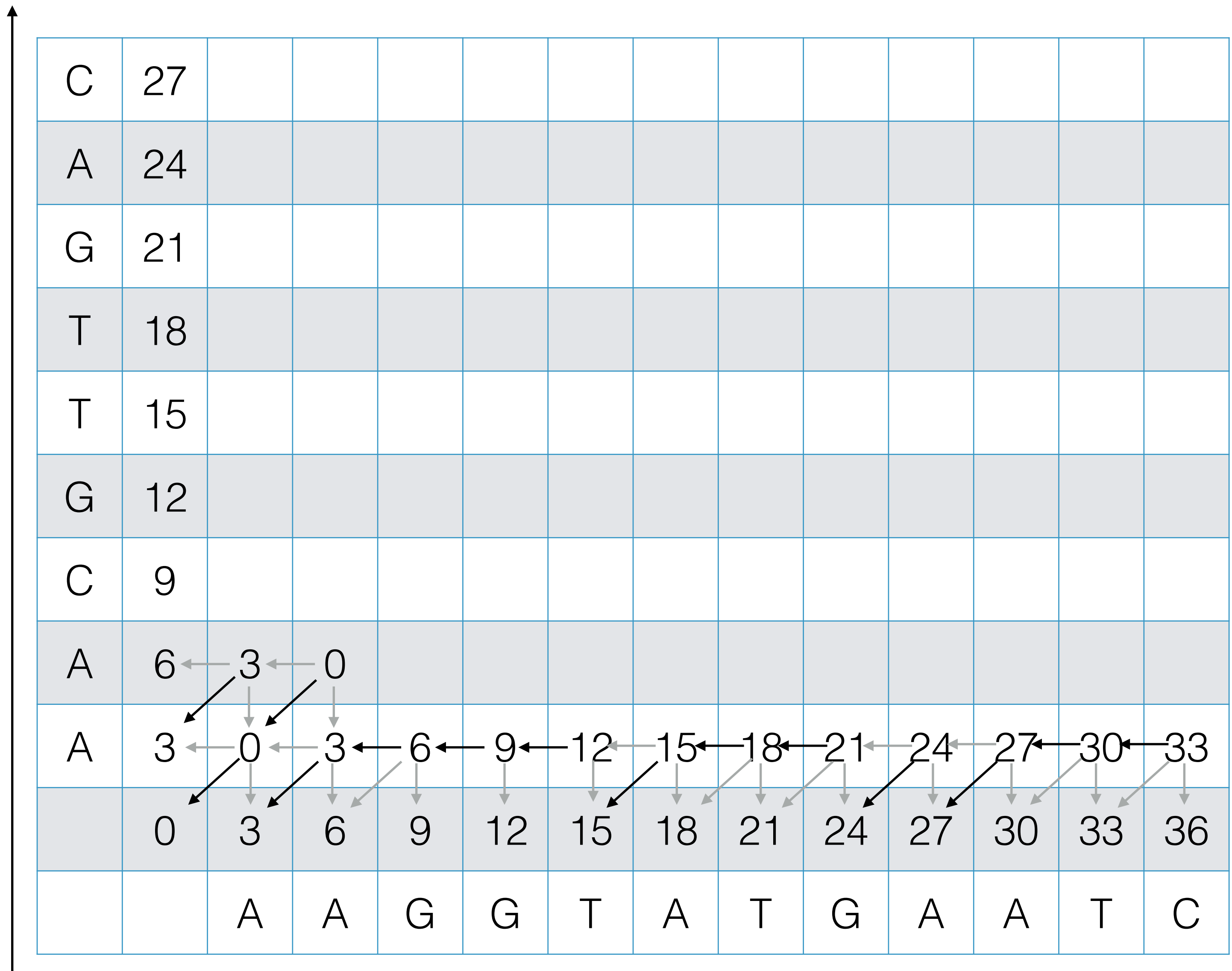
Example



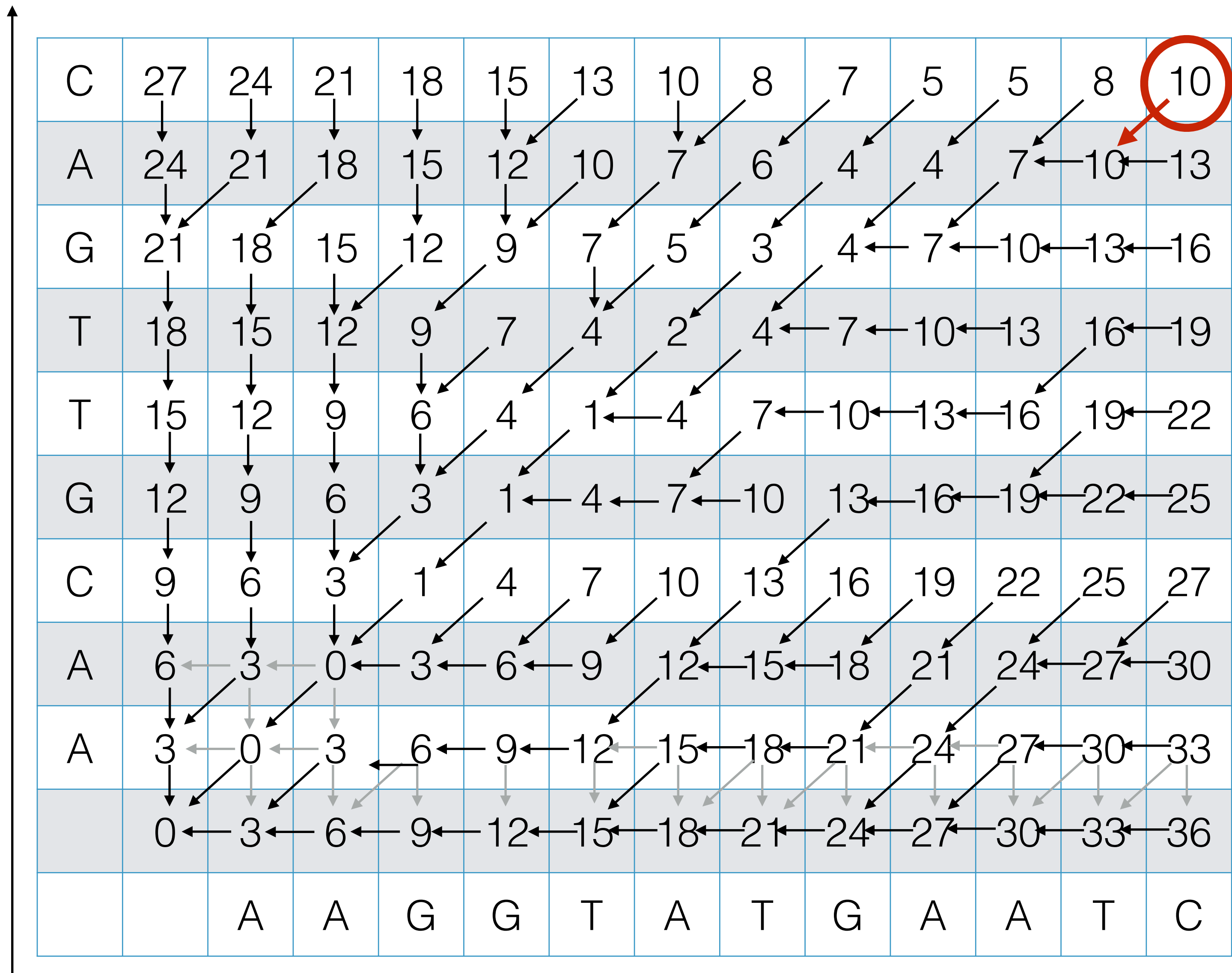
Example



