# Why Align Strings?

- Find small differences between strings
  - Differences ~every 100 characters in DNA
- See if the suffix of one sequence is a prefix of another
  - Useful in shotgun sequencing
- Find common subsequences (*cf* definition)
  - Homology or identity searching
- Find similarities of members of the same family
  - Structure prediction

# Alignment

- Not an exact match

- Can be based on edit distance

- Usually based on a similarity measure

# Metrics

A metric $\rho: X \rightarrow \Re$ is a function with the following properties for $a,b,c \in \Re$

- $P(a) \in \Re, \ \rho \geq 0$ *(real, non-negative)*

- $\rho(a,a)=0$ *(identity)*

- $\rho(a,b)= \rho(b,a)$ *reflexive*

- $\rho(a,c) \leq \rho(a,b)+ \rho(b,c)$ (*triangle inequality)*

Often $\rho$ is called a 'distance'

# Edit Distance

The number of changes requires to change one sequence into another is called the *edit distance.*

| V | I | N | T | N | E | R | S |
|---|---|---|---|---|---|---|---|
| V | I | N | E | Y | A | R | D |

Edit Distance = 4

# Similarity

We are more inclined to use the concept of *similarity*, an alignment scoring function instead. We can then

- deal with gaps
- weight specific substitutions.

Note that similarity is NOT A METRIC.

# Example of a Scoring Function for Similarity

| | |
|---|---|
| Match | +1 |
| Mismatch (replacement) | -1 |
| Align with gap (insertion or deletion) Called "Indels" by Waterman | -2 |

# Similarity Scoring of an Alignment
## Example of Two of 6 Possible Alignments

$$
\begin{array}{cccccc}
A & T & G & C & A & T \\
C & T & - & G & C & T \\
\hline
-1 & 1 & -2 & -1 & -1 & 1
\end{array} = -3
$$

$$
\begin{array}{cccccc}
A & T & G & C & A & T \\
C & T & G & C & - & T \\
\hline
-1 & 1 & 1 & 1 & -2 & 1
\end{array} = 1
$$

# String (Sequence) Alignment

- Global Alignment
  - Every character in the query (source) string lines up with a character in the target string
  - May require gap (space) insertion to make strings the same length

- Local Alignment
  - An "internal" alignment or embedding of a substring (*sic*) into a target string

# Global *vs* Local

GLOBAL

$$A \quad T \quad G \quad A \quad T \quad A \quad C \quad C \quad C \quad T$$
$$T \quad T \quad G \quad - \quad T \quad A \quad C \quad G \quad - \quad T$$

LOCAL

$$A \quad T \quad G \quad A \quad T \quad A \quad C \quad C \quad C \quad T$$
$$\quad\quad T \quad G \quad A \quad A \quad A \quad G \quad G$$

# Optimal Global Alignments

$$
\begin{array}{cccccc}
A & T & G & C & A & T \\
C & T & - & G & C & T \\
\hline
-1 & 1 & -2 & -1 & -1 & 1
\end{array} = -3
$$

$$
\begin{array}{cccccc}
A & T & G & C & A & T \\
C & T & G & C & - & T \\
\hline
-1 & 1 & 1 & 1 & -2 & 1
\end{array} = 1
$$

In the earlier example repeated here, the second alignment is obviously better.

How do we know it is optimal?

In this example there are only 6 possible alignments; in a long string the number can become very large.

# The Size of the String Alignment Problem

Consider a string of length n to be aligned with another string that has $g$ gaps  ($g \leq n/2$)

- With 1 gap there are $n$ places to put the gap
- With 2 gaps there are $n$-1 places to put the second gap
- With g gaps, there are $n$-$g$+1 places to put the $g^{th}$ gap or $n(n\text{-}1)(n\text{-}2)\times\ldots\times(n\text{-}g\text{+}1)$ possibilities for all gaps

Thus there are precisely $n!/(n\text{-}g)!$ or approximately $n^g$ possible ways to align..

# Dynamic Programming to Find Optimal Sequence Alignment

- In sequence alignment, can piece together optimal <u>prefix</u> alignments to get a ***global*** solution based on optimizing a scoring function (maximizing in this case).

- Can be applied to a wide variety of alignment problems (Max probability through a Markov Chain→Viterbi Algorithm) provided the have the optimality principle.

# The Basic Optimal Alignment Problem has a Complete Algorithmic Solution Using Dynamic Programming

- Define a scoring function
- Find optimal alignment for prefixes of the query and target strings
  - May need to insert gaps to accomplish this
- Extend the process to larger chunks of the problem
  - Dynamic Programming

# Principle of Optimality

The problem must have the *principle of optimality* for a valid dynamic Consider a network of cities connected by some roads.
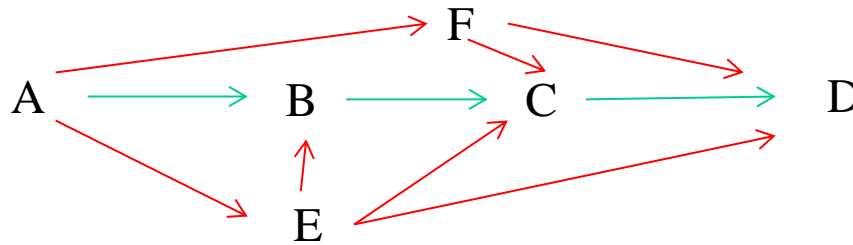


OPTIMALITY:    If the optimal (*sci* shortest) path from A to D passes through B and C then the optimal path from B to D must also pass through C
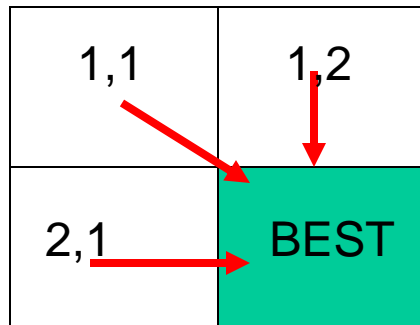
# Dynamic Programming

Conceptually complex,  *BUT*………

- The solution runs in time $\mathfrak{O}(n^k)$ (polynomial time)

- Works when a problem possesses the principle of optimality.

- If so, will always give the optimal solution (not a heuristic)
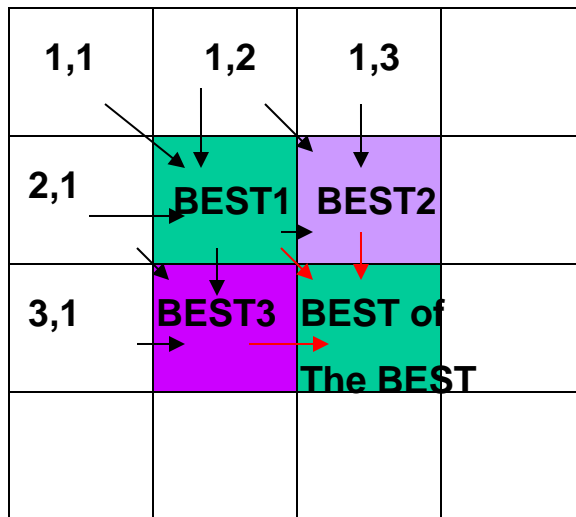
# Computation -Matrix Form

- Start with smallest possible indices (i,j) of the two strings — (1,1) here



- Compute best solution from 3 choices

# Bottom-Up Computation Matrix Form

- Increase the size of the problem by incrementing an index and select best of all possible  smaller solutions

| 1,1 | 1,2 | 1,3 | |
|---|---|---|---|
| 2,1 | BEST1 | BEST2 | |
| 3,1 | BEST3 | BEST of The BEST | |
| | | | |

**Best1 = Max[(1,1),(1,2),(2,1)]**

**Best2 = Max[Best1,(1,2),(1,3)]**

**Best3 = Max[Best1,(3,1),(2,1)]**

**Best of the Best =
        Max[Best1Best2,Best3]**

# Dynamic Programming

But because we have already analyzed 1,1 1,2 and 2,1 we don't have to do it again; we just need the best solution to put into 2,2 as an element in the next step. (because of optimality)

# Dynamic Programming

- Bottom-up computation

- Traceback
  - For each increasing size, keep track of *which* of the (3) possible subsolutions was the optimal one

# A Popular Scoring Rule
# for Alignment* on a Matrix

$$A(i, j) = \max \begin{cases} A(i-1, j) & -2 & gap \text{ (deletion)} \\ A(i, j-1) & -2 & gap \text{ (insertion)} \\ A(i-1, j-1) & \pm 1 & \text{+ for match, - for mismatch (replacement)} \end{cases}$$

*We will be working with bases (A,C,G,T)  in these examples

# Dynamic Programming

- We are going to look at all possible prefixes in the query (m) against all possible prefixes in the target (n).

