## CS481/CS583: Bioinformatics Algorithms

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# APPROXIMATE STRING MATCHING: BANDED ALIGNMENT

## Limiting gaps

- We know how to calculate global and local alignments in O(mn) time
- What if the problem definition limits the gaps to w, where w<<n and w<<m?</p>
  - Can we improve run time?

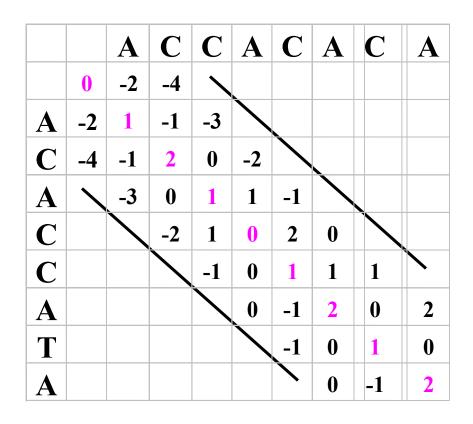
## Limiting gaps

		A	C	C	A	C	A	C	A
	0								
A		1							
C			2						
C A C C A				1					
C					0				
C						1			
A							2		
T								1	
A									2

Example: Limit gaps to

w=2

## Banded global alignment: Ukkonen's



- Example
  - $\square$  w=2
- What's the running time?

Hirschberg's Algorithm

# DP IN LINEAR SPACE & DIVIDE AND CONQUER ALGORITHMS

## Divide and Conquer Algorithms

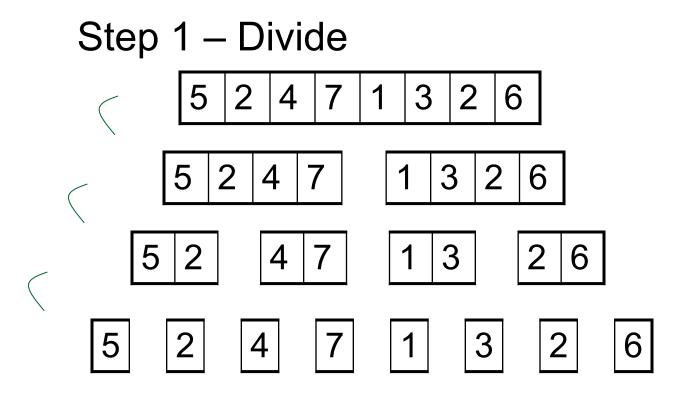
- Divide problem into sub-problems
- Conquer by solving sub-problems recursively. If the sub-problems are small enough, solve them in brute force fashion
- Combine the solutions of sub-problems into a solution of the original problem (tricky part)

## Sorting Problem

Given: an unsorted array

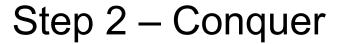
Goal: sort it

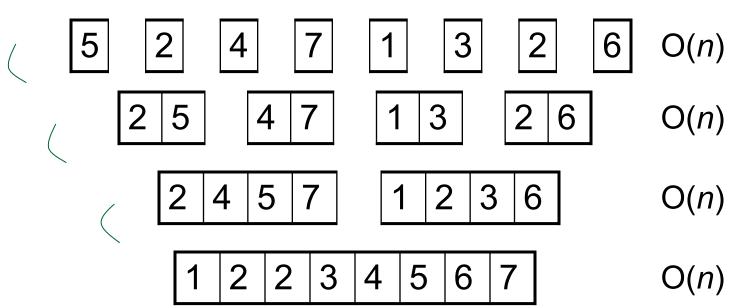
## Mergesort: Divide Step



log(n) divisions to split an array of size n into single elements

## Mergesort: Conquer Step





log n iterations, each iteration takes O(n) time. Total Time: O(n log n)

## Mergesort: Combine Step

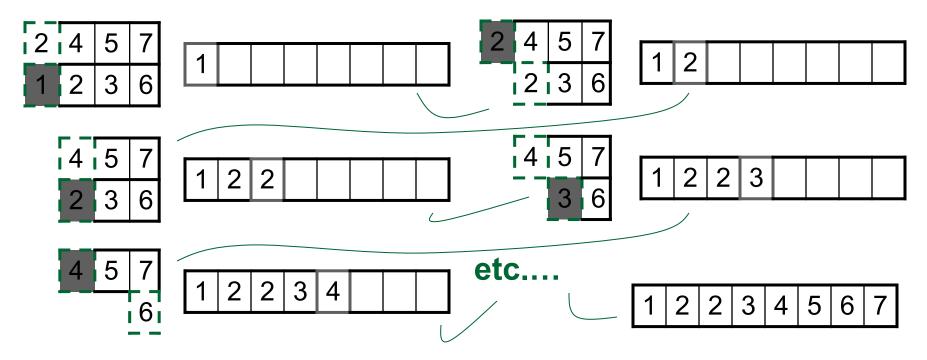
Step 3 – Combine

5 2 5

- 2 arrays of size 1 can be easily merged to form a sorted array of size 2
- 2 sorted arrays of size n and m can be merged in O(n+m) time to form a sorted array of size n+m