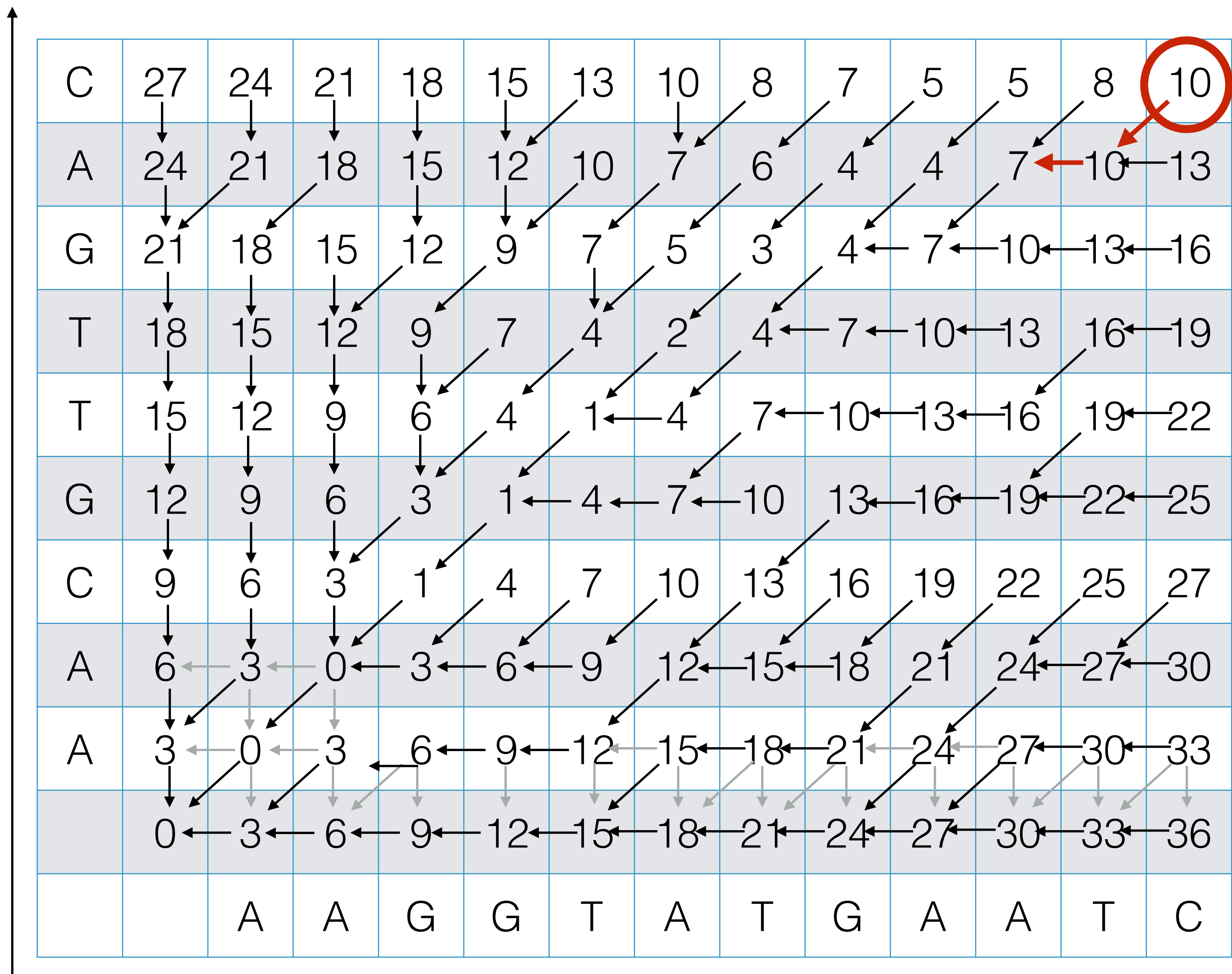
Example



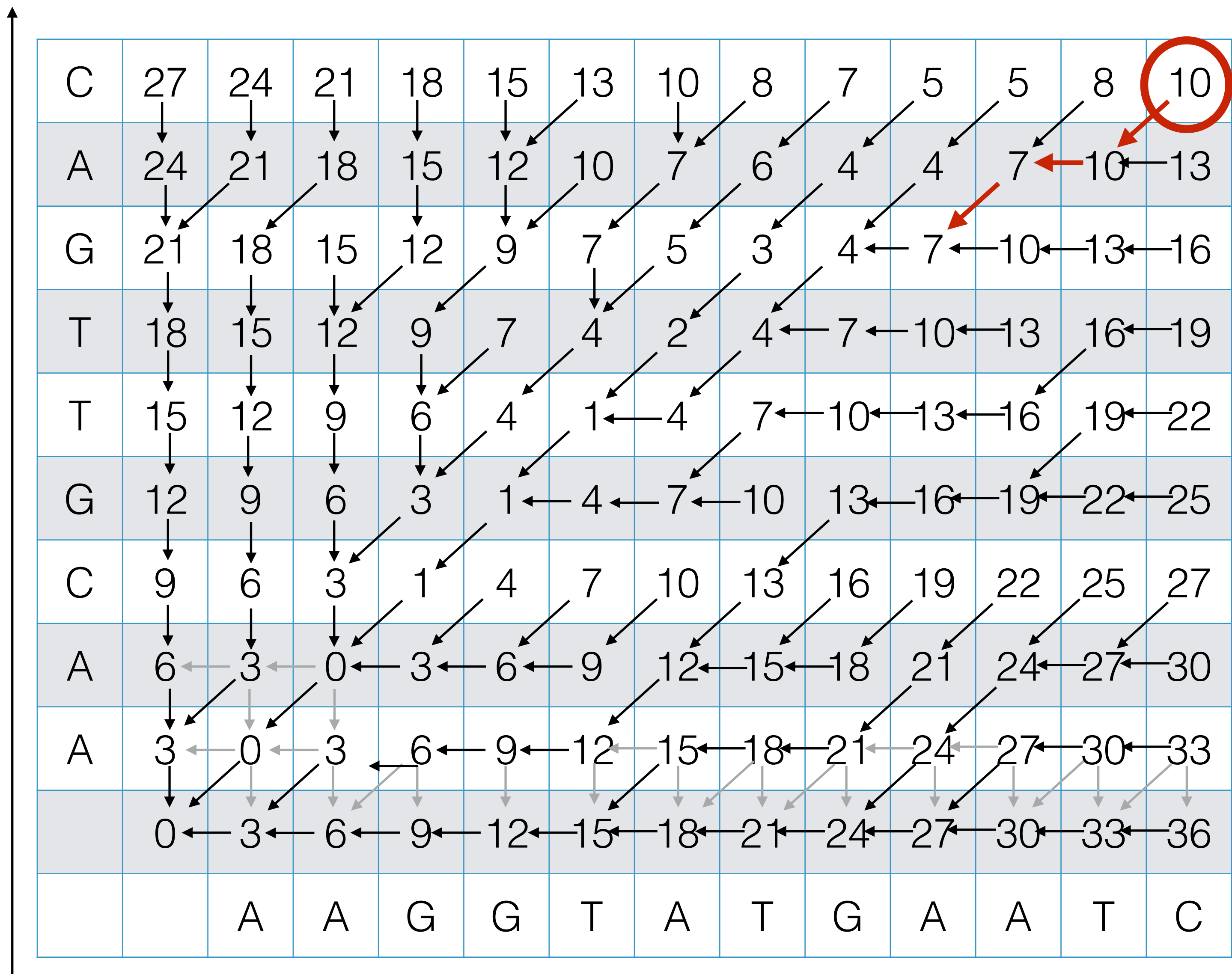
Example



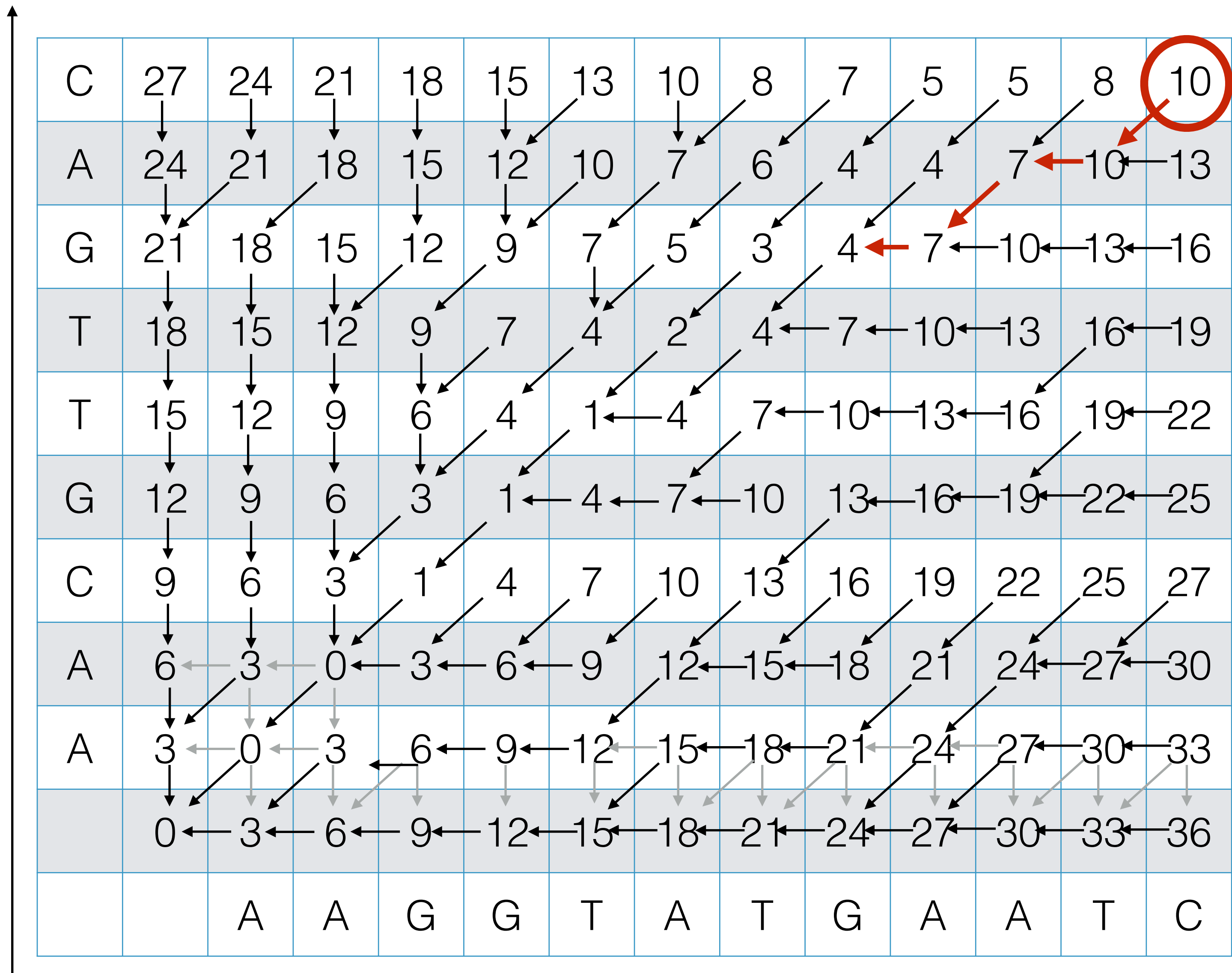
