

# DNA Alignment Fundamentals

BFX Workshop

10/2/2023



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# Credits

- [Aaron Quinlan's](#) course on [Applied Computational Genomics](#):
  - Part 7: [DNA sequence mapping and alignment](#)
- The [Griffith Lab](#) course on [Precision Medicine Bioinformatics](#)
- Additional Reading:
  - [Alignment of Next-Generation Sequencing Reads](#) Knut Reinert, Ben Langmead, David Weese, Dirk J. Evers, Annual Review of Genomics and Human Genetics 2015 16:1, 133-151

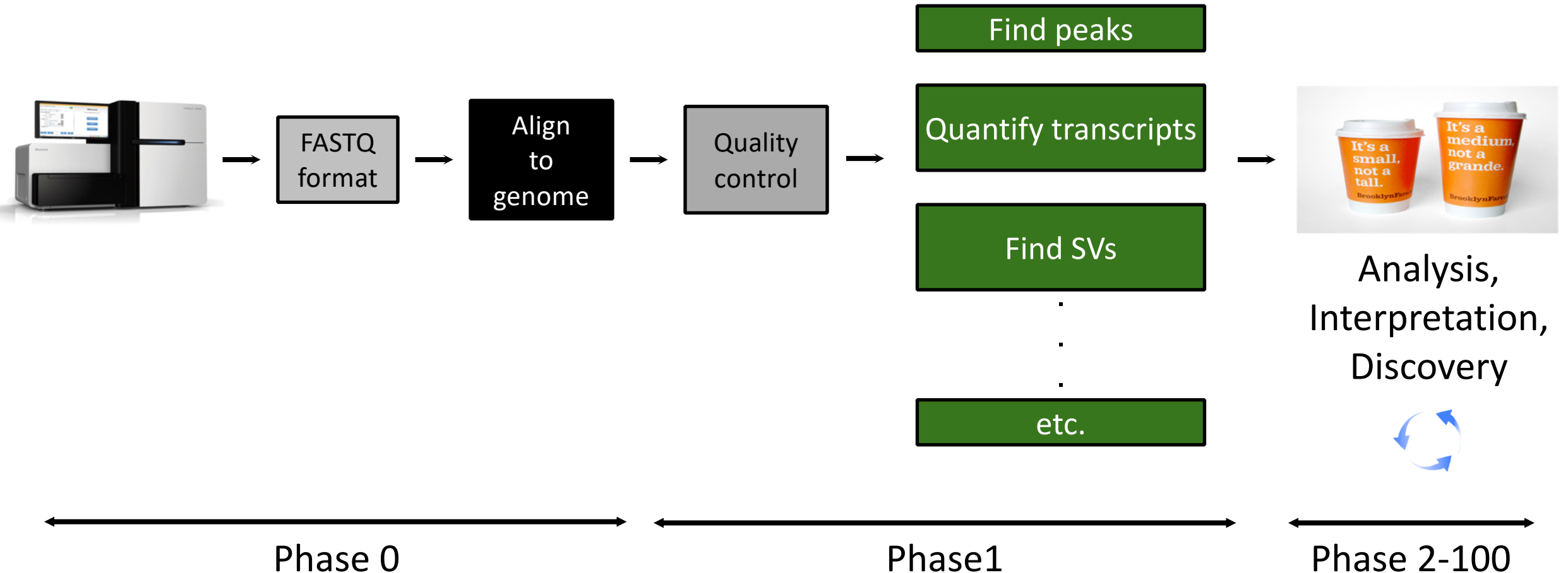
# FASTQ



# The problems...

- The human genome is big. Oh yeah, it's complex too.
- Sequencers can produce 1 billion reads / run.
- But they make mistakes. Frequently.
- **Accurate alignment takes time, but it's worth it.**
  - Shortcuts lead to artifacts
- Alignment strategy is highly nuanced, depending on experimental context

# Alignment is central to most genomic research



# Problem: Half of the human genome is comprised of repeats

```
ggcgcagagacgcaagcctacgggCGGGGGTtgggggggCGTgtgttgca
ggagcaaagtcgcacggCGCCGGGCTggggCGGGGGgagggtggCGCCgt
gcacgcgcagaaactcacgtcacggtggCGCGggCGcagagacgggtagaat
aaccctaaccctaaccctaaccctaaccctaaccctaacccta
accctaaccctaaccctaaccctaaccctaaccctaaccctaacc
cctaaccctaaccctaaccctaaccctaaccctaaccctaacc
taaccctaaccctaaccctaaccctaaccctaaccctaacccta
ccccctaaccctaaccctaaccctaaccctaaccctaacccta
ccctaaccctaaccctaaccctaaccctaaccctaaccctaacc
ccaacccaacccaacccaacccaacctaaccctaaccctaacc
ctaccctaaccctaaccctaaccctaaccctaaccctaacccta
taaccctaaccctaaccctaaccctaaccctaaccctaacccta
aaccctaaccctaaccctCGCGgtaccctcagCGGCGCGCGCGCGG
tctgacctgaggagaactgtgctCGCcttcagagtaccacgaaatctg
tgCagaggacaacgcagctCGCCctCGCGgtgctctCGGGTctgtgct
gaggagaacgcaactCGCGCGCGcagCGcagagaggCGCGCGCGCG
gcgcagCGCGcagacacatgctagCGCGtCGGGgtggaggCGTggCGcagg
CGcagagaggCGCGCGCGCGCGCGcagCGcagagacacatgctaccGC
gtccaggggtggaggCGTggCGcagCGcagagaggCGcaccCGCGCGCG
gcagCGcagagacacatgctagCGCGtccaggggtggaggCGTggCGca
```

