

CSE8803/CX4803 Machine Learning in Computational Biology

Lecture 3: Sequence Alignment II

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Based on slides from Carl Kingsford

Paper presentation teams

- 77 students in total, 33 presentation slots
- 22 groups of 2 students; 11 groups of 3 students
- Submit your team information to Canvas->Quizzes by 1/28 Friday (no grace period)
- We may adjust the teams (randomly)
- Teams can also slightly change after midterm withdraw

Global alignment vs local alignment

- Global alignment

```
--T--CC-C-AGT--TATGT-CAGGGGACACG-A-GCATGCAGA-GAC
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
AATTGCCGCC-GTCGT-T-TTCAG-----CA-GTTATG-T-CAGAT--C
```

- Local alignment

```
                tccCAGTTATGTCAGgggacacgagcatgcagagac
                |||||
aattgccgccgtcgttttcagCAGTTATGTCAGatc
```

Today's outline

Local alignment

More details on scoring mismatches and gaps

Multiple sequence alignment

Local alignment

- **Local** alignment is much more common than **global** alignment
 - Example: aligning two protein sequences that have a common domain but are otherwise different
 - Mapping short reads to the genome
- Compared to **global** alignment, the **local** alignment problem appears to be significantly more complex
- **Naïve approach:**
 - Given that we know how to compute the global alignment between two sequences in $O(mn)$ time
 - We can take all possible combinations of substrings of \mathbf{x} and substrings of \mathbf{y}
 - How many all possible combinations of substrings?

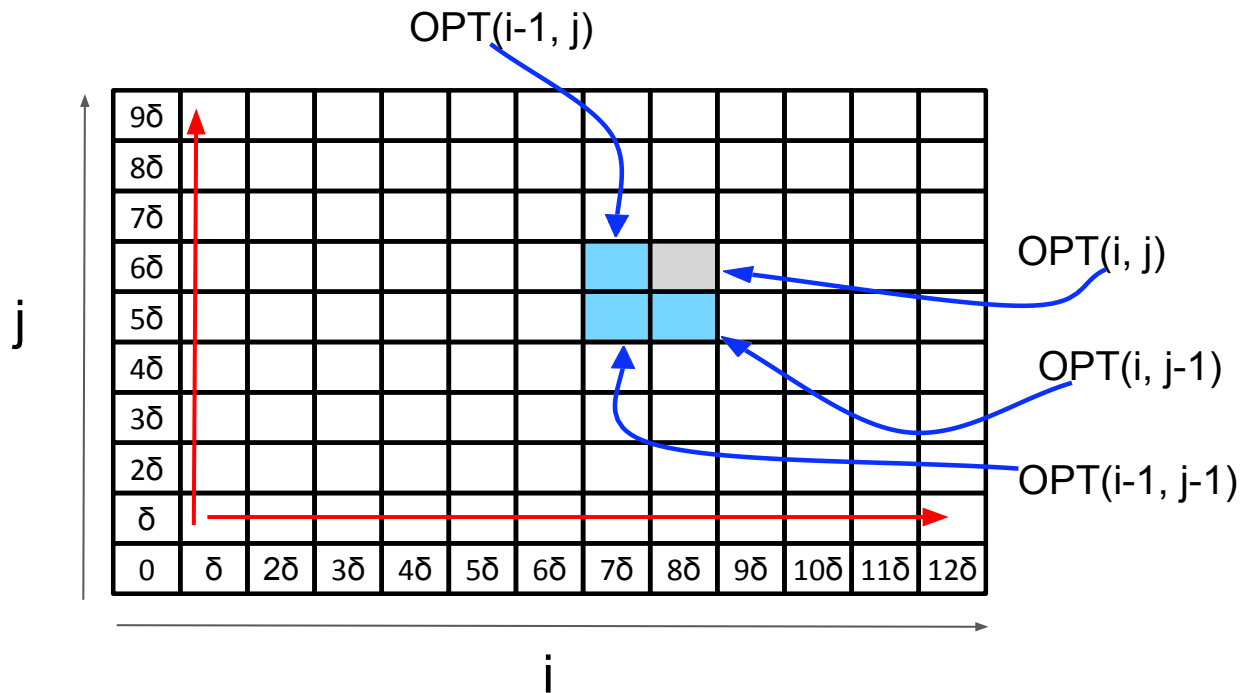
The running time will be $O(m^3n^3)$

Recall: Global Alignment Matrix

$OPT(i,j)$ contains the score for the best alignment between:

the first i characters of string x [prefix i of x]

the first j character of string y [prefix j of y]



Maximization vs. Minimization

Global alignment:

$$OPT(i, j) = \min \begin{cases} \text{cost}(a_i, b_j) + OPT(i-1, j-1) \\ \text{gap} + OPT(i-1, j) \\ \text{gap} + OPT(i, j-1) \end{cases}$$

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

Sequence Similarity: replace *min* with a *max* and *negate* the parameters.

gap penalty → gap benefit (probably negative)