Example



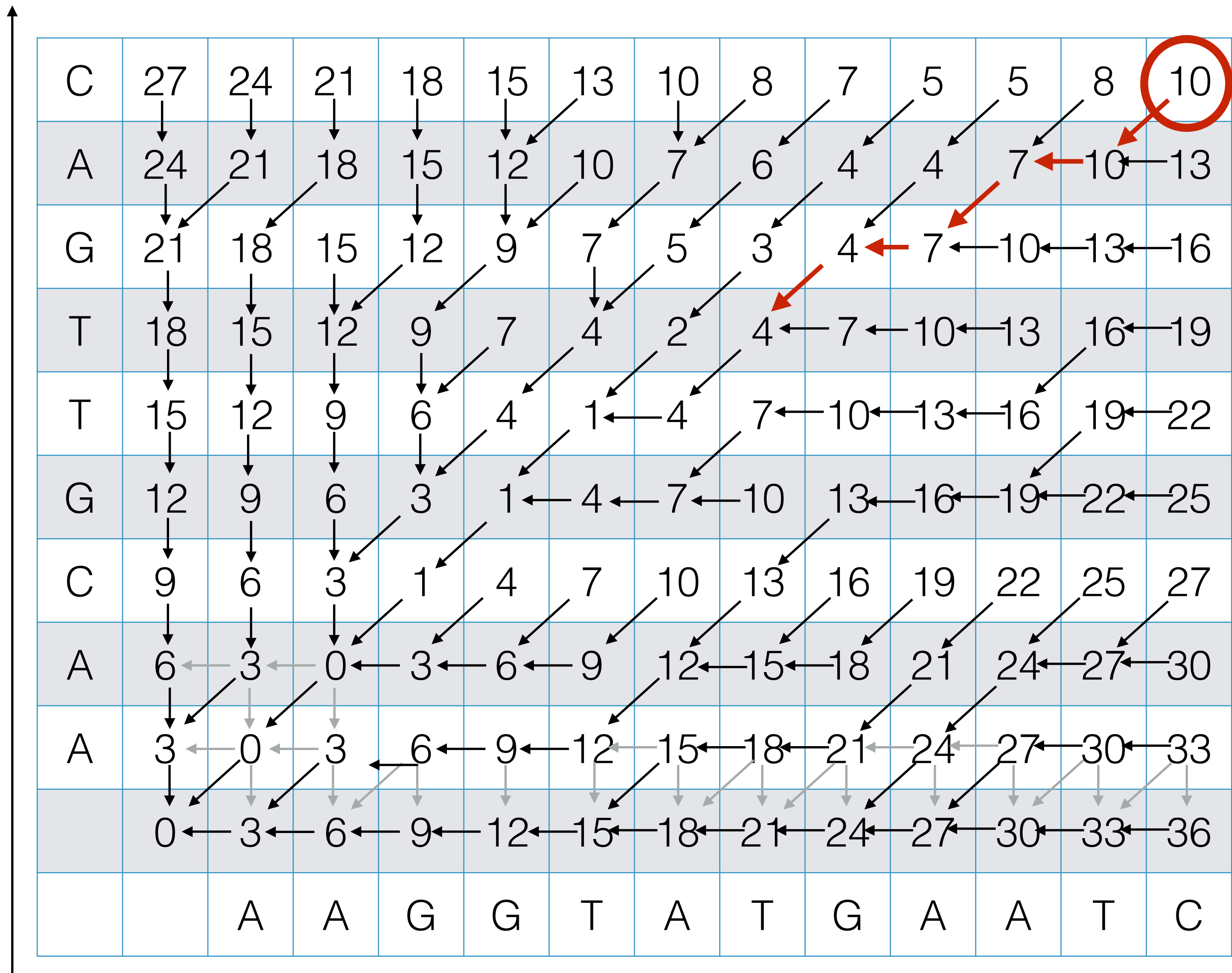
Example



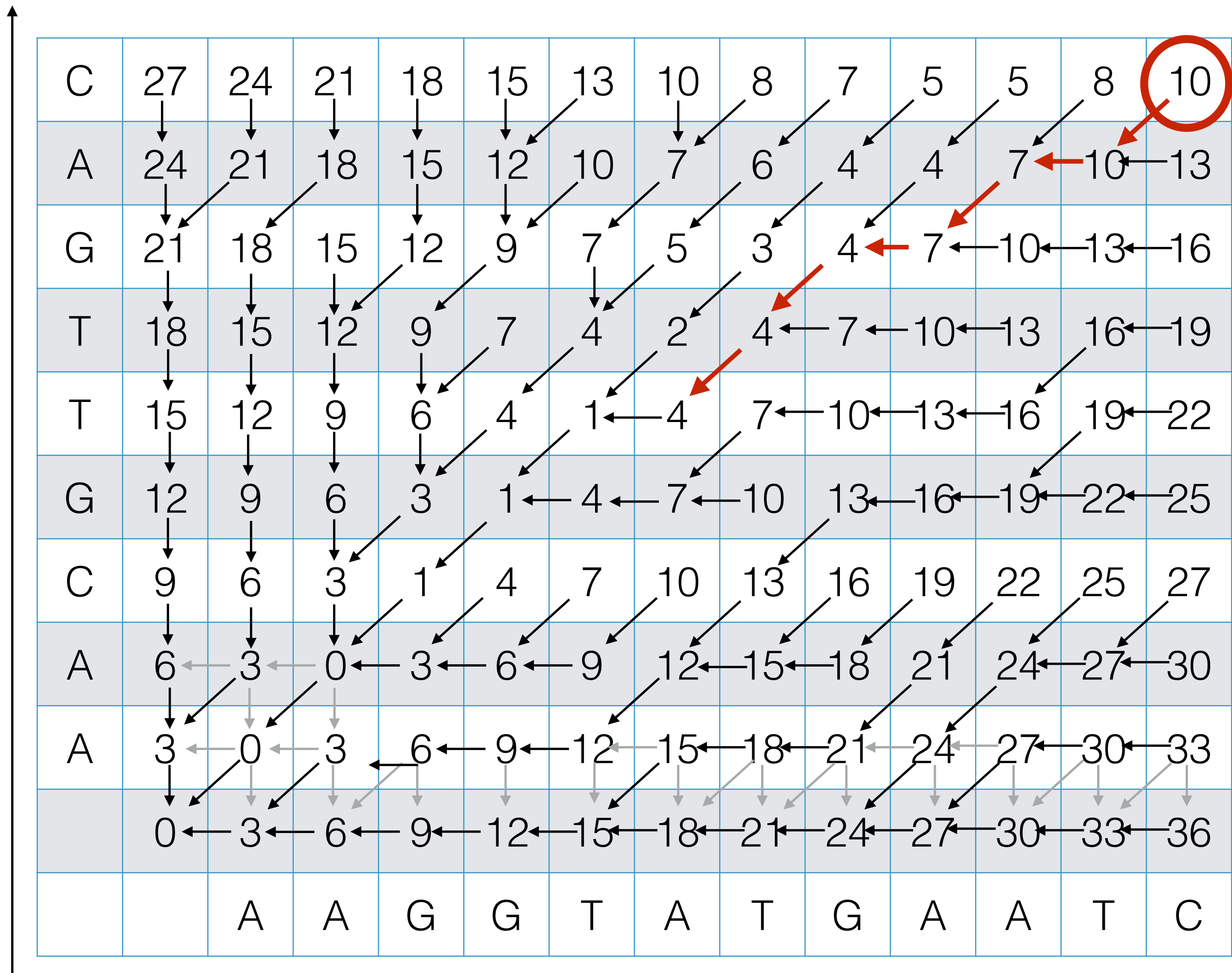