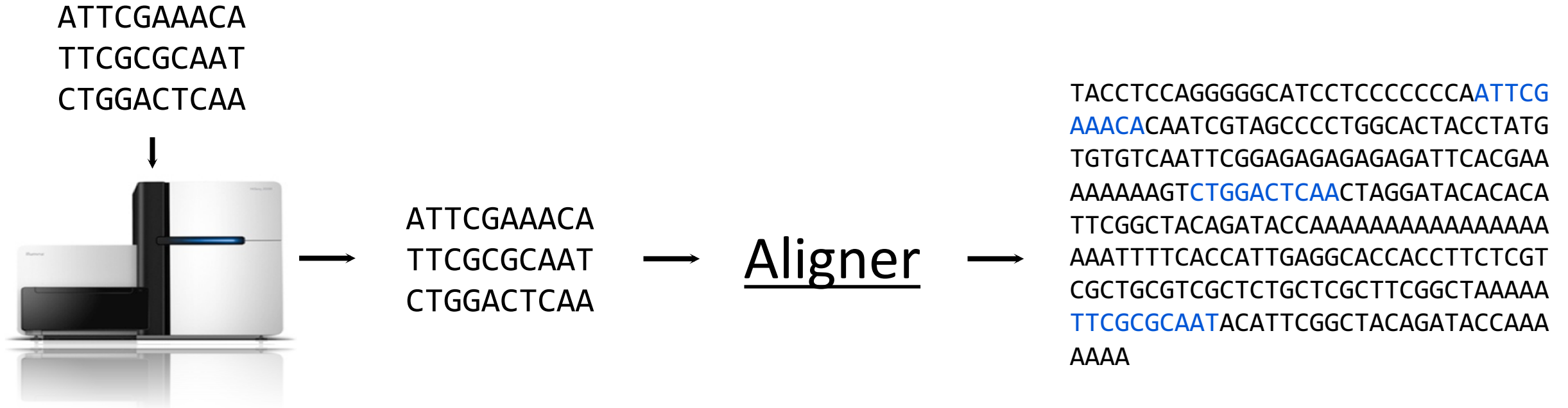
( first bit of human chromosome 1 )





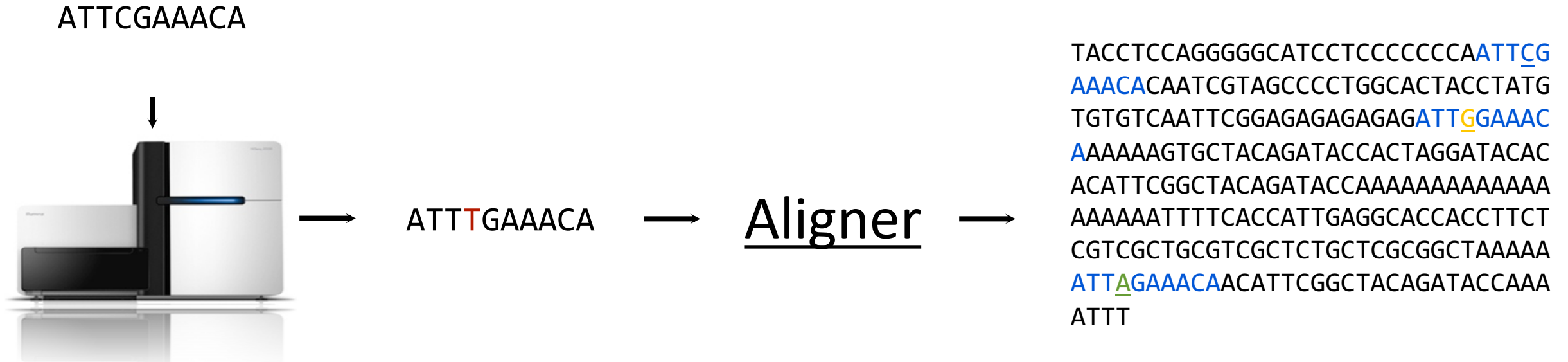


# Best case scenario: an error-free sequencing technology



Computers are rather good at finding *exact* matches.  
Think Google.

# Reality check. Errors happen. Frequently.



“Fuzzy” matching is much more computationally expensive.

Think Google’s “Did you mean...”

# Hash-based mapping:

Step1: hash/index the genome

Toy  
genome  
(16 bp)

