An introduction into protein-sequence annotation

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Preface

The available sequence data from the finished genome projects provides biological science with a huge and valuable source of data. The genetic information together with its derived data such as protein sequences and structures, expression levels and sub-cellular location has to be managed, understood and exploited for human benefit. It is a long and challenging way from the raw sequence data (the genome) to only a basic understanding of how an organism developed in evolution and how it functions. It is not just the sum of the parts that makes life but a complex regulatory network of interactions involving many components. The sequence data is further analysed in large scale experiments such as expression profiles and protein interaction networks which in turn increases the amount data to be analysed dramatically. Bioinformatics organises and integrates all parts of the experimentally generated data as well as connecting them to gain understanding of biological systems.

Bioinformatics is a relatively young discipline as a science with components from software engineering. Bioinformatics aims to analyse and understand biological data, but a hypothesis is not necessarily required when it comes to the description, management and interpretation of the experimentally generated data. Currently, the development of new algorithms, recycling of algorithms from other areas such as natural language processing, data management, the interpretation of data and their relationships as well as supporting biologists working in a specific system is included in bioinformatics.
1 Genome sequencing projects

As of November 2001 there were 67 completely sequenced bacterial and archaea bacterial genomes and eleven eukaryotic genomes (for which at least one chromosome has been sequenced) available. The draft human genome sequence with >3,000 mega bases was published in February 2001. Table 1 gives an overview of the finished sequencing projects. In addition there are roughly 300 ongoing prokaryotic and about 80 eukaryotic public and commercial sequencing projects (data from Integrated Genomics Inc., http://wit.integratedgenomics.com/GOLD, Bernal et al. (2001)). Many of the sequenced genomes are from pathogenic organisms such as the recently published Yersinia pestis genome that causes plague (Heidelberg et al., 2000) or the two Salmonella strains (Parkhill et al., 2001a; McClelland et al., 2001). The genome sequence reveals many secrets about the organism that may help to identify potential drug targets. The ideal target might be a key protein in an essential pathway specific to the pathogenic organism.

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Table 1: Finished genome projects (status in November 2001). The size of the genome is given in thousand base pairs (Kb) or million base pairs (Mb), genes is the number of identified genes. The data of this table is taken from the GOLD database at http://wit.integratedgenomics.com/GOLD (Bernal et al., 2001).

2 Introduction into genome annotation

A standard component of any genome project is an overall annotation. Having the genome sequence alone does not substantially help to understand the biology of the organism. In the following sections the major steps in genome annotation are represented. Protein sequences are the starting point for any annotation described here, and therefore the following sections focus on protein sequences.

2.1 Finding genes in genomes

The first important step in annotating the genome is to identify the genes within the genomic sequence. It is worth mentioning the basic methods used in identifying genes as well as associated problems and errors, because these can have an effect of ‘downstream’ analyses (e.g. analyses based on genes and proteins). An introduction into gene finding is given in a review by Stein (2001).

In bacteria, genes may be identified by just looking for the longest open reading frame (ORF) defined by a start and a stop codon. The Shine-Dalgarno sequence, which is a polypurine (adenine and guanine) sequence shorter than ten nucleotides at the 3’ end of the gene (about 7 nucleotides 5’ of the start codon), helps to identify the location of a gene within the genome. In addition to start and stop codon location, codon usage can be used in gene finding. Similar sequences with a common evolutionary origin (homologues) from already annotated genomes are considered to confirm the location of genes in a newly sequenced genome. The genomic DNA sequence is translated in all three reading frames on both nucleotide strands (in direction of translation, from 3’ to 5’) to produce long theoretical peptide sequences which are compared to known proteins from other organisms. Nevertheless, Skovgaard et al. (2001) showed that the number of genes in bacteria is generally
overpredicted (in *A. pernix* they estimated 100% gene overprediction which is by far the most extreme in their analysis).