Example



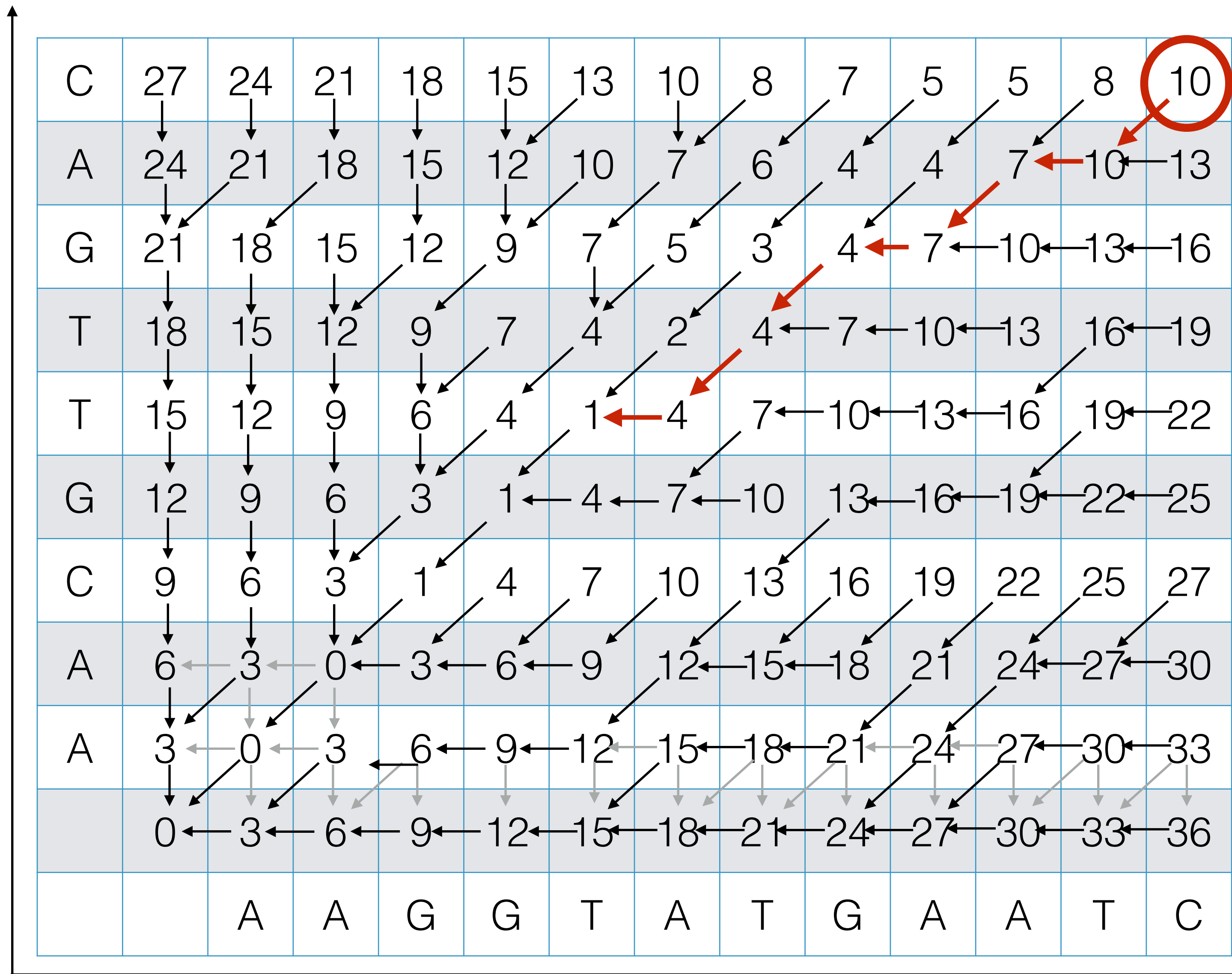
Example



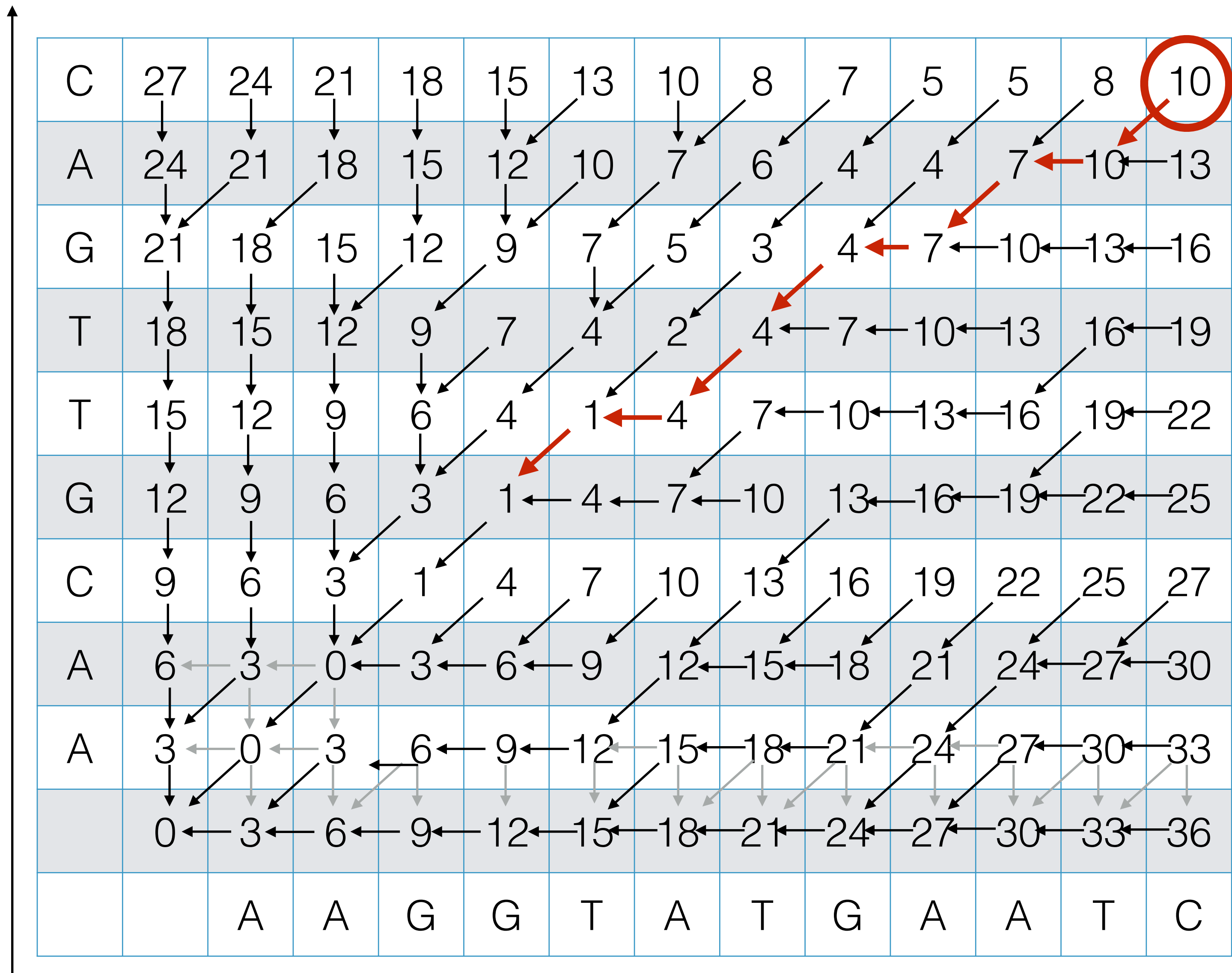
Example