- At each step, we will pick out whether we get the best score with an indel, a match, or a replacement, based not on our local score alone, but also in comparison with the cumulative score presented in adjacent cells

- The difficulty of the problem is O(mn)

# Global Alignment
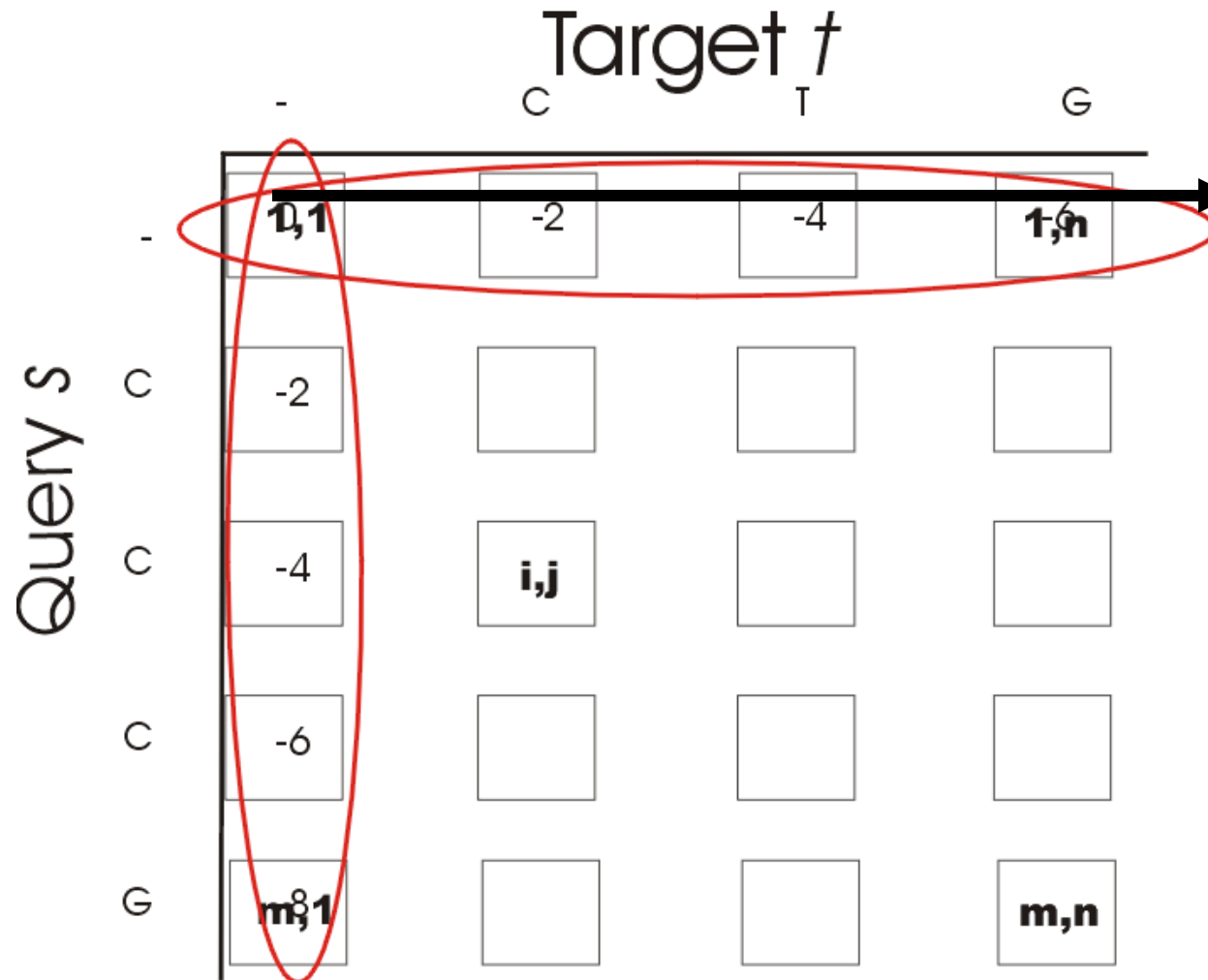## Dynamic Programming Algorithm
### Needleman-Wunsch



In a global alignment, the idea is to get to the m,n th cell, then trace backward

# Global Alignment
## Dynamic Programming Algorithm
### Needleman-Wunsch



Target $t$

Query $s$

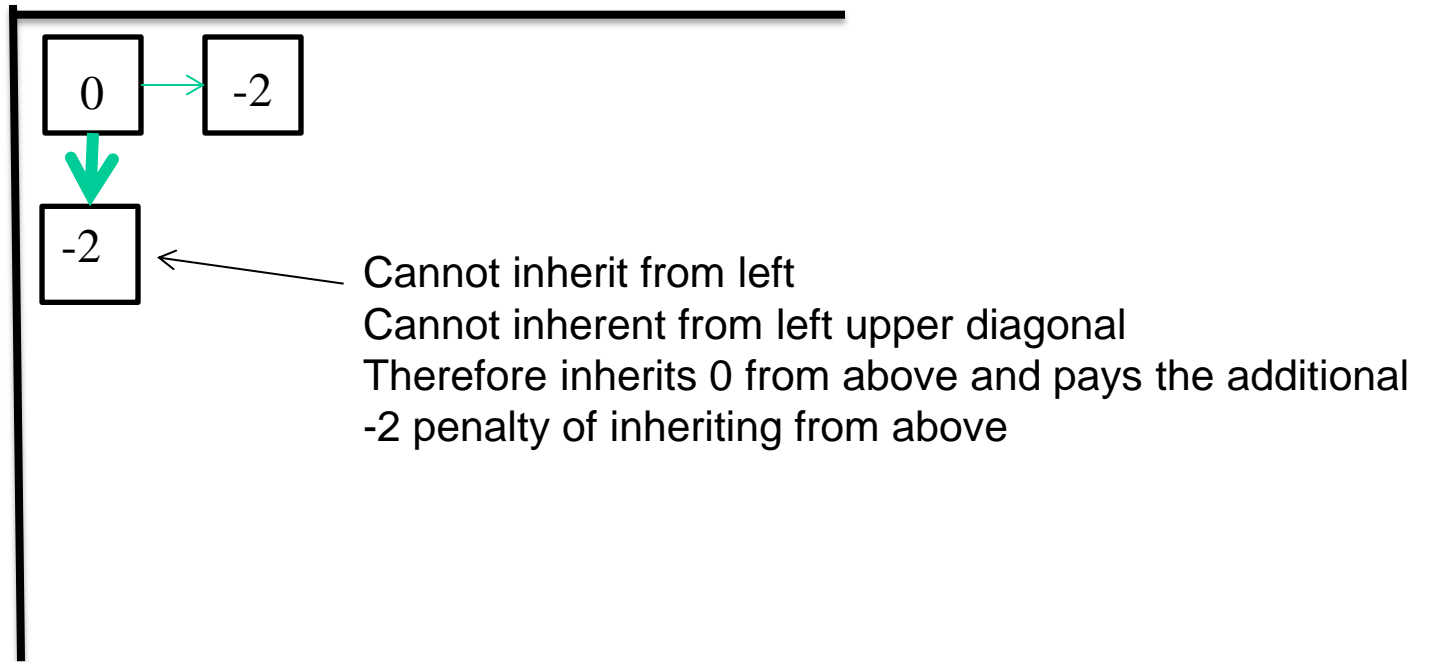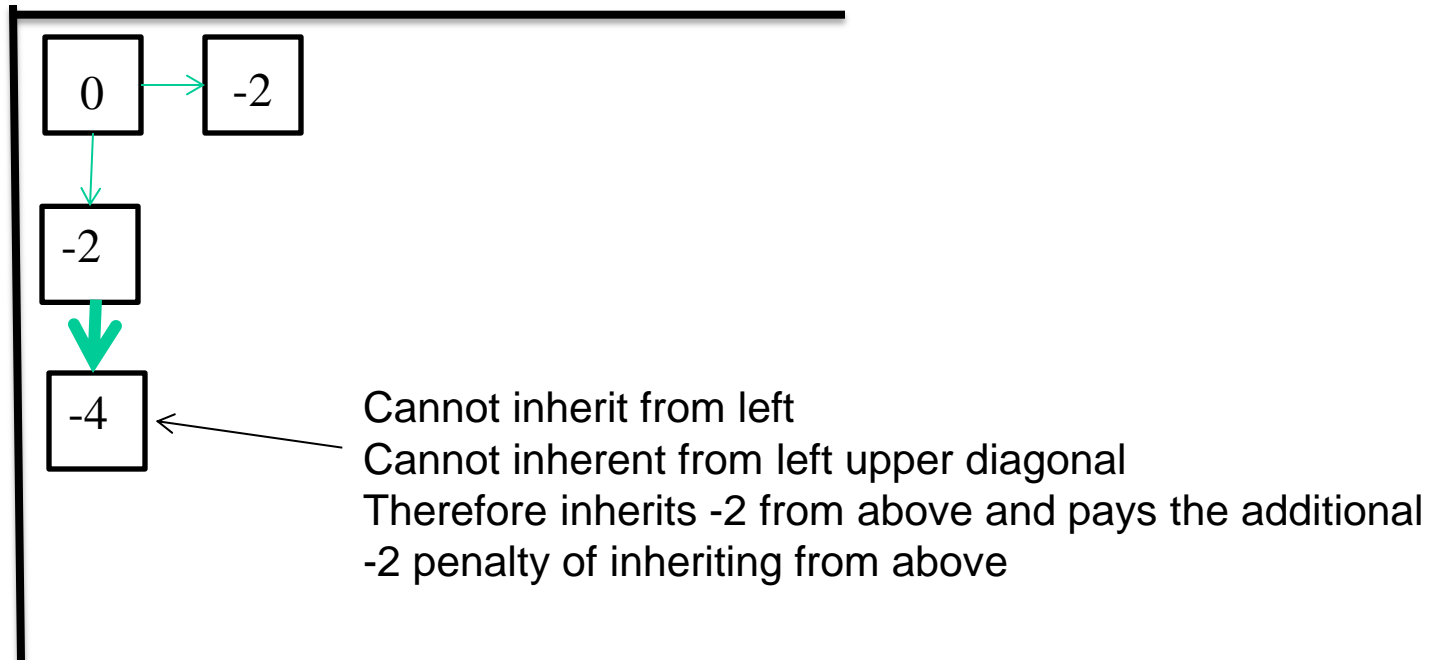| | - | C | T | G |
|---|---|---|---|---|
| - | 1,1 | -2 | -4 | 1,n |
| C | -2 | | | |
| C | -4 | i,j | | |
| C | -6 | | | |
| G | m,1 | | | m,n |

Propagation of horizontal gap penalties.