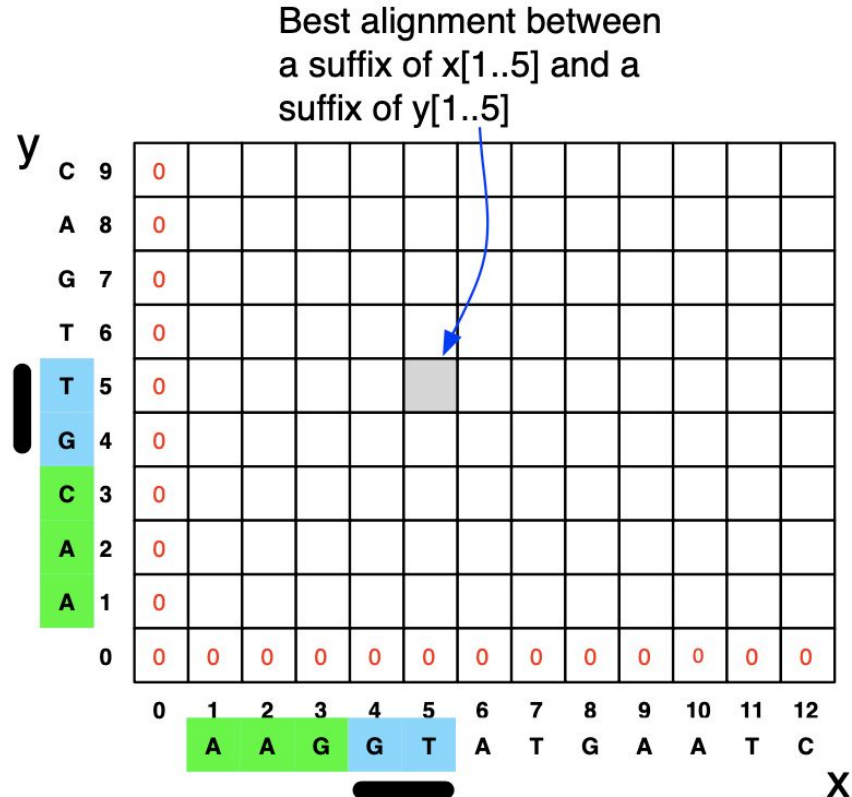
cost → score

Minimization → maximization

Local Alignment

New meaning of entry of matrix entry:

$A[i, j]$ = best score between:
some suffix of $x[1..j]$
and
some suffix of $y[1..i]$



How do we fill in the local alignment matrix?

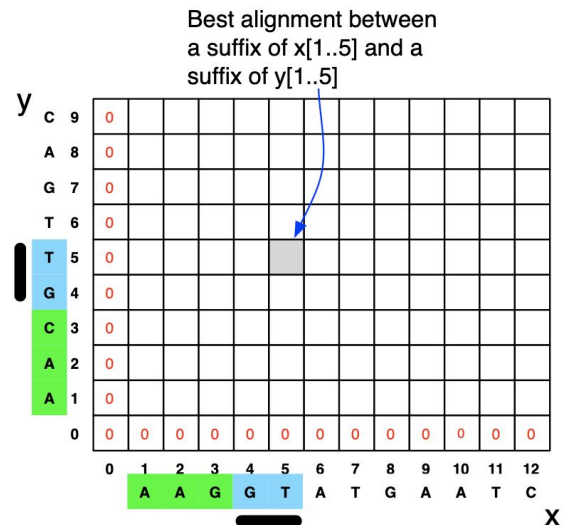
$$A[i, j] = \max \begin{cases} A[i, j - 1] + \text{gap} & (1) \\ A[i - 1, j] + \text{gap} & (2) \\ A[i - 1, j - 1] + \text{match}(i, j) & (3) \\ 0 & (4) \end{cases}$$

(1), (2), and (3): same cases as before: gap in x, gap in y, match x and y

New case: 0

allows you to say the best alignment between a suffix of x and a suffix of y is the empty alignment.

Lets us “start over”



Local Alignment

- Initialize first row and first column to be 0.
- The score of the best local alignment is the largest value in the entire array.
- To find the actual local alignment:
 - start at an entry with the maximum score
 - traceback as usual
 - stop when we reach an entry with a score of 0

Local Alignment Example #1

X = AG**CG**TAG

Y = CT**CG**TC

Score(match) = 10

Score(mismatch) = -5

Score(gap) = -7

	*	A	G	C	G	T	A	G
*	0	0	0	0	0	0	0	0
C	0	0	0	10	3	0	0	0
T	0	0	0	3	5	13	6	0
C	0	0	0	10	3	6	8	1
G	0	0	10	3	20	13	6	18
T	0	0	3	5	13	30	23	16
C	0	0	0	13	6	23	25	18

Note: this table written top-to-bottom
instead of bottom-to-top

Local Alignment Example #2

X = **bestoftimes**

Y = **soften**

Score(match) = 10

Score(mismatch) = -5

Score(gap) = -7

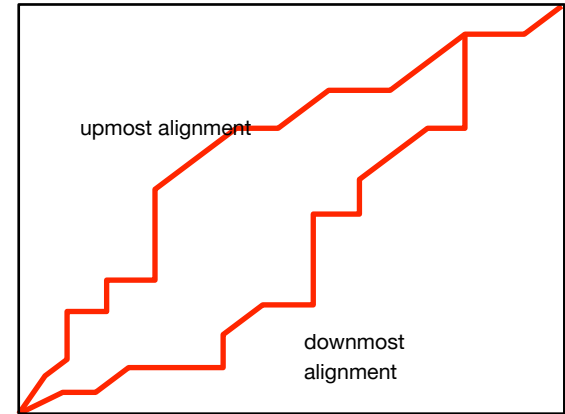
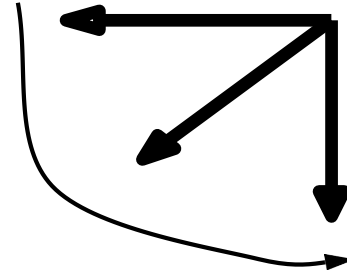
	*	b	e	s	t	o	f	t	i	m	e	s
*	0	0	0	0	0	0	0	0	0	0	0	0
s	0	0	0	10	3	0	0	0	0	0	0	10
o	0	0	0	3	5	13	6	0	0	0	0	3
f	0	0	0	0	0	6	23	16	9	2	0	0
t	0	0	0	0	10	3	16	33	26	19	12	5
e	0	0	10	3	3	5	9	26	28	21	29	22
n	0	0	3	5	0	0	2	19	21	23	22	24

Note: this table written top-to-bottom instead of bottom-to-top

Multiple optimal alignments

When there are ties in the $\max\{ \}$, we have a choice about which arrow to follow.