Gene identification in eukaryotic genomes is far more problematic than in prokaryotic genomes. This is due to the exon-intron structure of genes and the lack of obvious sequence features such as a Shine-Dalgarno sequence to distinguish between coding and non-coding regions. Despite the start codon there is no clear landmark where a gene starts on a eukaryotic chromosome. Rule based *ab initio* gene identification methods such as GeneScan (*Burge & Karlin, 1997*) or Grail (*Uberbacher & Mural, 1991; Roberts, 1991; Xu *et al.*, 1994) that employ statistical methods (for example hidden Markov models, see section 3.7), have been shown to identify only about 40% of the existing genes with their exon-intron structure. About 70% of these predictions are to some extent wrong, i.e. do not correspond to the correct gene structure (*Reese *et al.*, 2000). On the other hand 90% of the predictions include at least a fraction of the real gene. The use of experimental data as described above for bacterial gene identification improve eukaryotic gene finding. For example, the human genome sequence as defined by the ENSEMBL project version 1.2 (*Hubbard *et al.*, 2002, [http://www.ensembl.org](http://www.ensembl.org)), contains more than 150,000 predicted genes, but only about 25,000 genes are either confirmed by expressed sequenced tags (ESTs derived from mRNA of expressed genes) or homologues in a different organism. Because of the extensive exon-intron structure and the small fraction of actual coding sequences in the human genome (estimated at about 1.5% of the genome, *Lander *et al.*, 2001)), two predicted genes may in fact be one larger gene, or a larger gene may be in fact several genes. A positive view on the human genome shows that 25,000 of at least 30,000 genes have been identified with the help of experimental data (ESTs and homologues), which corresponds to nearly 85% of the estimated number of genes in the genome.

The expected number of genes in the human genome is between 30,000 and 40,000 (*Lander *et al.*, 2001), thus there are theoretically still 5,000 to 15,000 genes missing. The genome sequences of other higher eukaryotes, in particular those of mouse (*M. musculus*), rat (*R. norvegicus*) and the puffer fish (*Fugu rubripes*) will help to identify genes within these genomes and that of human, because of the higher sequence conservation within exons compared to non coding regions. The mouse and rat genome projects were established mainly because these organisms are used as models in biology. The genome sequence (with the confirmed set of genes) will
accelerate the progress with which molecular biologists clone and analyse specific parts of the genome. The puffer fish project was deliberately established to enhance gene finding and interpretation of the human genome sequence. A draft sequence of the puffer fish project has been available since October 2001. The extent of the coding sequences is estimated to be similar to that of human, but the overall size of the genome (350 to 400 mega bases) is just about one eighth of the human genome (>3,000 mega bases). The sequence conservation between the dense coding regions of the puffer fish and the corresponding regions in the human genome is expected to reveal currently unidentified genes.

In interpreting results from the analysis of the identified peptide sequence repertoire of a genome one has to keep in mind that the absence of a particular protein does not necessarily mean that the genome contains no coding sequence for this peptide, it may just have been missed in the interpretation of the genome.

### 2.2 Functional classification of genes and proteins

Once the genes are identified within a genome, they have to be functionally characterised. Usually the genes are compared to a set of already functionally characterised genes. Since a protein sequence is more conserved in its amino acid sequence than the corresponding nucleotide sequence of the gene (because of the redundant genetic code), sequence comparisons for functional annotation are performed at the peptide level.

Function, at the level of a functional classification of proteins, is the description of the biochemical function or a combination of several biochemical functions. A functional annotation is generally derived from one or more homologous sequences for which a functional description has been generated previously. However, only for a fraction of annotated proteins has the biochemical activity been proven experimentally (Ursing et al., 2002). Section 4.1 discusses the quality and the limitations of functional transfer between homologues.

The majority of proteins in a genome consist of more than one protein domain. A domain can be considered as the smallest functional and evolutionary unit of proteins and is generally found in different proteins in combination with other domains
of the same (repeats) or of different type (Apic et al., 2001; Qian et al., 2001). The potential multi-domain character of proteins may need a list of biochemical functions, which depends on the level detail of the annotation. For example a protein with a NAD(P) binding domain and a dehydrogenase domain may just be described as a dehydrogenase or in more detail as a protein that binds NAD(P) and has a dehydrogenase activity (the NAD(P) binding domain may be a ‘helper’ domain to fulfil the proteins biochemical function). In most cases the functional annotation does not include the biological function, e.g. a human protease may be found in a different biological context such as digestion, during development or in wound healing. The main concepts in functional protein annotation are:

- Finding a homologous sequence that has been functionally characterised previously, the main databases containing such protein sequences are SwissProt and PIR.