This is because each target position 'inherits' a gap penalty from the left and each query position 'inherits' a gap penalty from above

-

-

| 0 | → | -2 |

Cannot inherit from above
Cannot inherent from left upper diagonal
Therefore inherits 0 from the left and pays the additional  -2
penalty of inheriting from left horizontal

0 → -2

-2 ← Cannot inherit from left
Cannot inherent from left upper diagonal
Therefore inherits 0 from above and pays the additional
-2 penalty of inheriting from above

Cannot inherit from left
Cannot inherent from left upper diagonal
Therefore inherits -2 from above and pays the additional
-2 penalty of inheriting from above

# Global Alignment
## Needleman-Wunsch
## First prefix is examined

# Global Alignment
## Needleman-Wunsch
## Best score is selected
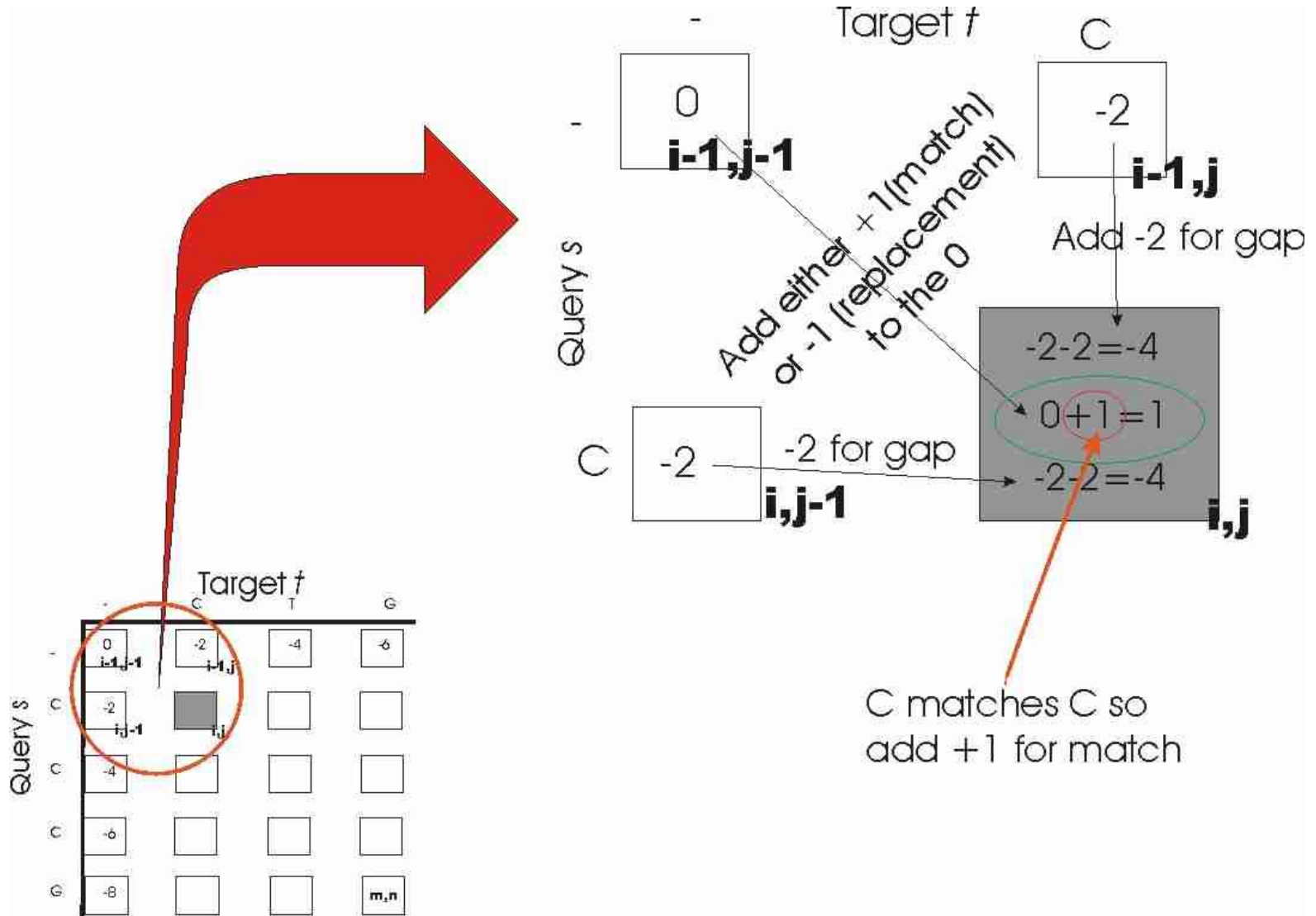
# THE TRACEBACK

The <u>path(s)</u> by which the optimum prefix was generated is kept, along with the score itself

## Target $t$

|  | - | C | T | G |
|---|---|---|---|---|
| - | 0 <br> **1,1** | -2 <br> **i-1,j-1** | -4 <br> **i-1,j** | -6 <br> **1,n** |
| C | -2 | 1 <br> **i,j-1** | **i,j** | |
| C | -4 | **i,j** | | |
| C | -6 | | | |
| G | **m,1** | | | **m,n** |

Query $s$
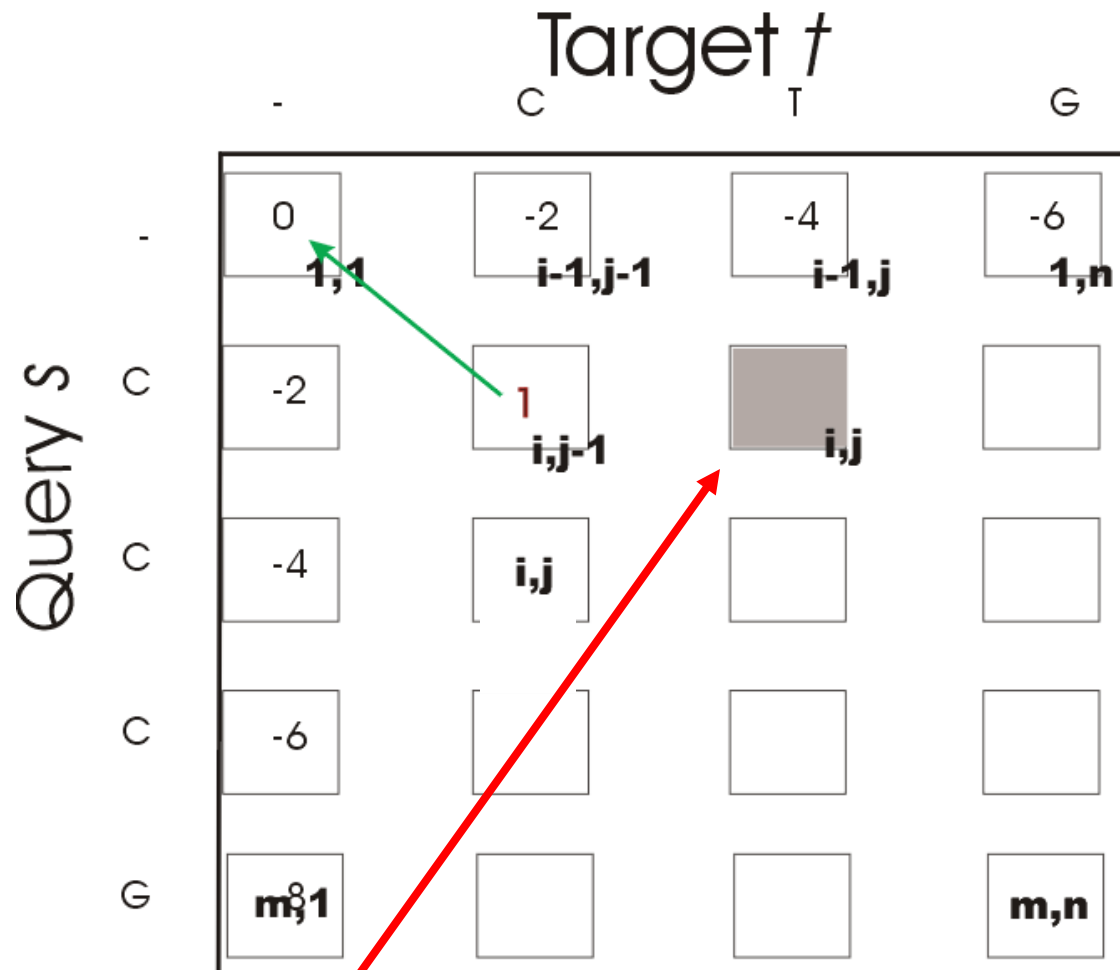
Next, a new, adjacent cell is evaluated