CATGGTCATTGGTTCC

# Hash-based mapping:

Step1: hash/index the genome

CATGGTCATTGGTTCC

k = 3

Kmer/Hash

Genome Positions

CAT

1



# Hash-based mapping:

Step1: hash/index the genome

CATGGTCATTGGTTCC

k = 3

Kmer/Hash

Genome Positions

CAT  
ATG

1  
2

# Hash-based mapping:

Step1: hash/index the genome

CATGGTCATTGGTTCC

k = 3

Kmer/Hash

Genome Positions

CAT  
ATG  
TGG

1  
2  
3

# Hash-based mapping:

Step1: hash/index the genome

CATGGTCATTGGTTCC

k = 3

Kmer/Hash

Genome Positions

CAT  
ATG  
TGG  
GGT

1  
2  
3  
4



# Hash-based mapping:

Step1: hash/index the genome

CATG**GTC**ATTGGTTCC

k = 3

Kmer/Hash

Genome Positions

CAT  
ATG  
TGG  
GGT  
**GTC**

1  
2  
3  
4  
5

# Hash-based mapping:

Step1: hash/index the genome

CATGGTCAATTGGTTCC

k = 3

Kmer/Hash

Genome Positions

CAT  
ATG  
TGG  
GGT  
GTC  
TCA

1  
2  
3  
4  
5  
6

# Hash-based mapping:

Step1: hash/index the genome

CATGGT**CAT**TGGTTCC

k = 3

Kmer/Hash

Genome Positions

CAT  
ATG  
TGG  
GGT  
GTC  
TCA

1, 7  
2  
3  
4  
5  
6

# Hash-based mapping:

Step1: hash/index the genome

CATGGTCATTGGTTCC

k = 3

Kmer/Hash

Genome Positions

CAT

1, 7

ATG

2

TGG

3, 10

GGT

4, 11

GTC

5

TCA

6

ATT

8

TTG

9

GTT

12

TTC

13

TCC

14

*Complete hash/kmer index of our toy genome (forward strand only)*

# Hash-based mapping:

Step2: use the index to map (i.e., find alignment locations) reads

Toy  
genome

CATGGTCATTGGTTCC

Kmer/Hash

Genome Positions

CAT

1, 7

ATG

2

TGG

3, 10

GGT

4, 11

GTC

5

TCA

6

ATT

8

TTG

9

GTT

12

TTC

13

TCC

14

Read

TGGTCA



*kmer index is used to quickly find candidate alignment locations in genome.*

# Hash-based mapping:

Step2: use the index to map (i.e., find alignment locations) reads

Toy  
genome

CATGGTCATTGGTTCC

Kmer/Hash

Genome Positions

CAT

1, 7

ATG

2

TGG

3, 10

GGT

4, 11

GTC

5

TCA

6

ATT

8

TTG

9

GTT

12

TTC

13

TCC

14



Read

TGGTCA