This gives us multiple optimal alignments which have the same cost/score.



Local / Global Recap

- Alignment cost sometimes called the “edit distance” between two strings.
- Algorithm for global alignment is sometimes called “Needleman-Wunsch”
- Algorithm for local alignment is sometimes called “Smith-Waterman”
- Same basic algorithm, however.

Scoring mismatches

BLOSUM (BLOcks SUBstitution Matrix) matrix

	Ala	Arg	Asn	Asp	Cys	Gln	Glu	Gly	His	Ile	Leu	Lys	Met	Phe	Pro	Ser	Thr	Trp	Tyr	Val
Ala	4																			
Arg	-1	5																		
Asn	-2	0	6																	
Asp	-2	-2	1	6																
Cys	0	-3	-3	-3	9															
Gln	-1	1	0	0	-3	5														
Glu	-1	0	0	2	-4	2	5													
Gly	0	-2	0	-1	-3	-2	-2	6												
His	-2	0	1	-1	-3	0	0	-2	8											
Ile	-1	-3	-3	-3	-1	-3	-3	-4	-3	4										
Leu	-1	-2	-3	-4	-1	-2	-3	-4	-3	2	4									
Lys	-1	2	0	-1	-3	1	1	-2	-1	-3	-2	5								
Met	-1	-1	-2	-3	-1	0	-2	-3	-2	1	2	-1	5							
Phe	-2	-3	-3	-3	-2	-3	-3	-3	-1	0	0	-3	0	6						
Pro	-1	-2	-2	-1	-3	-1	-1	-2	-2	-3	-3	-1	-2	-4	7					
Ser	1	-1	1	0	-1	0	0	0	-1	-2	-2	0	-1	-2	-1	4				
Thr	0	-1	0	-1	-1	-1	-1	-2	-2	-1	-1	-1	-2	-1	1	5				
Trp	-3	-3	-4	-4	-2	-2	-3	-2	-2	-3	-2	-3	-1	1	-4	-3	-2	11		
Tyr	-2	-2	-2	-3	-2	-1	-2	-3	2	-1	-1	-2	-1	3	-3	-2	-2	2	7	
Val	0	-3	-3	-3	-1	-2	-2	-3	-3	3	1	-2	1	1	-1	-2	0	-3	-1	4

PAM (Point accepted mutation) matrix

[illegible]

For DNA sequences, A-G and C-T mismatches have less penalty than other mismatches

Varying gap cost models

- Linear gap penalty: $w(k)=k*\delta$
- Affine gap penalty
 - Big initial cost for starting (or ending) a gap
 - Incremental penalty for each additional gap
 - $w(k)=h+k*\delta$ if $k \geq 1$; $w(k)=0$ if $k=0$.
- General gap penalty
 - Any cost function
 - May not be computable with the same DP model

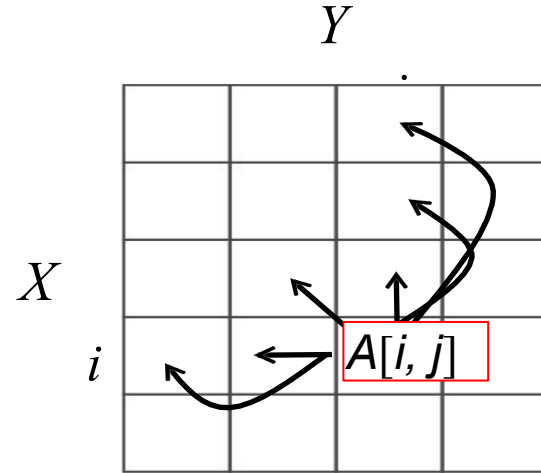
Dynamic programming for affine gaps?

Possible cases:

$A[i-1, j-1]$

$A[i-1, j], A[i-2, j], \dots$

$A[i, j-1], A[i, j-2], \dots$



- We can use the same approach we used for the linear gap, but...
- Running time increases from $O(mn)$ to $O(mn(m+n))$
- For $m=n$, the increase is from $O(n^2)$ to $O(n^3)$

DP for affine gap

- We can reduce the time to $O(mn)$, but we need 3 matrices instead of 1

$M(i,j)$ = score of the best alignment of $x[1..i]$ with $y[1..j]$
given that $x[i]$ is aligned to $y[j]$

x_i
 y_j

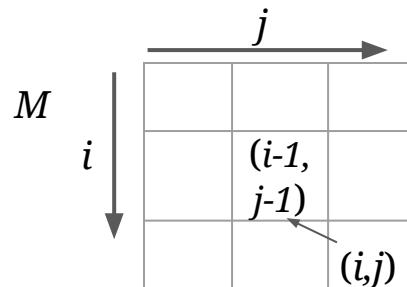
$I_x(i,j)$ = score of the best alignment of $x[1..i]$ with $y[1..j]$
given that $x[i]$ is aligned to a gap

x_i
-

$I_y(i,j)$ = score of the best alignment of $x[1..i]$ with $y[1..j]$
given that $y[j]$ is aligned to a gap