# Global Alignment
## The next optimum prefix is determined by finding the best score



In this cell, the best score (-1) came from a gap in the query
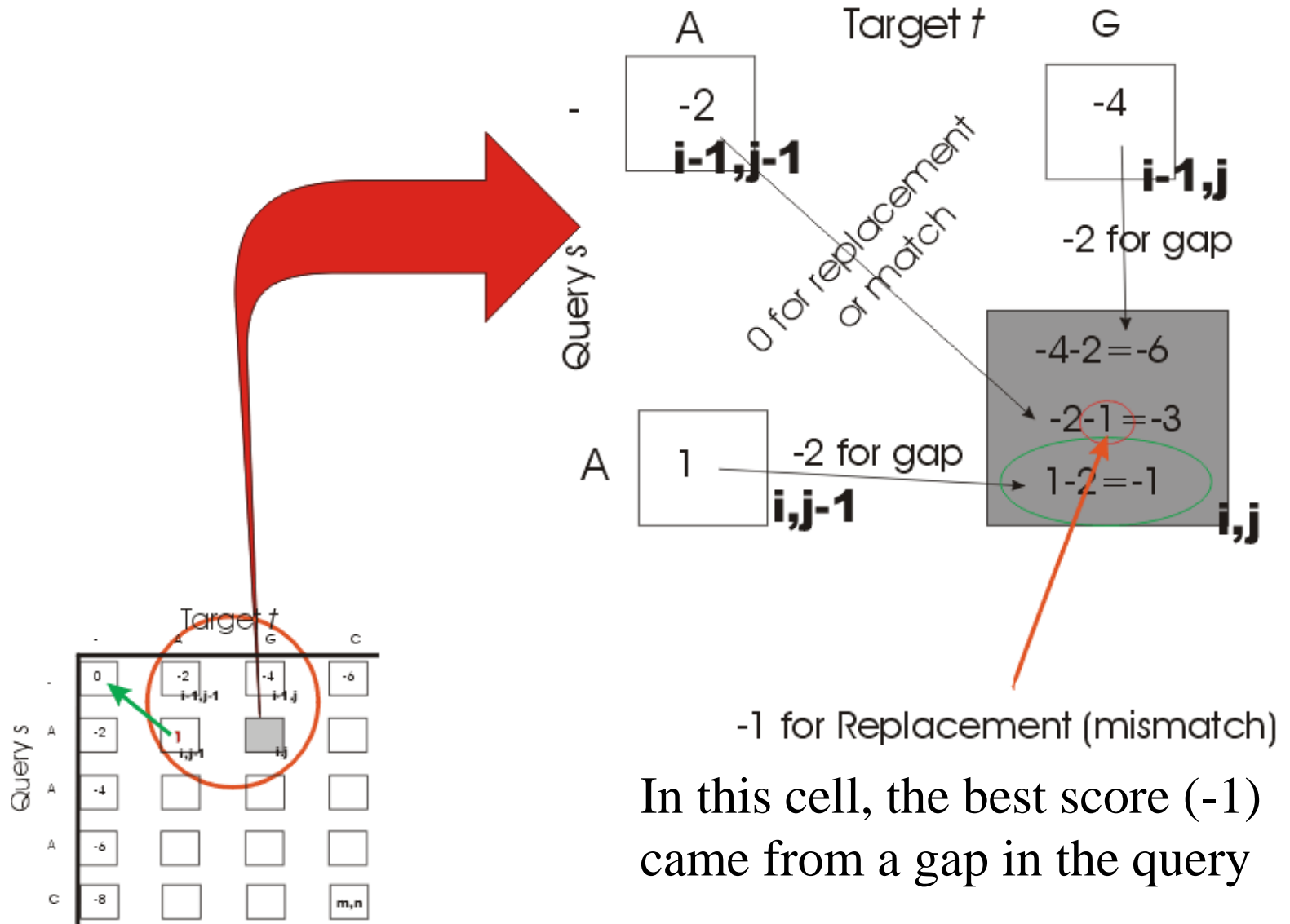
# Global Alignment
## The path and score to that prefix are remembered, as well



