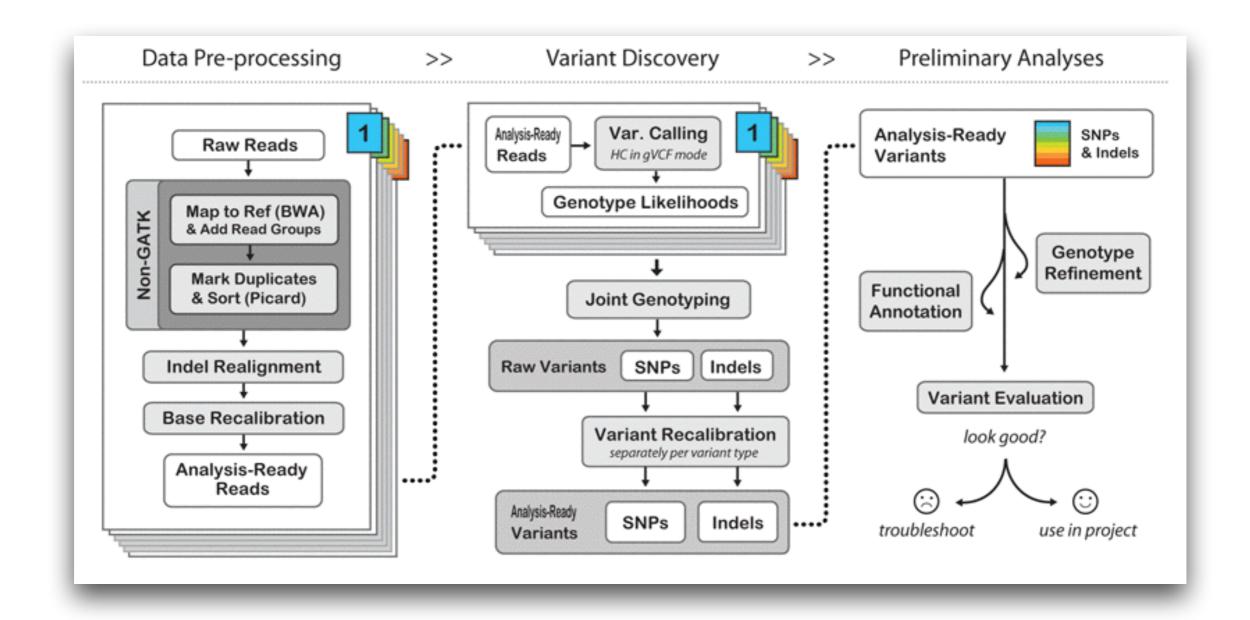
## Tutorial NGS

Exome sequencing Roland Krause

# Objectives

- Learn the basic workflow
- Take a glimpse at index structures and learn about the Burrows-Wheeler Transform
- From an example BAM file extract the chr22 reads and store it in FASTQ
- Learn how to quality control the reads using FastQC
- Perform an alignment
- Learn how to improve the alignments: mark duplicates, BQSR, local realignment
- Call variants

#### GATK pipeline



https://www.broadinstitute.org/gatk/guide/best-practices

### The human reference genome

- Is stored in FASTA format build GRCh37
- For this tutorial: taken from 1000 Genomes project + Modification of chrMT to be compatible with ENSEMBL

```
$ cat human_g1k_v37_Ensembl_MT_66.fasta | grep '>'
>1 dna:chromosome chromosome:GRCh37:1:1:249250621:1
>2 dna:chromosome chromosome:GRCh37:2:1:243199373:1
....
>X dna:chromosome chromosome:GRCh37:X:1:155270560:1
>Y dna:chromosome chromosome:GRCh37:Y:2649521:59034049:1
>MT dna_rm:chromosome chromosome:GRCh37:MT:1:16569:1
>GL000207.1 dna:supercontig supercontig::GL000207.1:1:4262:1
>GL000226.1 dna:supercontig supercontig::GL000226.1:1:15008:1
....
```

### The FASTQ format (Illumina)

- 1. Instrument name, flowcell id, coordinates within the tile, first or second read pair
- 2. The sequence of the read
- 3. Optional description
- 4. Quality values in ASCII (33 + Phred scaled Q)

Sequences from NGS machines are stored in that format!

- http://samtools.github.io/hts-specs/SAMv1.pdf
- Has become the standard for storing NGS alignment data
- BAM format is the binary compressed version of SAM including indexing capabilities for fast access
- Many tools support this format
- Developed at Welcome Trust Sanger Institute by Heng Li and published in 2009 (Bioinformatics)