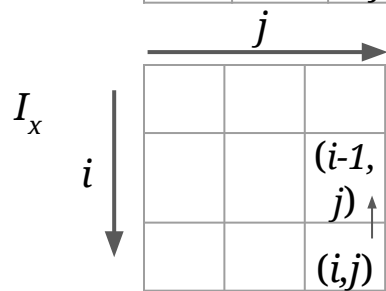
-
 y_j

DP for affine gap



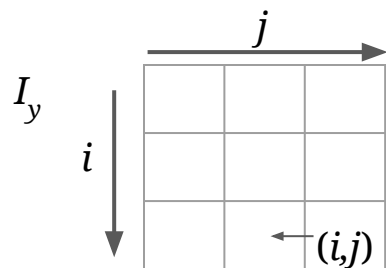
x_i
 y_j

$$M(i, j) = \max \begin{cases} M(i-1, j-1) + s(x_i, y_j) \\ I_x(i-1, j-1) + s(x_i, y_j) \\ I_y(i-1, j-1) + s(x_i, y_j) \end{cases}$$



x_i
-

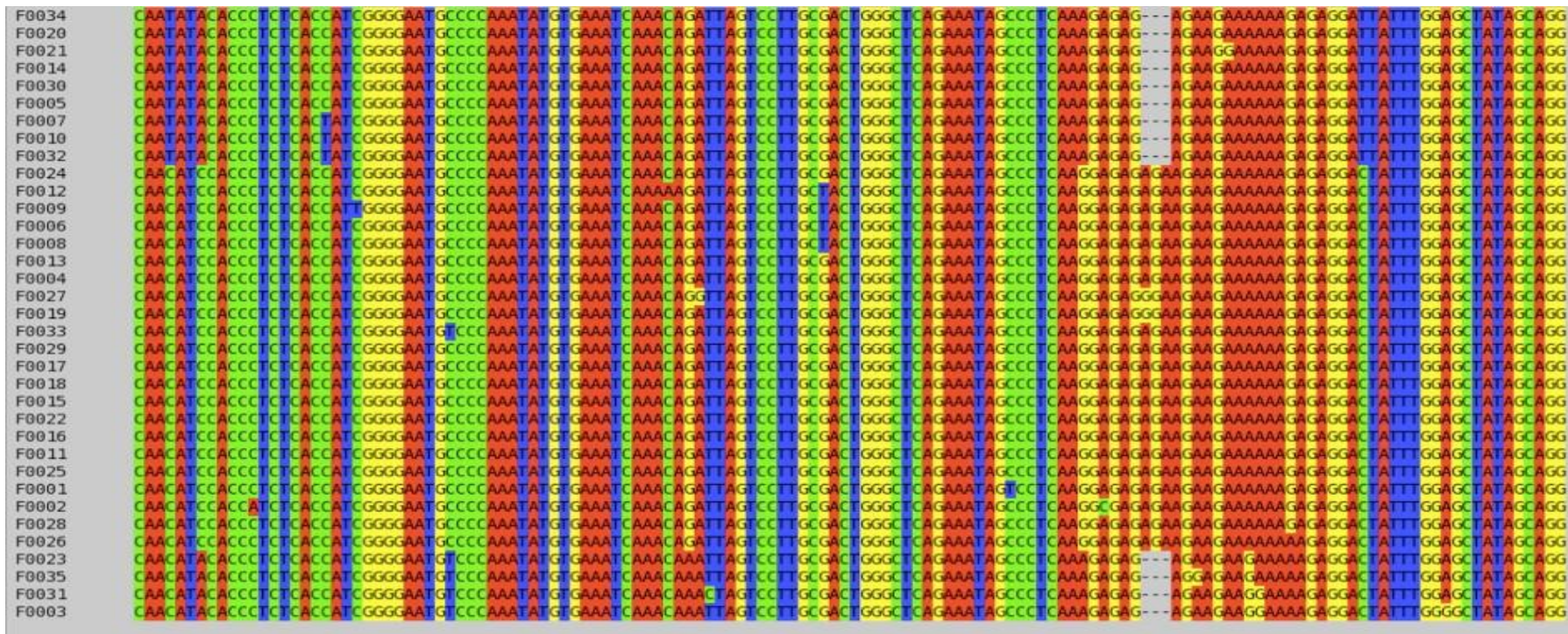
$$I_x(i, j) = \max \begin{cases} M(i-1, j) + h + g \\ I_x(i-1, j) + g \\ I_y(i-1, j) + h + g \end{cases}$$



-
 y_j

$$I_y(i, j) = \max \begin{cases} M(i, j-1) + h + g \\ I_x(i, j-1) + h + g \\ I_y(i, j-1) + g \end{cases}$$

Multiple Sequence Alignment (MSA)

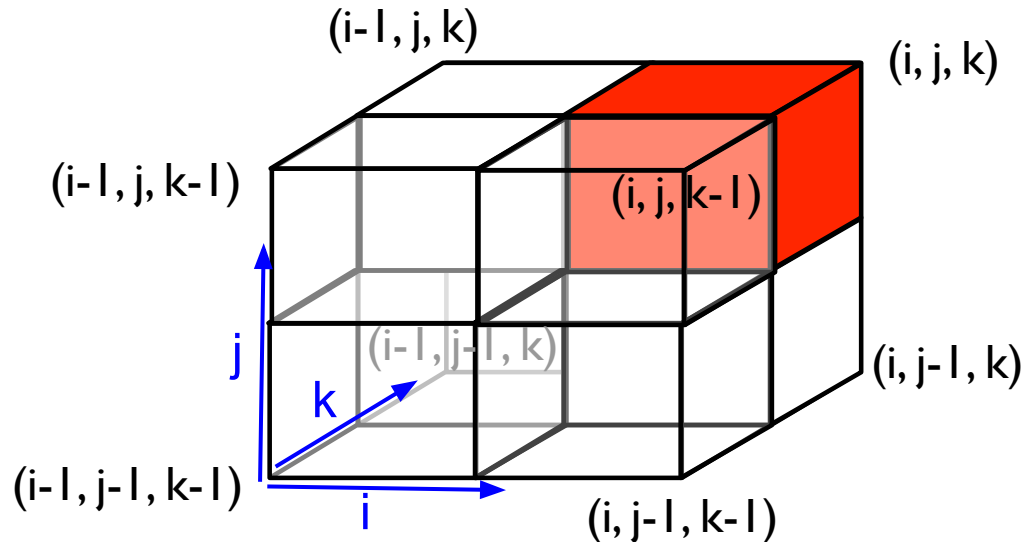


Multiple sequence alignment: find more subtle patterns
& find common patterns between all sequence.