Target $t$

Query $s$

|   | - | C | T | G |
|---|---|---|---|---|
| - | 0 | -2 (i-1,j-1) | -4 (i-1,j) | -6 |
| C | -2 | 1 (i,j-1) | -1 (i,j) | |
| C | -4 | | | |
| C | -6 | | | |
| G | -8 | | | m,n |
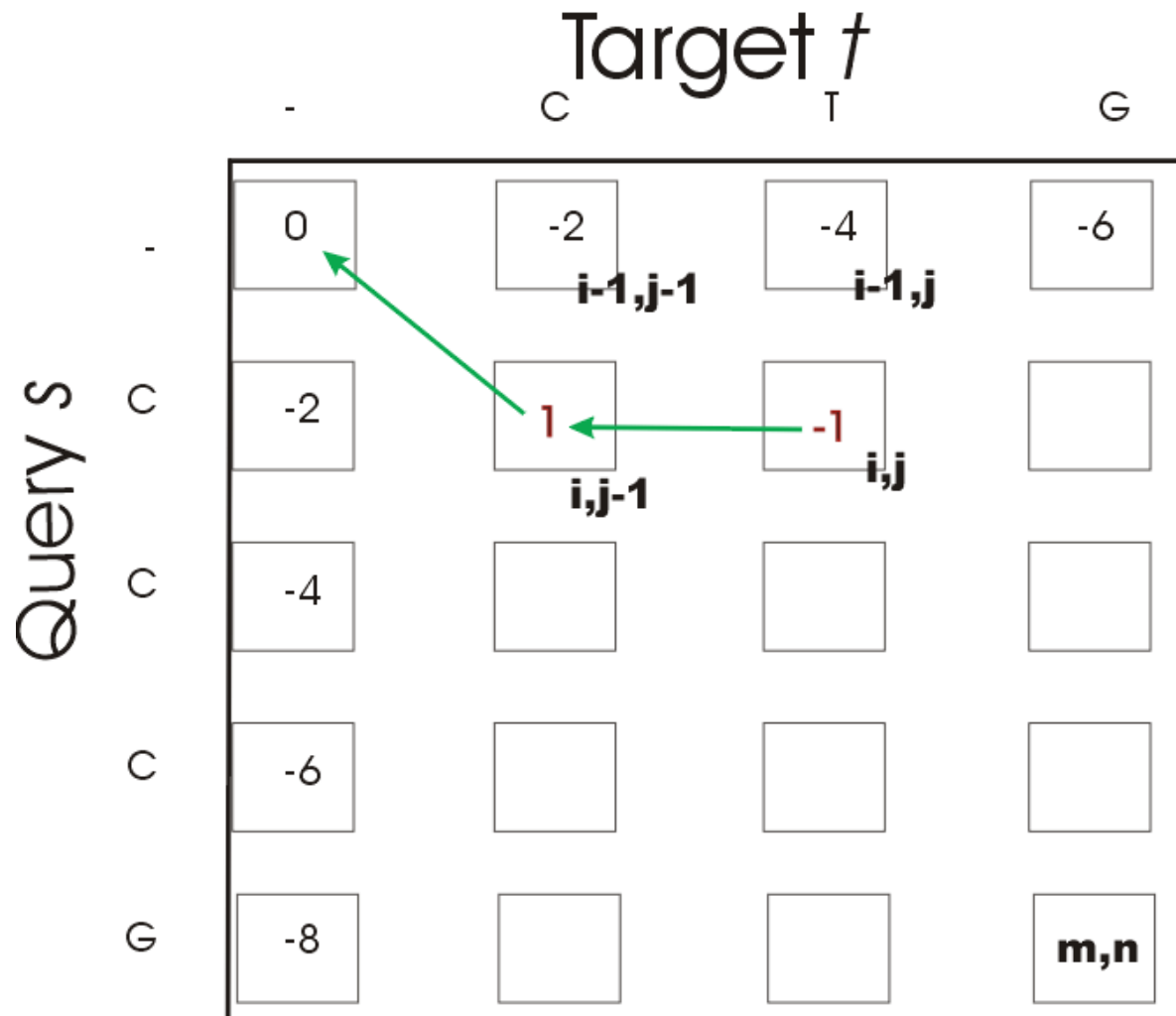
# Global Alignment
## All optimum paths are determined until the m,n *th* position is reached
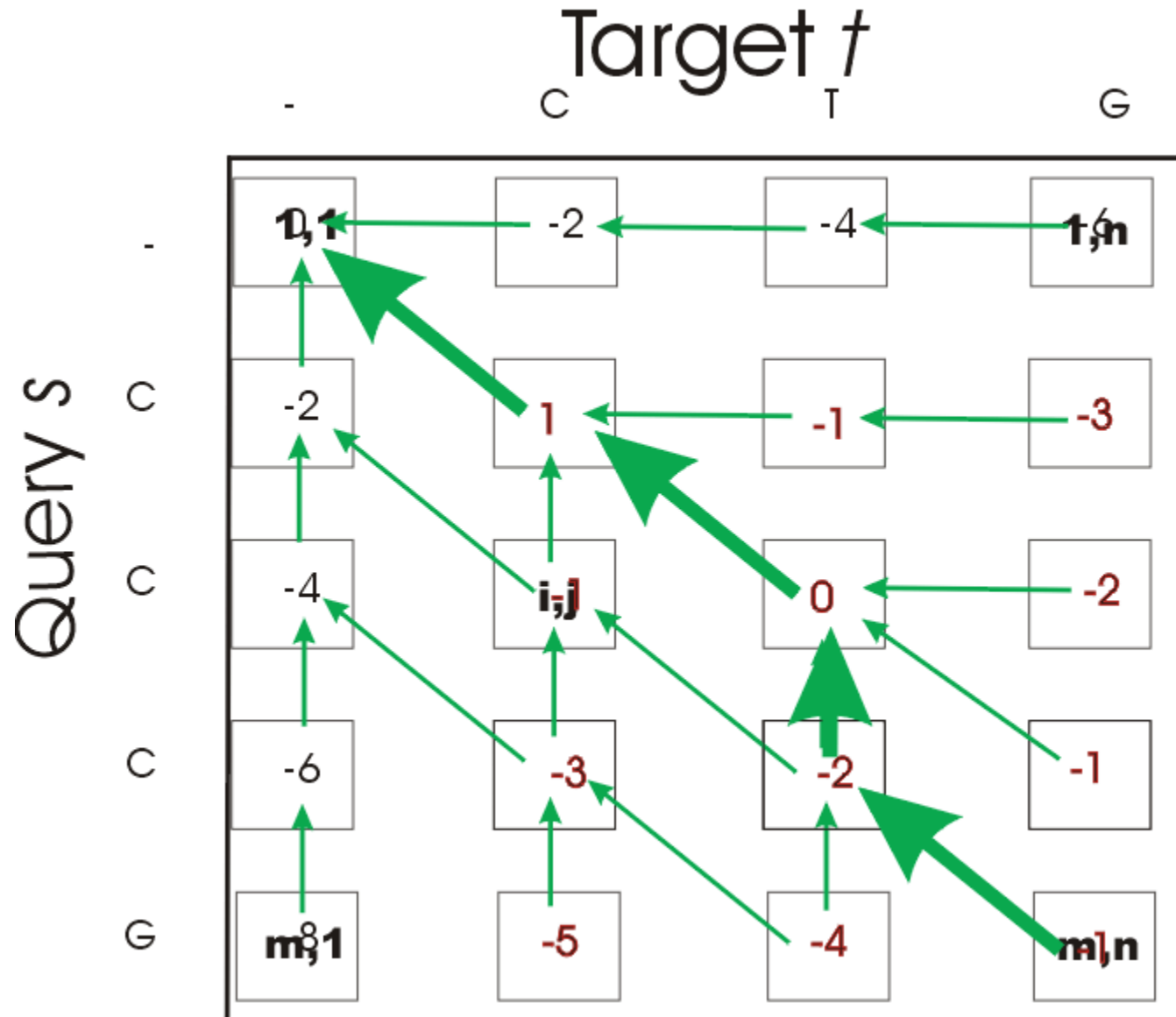
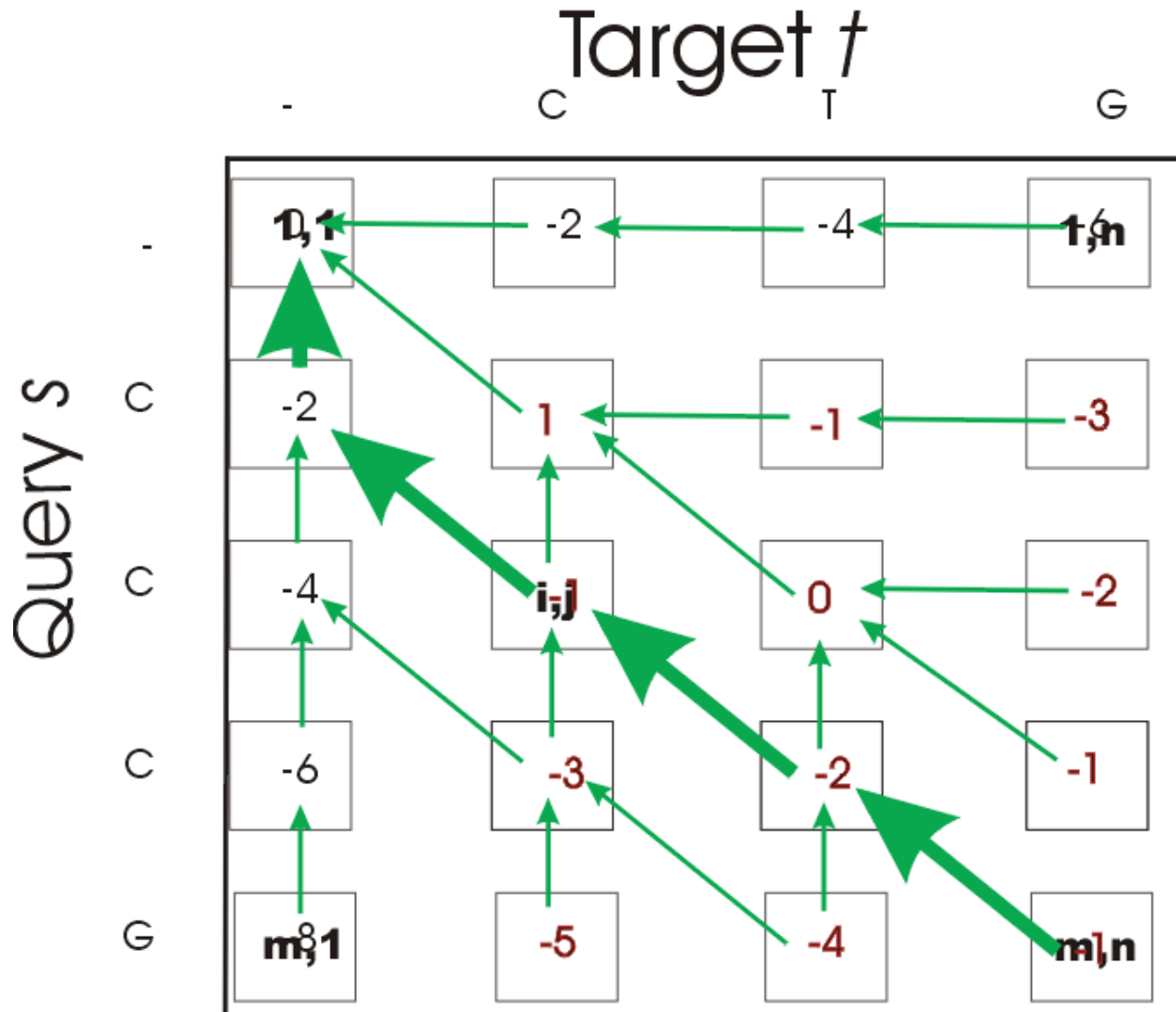NOTE: If there are two sources of the optimal score in a cell, keep BOTH tracebacks!
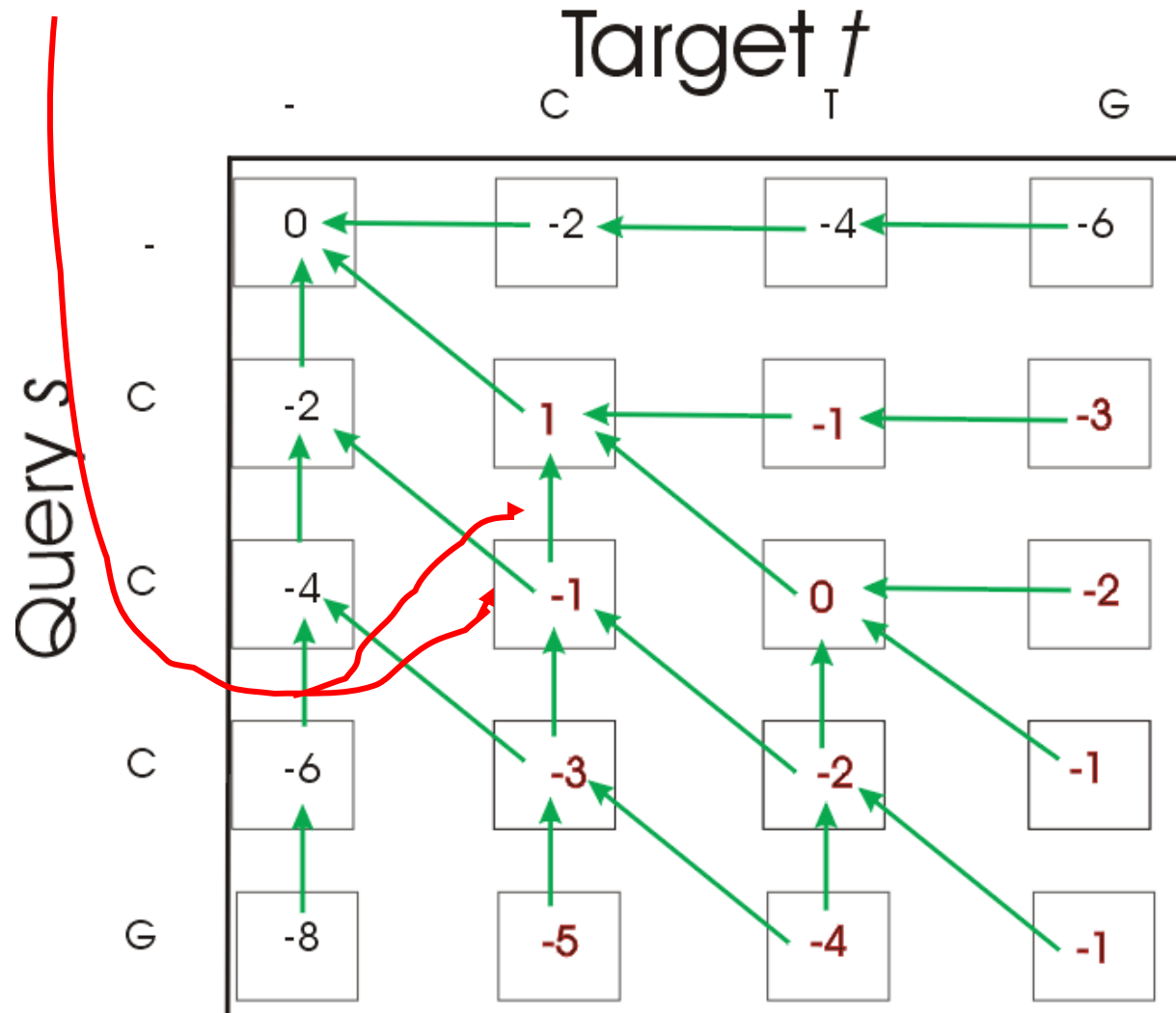
# Global Alignment