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### BAM headers: an essential part of a BAM file

```
Required: Standard header
      VN:1.0 GO:none SO:coordinate
@HD
@SQ
      SN:chrM
                  LN:16571
@SQ
      SN:chr1
                  LN:247249719
                                                                                     Essential: read groups. Carries
                                                       Essential: contigs of
                  LN:242951149
@SQ
      SN:chr2
                                                                                     platform (PL), library (LB), and
[cut for clarity]
                                                        aligned reference
                                                                                    sample (SM) information. Each
@SQ
      SN:chr9
                  LN:140273252
                                                     sequence. Should be in
                                                                                     read is associated with a read
      SN:chr10
                  LN:135374737
@SQ
                                                         karyotypic order.
      SN:chr11
                  LN:134452384
@SQ
                                                                                                 group
[cut for clarity]
      SN:chr22
                LN:49691432
@SQ
@SQ
      SN:chrX
                   LN:154913754
@SQ
      SN:chrY
                  LN:57772954
                               PU:20FUKAAXX100202.1
@RG
      ID:20FUK.1
                   PL:illumina
                                                      LB:Solexa-18483 SM:NA12878
                                                                                   CN:BI
                   PL:illumina
                                                                                   CN:BI
@RG
      ID:20FUK.2
                               PU:20FUKAAXX100202.2
                                                      LB:Solexa-18484 SM:NA12878
      ID:20FUK.3
                   PL:illumina
                                                      LB:Solexa-18483 SM:NA12878
                                                                                   CN:BI
@RG
                               PU:20FUKAAXX100202.3
                   PL:illumina
                               PU:20FUKAAXX100202.4
                                                                                   CN:BI
@RG
      ID:20FUK.4
                                                      LB:Solexa-18484 SM:NA12878
                   PL:illumina
                               PU:20FUKAAXX100202.5
                                                      LB:Solexa-18483 SM:NA12878
                                                                                   CN:BI
@RG
      ID:20FUK.5
                   PL:illumina
                                                      LB:Solexa-18484 SM:NA12878
@RG
      ID:20FUK.6
                               PU:20FUKAAXX100202.6
                                                                                   CN:BI
      ID:20FUK.7
                   PL:illumina
                               PU:20FUKAAXX100202.7
                                                      LB:Solexa-18483 SM:NA12878
                                                                                   CN:BI
@RG
@RG
      ID:20FUK.8
                   PL:illumina
                               PU:20FUKAAXX100202.8
                                                      LB:Solexa-18484 SM:NA12878
                                                                                   CN:BI
@PG
      ID:BWA VN:0.5.7
                         CL:tk
                                                               Useful: Data processing tools applied to the reads
@PG
      ID:GATK TableRecalibration
                                VN:1.0.2864
20FUKAAXX100202:1:1:12730:189900
                                    163
                                                     60
                                                          101M =
                                                                      282
                                          chrM
                                                                           381
      GATCACAGGTCTATCACCCTATTAACCACTCACGGGAGCTCTCCATGCATTTGGTA...[more bases]
      ?BA@A>BBBBACBBAC@BBCBCBC@BC@CAC@:BBCBBCACAACBABCBCCAB...[more quals]
                    NM:i:1 SM:i:37 AM:i:37 MD:Z:72G28
      RG:Z:20FUK.1
                                                       MQ:i:60 PG:Z:BWA
                                                                           UQ:i:33
```

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)

#### The CIGAR string

Op	BAM	Description
M	0	alignment match (can be a sequence match or mismatch)
I	1	insertion to the reference
D	<b>2</b>	deletion from the reference
N	3	skipped region from the reference
S	4	soft clipping (clipped sequences present in SEQ)
H	5	hard clipping (clipped sequences NOT present in SEQ)
P	6	padding (silent deletion from padded reference)
=	7	sequence match
X	8	sequence mismatch

```
12345678901234 5678901234567890123456789012345
(a)
   coor
   ref
          AGCATGTTAGATAA**GATAGCTGTGCTAGTAGGCAGTCAGCGCCAT
   r001+
               TTAGATAAAGGATA*CTG
   r002+
               aaaAGATAA*GGATA
   r003+
            gcctaAGCTAA
                          ATAGCT.....TCAGC
   r004+
   r003-
                                 ttagctTAGGC
   r001-
                                              CAGCGCCAT
(b) @SQ SN:ref LN:45
   r001 163 ref 7 30 8M2I4M1D3M = 37 39 TTAGATAAAGGATACTA
   r002 0 ref 9 30 3S6M1P1I4M * 0 0 AAAAGATAAGGATA
   r003 0 ref 9 30 5H6M
                                * 0 0 AGCTAA
                                                     NM:i:1
   r004 0 ref 16 30 6M14N5M * 0
                                      0 ATAGCTTCAGC
   r003 16 ref 29 30 6H5M
                                       Ø TAGGC
                                                     NM:i:0
   r001 83 ref 37 30 9M
                           = 7 -39 CAGCGCCAT
```

# Short read alignment

- Before NGS:
  - SW, FASTA, BLAST
  - MEGABLAST, SSAH2, BLAT
- NGS produces short reads in high throughput, therefore new specialized fast aligners were needed

### Short read aligner

- ELAND, RMAP, MAQ, ZOOM, SEQMAP, CLOUDBURST, SHRIMP: hashing reads and scan reference, flexible memory footprint, high overhead when scanning few reads
- SOAPV1, PASS, MOM, PROBEMATCH, NOVOALIGN, RESEQ, MOSAIK, BFAST: hash the genome, parallelizable, require large memory to build reference index, speed sensitive to sequence errors
- SOAPV2, BOWTIE, BWA: Burrows-Wheeler Transform (BWT), prefix tree with small memory footprint