## Mergesort: Combine Step

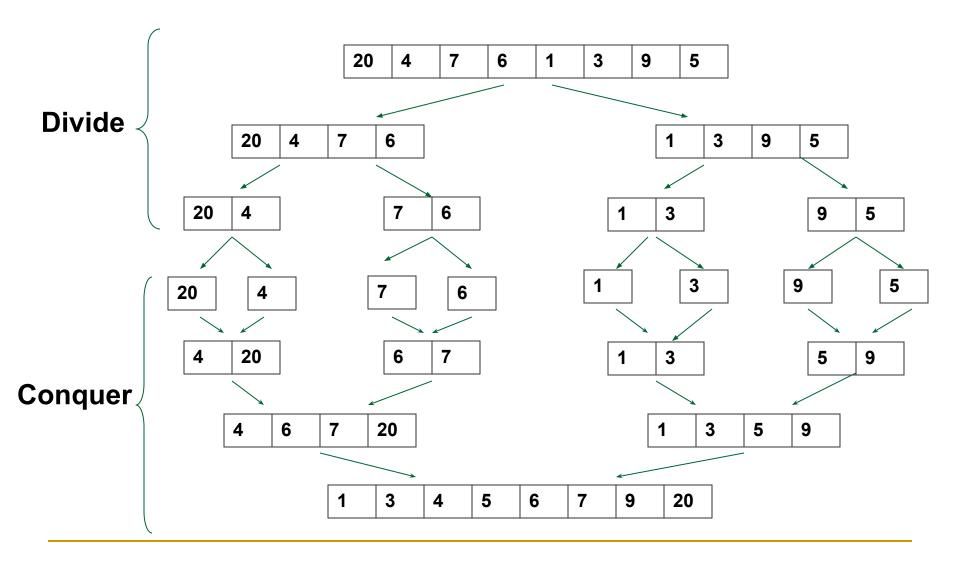
#### Combining 2 arrays of size 4



## Merge Algorithm

```
Merge(a,b)
  2. n1 \leftarrow \text{size of array } a
  3. n2 \leftarrow \text{size of array } b
 4. a_{n1+1} \leftarrow \infty
      a_{n2+1} \leftarrow \infty
  6. i \leftarrow 1
  7. j \leftarrow 1
  8. for k \leftarrow 1 to n1 + n2
                 if a_i < b_i
10.
                       c_k \leftarrow a_i
                        i \leftarrow i + 1
11.
12.
                 else
13.
                       c_{\mathsf{k}}^{\mathsf{\leftarrow}} \leftarrow b_{\mathsf{i}}^{\mathsf{}}
                       j← j+ Í
14.
15. return c
```

## Mergesort: Example



## MergeSort Algorithm

return sortedList

10.

MergeSort(c)  $n \leftarrow \text{size of array } c$ if n = 1return c *left* ← list of first n/2 elements of c $right \leftarrow list of last n-n/2 elements of c$ sortedLeft ← MergeSort(*left*) *sortedRight* ← MergeSort(*right*) sortedList ← Merge(sortedLeft,sortedRight)

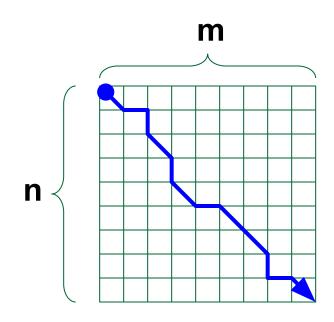
## MergeSort: Running Time

- The problem is simplified to smaller steps
  - for the *i*'th merging iteration, the complexity of the problem is O(n)
  - number of iterations is O(log n)
  - □ running time: O(*n* log*n*)

## Computing Alignment Path Requires Quadratic Memory

#### **Alignment Path**

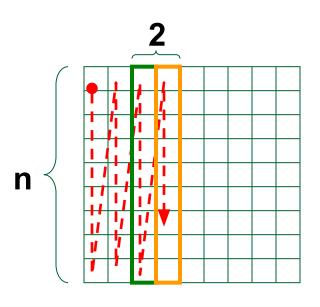
- Space complexity for computing alignment path for sequences of length n and m is O(nm)
- We need to keep all backtracking references in memory to reconstruct the path (backtracking)



## Computing Alignment Score with Linear Memory

#### Alignment Score

- Space complexity of computing just the score itself is O(n)
- We only need the previous column to calculate the current column, and we can then throw away that previous column once we're done using it



### Divide and Conquer Approach to LCS

#### Path(source, sink)

- if(source & sink are in consecutive columns)
- output the longest path from source to sink
- else
- *middle* ← middle vertex between *source* & *sink*
- Path(source, middle)
- Path(middle, sink)

### Divide and Conquer Approach to LCS

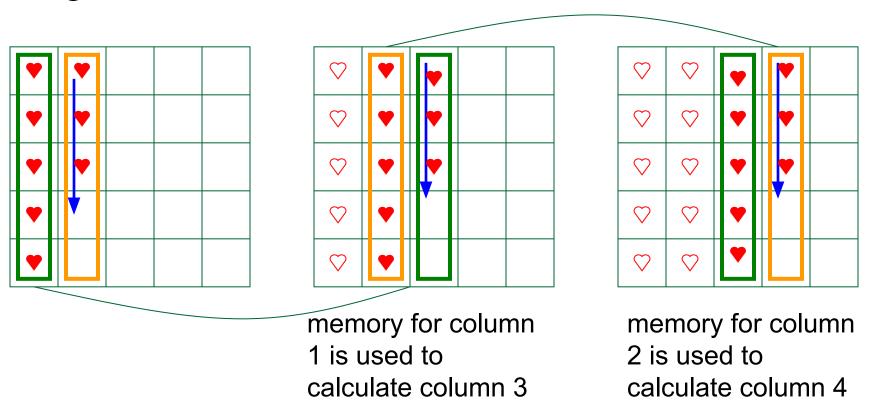
#### Path(source, sink)

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- Path(middle, sink)

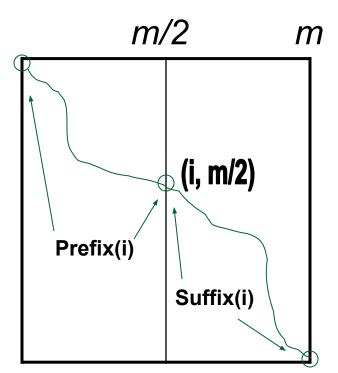
The only problem left is how to find this "middle vertex"!

#### Computing Alignment Score: Recycling Columns

## Only two columns of scores are saved at any given time



### Crossing the Middle Line



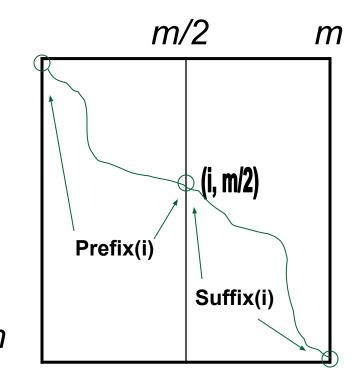
We want to calculate the longest path from (0,0) to (*n*,*m*) that passes through (*i*,*m*/2) where *i* ranges from 0 to *n* and represents the *i*-th row

Define

length(i)

as the length of the longest path from (0,0) to (n,m) that passes through vertex (i, m/2)

## Crossing the Middle Line

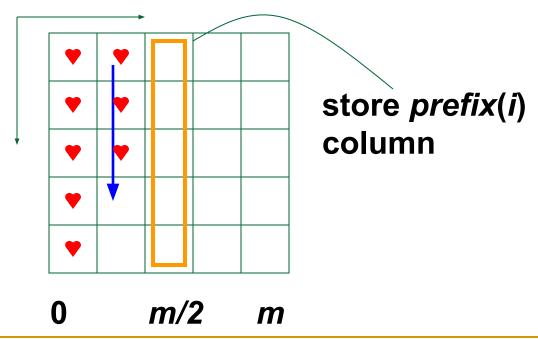


Define (*mid*,*m*/2) as the vertex where the longest path crosses the middle column.