From the m,n *th* position, the highest scoring continuous path(s) back are determined.  This (these) are the optimal alignments.
This score is -1



Target *t*

Query *s*

# Global Alignment
## This score is –1, also

# Global Alignment
## This score is –1, as well
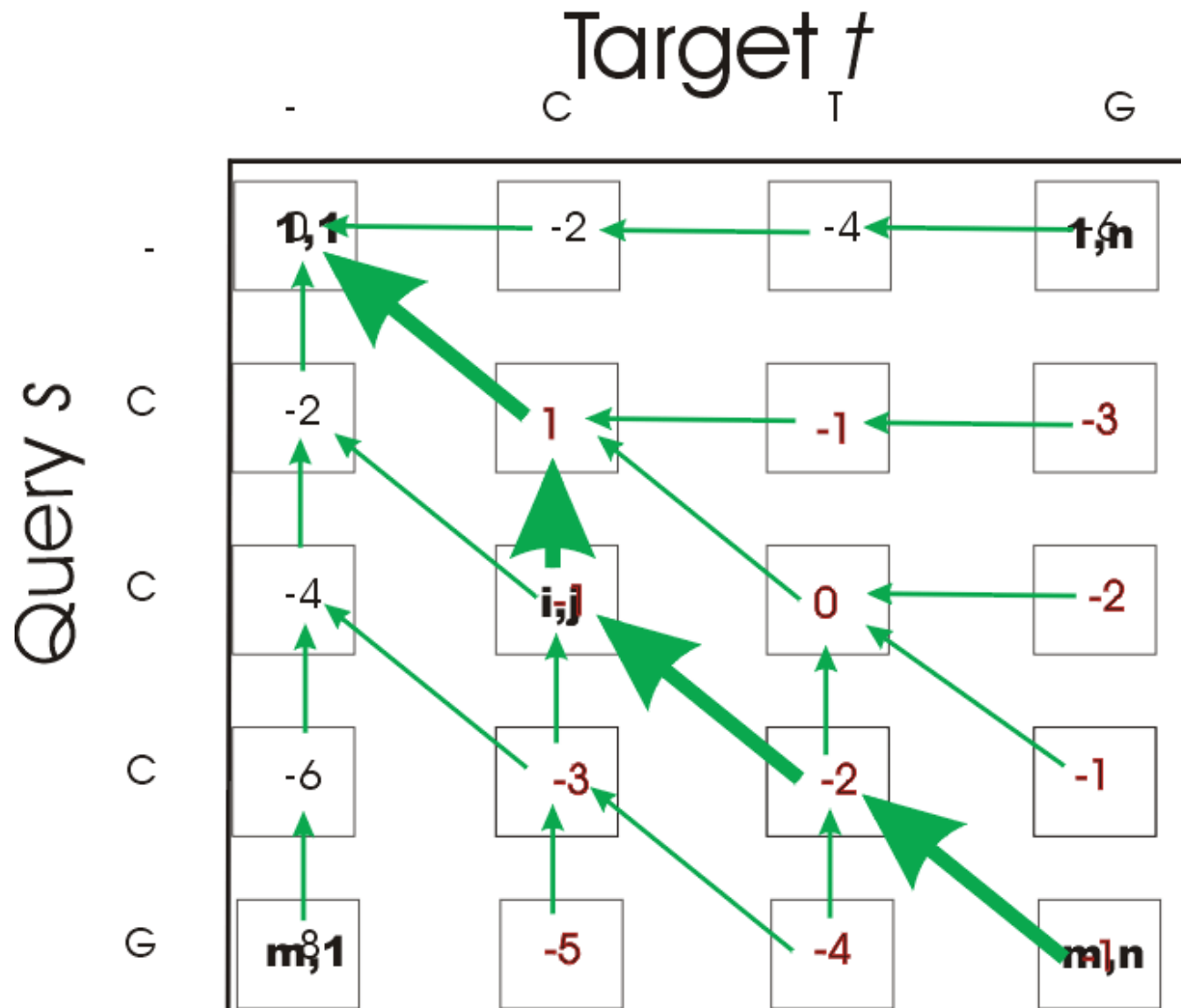
# Global Alignment Constructing the alignment

- Read off the alignment from end to start, beginning with the m,n$^{th}$ cell
  - If leaving a cell diagonally
    - Read off the query and target suffix letters (match occurred)
  - If leaving a cell horizontally
    - Read off the letter in the query
    - Read gap in the target
  - If leaving a cell vertically
    - Read off the letter in the target
    - A gap in the query