- Identifying domains within a protein sequence via homology. The main domain databases with functional descriptions are PFAM, SMART, ProDom and InterPro. (Structural domain databases are discussed later.)

- Finding conserved patterns or motifs (these motifs are generally shorter than a domain and may not include an independent folding unit). The main databases maintaining collections of patterns or motifs associated with a function are Prosite, Prints and Blocks.

2.3 Major resources used in protein annotation

The following sections give a more detailed view of the contents of some of the available databases, including an overview of how these databases are constructed. The first issue each year of the journal *Nucleic Acids Research* (in particular those from 1999 on) contains articles about biological databases. The first 2002 issue describes 112 different specialised biological databases.

2.3.1 The main source database GenBank and EMBL

All the specialised databases described below are based on the basic sequence databases. The major nucleotide sequence databases are GenBank (Benson et al., 2002) and EMBL (Stoesser et al., 2002). Usually nucleotide sequences (or a nucleotide sequence together with its peptide sequence) are submitted to either of these databases. Also,
GenBank and EMBL update each other, so that both databases, with some delay, contain the same sequences. If possible the submitted nucleotide sequences are translated into a theoretical peptide sequence. These peptide sequences generate the TrEMBL database (translated EMBL) and the GenPept database (translations from GenBank). In addition, all publicly available genome sequences are submitted to one of these databases. GenBank and EMBL entries contain information associated with the sequence: literature references, authors, gene or protein names, taxonomic information of the source organism and a feature table that lists all known features (e.g. a ribosomal binding site for a bacterial ORF or an exon for a eukaryotic sequence) with their location in the sequence. GenPept and TrEMBL contain more than 800,000 non-redundant peptide sequences (status 11/2001). EMBL/TrEMBL is available from the EBI (http://www.ebi.ac.uk) and GenBank/GenPept is available from the NCBI (http://www.ncbi.nlm.nih.gov).

2.3.2 The SwissProt protein database

The SwissProt database (Bairoch & Apweiler, 2000) historically collected sequences from protein sequencing experiments, i.e. the sequence information was directly taken from the peptide sequence and not by translating a coding region of a gene. SwissProt (version 40.11) contains 105,322 protein sequences. TrEMBL sequences are transfered to SwissProt if there is sufficient evidence for the existence of the gene product. The procedure for integrating new entries into SwissProt includes reviewing by human experts (database curators) and external consultants with expert knowledge about a particular protein family. A SwissProt entry contains, in addition to the peptide sequence and literature references, comments about the functions associated with the protein (edited by the human experts), keywords that describe the function and a structured feature table that describes regions or positions in the sequence such as post-translational modifications, domains and sites (e.g. an ATP binding site).

2.3.3 The PIR protein database

The Protein Information Resource (PIR, Barker et al. (2000)), contains about 200,000 protein sequences (status in 2001). Like SwissProt, the database aims to provide high quality annotation. Automatically generated annotations are reviewed and edited by PIR staff, and consultant scientists who review specific parts of the
database. Sequence entries are classified according to their status to which there is evidence of their existence, e.g. for entries that are classified as experimental there is some experimental evidence, and predicted proteins from theoretical coding regions are classified as predicted. Also the annotation is classified into validated or similarity according to the available evidence. PIR further clusters sequences in families and superfamilies based on sequence similarity. Because PIR and SwissProt both get their sequences from translated coding regions of the major nucleotide databases, there is redundancy between the two databases.

2.3.4 The PFAM, SMART and ProDom domain and family databases

The domain and protein family databases described here are generated by splitting protein sequences into domains and then clustering similar domains into a family. Annotating proteins according to their domain composition generally leads to more detail than annotating the protein as a single unit.