#### **BWA**

- Uses the Burrows-Wheeler transform algorithm
- Fast and moderate memory footprint
- Gapped alignments
- Non-unique reads are placed randomly with a mapping quality=0
- Output alignments in SAM format
- Li, H. and Durbin, R., Fast and accurate short read alignment with Burrows- Wheeler transform. *Bioinformatics* **25** (14), 1754 (2009)

### Searching options

- Brute force matching:
  - Trivial to implement
  - Extremely slow: O(n\*I) naive or O(n+I) smart
  - Space efficient: (O(n+I)) 3 billion bytes for 3Gbp genome
- k-mer index
  - Simple to implement
  - Fast O(n) for k-mer, how to deal with multiple mapping?
  - Space inefficient (O(k+1\*n) k+1 times

# Suffix Array Search

SA = 6,4,1,5,0,3,2

This and following material from Michael Schatz (CHSL) schatzlab.cshl.edu/teaching/2013/2013.10.24.SBU.BWT%20Notes.pdf

Binary Search: O(I Ig n); can be reduced to O(Ig n) by storing LCP array

Space: N integers (offsets) + N bytes (string)

15 billion bytes for 3 Gbp genome

## Burrows-Wheeler

- Want compact space O(n) bytes \*and\* efficient search
   O(lg n) or O(l)
- Goal: Optimal space index is 1 byte index per byte of text (full text index)
- BWT has these properties, plus other cool properties.
- Named for Michael Burrow and David Wheeler while working at DEC in 1994
- Original algorithm by Wheeler in 1983

#### Construction

Sort all cyclic rotations of G'=G\$ where G is genome and \$ is EOF character that is lexicographically less than all other characters in G

Example:

G=GATTACA

G'=GATTACA

BWT=ACTGA\$TA

Rotations: Sorted (also called BWM)

GATTACA\$ \$GATTACA

ATTACA\$G A\$GATTAC

TTACA\$GA ACA\$GATT

TACA\$GAT ATTACA\$G

ACA\$GATT CA\$GATTA

CA\$GATTA GATTACA\$

A\$GATTAC TACA\$GAT

\$GATTACA TTACA\$GA

BWT (last column of BWM) -^

### Last-first property

The magic of the BWT is the LF property: The ith occurrence of character C in the last column \*is\* the ith occurrence of character C in the first column.

Lets consider a schematic diagram of the BWM of a DNA string

```
$ _ _ _ _ <- By construction, first row starts with $
A _ _ _ _ _ _
A _ _ _ _ <- Followed by section for A
A _ _ _ _ _ _
C _ _ _ _ <- Followed by C C _ _ _ _ _
G _ _ _ _ _ _
G _ _ _ _ <- Followed by G
T _ _ _ _ _ _
T \_ \_ \_ \_ - Followed by T
```

Lets call those three rotations that start with C rotations X, Y, and Z

The first character of each of those rotations is x, y, z (without loss

of generality -- we don't know what those strings are, but we can label the characters)

• • •

$$C \times X \times X \times X \times X$$

$$C$$
  $y$   $Y$   $Y$   $Y$   $Y$   $Y$ 

• • •

#### Rotation

Now since the BWM contains every cyclic rotation, we know those 3 C strings will also be rotated like so, someplace else in the BWM

Key insight: Since the rotations are sorted, we know that X < Y < Z and x <= y <= z. As such their relative placement must also be in sorted order in the BWM when C is rotated to the last column.

```
A X X X X X C <- Possible location of X (x=A)
C \times X \times X \times X \times X
C y Y Y Y Y Y <- Original locations of X, Y, Z
C z Z Z Z Z Z Z
G Y Y Y Y Y Y Y - Possible location of Y (must be below X, y=G)
T Z Z Z Z Z C <- Possible location of Z (must be below Y, z=T)
```

Last-First property is actually a statement of the \*rest\* of the rotation.

be the same.

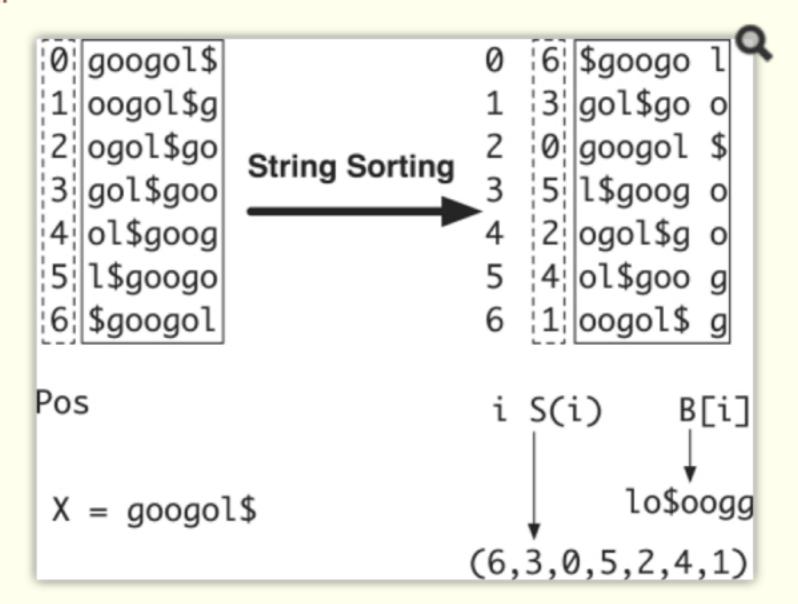
When they are sorted as the second character of the rotation, they are also sorted when they are the first character of the rotation so the ranks must