 $length(mid) = optimal length = max_{0 \le i \le n} length(i)$ 

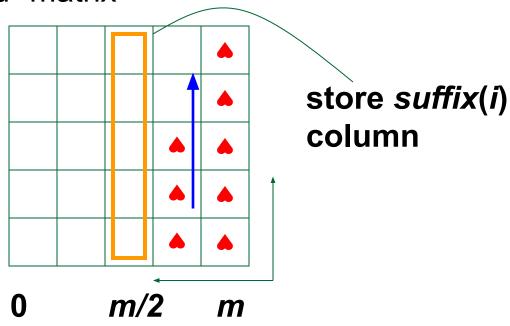
## Computing Prefix(i)

- prefix(i) is the length of the longest path from (0,0) to (i,m/2)
- Compute prefix(i) by dynamic programming in the left half of the matrix



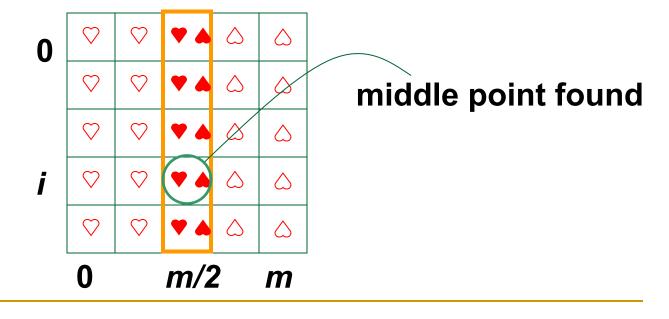
## Computing Suffix(i)

- suffix(i) is the length of the longest path from (i,m/2) to (n,m)
- suffix(i) is the length of the longest path from (n,m) to (i,m/2) with all edges reversed
- Compute suffix(i) by dynamic programming in the right half of the "reversed" matrix

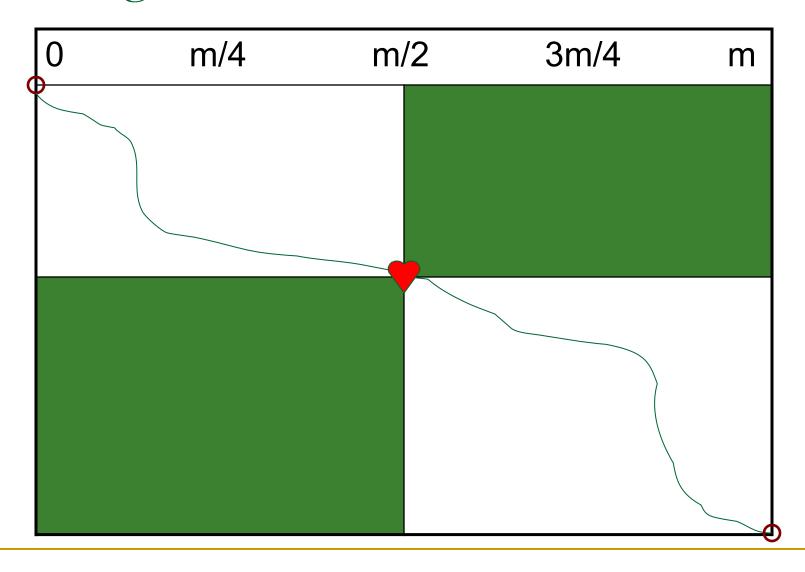


$$Length(i) = Prefix(i) + Suffix(i)$$

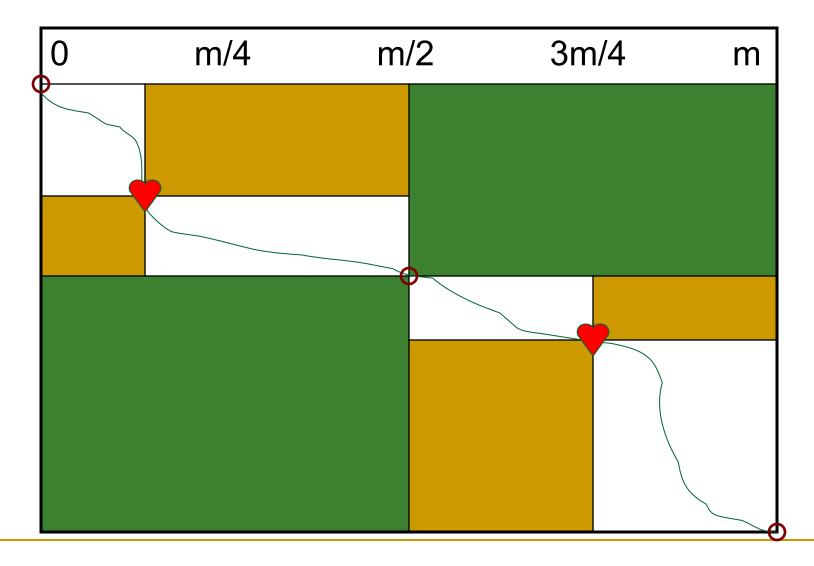
- Add prefix(i) and suffix(i) to compute length(i):
  - length(i)=prefix(i) + suffix(i)
- You now have a middle vertex of the maximum path (i,m/2) as maximum of length(i)