# Hash-based mapping:

Step2: use the index to map (i.e., find alignment locations) reads



Toy  
genome

CATGGTCATTGGTTCC

Kmer/Hash

Genome Positions

CAT

1, 7

ATG

2

**TGG**

3, 10

GGT

4, 11

GTC

5

TCA

6

ATT

8

TTG

9

GTT

12

TTC

13

TCC

14

Read

**TGG**TCA

Hash  
matches

3, 10

Hash  
match

# Hash-based mapping:

Step2: use the index to map (i.e., find alignment locations) reads



Toy  
genome

CATGGTCATTGGTTCC

Kmer/Hash

Genome Positions

CAT

1, 7

ATG

2

TGG

3, 10

GGT

4, 11

GTC

5

**TCA**

6

ATT

8

TTG

9

GTT

12

TTC

13

TCC

14

Read

TGG**TCA**

Hash  
matches

3, 10, 6



# Hash-based mapping:

Step2: use the index to map (i.e., find alignment locations) reads



Toy  
genome

CATGGTCATTGGTTCC

Read

TGGTCA

Hash  
matches 3, 10, 6

3

6

Kmer/Hash

CAT

ATG

TGG

GGT

GTC

TCA

ATT

TTG

GTT

TTC

TCC

Genome Positions

1, 7

2

3, 10

4, 11

5

6

8

9

12

13

14

# Hash-based mapping:

Step2: use the index to map (i.e., find alignment locations) reads

Toy  
genome

CATGGTCATTGGTTCC

Kmer/Hash

Genome Positions

CAT

1, 7

ATG

2

TGG

3, 10

GGT

4, 11

GTC

5

TCA

6

ATT

8

TTG

9

GTT

12

TTC

13

TCC

14

Read

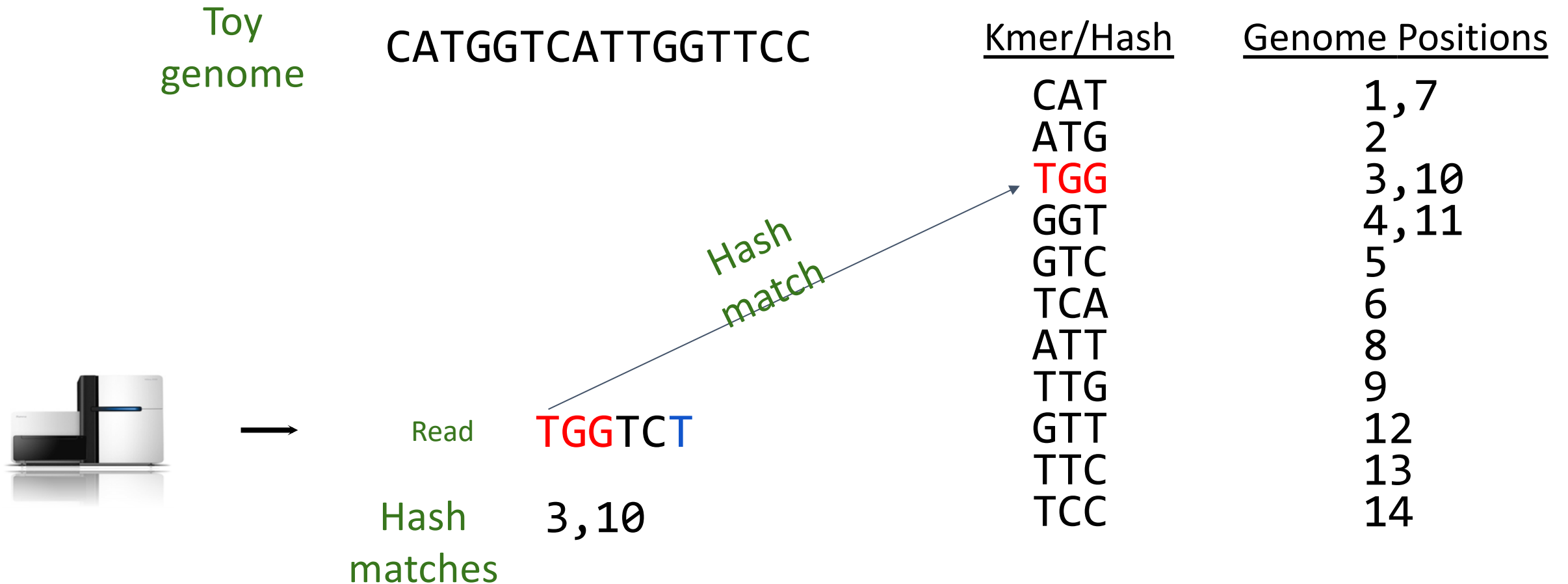
TGGTCT



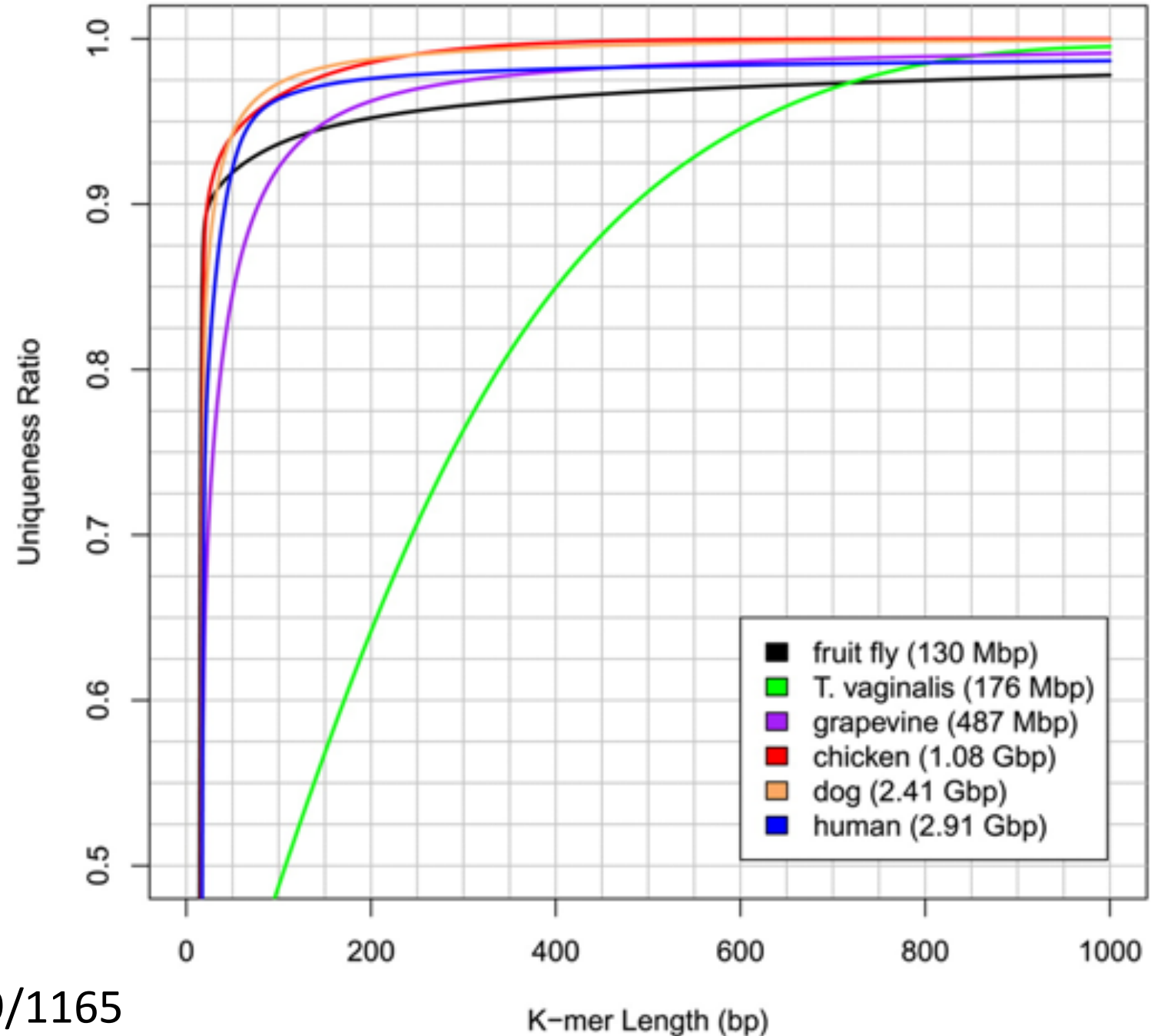
*kmer index is used to quickly find candidate alignment locations in genome.*

# Hash-based mapping:

Step2: use the index to map (i.e., find alignment locations) reads



**It takes a  
very long k-  
mer  
to be unique  
in most  
genomes!**



# Mapping quality (MAPQ)

What is the probability that the sequence should be mapped here and only here?

MAPQ also uses the Phred (log) scale:

$$\text{MAPQ} = -10 \cdot \log_{10}(P_{\text{map\_loc\_wrong}})$$

$(P_{\text{map\_loc\_wrong}})$	$\log_{10}(P_{\text{map\_loc\_wrong}})$	MAPQ
1	0	0
0.1	-1	10
0.01	-2	20
0.001	-3	30
0.0001	-4	40

# Edit distance

How many edits (changes) must be made to a word or kmer to make it match (align) to another word or kmer?