From 2 sequences to multiple - Dynamic Programming?

Suppose you had just 3 sequences.

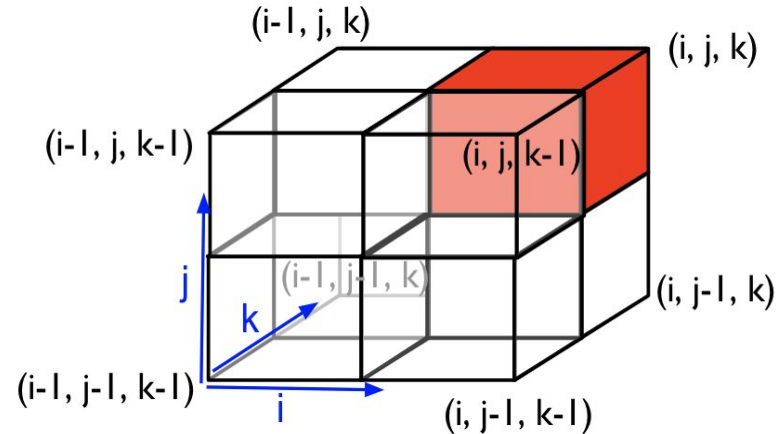
Apply the same DP idea as sequence alignment for 2 sequences, but now with a 3-dimensional matrix



DP Recurrence for 3 sequences

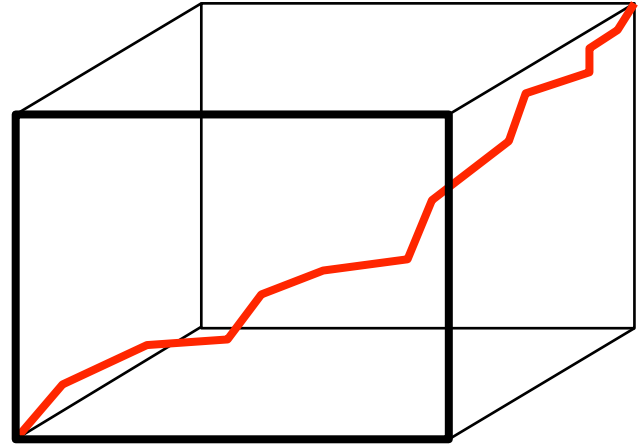
$$A[i, j, k] = \min \left\{ \begin{array}{l} \text{cost}(x_i, y_j, z_k) + A[i-1, j-1, k-1] \\ \text{cost}(x_i, -, -) + A[i-1, j, k] \\ \text{cost}(x_i, y_j, -) + A[i-1, j-1, k] \\ \text{cost}(-, y_j, z_k) + A[i, j-1, k-1] \\ \text{cost}(-, y_j, -) + A[i, j-1, k] \\ \text{cost}(x_i, -, z_k) + A[i-1, j, k-1] \\ \text{cost}(-, -, z_k) + A[i, j, k-1] \end{array} \right.$$

Every possible pattern for the gaps.
 $2^3 - 1$ cases.



Running time

- n^3 subproblems, each takes 2^3 time
 $\Rightarrow O(n^3)$ time.
- For p sequences: n^p subproblems, each takes 2^p time for the min $\Rightarrow O(n^p 2^p)$
- Even $O(n^3)$ is often too slow for the length of sequences encountered in practice.
- One solution: approximation algorithm.



Generalizing Alignment to > 2 Sequences

Input: Sequences S_1, S_2, \dots, S_p

Let $cost(x_1, x_2, \dots, x_p)$ be a user-supplied function that computes the quality of a column: an alignment between characters x_1, x_2, \dots, x_p .

- **Goal:** find alignment M to **minimize** \sum cost of the columns:

$$\text{cost}(x_1, x_2, \dots, x_p) = \text{cost}(\underbrace{\text{[red bar] [grey bar]}}_{\text{[red bar] [grey bar]}})$$

[illegible]