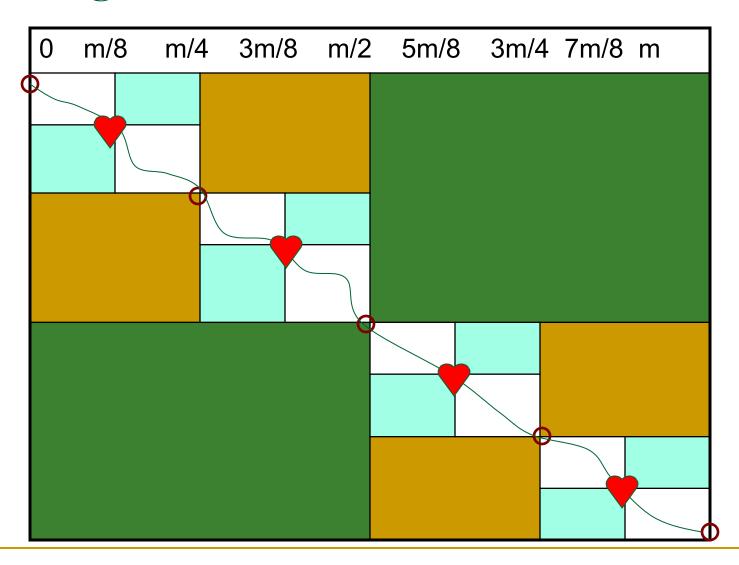
## Finding the Middle Point



## Finding the Middle Point again



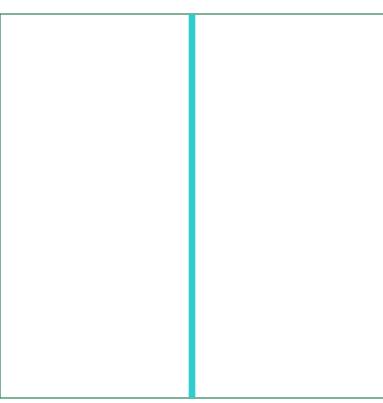
## And Again



#### Time = Area: First Pass

On first pass, the algorithm covers the entire area

Area =  $n \cdot m$ 



#### Time = Area: First Pass

On first pass, the algorithm covers the entire area

Area =  $n \cdot m$ 

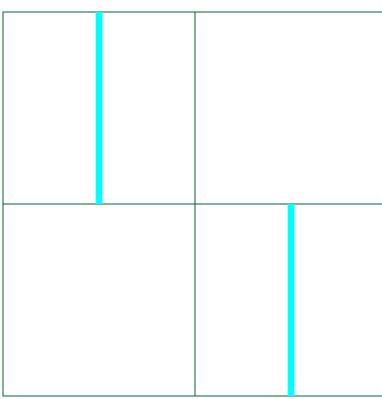
Computing prefix(i)

Computing suffix(i)

#### Time = Area: Second Pass

On second pass, the algorithm covers only
 1/2 of the area

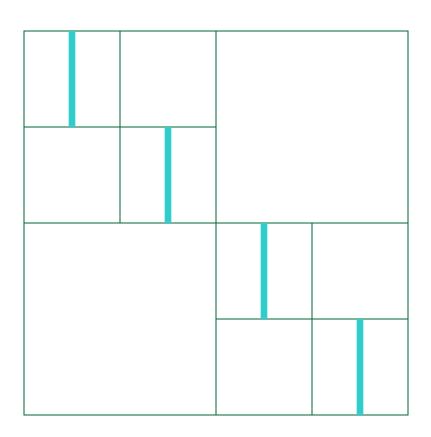
Area/2



#### Time = Area: Third Pass

On third pass, only 1/4th is covered.

Area/4

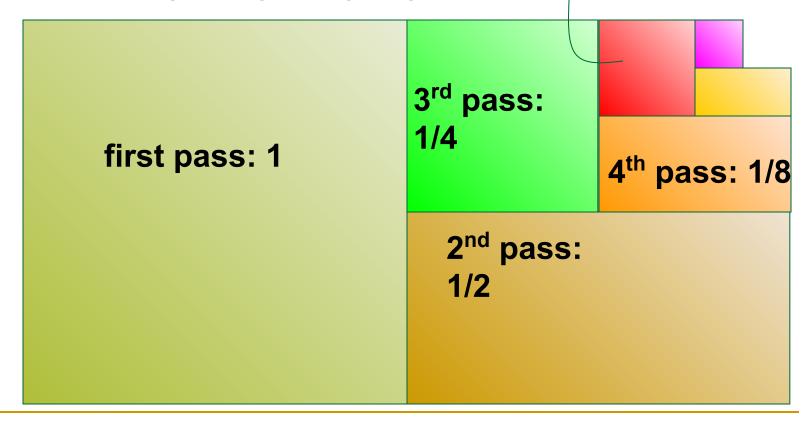


#### Geometric Reduction At Each Iteration

$$1 + \frac{1}{2} + \frac{1}{4} + \dots + (\frac{1}{2})^k \leq 2$$

• Runtime: O(Area) = O(nm)

5<sup>th</sup> pass: 1/16



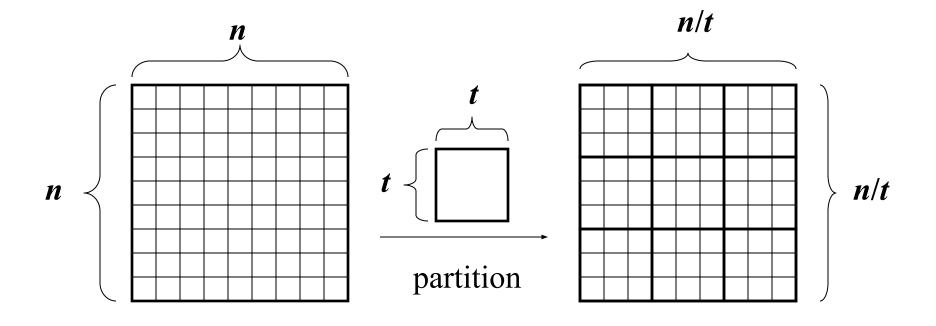
## Is It Possible to Align Sequences in Subquadratic Time?

- Dynamic Programming takes O(n²) for global alignment
- Can we do better?
- Yes, use Four-Russians Speedup

#### Partitioning Sequences into Blocks

- Partition the n x n grid into blocks of size t x t
- We are comparing two sequences, each of size n, and each sequence is sectioned off into chunks, each of length t
- Sequence  $\mathbf{u} = u_1 ... u_n$  becomes  $|u_1 ... u_t| |u_{t+1} ... u_{2t}| ... |u_{n-t+1} ... u_n|$  and sequence  $\mathbf{v} = v_1 ... v_n$  becomes  $|v_1 ... v_t| |v_{t+1} ... v_{2t}| ... |v_{n-t+1} ... v_n|$

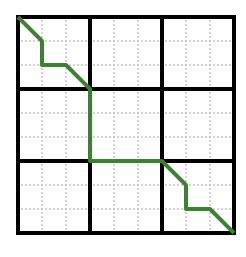
#### Partitioning Alignment Grid into Blocks



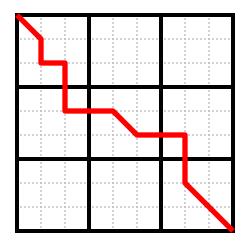
#### Block Alignment

- Block alignment of sequences u and v:
  - An entire block in u is aligned with an entire block in v
  - 2. An entire block is inserted
  - 3. An entire block is deleted
- Block path: a path that traverses every t x t square through its corners