PFAM is a database of protein domain families (Bateman et al., 2002), based on protein sequences from SwissProt and TrEMBL. It contains a set of curated multiple sequence alignments, each representing a protein family. From these multiple alignments hidden Markov models (see section 3.7) are built, which are in turn used to search the protein sequence databases to find new members and to expand a family. The final database PFAM-A provides a high quality description of the families which can help in annotating newly sequenced genomes. Most of the PFAM-A families also contain a functional text description, cellular location of the members of the family, relevant literature references and links to taxonomic groups in which a family is found. PFAM-A is manually curated. Another part of PFAM (PFAM-B) contains potential domain families for which there is not enough evidence to be placed into PFAM-A. PFAM-B entries are mainly taken from families of the large ProDom database (see below). PFAM-B contains more members and families than PFAM-A but is of lower quality. PFAM-B and ProDom are used to update and curate PFAM-A. PFAM-A version 6.6 (August 2001) contains 3071 families. PFAM is available at The Sanger Centre (http://www.sanger.ac.uk/Software/Pfam).

SMART (a Simple Modular Architecture Research Tool, Letunic et al. (2002)), like PFAM, is a domain database but originally focused on domains in eukaryotic signal transduction. Recent SMART versions (November 2001) also include a wide
range of other domain types (more than 600 domain families). Domain families are constructed in a similar way to PFAM, but the initial step to create a seed multiple sequence alignment involve manual editing and, if available, consideration of protein structure, or homologues of proteins of known structure. Hidden Markov models are constructed from these alignments that are used to search the protein sequence database to collect new family members. The hidden Markov models are then rebuilt, and the search starts again until no more members are found. In addition each member of a family is compared to the sequence database using the homology search method PSI-BLAST (see section 3.5) to collect new family members. Alignments are updated, e.g. when the three dimensional structure of a member is published, to re-assess domain boundaries of the family. SMART is based on sequences from SwisProt and TrEMBL. The database is available at the EMBL (http://smart.embl-heidelberg.de). The web-interface also allows the user to search for proteins of a given domain architecture (domain combinations).

ProDom (Corpet et al., 2000) is a domain database with a larger sequence coverage than PFAM or SMART. Over 75% of the proteins from SwissProt and TrEMBL can be assigned to ProDom families (status 2001). There are about 44,000 ProDom domain families with more than one member. From version 35 onwards, the ProDom database includes manual inspection of protein families by scientific consultants. PFAM-A (see above) is used to increase the quality of ProDom. Domain families are generated via PSI-BLAST homology searches (Sonnhammer & Kahn, 1994). Two proteins may share only one homologous region in their sequence, which can be a single domain or several domains. These regions are then used as queries in subsequent PSI-BLAST searches to find additional significant alignments. This procedure is repeated until the regions cannot be split or truncated anymore because no further homologous regions are found. The identified regions are then considered to be domains, and all homologous regions belong to one family. As a quality control, recent versions of ProDom assign consistency indicators to each family (for example sequence variation within a family). ProDom-GC is a ProDom version that clusters protein sequences from complete genomes into families. Both databases are available at http://prodes.toulouse.inra.fr/prodom/doc/prodom.html.
2.3.5 Motif databases: PROSITE, PRINTS and BLOCKS

The PROSITE database (Falquet et al., 2002) is a collection of pattern descriptions that usually are associated with a biochemical function. These signatures are generated from curated multiple sequence alignments and generally describe conserved positions within a domain family. Signatures are represented as regular expression patterns. Since patterns are not flexible (i.e. a pattern matches a sequence region or it does not), the extent to which patterns identify a particular motif is limited. To overcome this limitation, signature profiles have been developed which assign a score to each of the 20 amino acids at each position of the signature according to the frequency of which each amino acid is found at a particular position. Further, alternative protein structure-based profiles and methods involving hidden Markov models have been employed. A PROSITE entry can be associated with a functional description and reasons that lead the construction of a pattern or profile. PROSITE version 16.50 (November 2001) contains 1103 documents describing 1493 patterns and profiles, and is available at http://www.expasy.org/prosite.html, it is updated in parallel with SwissProt.