#### Reconstruction

```
1 2 3 4 5 6 7 8 9 0 1
             _ _ A <- By construction, $ is first</pre>
             _ _ C <- Must have 4 A rows
               _ A <- 1 C row
              _ _ $ <- 1 G row
                   T <- 4 T rows
```

BWT = ACTTGA\$TTAA

Fig. 2.



Constructing suffix array and BWT string for X=googol\$. String X is circulated to generate seven strings, which are then lexicographically sorted. After sorting, the positions of the first symbols form the suffix array (6, 3, 0, 5, 2, 4, 1) and the concatenation of the last symbols of the circulated strings gives the BWT string lo\$oogg.

### Simulated data

- Accuracy
  - ❖BWA is more accurate than Bowtie and SOAPv2 based on criterion 1.
- Speed
  - ❖ BWA is the fastest second only to SOAPv2.
- Memory
  - ❖ MAQ's memory footprint is **1GB**, but it increases linearly with the number of reads to be aligned.
  - \* BWA only uses **2.3** GB for *single-end* mapping and **3GB** for *paired-end* ( as much as Bowtie).
  - SOAPv2 uses **5.4 GB**.

Table 1. Evaluation on simulated data

	Single-en	d		Paired-end			
Program	Time (s)	Conf (%)	Err (%)	Time (s)	Conf (%)	Err (%)	
Bowtie-32	1271	79.0	0.76	1391	85.7	0.57	
BWA-32	823	80.6	0.30	1224	89.6	0.32	
MAQ-32	19797	81.0	0.14	21589	87.2	0.07	
SOAP2-32	256	78.6	1.16	1909	86.8	0.78	
Bowtie-70	1726	86.3	0.20	1580	90.7	0.43	
BWA-70	1599	90.7	0.12	1619	96.2	0.11	
MAQ-70	17928	91.0	0.13	19046	94.6	0.05	
SOAP2-70	317	90.3	0.39	708	94.5	0.34	
bowtie-125	1966	88.0	0.07	1701	91.0	0.37	
BWA-125	3021	93.0	0.05	3059	97.6	0.04	
MAQ-125	17506	92.7	0.08	19388	96.3	0.02	
SOAP2-125	555	91.5	0.17	1187	90.8	0.14	

One million pairs of 32, 70 and 125 bp reads, respectively, were simulated from the human genome with 0.09% SNP mutation rate, 0.01% indel mutation rate and 2% uniform sequencing base error rate. The insert size of 32 bp reads is drawn from a normal distribution N(170,25), and of 70 and 125 bp reads from N(500,50). CPU time in seconds on a single core of a 2.5 GHz Xeon E5420 processor (Time), percent confidently mapped reads (Conf) and percent erroneous alignments out of confident mappings (Err) are shown in the table.

### Removal of duplicated reads

- Introduced during library creation/ amplification
- Optical duplicates
- Many duplicates of a read with wrong indel can mask the correct one
- Will result in high read depth and can be the cause of false positives
- Duplicates: Identical 5' coordinates and orientations
- Best: Read pair having highest sum of base qualities
- Can be removed with samtools or picard

#### Base Quality Score Recalibration (BQSR)

- Observed error rates differ from raw base quality scores
- More over, the base quality is not evenly distributed in a read: machine cycle bias, sequence context, sequencing chemistry effects
- BQSR is:
  - the sum of the global difference between reported quality scores and the empirical quality
  - plus the quality bin specific shift
  - plus the cycle x qual and dinucleotide x qual effect
- Sites of known variations are taken into account