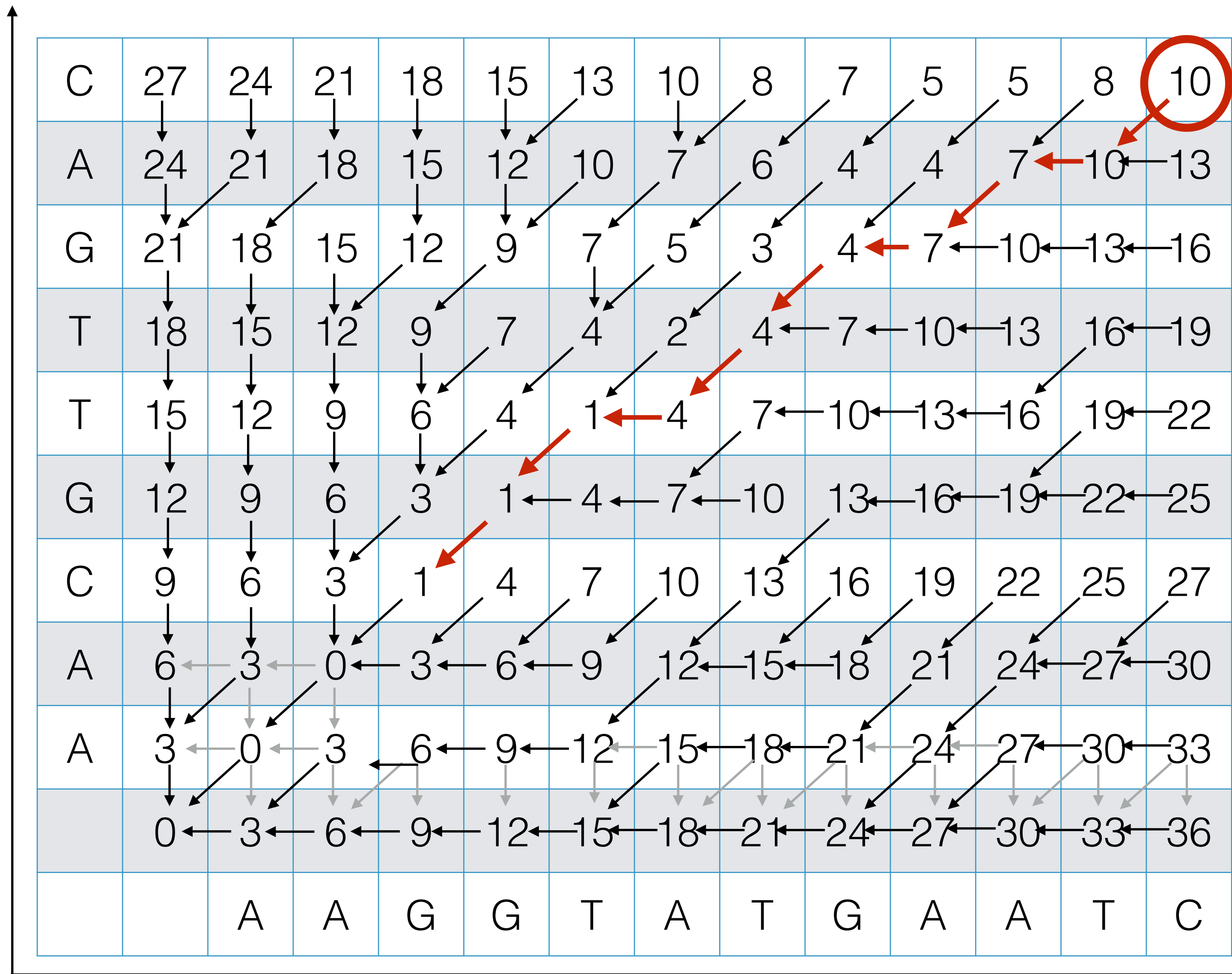
Example



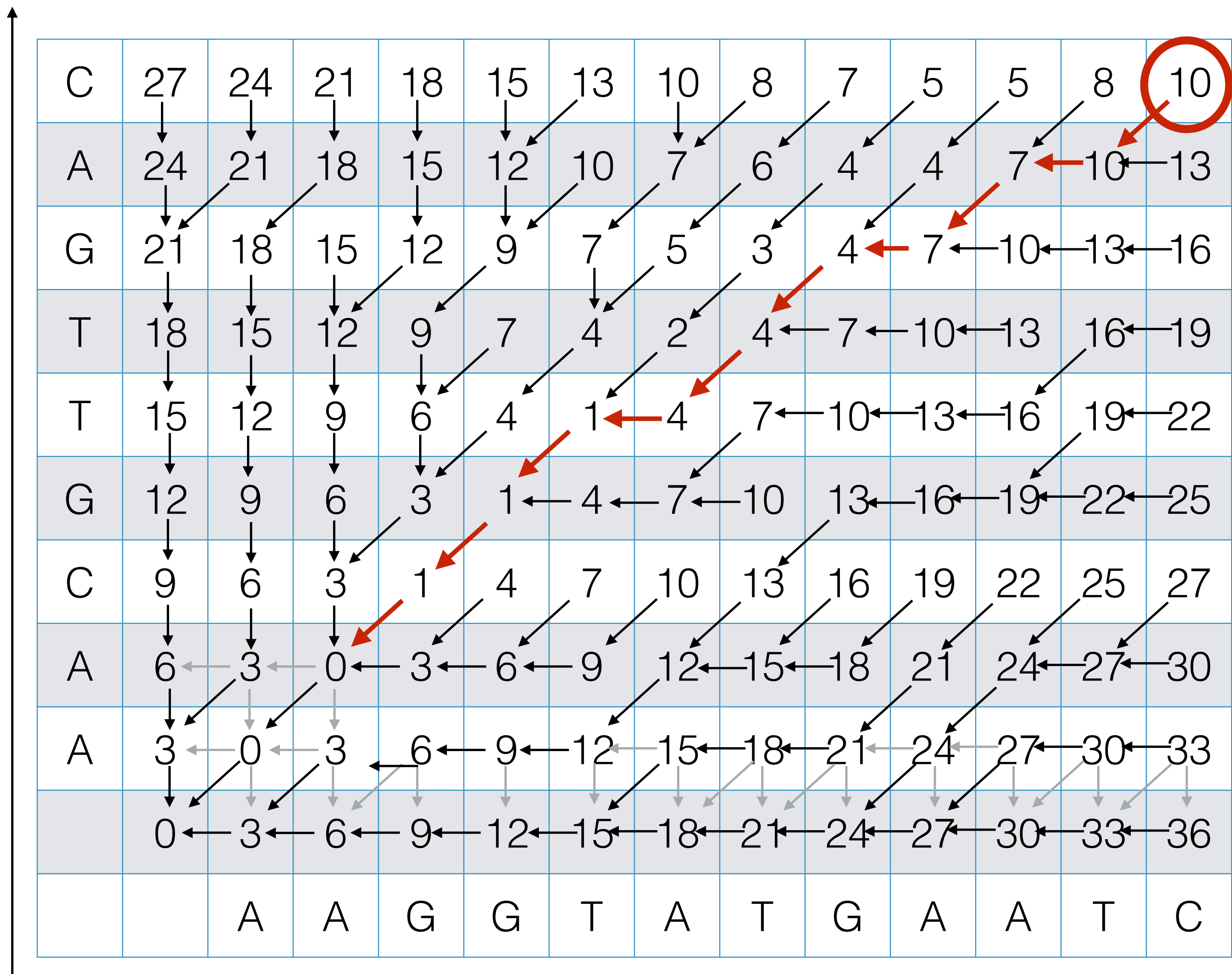
Example