PRINTS (Attwood et al., 2002) and PRINTS-S (a recent development of the original PRINTS) is a collection of protein fingerprints. The concept behind fingerprints is that a protein can be represented by several conserved motifs. A fingerprint is an ordered list of these motifs that describes a protein family. PRINTS-S is a database for protein sequences rather than domains, although its components (the single motifs) may be characteristic for a particular type of domain. The procedure to build the fingerprints starts with manual curated multiple sequence alignments, and then a series of conserved regions are extracted to construct motifs. This procedure includes manual intervention. The sequence database is searched iteratively with these motifs to expand and gain confidence of the motifs. PRINTS-S contains its own search software FingerPRINScan. The database is built from SwissProt and TrEMBL. Each entry is associated with bibliographic information, functional descriptions, lists of matching sequences and comments. The database (PRINTS-S version 10, based on PRINTS version 32, November 2001) contains about 9,800 individual motifs and about 1,600 fingerprints. It is available at http://www.bioinf.man.ac.uk/dbbrowser/PRINTS.

The BLOCKS database (Henikoff et al., 1999, 2000) is similar to PRINTS. It
contains a list of motifs that are representative for a family. Motifs in the BLOCKS database are called blocks. To generate these blocks, protein family databases such as PFAM-A, PRINTS, ProDom and DomO (Gracy & Argos, 1998) are used. Sequences for each family of these databases are re-aligned via a non-gapped multiple local alignment procedure and converted into non-overlapping blocks. Thus, the BLOCKS database identifies local motifs within given protein families but does not find new protein families (because it uses domain families of the existing domains databases as input). The BLOCKS database can be searched with sequences via the BLIMPS (Henikoff et al., 1995) program that identifies individual blocks and then combines hits belonging to the same family. Sequences can also be searched against the database via the IMPALA program (see section 3.6). BLOCKS (June 1999) contains about 9,500 individual blocks and more than 2,000 families. It is available at http://www.blocks.fhcrc.org.

2.3.6 InterPro: A combination of databases

InterPro (Apweiler et al., 2001), a recent database development from the EBI (http://www.ebi.ac.uk/interpro), integrates most of the above databases. InterPro itself does not contribute any new information, and its power comes from having all the above databases in one place providing a range of evidence for a protein to belong to a certain InterPro entry. InterPro is divided into families (3,532 entries), domains (1,068 entries), repeats (74 entries) and post-translational modifications (15 entries). A short description and an abstract about the biochemical function, the biological role and matches against the SwissProt and TrEMBL databases are included for each entry. InterPro also contains, like recent PFAM versions, families for which the function is unknown, but where there is evidence for the conservation of this family, domain or motif.

A family can be described by a set of characteristics from the above databases, e.g. the thiolase family (InterPro entry IPR002155) is described by two PFAM entries and three Prosite patterns. Sequences can be searched against InterPro via the InterProScan software package (Zdobnov & Apweiler, 2001).

InterPro is a ‘modern’ database. It is distributed in XML format and is, together with the integrated search engine InterProScan, a step towards solving common bioinformatics problems such as standardisation, automatisation and distribution.
A list of InterPro families is now commonly reported as an initial analysis of a newly sequenced genome (e.g. Lander et al. (2001); Rubin et al. (2000) and http://www.ebi.ac.uk/proteome).

2.4 Gene Ontology (GO), a controlled vocabulary for genome annotation

A recent commentary published in the journal Nature (Pearson, 2001) summarises problems and inconsistencies in gene (and protein) nomenclature and stresses the importance of an ontology for gene names and functions to overcome problems in annotation. In GO, descriptive terms and phrases are used to annotate a gene rather than using gene and protein names such PMS1 or TFIIA. These terms are organised in a hierarchy (a tree of terms and phrases) with the more general terms such as transcription or fatty acid metabolism as the root for more detailed terms or phrases such as RNA polymerase II transcription factor or fatty acid hydrolase. The set of terms and phrases is stored in a central GO database maintained at Stanford University. However, different GOs may be constructed for special purposes. New terms can be inserted into the GO-tree. GO is also able to cope with synonyms and can describe biological function. Using a system with a controlled vocabulary organised in a tree as in GO allows automatic comparison of annotations between genomes at different levels of the tree (i.e. at different level of detail, for example to test for the existence of enzymatic pathways between genomes). The central GO resource is located at http://www.geneontology.org, see also Lewis et al. (2000); Ashburner et al. (2000); The Gene Ontology Consortium (2001).