CURLED → Edit distance = 1. Substitute C for H  
HURLED

SHORT → Edit distance = 1. Delete R  
SHO-T

TGTTACGG  
GGTTGACTA ?

TG-TT-ACGG  
-GGTTGACTA

Edit distance = 5

TGTT-ACGG  
GGTTGACTA

Edit distance = 4

# Key Alignment Algorithms

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jmb

Journal of Molecular Biology

Volume 48, Issue 3, 28 March 1970, Pages 443-453



## A general method applicable to the search for similarities in the amino acid sequence of two proteins ☆

Saul B. Needleman, Christian D. Wunsch

[Show more](#)

[https://doi.org/10.1016/0022-2836\(70\)90057-4](https://doi.org/10.1016/0022-2836(70)90057-4)

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## Identification of Common Molecular Subsequences

T. F. SMITH AND M. S. WATERMAN

*J. Mol. Biol.* (1981), **147**, 195-197

### Identification of Common Molecular Subsequences

The identification of maximally homologous subsequences among sets of long sequences is an important problem in molecular sequence analysis. The problem is straightforward only if one restricts consideration to contiguous subsequences (segments) containing no internal deletions or insertions. The more general problem has its solution in an extension of sequence metrics (Sellers 1974; Waterman *et al.*, 1976) developed to measure the minimum number of "events" required to convert one sequence into another.

These developments in the modern sequence analysis began with the heuristic homology algorithm of Needleman & Wunsch (1970) which first introduced an iterative matrix method of calculation. Numerous other heuristic algorithms have been suggested including those of Fitch (1966) and Dayhoff (1969). More mathematically rigorous algorithms were suggested by Sankoff (1972), Reichert *et al.* (1973) and Beyer *et al.* (1979), but these were generally not biologically satisfying or interpretable. Success came with Sellers (1974) development of a true metric measure of the distance between sequences. This metric was later generalized by Waterman *et al.* (1976) to include deletions/insertions of arbitrary length. This metric represents the minimum number of "mutational events" required to convert one sequence into another. It is of interest to note that Smith *et al.* (1980) have recently shown that under some conditions the generalized Sellers metric is equivalent to the original homology algorithm of Needleman & Wunsch (1970).

In this letter we extend the above ideas to find a pair of segments, one from each of two long sequences, such that there is no other pair of segments with greater similarity (homology). The similarity measure used here allows for arbitrary length deletions and insertions.

This a "local" alignment. Subset of the full sequence.

**Scoring scheme:**

Match: +3

Mismatch -3

Gap: -2

**Start at max score,  
traceback to next  
highest score, and so  
on. Stop at zero**

G T T - A C

G T T G A C

		T	G	T	T	A	C	G	G
G	0	0	0	0	0	0	0	0	0
G	0	0	3	1	0	0	0	3	3
T	0	0	3	1	0	0	0	3	6
T	0	3	1	6	4	2	0	1	4
G	0	3	1	4	9	7	5	3	2
A	0	1	6	4	7	6	4	8	6
A	0	0	4	3	5	10	8	6	5
C	0	0	2	1	3	8	13	11	9
T	0	3	1	5	4	6	11	10	8
A	0	1	0	3	2	7	9	8	7



## Local: Smith-Waterman algorithm

5' ACTACTAGATTACTTACGGATCAGGTACTTTAGAGGCTTGCAACCA 3'

|||| ||||| |||||

5' TACTCACGGATGAGGTACTTTAGAGGC 3'

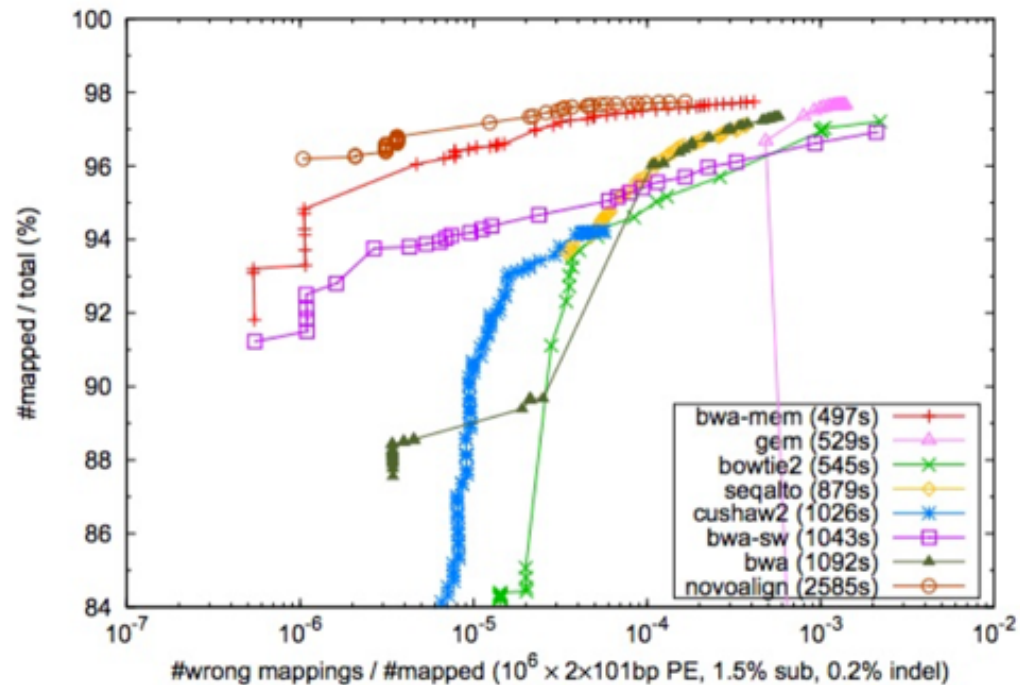
## Global: Needleman-Wunsch algorithm

5' ACTACTAGATTACTTACGGATCAGGTACTTTAGAGGCTTGCAACCA 3'

||||| ||||| |||||

5' ACTACTAGATT---ACGGATC--GTACTTTAGAGGCTAGCAACCA 3'