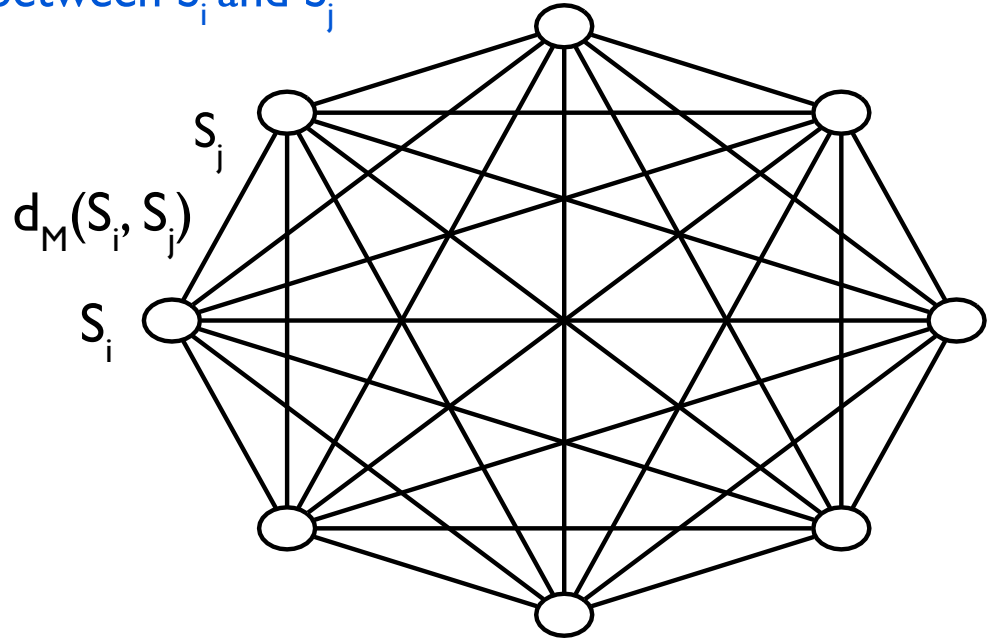
How do we define cost function for multiple sequence alignment?

A particular cost() function, the SP-Score (sum-of-pairs), is commonly used and allows us to design an approximation algorithm for the MSA problem.

$d_M(S_i, S_j)$ = the cost of the alignment between S_i and S_j
as implied by **MSA M**.

$$\text{SP-Score}(M) = \sum_{i < j} d_M(S_i, S_j)$$

= sum of all the scores of the pairwise alignments implied by M.



Multiple Sequence Alignment

- A multiple sequence alignment (MSA) implies a pairwise alignment between every pair of sequences.
- This implied/induced alignment need not be optimal, however:

match = -1, a mismatch = 1, gap = 2 Sequences: AT, A, T, AT, AT

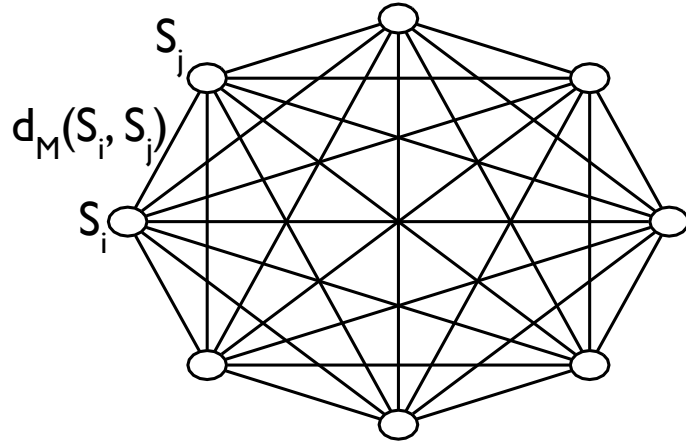
Optimal MSA:	AT	Optimal Alignment between A and T:	A
	A-		T
	-T		+1
	AT		
	AT		
	+2 +2 = 4		

Calculating the SP-score for column 1:

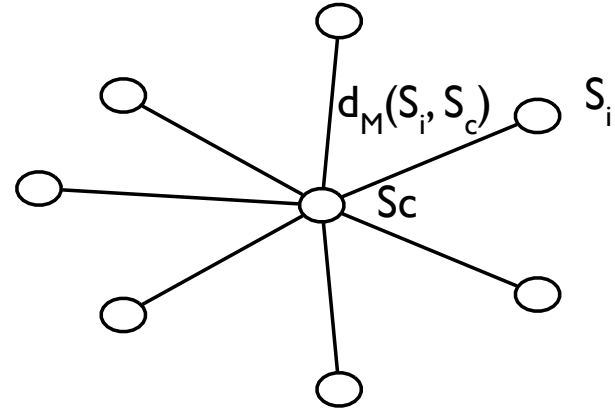
(A,A), (A,-), (A,A), (A,A), (A, -), (A,A), (A,A) (-,A), (-,A), (A,A)

-1 + 2 -1 -1 +2 -1 -1 +2 +2 -1 = +2

Star Alignment Approximation



SP-Score



$$\text{Star-Score} = \sum_i d_M(S_i, S_c)$$

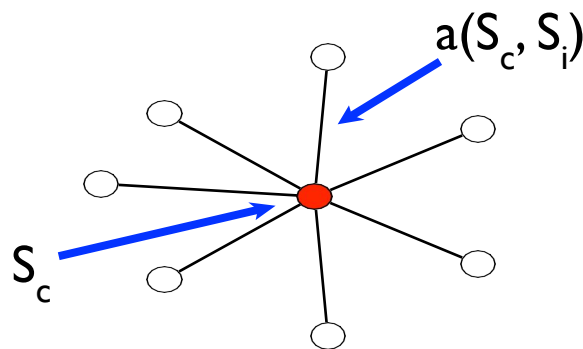
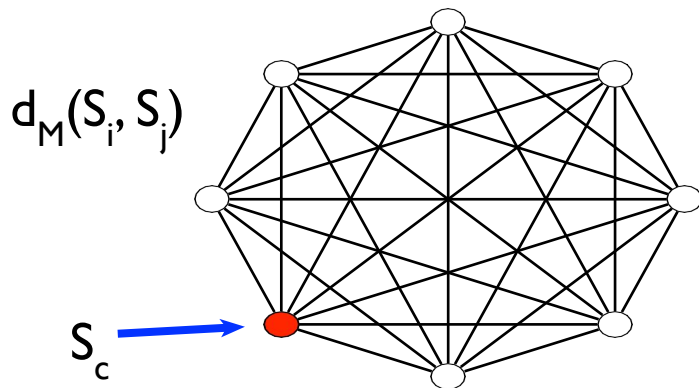
Star Alignment Algorithm

Input: sequences S_1, S_2, \dots, S_p

- Build all $O(p^2)$ pairwise alignments.
- Let S_c = the sequence in S_1, S_2, \dots, S_p that is closest to the others. That is, choose S_c to minimize:

$$\sum_{i \neq c} a(S_c, S_i)$$

- *Progressively align* all other sequences to S_c .