2.5 Putting everything together to find pathways

At a higher level, genome annotation aims to identify complete biological subsystems such as metabolic pathways or signalling pathways. The usual approach is to compare all members of a pathway (e.g. for glycolysis) in a model organism to the proteins of a newly sequenced genome. The comparison is carried out via the standard homology search methods (see section 3 below). This approach generally identifies the fundamental pathways such as glycolysis in a newly sequenced genome. If members of a pathway cannot be identified, this does not necessarily mean the pathway is incomplete. The homology based comparison may just have missed some members of that pathway because of insufficient similarity (although
The homologues are present), or there may be alternative routes bypassing the known proteins of that pathway. There are three major database systems available that implement the above approach for metabolic pathways: The partly freely available WIT system from Integrated Genomics (this system is now known as ERGO and is no longer freely available for academic use, http://www.integratedgenomics.com/), the KEGG (Kanehisa et al., 2002) database (Kyoto Encyclopedia of Genes and Genomes) freely available for academic use and EcoCyc (Karp et al., 2002), a system that describes metabolic pathways in E. coli (this database recently has been made freely available for academic users).

The publication of the genome sequence of the cholera bacterium V. cholerae (Heidelberg et al., 2000) contains an overview of some of the identified pathways in this bacterium and can serve as an example of how to represent complex pathways information in a comprehensive way (see figure 1).

### 3 Homology based sequence comparison methods

If two genes or proteins have diverged from a common ancestor they are by definition homologues. Further, homologues within the same species are paralogues, and often have different functions due to specialisation. The closest homologues with generally the same biochemical function in two species are orthologues (Tatusov et al., 1997, 2001). Whether two sequences are homologues can be measured by their sequence similarity for which there are different definitions and methods.

As mentioned in the introductory sections above, identifying homologous sequences is often the first step in annotating a newly sequenced gene. The homologue may already have some functional annotation that may then be transferred to the newly sequenced gene (or protein). Section 4.1 explains the conditions under which this transfer is considered to be reliable. The sections below explain the most common sequence search methods and their definition of similarity.
Figure 1: Schematic representation of the *V. cholerae* cell with a selection of metabolic pathways and transporters identified in the genome. This figure is an example how the huge amount of information from genome annotation can be represented in a comprehensive and user friendly way. The figure is from Heidelberg *et al.* (2000).

### 3.1 Dynamic programming

The oldest sequence comparison method that is still part of recent methods was developed by Needleman & Wunsch (1970). Their method is based on the general dynamic programming algorithm which was introduced in the 1950s by Bellman (1957), and allows the optimal alignment of two sequences. Two sequences with length $n$ and $m$ form an $n \times m$ matrix. For each position in the matrix $(n[i], m[j])$ a numeric value scores how favourable a replacement of the residue/nucleotide $n[i]$ with $m[j]$ or alternatively a deletion or insertion is. See section 3.2 below for a discussion of substitution scores. Generally these are negative for unfavourable substitutions (e.g. aligning tryptophan with a lysine), and positive for conservative substitutions such as lysine to arginine.
Global sequence comparison via dynamic programming aligns two sequences from the first to the last position in both sequences, and produces a global alignment. Even if only a region in the middle of one sequence shares similarity with a region of the other sequences, the algorithm will try to align the sequences over their full lengths. This may result in a drop of the overall score of the alignment, because the ends of the alignment may contribute negative scores, and the sum of the scores may therefore then not be significant.

The local alignment is a development based on the method from Needleman and Wunsch and was introduced by Smith & Waterman (1981). It solves the problem of forcing an alignment over the entire sequence. This method is fundamental to many other sequence comparison methods, and is therefore explained in more detail below.