## Block Alignment: Examples



valid



invalid

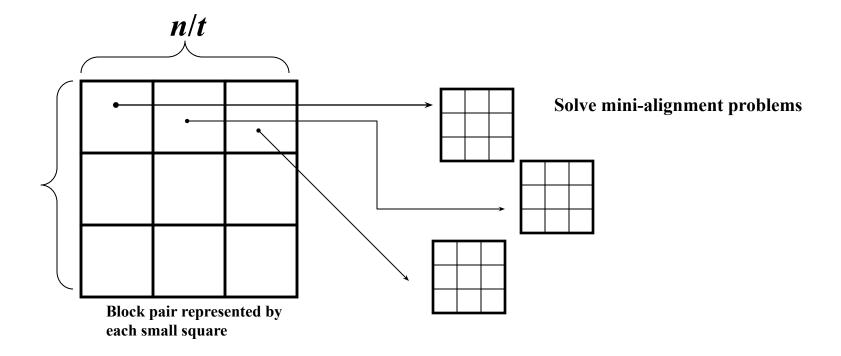
#### Block Alignment Problem

- Goal: Find the longest block path through an edit graph
- Input: Two sequences, u and v partitioned into blocks of size t. This is equivalent to an n x n edit graph partitioned into t x t subgrids
- Output: The block alignment of u and v with the maximum score (longest block path through the edit graph

#### Constructing Alignments within Blocks

- To solve: compute alignment score B<sub>i,j</sub> for each pair of blocks |u<sub>(i-1)\*t+1</sub>...u<sub>i\*t</sub>| and |v<sub>(j-1)\*t+1</sub>...v<sub>j\*t</sub>|
- How many blocks are there per sequence? (n/t) blocks of size t
- How many pairs of blocks for aligning the two sequences?
   (n/t) x (n/t)
- For each block pair, solve a mini-alignment problem of size t x t

#### Constructing Alignments within Blocks



#### Block Alignment: Dynamic Programming

Let s<sub>i,j</sub> denote the optimal block alignment score between the first i blocks of u and first j blocks of v

$$S_{i,j} = \max \begin{cases} S_{i-1,j} - \sigma_{\text{block}} \\ S_{i,j-1} - \sigma_{\text{block}} \\ S_{i-1,j-1} - \beta_{i,j} \end{cases}$$

 $\sigma_{
m block}$  is the penalty for inserting or deleting an entire block

 $\beta_{i,j}$  is score of pair of blocks in row i and column j.

## Block Alignment Runtime

Indices i,j range from 0 to n/t

Running time of algorithm is

$$O([n/t]^*[n/t]) = O(n^2/t^2)$$

if we don't count the time to compute each

$$oldsymbol{eta}_{i,j}$$

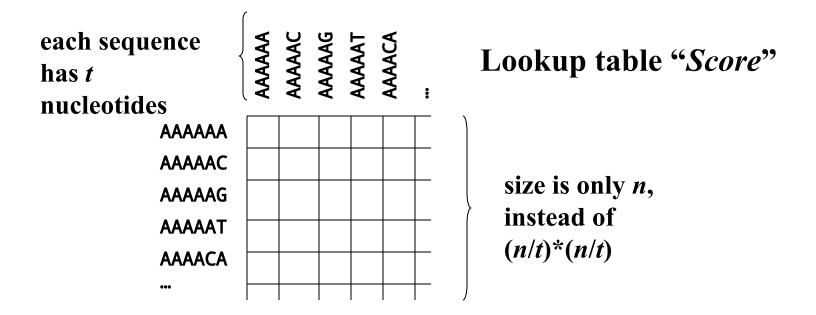
#### Block Alignment Runtime (cont'd)

- Computing all  $\beta_{i,j}$  requires solving  $(n/t)^*(n/t)$  mini block alignments, each of size  $(t^*t)$
- So computing all  $\beta_{i,j}$  takes time  $O([n/t]^*[n/t]^*t^*t) = O(n^2)$
- This is the same as dynamic programming
- How do we speed this up?

#### Four Russians Technique

- Let t = log(n), where t is block size, n is sequence size.
- Instead of having (n/t)\*(n/t) mini-alignments, construct 4<sup>t</sup> x 4<sup>t</sup> mini-alignments for all pairs of strings of t nucleotides, and put in a lookup table.
- However, size of lookup table is not really that huge if t is small. Let t = (logn)/4. Then 4<sup>t</sup> x 4<sup>t</sup> = n

#### Look-up Table for Four Russians Technique



#### New Recurrence

 The new lookup table Score is indexed by a pair of t-nucleotide strings, so

$$S_{i,j} = \max \begin{cases} S_{i-1,j} - \sigma_{block} \\ S_{i,j-1} - \sigma_{block} \\ S_{i-1,j-1} + Score(i^{th} block of v, j^{th} block of u) \end{cases}$$

### Four Russians Speedup Runtime

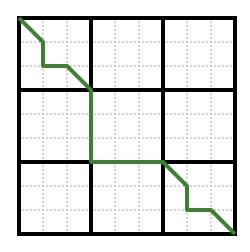
- Since computing the lookup table Score of size n takes O(n) time, the running time is mainly limited by the (n/t)\*(n/t) accesses to the lookup table
- Each access takes O(logn) time
- Overall running time: O(  $[n^2/t^2]*logn$  )
- Since  $t = \log n(4)$ , substitute in:
  - $\bigcirc O([n^2/\{\log n\}^2]^*\log n) \ge O(n^2/\log n)$

#### So Far...

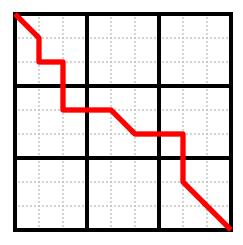
- We can divide up the grid into blocks and run dynamic programming only on the corners of these blocks
- In order to speed up the mini-alignment calculations to under n², we create a lookup table of size n, which consists of all scores for all t-nucleotide pairs
- Running time goes from quadratic,  $O(n^2)$ , to subquadratic:  $O(n^2/\log n)$

## Four Russians Speedup for LCS

 Unlike the block partitioned graph, the LCS path does not have to pass through the vertices of the blocks.



block alignment

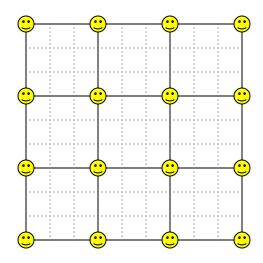


longest common subsequence

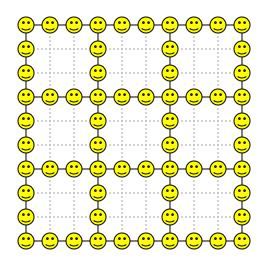
### Block Alignment vs. LCS

- In block alignment, we only care about the corners of the blocks.
- In LCS, we care about all points on the edges of the blocks, because those are points that the path can traverse.
- Recall, each sequence is of length n, each block is of size t, so each sequence has (n/t) blocks.