## Empirical versus reported BQS

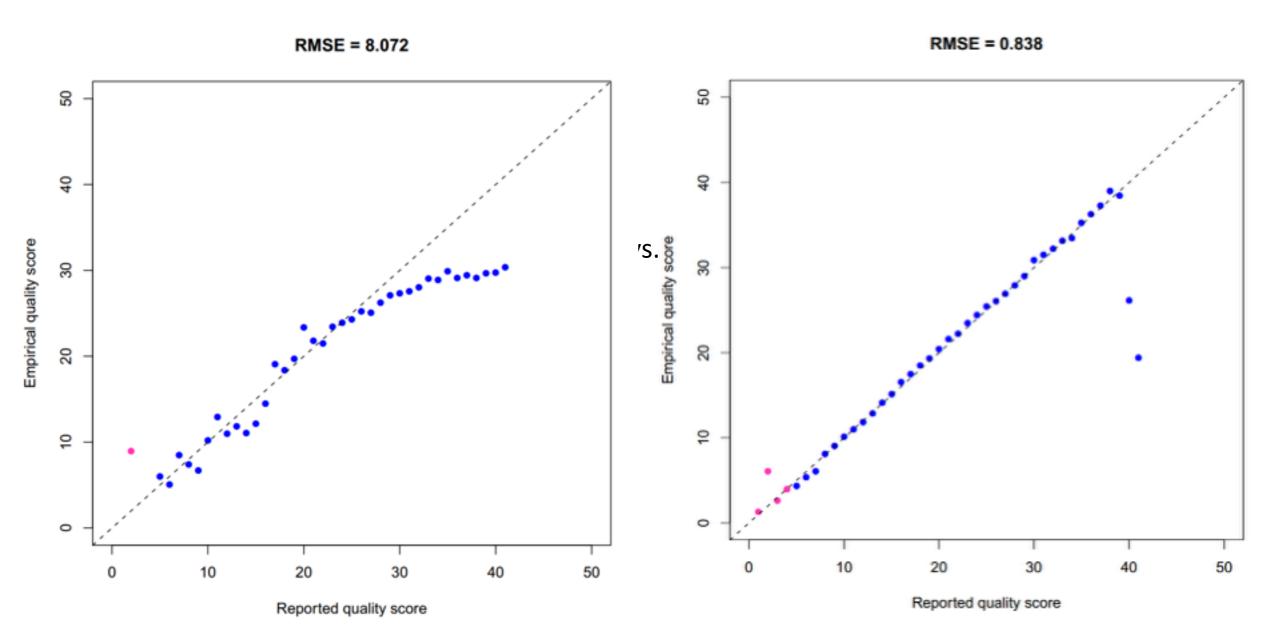
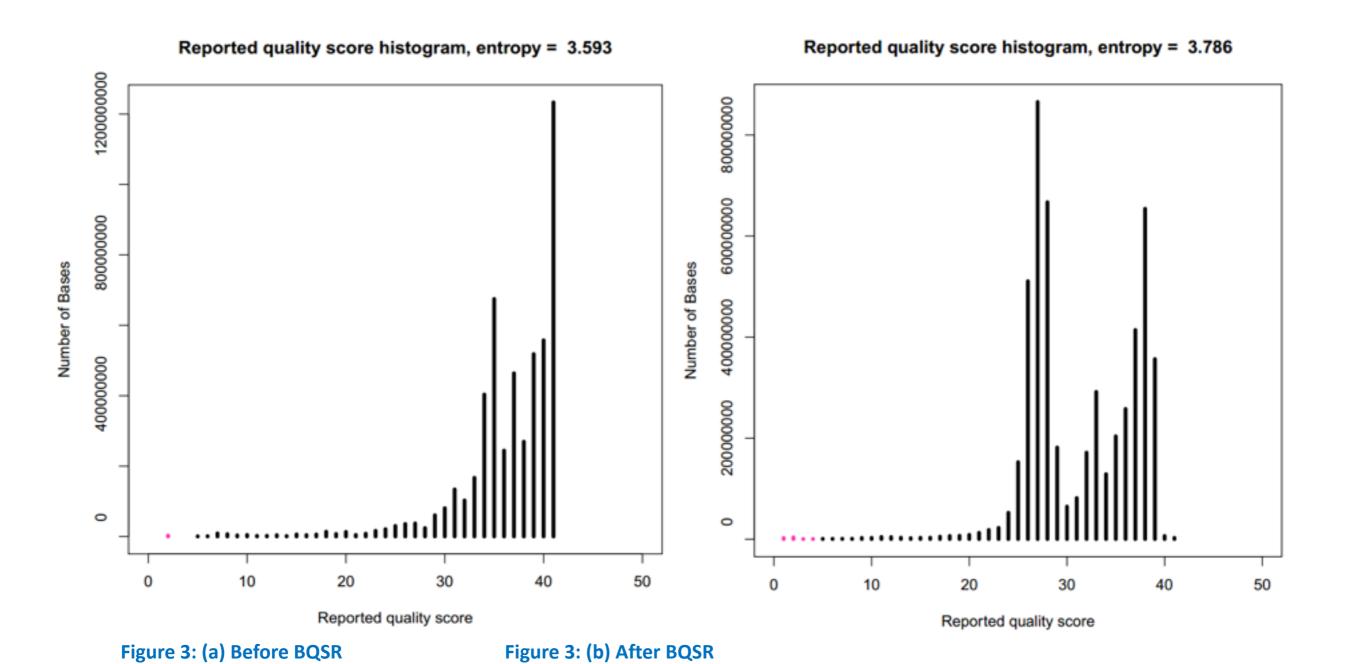