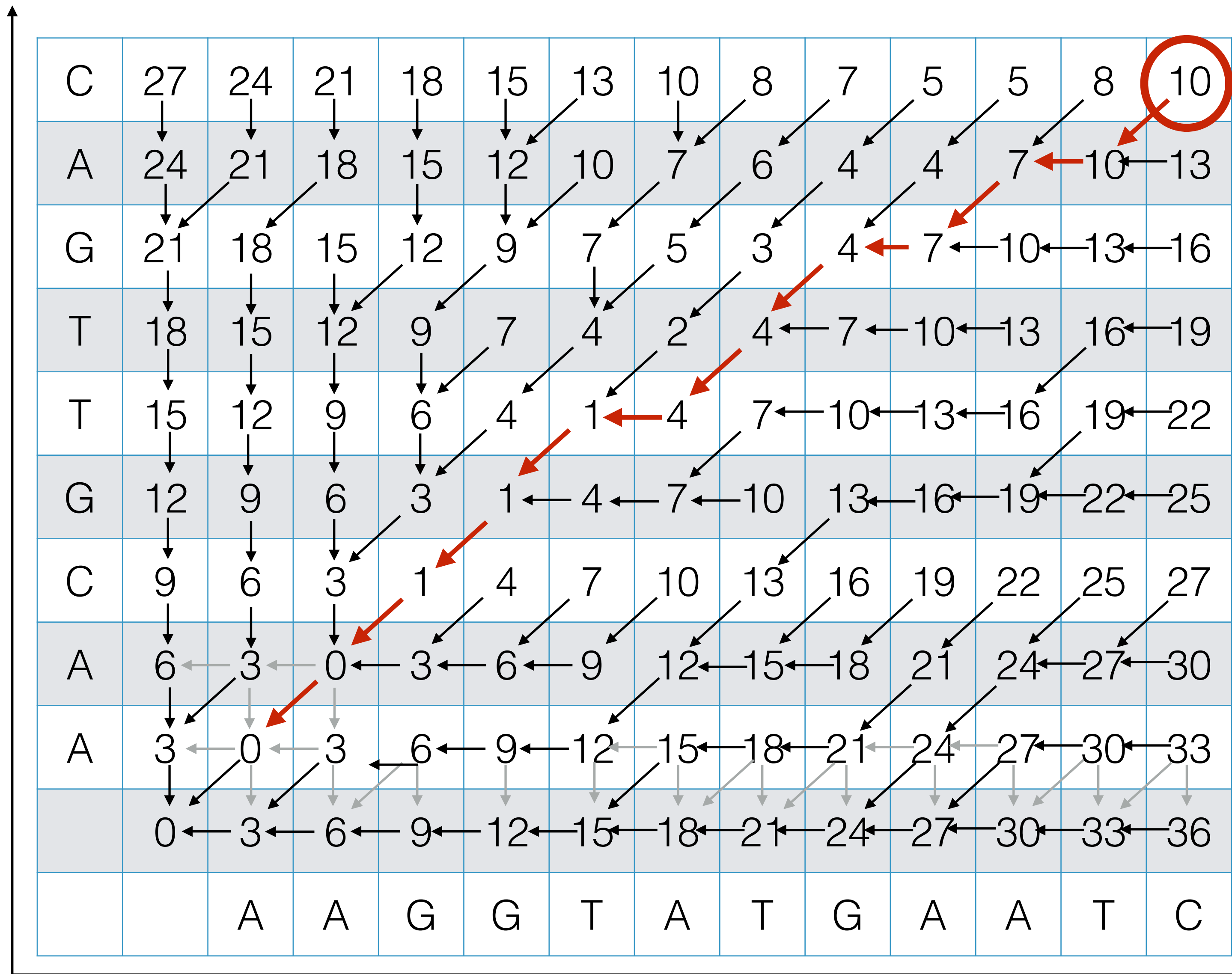
Example



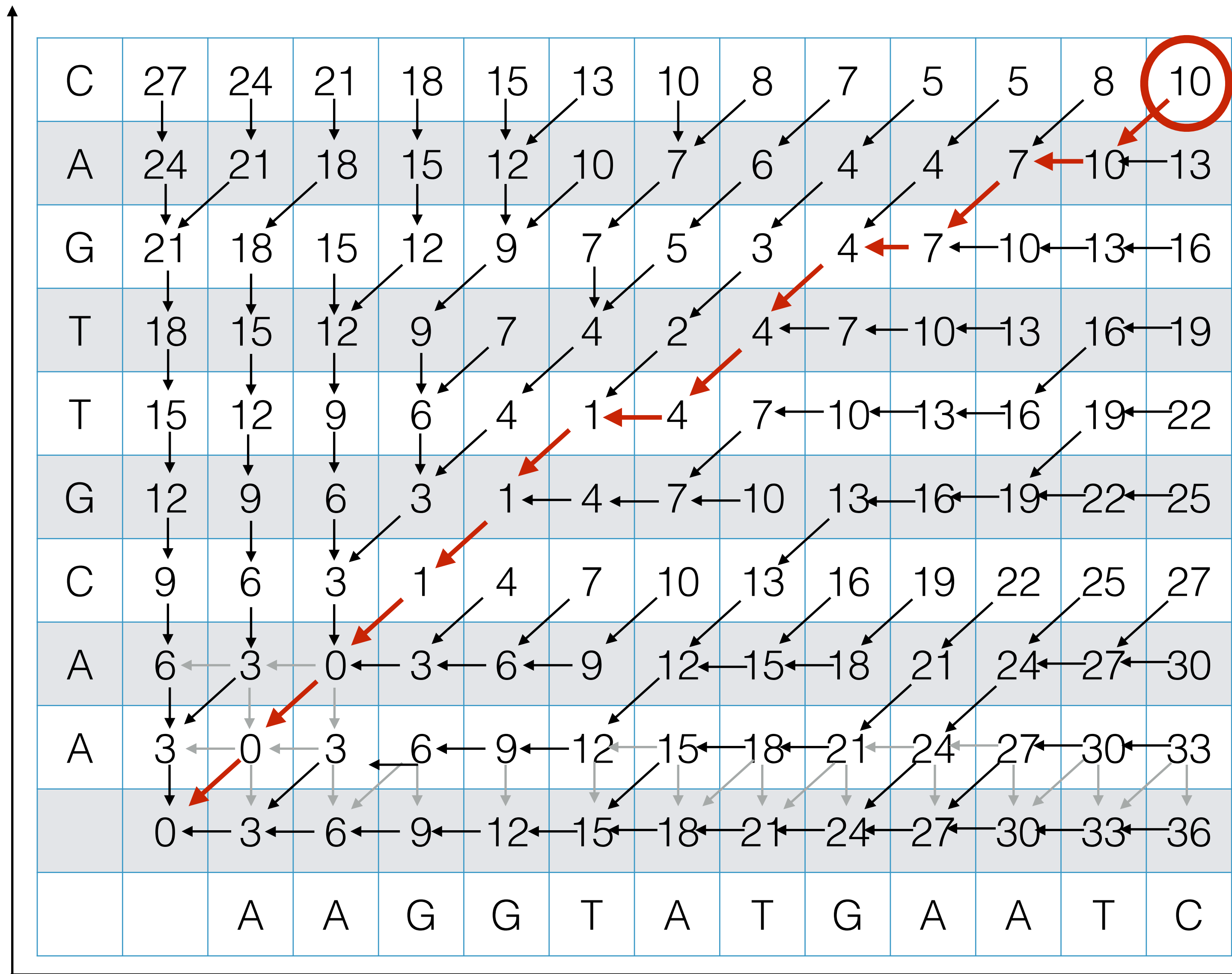
Example



Example



Example