#### Block Alignment vs. LCS: Points Of Interest



block alignment has (n/t)\*(n/t) = $(n^2/t^2)$  points of interest



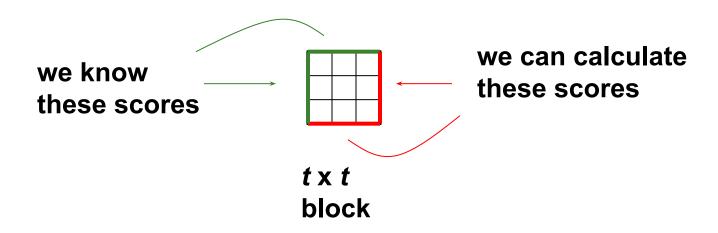
LCS alignment has  $O(n^2/t)$  points of interest

## Traversing Blocks for LCS

- Given alignment scores  $s_{i,*}$  in the first row and scores  $s_{*,i}$  in the first column of a t x t mini square, compute alignment scores in the last row and column of the minisquare.
- To compute the last row and the last column score, we use these 4 variables:
  - alignment scores s<sub>i,\*</sub> in the first row
  - alignment scores s, in the first column
  - substring of sequence u in this block (4 $^t$  possibilities)
  - substring of sequence v in this block (4 $^t$  possibilities)

#### Traversing Blocks for LCS (cont'd)

If we used this to compute the grid, it would take quadratic, O(n²) time, but we want to do better.



## Four Russians Speedup

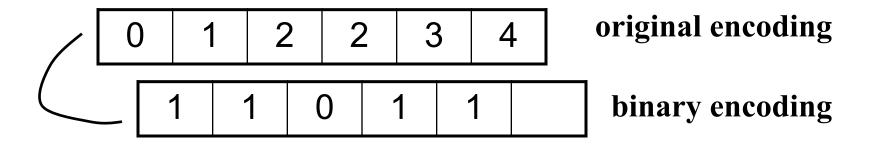
- Build a lookup table for all possible values of the four variables:
  - all possible scores for the first row s<sub>i.\*</sub>
  - all possible scores for the first column  $s_{*,j}$
  - substring of sequence u in this block (4 $^t$  possibilities)
  - substring of sequence  $\nu$  in this block (4<sup>t</sup> possibilities)
- For each quadruple we store the value of the score for the last row and last column.
- This will be a huge table, but we can eliminate alignments scores that don't make sense

## Reducing Table Size

- Alignment scores in LCS are monotonically increasing, and adjacent elements can't differ by more than 1
- Example: 0,1,2,2,3,4 is ok; 0,1,2,4,5,8, is not because 2 and 4 differ by more than 1 (and so do 5 and 8)
- Therefore, we only need to store quadruples whose scores are monotonically increasing and differ by at most 1

## Efficient Encoding of Alignment Scores

Instead of recording numbers that correspond to the index in the sequences u and v, we can use binary numbers to encode the differences between the alignment scores



## Reducing Lookup Table Size

- $\mathbf{L}^t$  possible scores (t = size of blocks)
- 4<sup>t</sup> possible strings
  - □ Lookup table size is  $(2^t * 2^t)*(4^t * 4^t) = 2^{6t}$
- Let  $t = (\log n)/4$ ;
  - $\Box$  Table size is:  $2^{6((\log n)/4)} = n^{(6/4)} = n^{(3/2)}$
- Time = O(  $[n^2/t^2]*log n$  )
- $O([n^2/\{\log n\}^2]^*\log n) \ge O(n^2/\log n)$

#### Main Observation

Within a rectangle of the DP matrix,
values of D depend only on the values of A, B, C, and substrings  $x_{l...l}$ ,  $y_{r...r}$ 

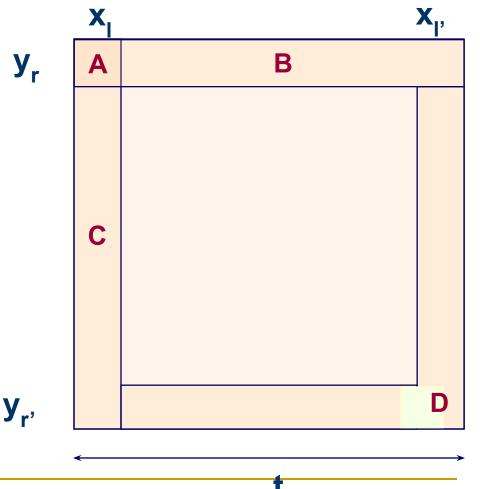
#### **Definition:**

A t-block is a t × t square of the DP matrix

#### <u>Idea:</u>

Divide matrix in t-blocks, Precompute t-blocks

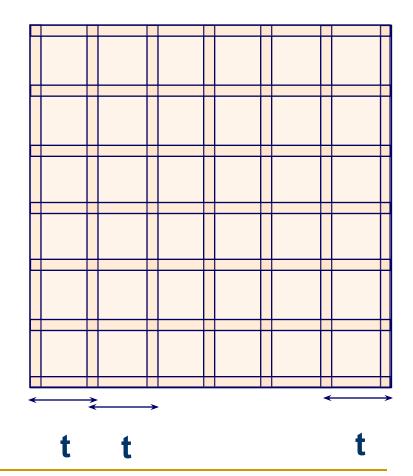
Speedup: O(t)



#### Main structure of the algorithm:

- Divide N×N DP matrix into K×K
   log<sub>2</sub>N-blocks that overlap by 1 column & 1 row
- For i = 1.....K
- For j = 1.....K
- Compute D<sub>i,j</sub> as a function of A<sub>i,j</sub>, B<sub>i,j</sub>, C<sub>i,j</sub>, x[I<sub>i</sub>...I'<sub>i</sub>], y[r<sub>j</sub>...r'<sub>j</sub>]