Figure 2: (a) Before BQSR

Figure 2: (b) After BQSR

### Distribution of quality scores



### Residual error by machine cycle

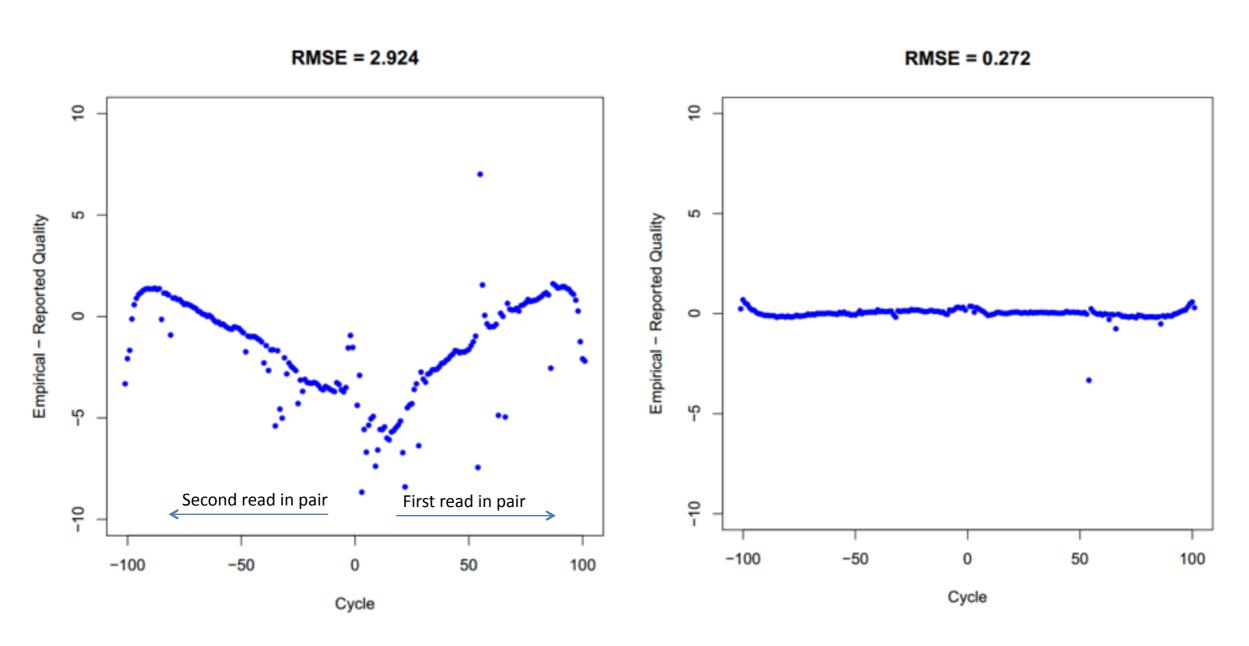


Figure 4: (a) Before BQSR

Figure 4 (b) After BQSR

### Residual error by dinucleotide

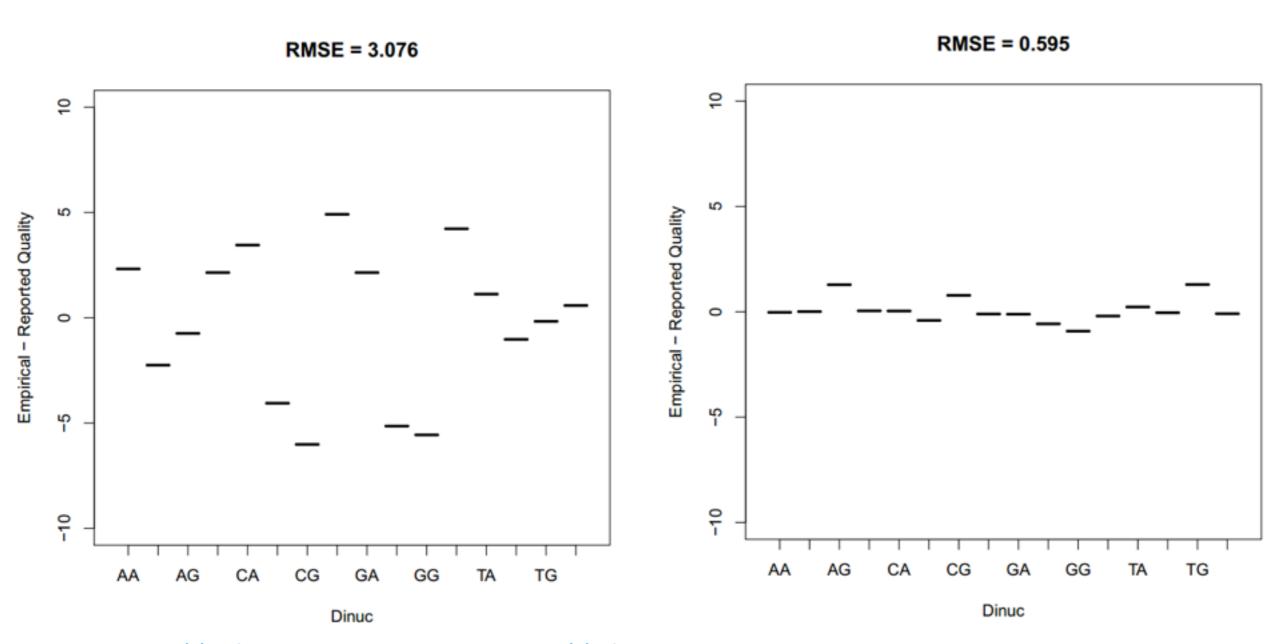


Figure 5: (a) Before BQSR

Figure 5: (b) After BQSR

### Local realignment of reads

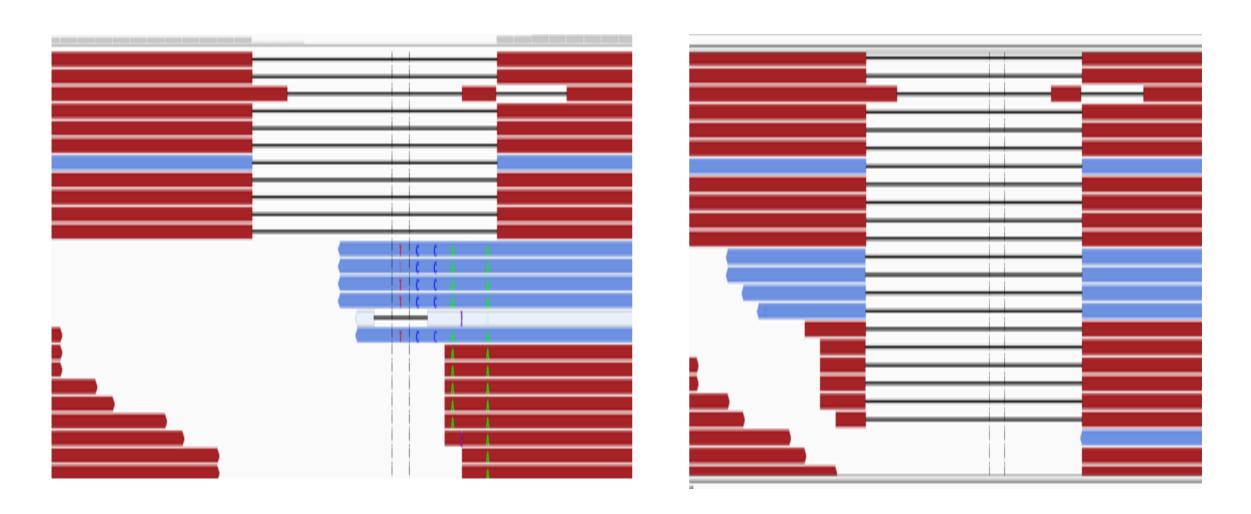


Figure 7: (a) Before Realignment

Figure 7: (b) After Realignment

### Variant calling - Samtools

- Bcftools (part of samtools package) is used to convert between VCF (variant call format) and BCF (binary VCF), and to call variants
- mpileup output in BCF format can directly piped into bcftools

#### General VCF format

SAM/BAM + related specifications: https://github.com/samtools/hts-specs

##fileformat=VCFv4.2

```
##fileDate=20090805
##source=myImputationProgramV3.1
##reference=file:///seq/references/1000GenomesPilot-NCBI36.fasta
##contig=<ID=20,length=62435964,assembly=B36,species="Homo sapiens",taxonomy=x>
f#phasing=partial
##INFO=<ID=NS,Number=1,Type=Integer,Description="Number of Samples With Data">
##INFO=<ID=DP,Number=1,Type=Integer,Description="Total Depth">
##INFO=<ID=AF,Number=A,Type=Float,Description="Allele Frequency">
##INFO=<ID=AA,Number=1,Type=String,Description="Ancestral Allele">
##INFO=<ID=DB,Number=0,Type=Flag,Description="dbSNP membership, build 129">
##INFO=<ID=H2,Number=0,Type=Flag,Description="HapMap2 membership">
##FILTER=<ID=q10,Description="Quality below 10">
##FILTER=<ID=s50,Description="Less than 50% of samples have data">
##FORMAT=<ID=GT,Number=1,Type=String,Description="Genotype">
##FORMAT=<ID=GQ,Number=1,Type=Integer,Description="Genotype Quality">
##FORMAT=<ID=DP,Number=1,Type=Integer,Description="Read Depth">
##FORMAT=<ID=HQ,Number=2,Type=Integer,Description="Haplotype Quality">
CHROM POS
                          REF ALT QUAL
                                             FILTER
                                                       INFO
                                                                         FORMAT NA00001 NA00002 NA00003
                                    PASS NS=3;DP=14;AF=0.5;DB;H2
      14370 rs6054257 G
                                29
                                                                GT:GQ:DP:HQ
                                                                              0|0:48:1:51,51
                                                                                            1|0:48:8:51,51
                                                                                                         1/1:43:5:.,.
                                    q10 NS=3;DP=11;AF=0.017
                                                                              0|0:49:3:58,50
                                                                                            0|1:3:5:65,30/0:41:3
      17330 .
                                3
                      Τ
                                                                GT:GQ:DP:HQ
                                                                                                 2|1:2:0:18,2
      1110696
                 rs6040355 A
                               G,T 67
                                         PASS NS=2;DP=10;AF=0.333,0.667 GT:GQ:DP:HQ
                                                                                   1 2:21:6:23,27
                                                                                                               2/2:35:4
                                        PASS NS=3;DP=13;AA=T
                                                                                            0|0:48:4:51,51
      1230237
                                    47
                                                                GT:GQ:DP:HQ
                                                                              0|0:54:7:56,60
                                                                                                          0/0:61:2
      1234567
                 microsat1 GTC G,GTCT 50 PASS NS=3;DP=9;AA=G
                                                                GT:GQ:DP 0/1:35:4 0/2:17:2
                                                                                            1/1:40:3
```