Progressive Alignment

Idea: Build a multiple sequence alignment up from pairwise alignments.

Start with an alignment between S_c and some other sequence:

```
SC  YFPHFDLSHGSAQVKAHGKKVGDALTLAVGHLDDLPGAL
S1  YFPHFDLSHG-AQVKG--KKVADALTNAVAHVDDMPNAL
```

Add 3rd sequence, say S2, and use the SC - S2 alignment as a guide, adding spaces into the MSA as needed.

SC - S2 alignment:

```
SC  YFPHF-DLS-----HGSAQVKAHGKKVGDALTLAVGHLDDLPGAL
S2  FFPKFKGLTTADQLKKSADVRWHAERII---NAVNDAVASMDDTEKMS
```

New {SC, S1, S2} alignment (*carry all gaps from pairwise alignments*):

```
SC      YFPHF-DLS-----HGSAQVKAHGKKVGDALTLAVGHLDDLPGAL
S1      YFPHF-DLS-----HG-AQVKG--KKVADALTNAVAHV-----DDMPNAL
S2  FFPKFKGLTTADQLKKSADVRWHAERII---NAVNDAVASMDDTEKMS
```

Continue with S3, S4, ...

Performance of “star” progressive alignment

Assume the cost function satisfies the triangle inequality:

$$\text{cost}(x,y) \leq \text{cost}(x,z) + \text{cost}(z,y)$$

STAR = cost of result of star algorithm under SP-score

OPT = cost of optimal multiple sequence alignment (under SP-score)

Theorem. If cost satisfies the triangle inequality, then $\text{STAR} \leq 2 \times \text{OPT}$.

Example: if optimal alignment has cost 10, the star alignment will have cost ≤ 20 .

2-approximation of STAR: Proof (1)

Theorem. If cost satisfies the triangle inequality, then $\text{STAR} \leq 2\text{OPT}$.

$$\frac{\text{STAR}}{\text{OPT}} \leq 2$$

For some B we will
prove the 2 statements:

This will imply:

$$\begin{array}{l} \text{STAR} \leq 2B \\ \text{OPT} \geq B \end{array}$$

$$\Rightarrow \frac{\text{STAR}}{\text{OPT}} \leq \frac{2B}{B} = 2$$

2-approximation of STAR: Proof (2)

Theorem. If cost satisfies the triangle inequality, then $\text{STAR} \leq 2\text{OPT}$.

$$\begin{aligned} 2 \cdot \text{STAR} &= \sum_{ij} d_{\text{STAR}}(S_i, S_j) \quad \text{defn of SP-score} \\ &\stackrel{\text{by triangle inequality}}{\leq} \sum_{ij} (d_{\text{STAR}}(S_i, S_c) + d_{\text{STAR}}(S_c, S_j)) \\ &\stackrel{\text{because STAR alignment is optimal for pairs involving } S_c}{=} \sum_{ij} (\mathbf{a}(S_i, S_c) + \mathbf{a}(S_c, S_j)) \\ &\stackrel{\text{distribute } \Sigma}{=} \sum_{ij} \mathbf{a}(S_i, S_c) + \sum_{ij} \mathbf{a}(S_c, S_j) \\ &\leq 2p \sum_i \mathbf{a}(S_i, S_c) \quad \begin{array}{l} \text{sums are the same} \\ \text{and each term appears} \\ \leq p \text{ (\# of sequences)} \\ \text{times.} \end{array} \end{aligned}$$

2-approximation of STAR: Proof (3)

Theorem. If cost satisfies the triangle inequality, then $\text{STAR} \leq 2\text{OPT}$.

$$2 \cdot \text{OPT} = \sum_{ij} d_{\text{OPT}}(S_i, S_j) \quad \text{defn of SP-score}$$

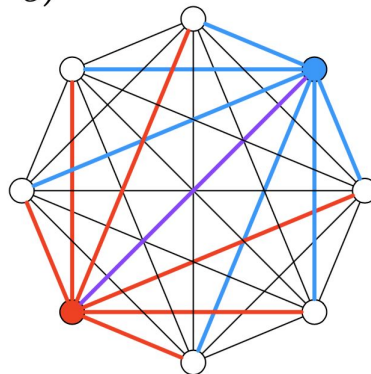
optimal pairwise alignment
is \leq pairwise alignment
induced by any MSA

$$\geq \sum_{ij} a(S_i, S_j)$$

sum of cost of all pairwise
alignments is = the sum of p
different stars.

$$\geq p \sum_i a(S_i, S_c)$$

We chose S_c because it was
the lowest-cost star.