**Time:**  $O(N^2 / log^2 N)$ 



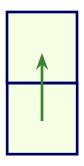
## Precomputation

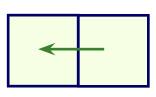
- By definition every cell has a value in [0, ..., n]
- There are (n+1)<sup>t</sup> possible values for any t-length row or column
- If  $\sigma = |\Sigma|$ , then there are  $\sigma^t$  possible substrings of length t
- Number of distinct computations is (n+1)<sup>2t</sup> σ<sup>2t</sup>
- t<sup>2</sup> computations required to evaluate a *t*-block
- Overall:  $\Theta((n+1)^{2t} \sigma^{2t} t^2) = \Omega(n^2)$

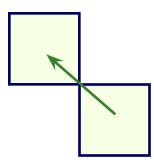
Another observation:

(Assume match = 0, substitute = 1, delete = 1)

**Lemma.** Two adjacent cells of F(.,.) differ by at most 1





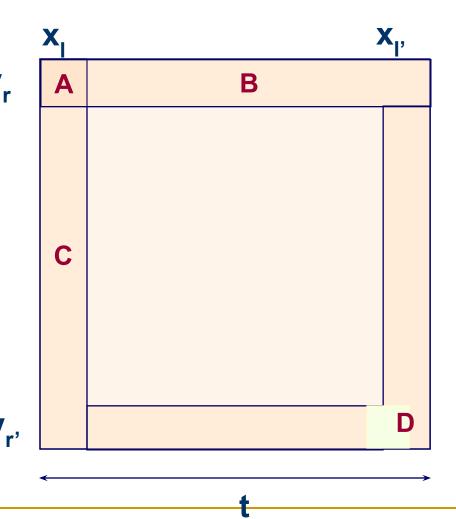


#### **Definition:**

The offset vector is a t-long vector of values from {-1, 0, 1}, where the first entry is 0

If we know the value at A, and the top row, left column offset vectors, and x<sub>1</sub>.....y<sub>r</sub>, y<sub>r</sub>.....y<sub>r</sub>,

Then we can find D

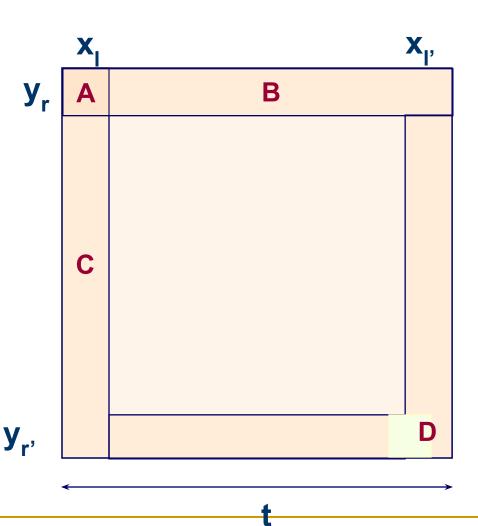


#### **Definition:**

The offset function of a t-block is a function that for any given offset vectors of top row, left column,

and  $x_1, \dots, x_r, y_r, \dots, y_r$ 

produces offset vectors of bottom row, right column



### An Example

		C	T	T	C	G	A	T	G	A
	0	0	0	0	0	0	0	0	0	0
T	0	0	1	1	1	1	1	1	1	1
T	0	0	1	2	2	2	2	2	2	2
A	0	0	1	2	2	2	3	3	3	3
C	0	1	1	2	3	3	3	3	3	3
G	0	1	1	2	3	4	4	4	4	4
T	0	1	2	2	3	4	4	5	5	5
G	0	1	2	2	3	4	4	5	6	6
C	0	1	2	2	3	4	4	5	6	6
A	0	1	2	2	3	4	5	5	6	7

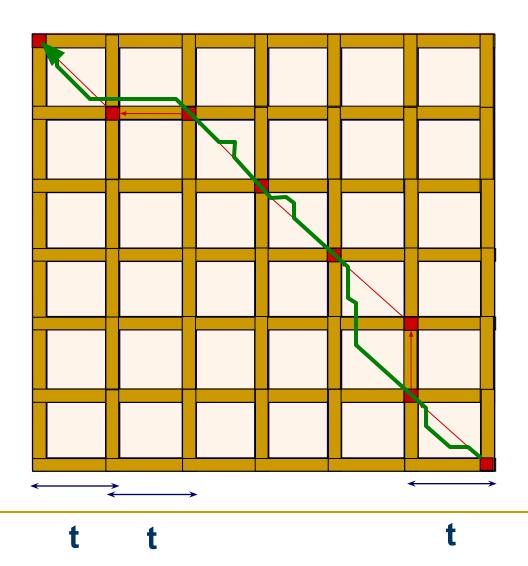
## An Example

	 C	T	T	C	G	A	T	G	A
T	0/0	1	0	0	1/0	0	0	0	1/0
T	0				1				1
A	0				0				1
С	1				1				0
G	0/1	0	1	1	1/1	0	0	0	1/0
Т	0				0				1
G	0				0				1
С	0				0				0
A	0/1	1	0	1	0/1	1	0	1	1/1

#### Four-Russians Algorithm: (Arlazarov, Dinic, Kronrod, Faradzev)

- Cover the DP table with t-blocks
- Initialize values F(.,.) in first row & column
- Row-by-row, use offset values at leftmost column and top row of each block, to find offset values at rightmost column and bottom row
- Let Q = total of offsets at row n; F(n, n) = Q + F(n, 0) = Q + n

Runtime: O(n<sup>2</sup> / logn)



#### An Example: score maximization

		C	T	T	C	G	A	T	G	A
	0	0	0	0	0	0	0	0	0	0
T	0									
T	0									
A	0									
C	0									
G	0									
T	0									
G	0									
C	0									
A	0									

Match: +1 Mismatch: 0 Gap: 0 t=5

# Precompute

	C	T	T	C	G
T	0	1	1	1	1
T	0	1	2	2	2
A	0	1	2	2	2
C	1	1	2	3	3
G	1	1	2	3	4

	C	T	T	C	G
T	0/0	1	0	0	1/0
T	0				1
A	0				0
C	1				1
G	0/1	0	1	1	1/1

Align Encode

# Precompute

	G	A	T	G	A
T	0	0	1	1	1
T	0	0	1	1	1
A	0	1	1	1	2
С	0	1	1	1	2
G	1	1	1	2	2

	G	A	T	G	A
T	0/0	0	1	0	0/1
T	0				1
A	0				0
C	0				1
G	1/1	0	0	1	1/1

Align Encode

Will not use this one, but will be precomputed

# Precompute

	G	A	T	G	A
T	1/0	1	1	1	1
T	1	1	2	2	2
A	0	2	2	2	3
C	1	2	2	2	3
G	1/1	1	2	3	3

	G	A	T	G	A
T	1/0	0	0	0	0
T	1				1
A	0				1
С	1				0
G	1/1	0	0	0	1/0

Align Encode

Will use this one

#### Summary

- We take advantage of the fact that for each block of  $t = \log(n)$ , we can pre-compute all possible scores and store them in a lookup table of size  $n^{(3/2)}$
- Four Russians speedup: from a quadratic running time for LCS to subquadratic running time: O(n²/logn)