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

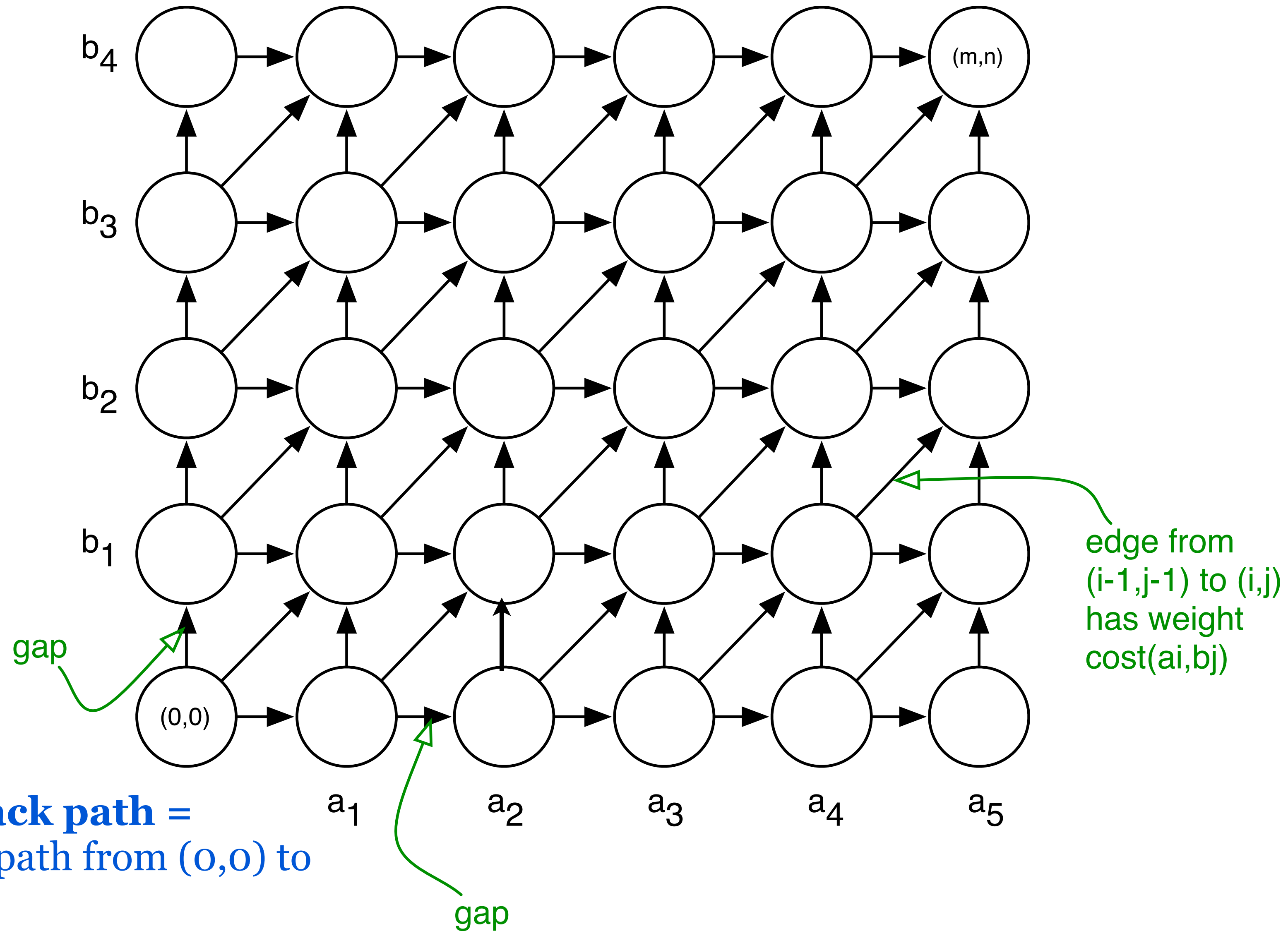
The previous sequence alignment / edit distance algorithm is an example of dynamic programming.

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