# BWA-MEM: never "published" ; widely used.



**Fig. 1.** Percent mapped reads as a function of the false alignment rate under different mapping quality cutoff. Alignments with mapping quality 3 or lower are excluded. An alignment is *wrong* if after correcting clipping, its start position is within 20bp from the simulated position.  $10^6$  pairs of 101bp reads are simulated from the human reference genome using wgsim (<http://bit.ly/wgsim2>) with 1.5% substitution errors and 0.2% indel variants. The insert size follows a normal distribution  $N(500, 50^2)$ . The reads are aligned back to the genome either as single end (SE; top panel) or as paired end (PE; bottom panel). GEM is configured to allow up to 5 gaps and to output suboptimal alignments (option '-e5 -m5 -s1' for SE and '-e5 -m5 -s1 -pb' for PE). GEM does not compute mapping quality. Its mapping quality is estimated with a BWA-like algorithm with suboptimal alignments available. Other mappers are run with the default setting except for specifying the insert size distribution. The run time in seconds on a single CPU core is shown in the parentheses.

---

## Aligning sequence reads, clone sequences and assembly contigs with BWA-MEM

Heng Li

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---

<https://arxiv.org/pdf/1303.3997v2.pdf>

f

# Sequence alignment software

<u>Aligner</u>	<u>Approach</u>	<u>Applications</u>	<u>Availability</u>
BWA-mem	Burrows-Wheeler	DNA, SE, PE, SV	open-source
Bowtie2	Burrows-Wheeler	DNA, SE, PE, SV	open-source
Novoalign	hash-based	DNA, SE, PE	free for academic use
TopHat	Burrows-Wheeler	RNA-seq	open-source
STAR	hash-based (reads)	RNA-seq	open-source
GSNAP	hash-based (reads)	RNA-seq	open-source

# BWA-MEM

## Reference genome

>chr1 (FASTA)

```
TACCTCCAGGGGGCATCCTCCCCCAATTC
GAAACACAATCGTAGCCCCTGGCACTACCTA
TGTGTGTCAATTCGGAGAGAGAGAGATTAC
GAAAAAAAAGTCTGGACTCACTAGGATACA
CACATTCGGCTACAGATACCAAAAAAAAAA
AAAAAAAATTTTCACCATTGAGGCACCACCT
TCTCGTCGCTGCGTCGCTCTGCTCGCTTCGG
CTAAAAATTCGCGCAATACATTGCTACAG
ATACCAAA
```

## Unaligned Sample Data In FASTQ (SE or PE)

```
@seq1
ATTCGAAACA...
+
DDED88(999...
@seq2
CCCCGTTTCA...
+
AAC887BBAC...
```

**BWA  
MEM**

## Aligned Sample Data in SAM format

```
seq1      99      1      3666901
          60      149M      =
          3666935      185
          ATTCGAAACA...      DDED88(999
          MC:Z:151M MD:Z:149 RG:Z:15-
0017315_1 NM:i:0      MQ:i:60      AS:i:149
          XS:i:44
seq2      147      1      3666935
          60      151M      =
          3666901      -185
          CCCCCGTTTCA...
          AAC887BBAC...      MC:Z:149M
          MD:Z:151 RG:Z:15-0017315_1
          NM:i:0      MQ:i:60      AS:i:151
          XS:i:59
```



# BWA-MEM workflow

*This takes a long  
time, but you do it  
once*

Create BWT of reference  
genome.

```
$ bwa index grch38.fa
```



*Output is in SAM  
format.*

*Use multiple threads if  
you have a computer  
with multiple CPUs.*

Align paired-end FASTQ  
to BWT index.

```
$ bwa mem -t 16 grch38.fa 1.fq 2.fq > sample.sam
```

# SAM format: a text-based standard(!) for representing sequence alignments

**BIOINFORMATICS APPLICATIONS NOTE** Vol. 25 no. 16 2009, pages 2078–2079  
doi:10.1093/bioinformatics/btp352

*Sequence analysis*

## The Sequence Alignment/Map format and SAMtools

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Associate Editor: Alfonso Valencia

**Table 1.** Mandatory fields in the SAM format

No.	Name	Description
1	QNAME	Query NAME of the read or the read pair
2	FLAG	Bitwise FLAG (pairing, strand, mate strand, etc.)
3	RNAME	Reference sequence NAME
4	POS	1-Based leftmost POSition of clipped alignment
5	MAPQ	MAPping Quality (Phred-scaled)
6	CIGAR	Extended CIGAR string (operations: MIDNSHP)
7	MRNM	Mate Reference NaMe ('=' if same as RNAME)
8	MPOS	1-Based leftmost Mate POSition
9	ISIZE	Inferred Insert SIZE
10	SEQ	Query SEQUENCE on the same strand as the reference
11	QUAL	Query QUALity (ASCII-33=Phred base quality)