Tag	Description					
	16 integers:					
I16	1 #reference Q13 bases on the forward strand		2	#reference Q13 bases on the reverse strand		
	3 #non-ref Q13 bases on the forward strand		4	#non-ref Q13 bases on the reverse strand		
	5	sum of reference base qualities	6	sum of squares of reference base qualities		
	7	sum of non-ref base qualities	8	sum of squares of non-ref base qualities		
	9	sum of ref mapping qualities	10	sum of squares of ref mapping qualities		
	11	sum of non-ref mapping qualities	12	sum of squares of non-ref mapping qualities		
	13	sum of tail distance for ref bases	14	sum of squares of tail distance for ref bases		
	15	sum of tail distance for non-ref bases	16	sum of squares of tail distance for non-ref		
INDEL	Indicating the variant is an INDEL.					
DP	The number of reads covering or bridging POS.					
DP4	Number of 1) forward ref alleles; 2) reverse ref; 3) forward non-ref; 4) reverse non-ref alleles, used in variant calling. Sum can be smaller than DP because low-quality bases are not counted.					
PV4	P-values for 1) strand bias (exact test); 2) baseQ bias (t-test); 3) mapQ bias (t); 4) tail distance bias (t)					
FQ	Consensus quality. If positive, FQ equals the phred-scaled probability of there being two or more different alleles. If negative, FQ equals the minus phred-scaled probability of all chromosomes being identical. Notably, given one sample, FQ is positive at hets and negative at homs.					
AF1	EM estimate of the site allele frequency of the strongest non-reference allele.					
CI95	Equal-tail (Bayesian) credible interval of the site allele frequency at the 95% level.					
PC2	Phred-scaled probability of the alternate allele frequency of group1 samples being larger (,smaller) than of group2 samples.					
PCHI2	Posterior weighted chi^2 P-value between group1 and group2 samples. This P-value is conservative.					
QCHI2	Phred-scaled PCHI2					
RP	Number of permutations yeilding a smaller PCHI2					

#### Bcftools info-tags

### Where is the genotype?

- The genotype is decoded in the PL format-tag
- eg: ref=C; alt=A,G; PL=7,0,37,13,40,49
- PL is a list of phred-scaled genotype likelihoods
- From the the given example, the most probable genotype is C/A (10 =1)

GT:	CC	CA	AA	CG	AG	GG
PL:	7	0	37	13	40	49
=:	10-0.7	100	$10^{-3.7}$	10-1.3	$10^{-4}$	$10^{-4.9}$

### Variant calling - GATK

- UnifiedGenotyper: multi sample SNP+INDEL caller, accurate SNP calls, multi allelic calls possible
- HaplotypeCaller: recently developed, same SNP detection ability but better INDEL detection

### Variant calling - GATK

- -stand\_call\_conf: The minimum phred-scaled confidence threshold at which variants not at 'trigger' track sites should be called
- -stand\_emit\_conf: The minimum phred-scaled confidence threshold at which variants not at 'trigger' track sites should be emitted (and filtered if less than the calling threshold)
- --genotype\_likelihoods\_model: Genotype likelihoods calculation model to employ --SNP is the default option, while INDEL is also available for calling indels and BOTH is available for calling both together (SNP|INDEL|POOLSNP|POOLINDEL|BOTH) variant calls
- --min\_base\_quality\_score: Minimum base quality required to consider a base for calling
- --max\_alternate\_alleles: Maximum number of alternate alleles to genotype

#### Variant annotation— GATK

- MappingQualityRankSumTest: This tool calculates the u-based z-approximation from the Mann-Whitney Rank Sum Test for mapping qualities (reads with ref bases vs. those with the alternate allele).
- AlleleBalance: The allele balance is the fraction of ref bases over ref + alt bases.
- BaseCounts: Count of A, C, G, T bases across all samples
- ChromosomeCounts: Allele counts and frequency for each ALT allele and total number of alleles in called genotypes
- QualByDepth:Variant confidence (from the QUAL field) / unfiltered depth of non-reference samples.
- ReadPosRankSumTest: U-based z-approximation from the Mann-Whitney Rank Sum Test for the distance from the end of the read for reads with the alternate allele
- MappingQualityZeroBySample: Count for each sample of mapping quality zero reads
- HaplotypeScore: Consistency of the site with two (and only two) segregating haplotypes.
- LowMQ: Triplet annotation: fraction of MAQP == 0, MAPQ < 10, and count of all mapped reads
- RMSMappingQuality: Root Mean Square of the mapping quality of the reads across all samples.
- BaseQualityRankSumTest: U-based z-approximation from the Mann-Whitney Rank Sum Test for base qualities