Gene Myers, 1999

#### BITPARALLEL ALIGNMENT

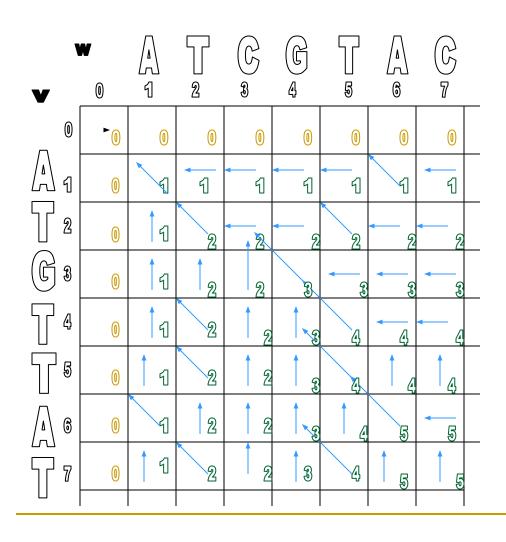
## Assumptions & Observations

- Levenshtein Distance (match=0; mismatch=gap=1)
- For simplicity, assume the sequence length m<w; where w is the computer word size (i.e., w=32 or w=64 in most computers)
- The main idea of following the bit-vector algorithm is to parallelize the dynamic programming matrix. We will compute the column as a whole in a series of bit-level operations. In order to do so, we need to
  - encode the dynamic programming matrix using bit vectors, and
  - resolve the dependencies (especially within the columns)

The binary encoding is done by considering the *differences* between consecutive rows and columns instead of their *absolute* values. We introduce the following nomenclature for these differences ("deltas"):

horizontal adjacency property 
$$\Delta h_{i,j} = C_{i,j} - C_{i,j-1} \in \{-1, 0, +1\}$$
  
vertical adjacency property  $\Delta v_{i,j} = C_{i,j} - C_{i-1,j} \in \{-1, 0, +1\}$   
diagonal property  $\Delta d_{i,j} = C_{i,j} - C_{i-1,j-1} \in \{0, +1\}$ 

#### C Matrix / Levenshtein



$$s_{i,j} = MAX$$

$$\begin{cases} s_{i-1,j} + 0 \\ s_{i,j-1} + 0 \\ s_{i-1,j-1} + 1, & \text{if } v_i = w_j \end{cases}$$

horizontal adjacency property 
$$\Delta h_{i,j} = C_{i,j} - C_{i,j-1} \in \{-1, 0, +1\}$$
  
vertical adjacency property  $\Delta v_{i,j} = C_{i,j} - C_{i-1,j} \in \{-1, 0, +1\}$   
diagonal property  $\Delta d_{i,j} = C_{i,j} - C_{i-1,j-1} \in \{0, +1\}$ 

The delta vectors are encoded as bit-vectors by the following boolean variables:

- $VP_{ij} \equiv (\Delta v_{i,j} = +1)$ , the vertical positive delta vector

    $VN_{ij} \equiv (\Delta v_{i,j} = -1)$ , the vertical negative delta vector

    $HP_{ij} \equiv (\Delta h_{i,j} = +1)$ , the horizontal positive delta vector

    $HN_{ij} \equiv (\Delta h_{i,j} = -1)$ , the horizontal negative delta vector

    $DO_{ij} \equiv (\Delta d_{i,j} = 0)$ , the diagonal zero delta vector

The deltas and bits are defined such that

$$\Delta h_{i,j} = HP_{i,j} - HN_{i,j}$$

$$\Delta v_{i,j} = VP_{i,j} - VN_{i,j}$$

$$\Delta d_{i,j} = 1 - D0_{ij}$$

These values "encode" the entire DP matrix C[0..m, 0..n] by C(i, j) =  $\sum_{r=1}^{i} \Delta v_{r,j}$ 

		Α	N	N	E	A	L	_	N	G
	0	0	0	0	0	0	0	0	0	0
Α	1	0	1	1	1	0	1	1	1	1
Ν	2	1	0	1		1	1	2	2	2
N	3	2	1	0	1	2	2	2	2	2
U	4	3	2	1	1	2	3	3	3	3
Α	5	4	3	2	2	1	2	3	4	4
L	6	5	4	3	3	2	1	2	3	4

		Α	N	N	Е	Α	L	1	N	G
	0	0	0	0	0	0	0	0	0	0
Α	1	0	1	1	1	0	1	1	1	1
N	1	1	-1	0	1	1	0	1	1	1
N	1	1	1	-1	-1	1	1	0	0	0
U	1	1	1	1	0	0	1	1	1	1
Α	1	1	1	1	1	-1	-1	0	1	1
L	1	1	1	1	1	1	-1	-1	-1	0

Denote by *score*<sub>j</sub> the edit distance of a pattern occurrence ending at text position j. The key ideas of Myers' algorithm are as follows:

- 1. Instead of computing C we compute the  $\Delta$  values, which in turn are represented as bit-vectors.
- 2. We compute the matrix column by column.
- 3. We maintain the value  $score_{j}$  using the fact that  $score_{0} = m$  and  $score_{j-1} + \Delta h_{m,j}$ .

### Myers' bitvector algorithm

```
for pos \leq 1 \dots n
      X = B[t_{oos}] | VN;
      D0 = ((\overrightarrow{VP} + (X \& VP)) \land VP) \mid X;
      HN = VP \& D0;
      HP = VN \mid \sim (VP \mid D0);
      X = HP << 1:
      VN = X \& D0:
      VP = (HN << 1) | ~ (X | D0);
      // Scoring and output
      if HP & 10^{m-1} \neq 0^{m} then
             score += 1;
      else if HN & 10^{m-1} \neq 0^m then
             score -= 1;
             endif
      endif
      if score ≤ k
             report occurrence at pos
      endif
endfor
```

```
// Preprocessing 

for c \in \Sigma \{ B[c] = 0m \}

for j \in 1 ... m \{ B[p_j] = B[p_j] | 0^{m-j}10^{j-1} \}

VP = 1^m; VN = 0^m;

score = m;
```