# SAM format overview

<http://samtools.sourceforge.net/samtools.shtml>

Col #	Name	Meaning	Example
1	QNAME	Read or Pair name	HWI:ST156_1:278:1:1058:4544:0
2	FLAG	Bitwise FLAG	<b><i>Much more soon!</i></b>
3	RNAME	Reference sequence name	chr1
4	POS	1-based alignment start coordinate	8,724,005
5	MAPQ	Mapping quality	60
6	CIGAR	Extended CIGAR string	<b><i>Much more soon!</i></b>
7	MRNM	If paired, the mate's reference seq.	chr1
8	MPOS	If paired, the mate's alignment start	8,724,505
9	ISIZE	If paired, the insert size	562
10	SEQ	The sequence of the query/mate	ACAAATTCAG...
11	QUAL	The quality string for the query/mate	HHH\$^^%\$\$\$...
12	OPT	Optional Tags	XA:i:2, MD:Z:0T34G15







# The CIGAR string: encode the details of the alignment

Operation	Meaning
M	Match*
D	Deletion w.r.t. reference
I	Insertion w.r.t. reference
N	Split or spliced alignment
S	Soft-clipping
H	Hard-clipping
P	Padding

Reference:

ACCTGTC--TACCTTACG

Experimental:

ACCT-TCCATACTTTATC



4M 1D 2M 2I 7M 2S

CIGAR string:

4M1D2M2I7M2S



LENGTH/OPERATION

# The extended CIGAR string: M become = and X

Operation	Meaning
=	Exact match
X	Mismatch
D	Deletion w.r.t. reference
I	Insertion w.r.t. reference
N	Split or spliced alignment
S	Soft-clipping
H	Hard-clipping
P	Padding

Reference:  
Experimental:

ACCTGTC--TACCTTACG


ACCT-TCCATACTTTATC



4= 1D 2= 2I 3= 1X 3= 2S

CIGAR string: 4=1D2=2I3=1X3=2S

# The FLAG column



Sequence ID	FLAG	CHROM	POS
ST-E00223:32:H5J57CCXX:6:2123:15189:52872	97	1	10001
ST-E00223:46:HG7V5CCXX:2:1116:12601:22862	1123	1	10006
ST-E00223:32:H5J57CCXX:5:2208:10074:43308	99	1	10008
ST-E00223:46:HG7V5CCXX:5:2119:12936:64896	99	1	10013
ST-E00223:32:H5J57CCXX:1:1205:17290:54577	99	1	10019
ST-E00223:32:H5J57CCXX:6:1115:16844:11013	81	1	10026
ST-E00223:32:H5J57CCXX:7:2113:18935:32356	99	1	10032
ST-E00223:46:HG7V5CCXX:6:2117:3082:44239	99	1	10040
ST-E00223:46:HG7V5CCXX:5:2213:10744:58813	163	1	10074
ST-E00223:32:H5J57CCXX:4:1220:14651:8868	99	1	10086

# The FLAG score

base2	base10	base16	Meaning	Applies to:
00000000001	1	0x0001	The read originated from a paired sequencing molecule	Both
00000000010	2	0x0002	The read is mapped in a <b>proper</b> pair	Pairs only
00000000100	4	0x0004	The query sequence itself is unmapped	Both
00000001000	8	0x0008	The query's mate is unmapped	Pairs only
00000010000	16	0x0010	Strand of the query (0 for forward; 1 for reverse strand)	Both
00000100000	32	0x0020	Strand of the query's mate	Pairs only
00001000000	64	0x0040	The query is the first read in the pair	Pairs only
00010000000	128	0x0080	The read is the second read in the pair	Pairs only
00100000000	256	0x0100	The alignment is not primary	Both
01000000000	512	0x0200	The read fails platform/vendor quality checks	Both
10000000000	1024	0x0400	The read is either a PCR duplicate or an optical duplicate	Both

ST-E00223:32:H5J57CCXX:4:1220:14651:8868

99

1

10086

base2	base10	base16	Meaning	Applies to:
00000000001	1	0x0001	The read originated from a paired sequencing molecule	Both
00000000010	2	0x0002	The read is mapped in a <b>proper</b> pair	Pairs only
00000000100	4	0x0004	The query sequence itself is unmapped	Both
00000001000	8	0x0008	The query's mate is unmapped	Pairs only
00000010000	16	0x0010	Strand of the query (0 for forward; 1 for reverse strand)	Both
00000100000	32	0x0020	Strand of the query's mate	Pairs only
00001000000	64	0x0040	The query is the first read in the pair	Pairs only
00010000000	128	0x0080	The read is the second read in the pair	Pairs only
00100000000	256	0x0100	The alignment is not primary	Both
01000000000	512	0x0200	The read fails platform/vendor quality checks	Both
10000000000	1024	0x0400	The read is either a PCR duplicate or an optical duplicate	Both

00001100011

$$2^6 + 2^5 + 2^1 + 2^0 = 64 + 32 + 2 + 1 = 99$$

<https://broadinstitute.github.io/picard/explain-flags.html>

# Use samtools to convert SAM to BAM.

***This takes a long time, but you do it once***

Create BWT of reference genome.

```
$ bwa index grch38.fa
```



***Output is in SAM format.***

*Use multiple threads if you have a computer with multiple CPUs.*

Align paired-end FASTQ to BWT index.

```
$ bwa mem -t 16 grch38.fa 1.fq 2.fq > sample.sam
```