# Global Alignment
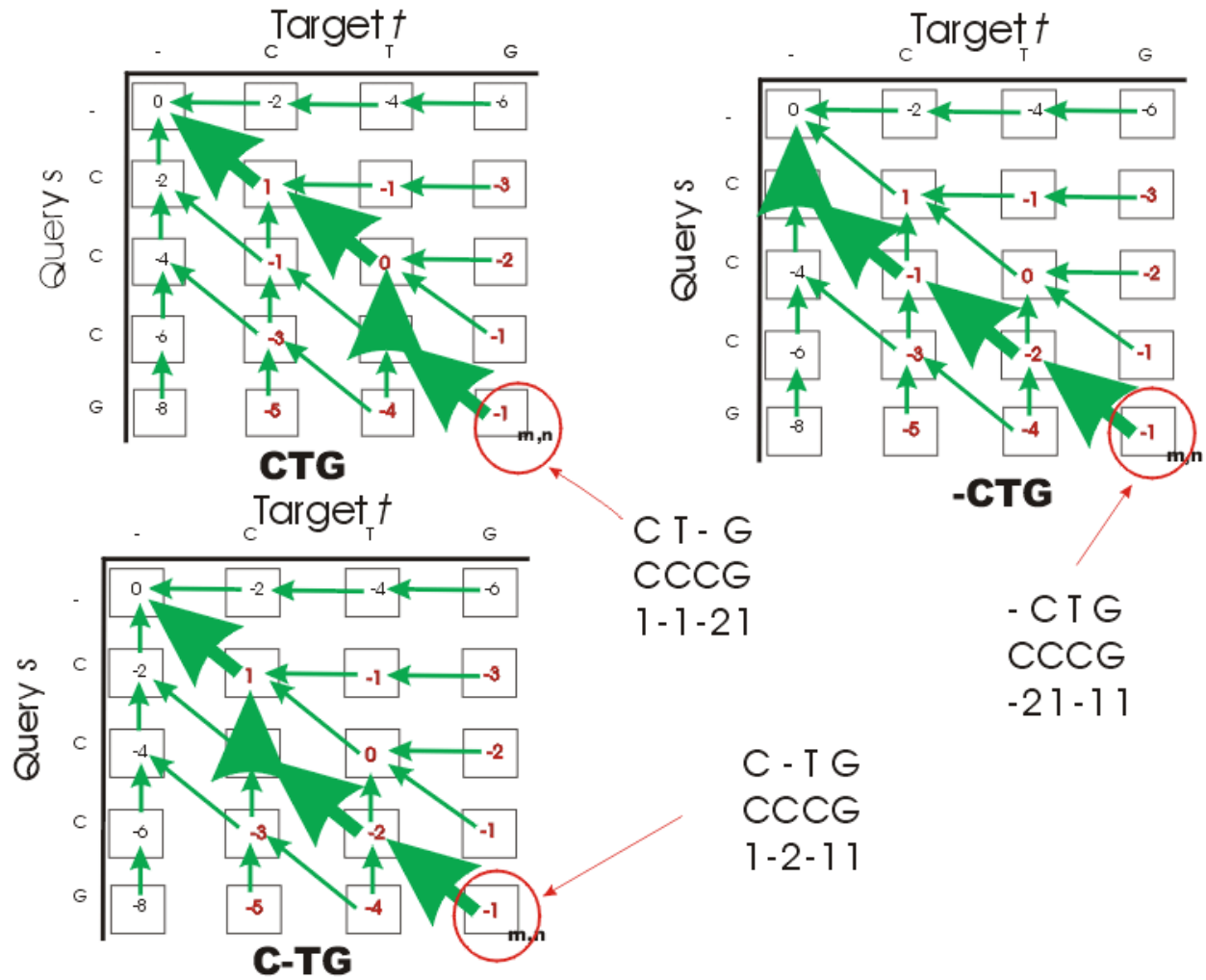
# Needleman-Wunsch Algorithm

- Runs in polynomial (mn) time

- Runs in mn space as well
  - If made to run in linear space, then finding max score is still easy, BUT finding traceback path(s) is not so easy

# LOCAL ALIGNMENT

A *local alignment* is an alignment of the query string with a substring[1] of the target string.  It is an optimal <u>suffix</u> alignment.
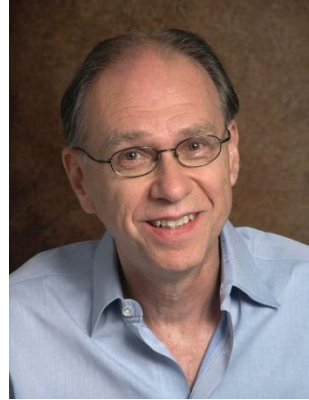
# Smith-Waterman Algorithm

For a <u>local</u> alignment

- Finds the highest scoring substrings (suffixes) of the query and target strings

- Waterman: "Fitting one sequence into another"

# Local Alignment
# Smith-Waterman Algorithm

- Could get a complete solution in $O((mn)^2) \cdot O(mn) = O((mn)^3)$

- S-W runs in $O(mn)$

- Aligns suffixes instead of prefixes

# Local Alignment
# Smith-Waterman Algorithm

- There are no initial gaps in the best local alignment, so first row and column have 0's propagated from the origin

- Our general algorithm is modified for a 4th case *i.e.* 0

# Local Alignment
# Smith-Waterman Algorithm

$$A(i, j) = \max \begin{cases} A(i-1, j) & -2 & gap \text{ (deletion)} \\ A(i, j-1) & -2 & gap \text{ (insertion)} \\ A(i-1, j-1) & \pm 1 & + \text{ for match}, - \text{ for mismatch (replacement)} \\ 0 & & \end{cases}$$

# Local Alignment
# Smith-Waterman Algorithm

- We need to keep track of whether a zero arises from a calculation or from the choice of the fourth case. The zero is needed for as a default max score, but using '0' as a place-marker on the grid is confusing. Might consider a different symbol, say, *, as a place-marker on the trace-back grid when scoring rule <u>defaults</u> to 0 as a max score.

- **NOTE! :** But sometimes the calculation itself results in 0. Must use a 'real' 0, not another symbol, in such a case.

# Local Alignment
# Smith-Waterman Algorithm
1st row and col are 0's

# Why are the first row and column all zeros?

In the Needleman-Wunsch algorithm, they would be increasing negative numbers because of the inheritance penalty.

In the Smith Waterman algorithm, an additional scoring option has been added- a zero (if zero is the maximum score).

So… all negative scores would be replaced by zeros

# Local Alignment
## Smith-Waterman Algorithm
# Recipe

- Pad first row and col with 0's

- Apply dynamic programming (modified) algorithm

- Distinguish between selected **0** and computed 0
  - Do traceback arrows with all computed values (incl 0)
  - No traceback arrows from selected **0**

- After matrix is completed, find <u>maximum</u> value

- Trace the path back until there are no arrows out

|     | B | A | T | C | H | E | S |
|-----|---|---|---|---|---|---|---|
|     | 0 / 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **A** | 0 | -1 -2 / -2 **0** | +1 -2 / -2 **1** | -1 -2 / -1 **0** | -1 -2 / -2 **0** | -1 -2 / -2 **0** | -1 -2 / -2 **0** | -1 -2 / -2 **0** |
| **C** | 0 | -1 -2 / -2 **0** | -1 -1 / -2 **0** | -1 -2 / -2 **0** | +1 -2 / -2 **1** | -1 -2 / -1 **0** | -1 -2 / -2 **0** | -1 -2 / -2 **0** |
| **H** | 0 | -1 -2 / -2 **0** | -1 -2 / -2 **0** | -1 -2 / -2 **0** | +1 -1 / -2 **+1** | 2 -2 / -1 **2** | -1 -2 / 0 **0** | -1 -2 / -2 **0** |
| **E** | 0 | -1 -2 / -2 **0** | -1 -2 / -2 **0** | -1 -2 / -2 **0** | -1 -1 / -2 **0** | 0 0 / -2 **0** | 3 -2 / -2 **3** | -1 -2 / -1 **1** |

Top header row: B  A  T  C  H  E  S

First value row (all cells): 0

# Local alignment

Reading back from the highest score, the best alignment is:

$$B \quad A \quad T \quad C \quad H \quad E \quad S$$
$$A \quad - \quad C \quad H \quad E$$

# Local Alignment
## Smith-Waterman Algorithm
# Nuances

- The max value is the alignment score
- There are sub and superstrings of different scores
- There may be more than one string with the same max value
- There may be other unrelated strings with lower scores which nevertheless might be important to the problem under study

# Local Alignment Smith-Waterman Algorithm

In this example, the best alignment is a straightforward match

$$Max(-1,-2,-2,0)$$
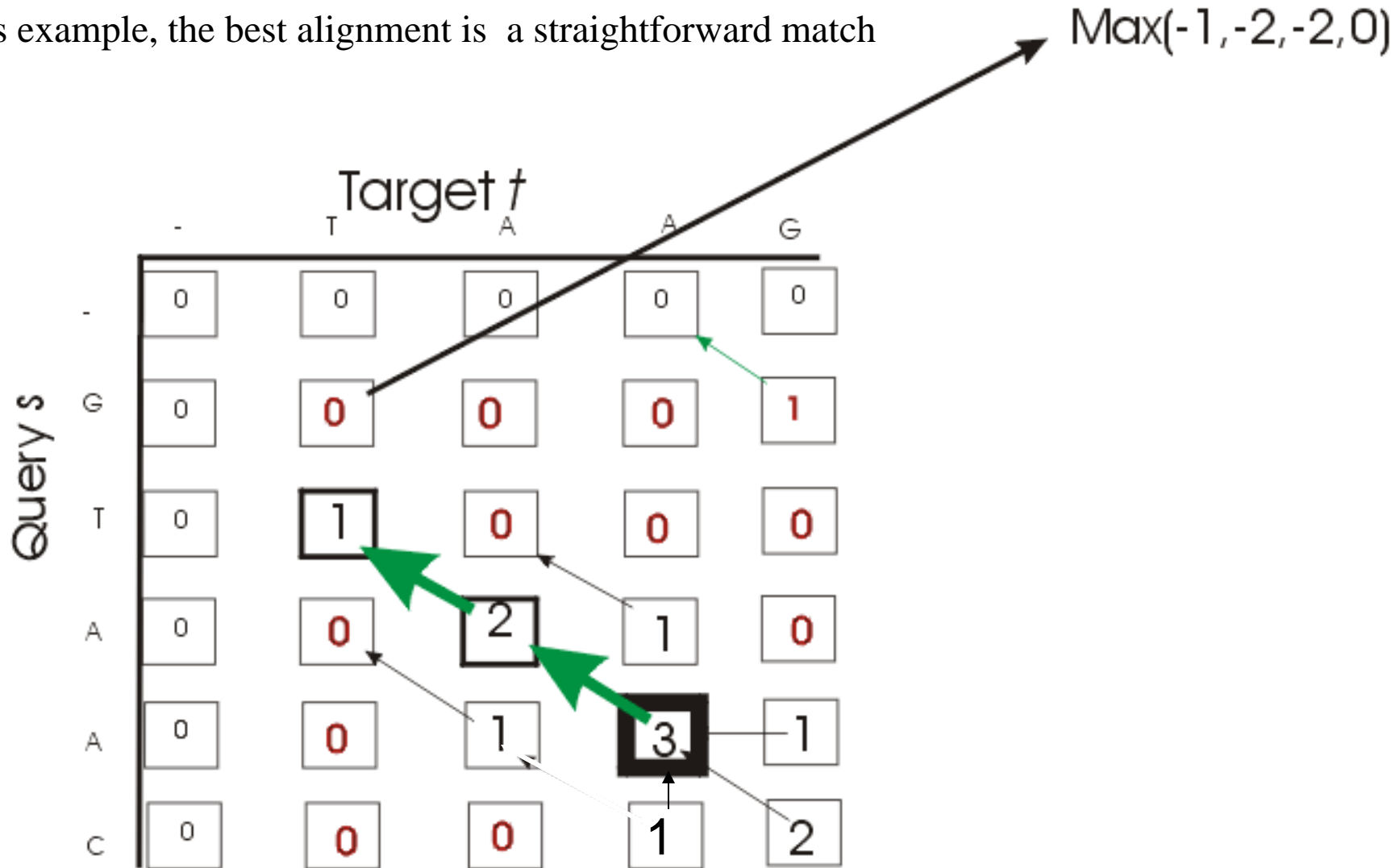
# Local Alignment
## Smith-Waterman Algorithm
# Results