2-approximation of STAR: End of Proof

For some B we will
prove the 2 statements:

$$\begin{aligned} \text{STAR} &\leq 2B \\ \text{OPT} &\geq B \end{aligned}$$

This will imply:

$$\Rightarrow \frac{\text{STAR}}{\text{OPT}} \leq \frac{2B}{B} = 2$$

$$\begin{aligned} 2 \cdot \text{STAR} &\leq 2p \sum_i a(S_i, S_c) \\ 2 \cdot \text{OPT} &\geq p \sum_i a(S_i, S_c) \end{aligned}$$

$$\Rightarrow \frac{\text{STAR}}{\text{OPT}} \leq \frac{2p \sum_i a(S_i, S_c)}{p \sum_i a(S_i, S_c)} = 2$$

Consensus Sequence

For every column j ,
choose $c \in A_j$ that
minimizes $\sum_i \text{cost}(c, S_i[j])$



(typically this means the
most common letter)

```
S1      YFPHF-DLS-----HGSAQVKAHGKKVG-----DALTLAVAHLLDDLPGAL
S2      YFPHF-DLS-----HG-AQVKG-GKKVA-----DALTNAVAHVDDMPNAL
S3      FFPKFKGLTTADQLKKSADVRWHAERII-----NAVNDAVASMDDTEKMS
S4      LFSFLKGTSEVP--QNNPELQAHAGKVFKLVYEAAIQLQVTGVVVTDATL
CO YFPHFKDLS-----HGSAQVKAHGKKVG-----DALTLAVAHVDDTPGAL
```

- Consensus is a summarization of the whole alignment.
- Consensus sequence is sometimes used as an estimate for the ancestral sequence.
- Sometimes the MSA problem is formulated as: find MSA M that minimizes:
 $\sum_i d_M(\text{CO}, S_i)$

Other progressive alignment strategy

First align the most similar sequences

How do we represent an alignment such that we can align a sequence to an alignment, or align two alignments?

Profiles

- Another way to summarize an MSA:

S1 ACG-TT-GA

S2 ATC-GTCGA

S3 ACGCGA-CC

S4 ACGCGT-TA

Column in the alignment

Character

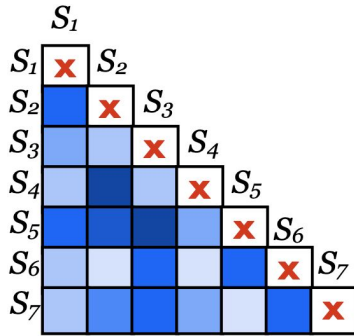
	1	2	3	4	5	6	7	8	9
A	1	0	0	0	0	0.25	0	0	0.75
C	0	0.75	0.25	0.5	0	0	0.25	0.25	0.25
G	0	0	0.75	0	0.75	0	0	0.5	0
T	0	0.25	0	0	0.25	0.75	0	0.25	0
-	0	0	0	0.5	0	0	0.75	0	0

Call this profile
matrix R

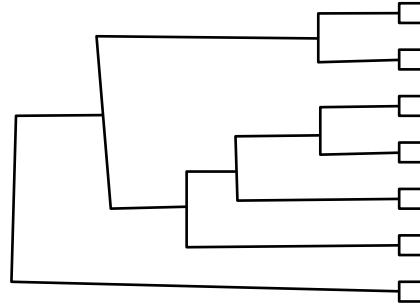
Fraction of time
given column had
the given character

CLUSTLW

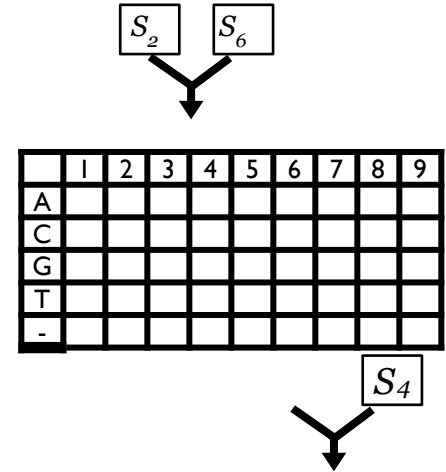
- CLUSTLW is a widely used, “classical” heuristic multiple aligner.
- Not the fastest, not the most accurate, but pretty good.
- Large # of heuristic tricks included in the software, but basic idea is straightforward:



(1): Build pairwise distance matrix



(2): Build guide tree



(3): Align sequences / **sets of sequences** from the most similar to least similar

Profile-based Alignment

gap in profile
introduced to better
fit sequence

R =

	1	2	3	4		5	6	7	8	9
A	1	0	0	0		0	0.25	0	0	0.75
C	0	0.75	0.25	0.5		0	0	0.25	0.25	0.25
G	0	0	0.75	0		0.75	0	0	0.5	0
T	0	0.25	0	0		0.25	0.75	0	0.25	0
-	0	0	0	0.5		0	0	0.75	0	0
	A	C	G	-	A	G	A	C	G	A

Score of matching character x with
column j of the profile:

$$P(x, j) = \sum_{c \in \Sigma} \text{sim}(x, c) \times R[c, j]$$

$\text{sim}(x, c)$ = how similar character x is
to character c .

$$A[i, j] = \max \begin{cases} A[i-1, j-1] + P(x_i, j) & \text{align } x_i \text{ to column } j \\ A[i-1, j] + \text{gap} & \text{introduce gap into profile} \\ A[i, j-1] + P("-", j) & \text{introduce gap into } x \end{cases}$$

MSA Recap

- Multiple sequence alignments (MSAs) are a fundamental tool. They help reveal subtle patterns, compute consistent distances between sequences, etc.
- Quality of MSAs often measured using the SP-score: sum of the scores of the pairwise alignments implied by the MSA.
- Same DP idea as pairwise alignment leads to exponentially slow algorithm for MSA for general p .
- 2-approximation obtainable via star alignments.
- MSAs often used to create profiles summarizing a family of sequences.

Further reading

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- Thompson, J. D., Linard, B., Lecompte, O. & Poch, O. A comprehensive benchmark study of multiple sequence alignment methods: current challenges and future perspectives. *PLoS One* **6**, e18093 (2011)
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