The formal rule to fill each cell of the \( n \times m \) matrix is given in equation 1. \( j \) describes a position in \( n \) and \( i \) describes a position in \( m \), \( d \) is a fixed negative score for a gap (the gap penalty) and \( \text{score} \) is a judgement of the biological significance for aligning residue \( n[j] \) with \( m[i] \).

\[
F(i,j) = \max \begin{cases} 
F(i-1,j) - d & \text{deletion at position j (cell above)} \\
F(i-1,j-1) + \text{score}(a,b) & \text{substitution i, j (diagonal cell)} \\
F(i,j-1) - d & \text{insertion at position j (cell to the left)} \\
0 & \text{stop for local alignment}
\end{cases}
\]  

In equation 1 scores for a deletion or insertion are fixed. Generally the costs of introducing a gap is set higher than for extending an existing gap. The substitution score is taken from a lookup matrix described in more detail below. If deletion, insertion or substitution gives a negative score, the stop condition holds, and the local alignment is terminated. The matrix can be filled row by row or column by column.

As an example the two sequences ‘HEAGAWGHD’ and ‘PAWHEAE’ are aligned using the method from Smith and Waterman. The matrix below shows the calculated scores from which the optimal path can be traced back. This is the optimal local alignment. Note that each cell of the matrix contains the sum of its own score and
the last highest scoring cell as determined by equation 1. Matrix cells of the optimal path are shown in red.

$$
\begin{array}{ccccccccccc}
(j) & H & E & A & G & A & W & G & H & E & D \\
(i) & P & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
& A & 0 & 0 & 0 & 5 & 0 & 5 & 0 & 0 & 0 \\
& W & 0 & 0 & 0 & 2 & 0 & 20 & 18 & 4 & 0 & 0 \\
& H & 0 & 10 & 2 & 0 & 0 & 12 & 12 & 22 & 14 & 6 \\
& E & 0 & 2 & 16 & 8 & 0 & 0 & 4 & 10 & 18 & 28 & 19 \\
& A & 0 & 0 & 8 & 21 & 13 & 5 & 0 & 4 & 10 & 20 & 12 \\
& E & 0 & 0 & 6 & 13 & 18 & 12 & 4 & 0 & 4 & 16 & 24 \\
\end{array}
$$

The resulting alignment is shown below:

$$
\begin{array}{ccccccccccc}
(j) & A & W & G & H & E & - & D \\
(i) & A & W & - & H & E & A & E \\
\end{array}
$$

The dynamic programming matrix shown above does not use ‘real’ substitution scores. As an exercise you can fill the matrix with the scores from a real substitution matrix as shown for the PAM70 matrix in table 2 using -1 for a gap, and realign the two sequences.

Often there can be more than one optimal path through the matrix. If the local alignment method is applied to align two three-domain proteins where the N-terminal and the C-terminal domains of the two proteins are homologous but the central domain is not homologous, there will be two paths with high score sums through the matrix. Distinguishing alignments based on homology from those produced by chance similarity is critical for sequence comparison methods, i.e. it is critical to find paths through the matrix that rely on evolutionary relationships. The basis of local alignment statistics and probabilities are discussed below in section 3.4.

Sequence search and alignment methods based on dynamic programming are dependent on the length of both sequences to be compared. Every cell in the matrix has to be filled to find high scoring paths. The runtime of the algorithm is proportional to the product of the length of both sequences to be aligned. Comparing a single sequence with sequences from a protein database with generally several hun-
dreds of thousands of sequences is time consuming, and the algorithm is therefore not applicable for large scale sequences searches.

3.2 Substitution matrices

An ideal substitution matrix scores a biologically meaningful alignment with positive scores and all chance alignments with negative scores. A scoring matrix is a $20 \times 20$ matrix, with each row/column representing a score for a particular amino acid substitution. Each cell contains a score that is based on the probability for exchanging amino acid $i$ with amino acid $j$. The general formula for all substitution matrices with negative expected score is:

$$S_{ij} = \frac{\log q_{ij}}{\lambda}$$ (2)