*Highest scoring alignment*

$$\left.\begin{array}{ccc} T & A & A \\ T & A & A \end{array}\right\} = 3 \qquad \text{Direct match!}$$

*Lower scoring superstrings* :

$$\left.\begin{array}{cccc} T & A & A & G \\ T & A & A & C \end{array}\right\} = 2$$

$$\left.\begin{array}{cccc} T & A & A & G \\ T & A & A & - \end{array}\right\} = 1$$

# Multiple Sequence Alignment

## (MSA)

# MSA

Based on similarity of the <u>ensemble</u> of sequences, not specific pairs

- Shows patterns
- Discloses families
- Tracks changes (phylogeny)
- Relates mutant genes to wild types or their homologs (Cystic Fibrosis story)

# MSA

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| C | G | T | A | | | C | G | T | A |
| G | T | A | | These 4 sequences | | − | G | T | A |
| A | G | A | | optimally align as | | A | G | − | A |
| T | G | T | A | $\longrightarrow$ | | T | G | T | A |

# MSA Scoring
# Sum-of-pairs (SP)

- Go ONLY BY <u>COLUMNS</u>

- Take the sum of the scores of all pairs in each column

  - for 4 rows, there would be

    Score($1^{st}$,$2^{nd}$)+Score($1^{st}$,$3^{rd}$)+Score($1^{st}$,$4^{th}$)

    +Score($2^{nd}$,$3^{rd}$)+Score($2^{nd}$,$4^{th}$)+Score($3^{rd}$,$4^{th}$)

- In your scoring function, gap-gap is given 0

# MSA Scoring
# Sum of Pairs (SP)

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| C | G | T | A | | | C | G | T | A |
| G | T | A | – | | | – | G | T | A |
| A | G | A | – | | | A | G | – | A |
| T | G | T | A | | | T | G | T | A |

| –6 | 0 | –2 | –7 | | | –9 | 6 | –3 | 6 |

MSA Score is -15

MSA Score is 0

# MSA

This *scoring part* of the algorithm takes

$$n \cdot \frac{k(k-1)}{2}$$

for a problem with $k$ rows where $n$ is the size of the longest string with no gaps. The complexity is $\mathcal{O}(n^2)$ *i.e.,*running in polynomial time

# MSA

Now, how will we solve the problem in k dimensions and how hard will it be?

We can certainly apply the dynamic programming algorithm to the k dimensional case.

# MSA
# Dynamic programming

- The problem now generalizes to a hypermatrix of size n+1 and of dimension k.

- Storage space, then, goes up exponentially with k (without the use of a space-saving heuristic such as the one available for the 2 dimensional case)

# MSA
## Generalized Dynamic Programming Algorithm

- The <u>space</u> becomes exponential
  - There are $n^k$ hypermatrix entries
- There are $2^{k-1}$ possibilities for each entry
- Remember the SP scoring scheme is polynomial $k^2$

- Thus the algorithm for MSA has complexity $\mathcal{O}(k^2 2^k n^k)$

**The Bottom-up DP algorithm has therefore become NP-hard**

# MSA

We need an heuristic!

# MSA Heuristic

- 'Star' Alignment (sometimes called merge-alignment) is commonly used.

- Like all heuristics, it is <u>fast</u> but does <u>not guarantee</u> the optimal answer

- It is called 'Star' because one of the k sequences is selected to be 'in the center' to be a basis of comparison to the other k-1 sequences. This might be diagrammed as sequences at the ends of spokes radiating from the center sequence.

# Star Alignment

Find the standard alignment scores for each of the $(k(k-1)/2)$ *pairs of sequences* and enter them into a k×k matrix.

Consider this set of sequences k=4, of maxlength n=5

$s_1$   C   A   T   T   T

$s_2$   A   T   T   T   A

$s_3$   A   T   T   G

$s_4$   G   C   A   T   A

# Star Alignment

Here are the n(n-1)/2 pairwise alignment scores

$$
\left.\begin{array}{ccccc}
C & A & T & T & T \\
A & T & T & T & A
\end{array}\right\} s_1 \otimes s_2 = -1
$$

$$
\left.\begin{array}{ccccc}
C & A & T & T & T \\
A & T & T & G & -
\end{array}\right\} s_1 \otimes s_3 = -4
\qquad
\left.\begin{array}{ccccc}
A & T & T & T & A \\
A & T & T & G & -
\end{array}\right\} s_2 \otimes s_3 = 0
$$

$$
\left.\begin{array}{ccccc}
C & A & T & T & T \\
G & C & A & T & A
\end{array}\right\} s_1 \otimes s_4 = -3
\qquad
\left.\begin{array}{ccccc}
A & T & T & T & A \\
G & C & A & T & A
\end{array}\right\} s_2 \otimes s_4 = -1
\qquad
\left.\begin{array}{ccccc}
A & T & T & G & - \\
G & C & A & T & A
\end{array}\right\} s_3 \otimes s_4 = -6
$$

# Star Alignment

Now make a symmetric matrix of the pairwise alignment combinations, leaving the diagonal blank

|       | $s_1$ | $s_2$ | $s_3$ | $s_4$ |
|-------|-------|-------|-------|-------|
| $s_1$ | ·     | −1    | −4    | −3    |
| $s_2$ | −1    | ·     | 0     | −1    |
| $s_3$ | −4    | 0     | ·     | −6    |
| $s_4$ | −3    | −1    | −6    | ·     |

# Star Alignment

Summing the <u>ROWS </u>of this k×k matrix, $s_2$ has the best aggregate comparison score

|       | $s_1$ | $s_2$ | $s_3$ | $s_4$ |        |
|-------|-------|-------|-------|-------|--------|
| $s_1$ |       | $-1$  | $-4$  | $-3$  | $=-8$  |
| $s_2$ | $-1$  |       | $0$   | $-1$  | $=-2$  |
| $s_3$ | $-4$  | $0$   |       | $-6$  | $=-10$ |
| $s_4$ | $-3$  | $-1$  | $-6$  |       | $=-10$ |

So we pick $s_2$ to be the center of the star.

# Star Alignment

- Find the actual best alignments of each sequence with the center-of-the-star. In this case, $s_2$ is selected.

-  Using the center-of-the-star sequence, $s_2$ , as the query, align it (global) with each of the remaining sequences, yielding n-1 best alignments.

# Star Alignment

Get the optimal pairwise alignments using $s_2$ as the query

$s_2$ A T T T A $\quad\rightarrow\quad$ – A T T T A

$s_1$ C A T T T $\quad\quad\quad\quad$ C A T T T –


$s_2$ A T T T A $\quad\rightarrow\quad$ A T T T A

$s_3$ A T T G – $\quad\quad\quad\quad$ A T T G –


$s_2$ A T T T A $\quad\rightarrow\quad$ A T T T A

$s_4$ G C A T A $\quad\quad\quad\quad$ G C A T A

# Final Product of the Star Alignment

Beginning with $s_2$, merge the optimal alignments, but
**KEEP ALL GAPS**

| | | A | T | T | T | A |
|---|---|---|---|---|---|---|
| $s_2$ | $-$ | A | T | T | T | A |
| $s_1$ | C | A | T | T | T | $-$ |
| $s_3$ | $-$ | A | T | T | G | $-$ |
| $s_4$ | $-$ | G | C | A | T | A |

# Star Alignment Complexity

- To build the table and get center of star:
    $\mathcal{O}(k^2n^2)$

- To do the MSA: $\mathcal{O}(kn^2+k^2l)$ (l is length after gaps)
    - $\mathcal{O}(kn^2)$ for pairwise alignments
    - $\mathcal{O}(k^2l)$ for assembling sequences

Can be optimized to $\mathcal{O}(kn+kl)$