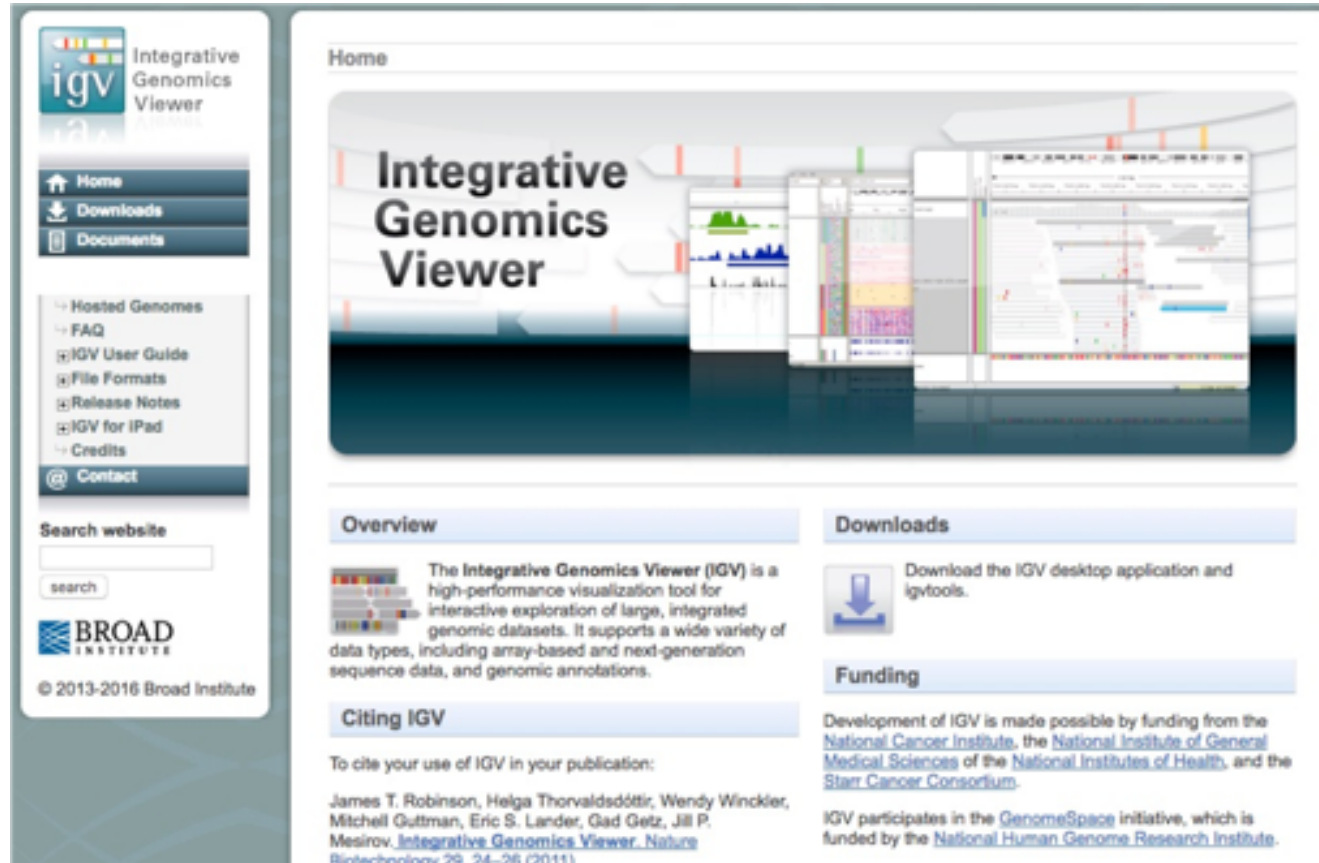
***Output is in BAM format.***

*However, it is unsorted - that is, random genomic order as reads are randomly placed in FASTQ by sequencer.*

Convert SAM to BAM

```
$ samtools view -Sb sample.sam > sample.bam
```

# IGV tutorial



The screenshot shows the homepage of the Integrative Genomics Viewer (IGV). The left sidebar contains a navigation menu with links to Home, Downloads, Documents, Hosted Genomes, FAQ, IGV User Guide, File Formats, Release Notes, IGV for iPad, Credits, and Contact. Below the menu is a search bar and the Broad Institute logo. The main content area features a large banner with the IGV logo and a visualization of genomic data. Below the banner are sections for Overview, Downloads, Funding, and Citing IGV. The Overview section describes IGV as a high-performance visualization tool for interactive exploration of large, integrated genomic datasets. The Downloads section provides a link to download the IGV desktop application and igvtools. The Funding section lists the organizations that fund the development of IGV. The Citing IGV section provides a citation for the IGV paper published in Nature Biotechnology.

**Integrative Genomics Viewer**

**Overview**

The Integrative Genomics Viewer (IGV) is a high-performance visualization tool for interactive exploration of large, integrated genomic datasets. It supports a wide variety of data types, including array-based and next-generation sequence data, and genomic annotations.

**Downloads**

Download the IGV desktop application and igvtools.

**Funding**

Development of IGV is made possible by funding from the [National Cancer Institute](#), the [National Institute of General Medical Sciences](#) of the [National Institutes of Health](#), and the [Starr Cancer Consortium](#).

IGV participates in the [GenomeSpace](#) initiative, which is funded by the [National Human Genome Research Institute](#).

**Citing IGV**

To cite your use of IGV in your publication:

James T. Robinson, Helga Thorvaldsdóttir, Wendy Winckler, Mitchell Guttman, Eric S. Lander, Gad Getz, Jill P. Mesirov. [Integrative Genomics Viewer](#). *Nature Biotechnology* 29: 24–26 (2011)

[https://github.com/griffithlab/rnaseq\\_tutorial/wiki/IGV-Tutorial](https://github.com/griffithlab/rnaseq_tutorial/wiki/IGV-Tutorial)

# This week's Tutorial and Homework

- git clone <https://github.com/genome/bfx-workshop.git>
  - Or `git pull` if you've already cloned it before.