where $q_{ij}$ is the target substitution frequency (the observed frequency with which amino acid $i$ is replaced by amino acid $j$) usually calculated from homologous proteins. All target frequencies for a given amino acid are $\geq 0$ and sum to one; $p_i$ and $p_j$ are background frequencies (the overall frequencies with which $i$ and $j$ are observed). The product of the background frequencies can be thought of as the probability of exchanging $i$ and $j$ by chance. Furthermore, the normalisation by the background frequencies implies that conservative exchanges for rare amino acids are weighted stronger. $S_{ij}$ is multiplied by a factor (10 for the original PAM matrices) and then rounded to the nearest integer. These are the scores that are stored in the substitution matrix as shown in table 2 and are usually referred to as 'log-odds' (the log-odds for BLOSUM matrices are based on $\log_2$ whereas the original PAM matrix was based on $\log_{10}$). The logarithm is used for computational reasons to avoid multiplications of the substitution scores of the cells of the optimal path through the dynamic programming matrix. The log-odds are divided by a scaling factor $\lambda$ that is specific for the scoring system.

A substitution matrix is uniquely determined by its target frequency (the background frequencies are the same for different matrices). The assumption for most scoring matrices is that the expected score $S_{ij}$ for a chance amino acid substitution in a comparison of two random sequences is negative. Otherwise chance alignments gave positive cumulative scores by just extending over a sufficient length.
The most common matrices are PAM and BLOSUM. Generally the choice of the substitution matrix is crucial for the performance of sequence database searches, although no single scoring system is the best for all purposes. The best way to distinguish between real and chance alignments of a given class is to choose a matrix for which the target frequencies specifically characterise this class (e.g. a protein family). This aspect is treated in more detail in a later section.

### 3.2.1 The PAM matrices

The Point Accepted Mutation (PAM) matrix models the evolutionary distance between sequences of closely related proteins ([Dayhoff et al., 1978](#)). A matrix cell gives the probability of amino acid $i$ to be replaced with amino acid $j$ after a given evolutionary interval which is given in PAM. One PAM is the probability of a residue to be mutated during an evolutionary distance in which one point mutation was accepted in 100 residues (i.e. 1% mutations). 100 PAMs do not necessarily mean that all residues are mutated, some residues may have been mutated several times, including mutations that restore the original amino acid, and some residues may not have changed at all. The mutation data to calculate the PAM matrix were collected from closely related proteins.

PAM matrices for longer evolutionary distances can be obtained by multiplying each target exchange frequency of the PAM1 matrix $n$ times with itself to generate a PAM$n$ matrix.

Sequence comparisons using a PAM matrix generally do not perform well in detecting more distantly related sequences. In particular the theoretical extrapolation from the experimentally derived PAM1 matrix to higher order PAM matrices to model a longer evolutionary distance does not take into account the conservation of functionally important sequence regions and may therefore overestimate mutability.

### 3.2.2 The BLOSUM matrices

The BLOSUM matrices ([Henikoff & Henikoff, 1992](#)) were derived from the BLOCKS database (see page 14). The frequencies of amino acids from conserved sequence blocks were tabulated, and the probabilities for target and background frequencies were calculated. To reduce multiple contributions of several closely related proteins, the sequences were clustered within blocks. Each cluster was treated as a single se-
Table 2: PAM70 amino acid substitution matrix. Cells contain the log odds of a particular amino acid substitution probability after 70 PAMs. Note that the matrix is symmetric.

sequence. Clusters for different identity levels were built to produce different matrices allowing sequences \( \geq n\% \) identity to be included in a cluster. The most commonly used matrices are BLOSUM50, BLOSUM62 and BLOSUM80, where the number indicates the \( n\% \) cut-off.

The BLOSUM matrices perform better in sequence alignments and homology searches than the PAM matrices, especially in detecting more distant homologies (e.g. Henikoff & Henikoff (1993); Russell et al. (1998)). The matrices are constructed from sequences of any evolutionary distance without any theoretical extrapolation. There are substantial differences in the amino acid mutability when comparing BLOSUM and PAM (Henikoff & Henikoff, 1992).

3.3 The basics: BLAST and FastA

Several heuristics to speed up sequence searches have been developed. Here the BLAST (Altschul et al., 1990) method is discussed in more detail. Significant sequence similarity may be found by a simple comparison of short regions of a few amino acids length without performing dynamic programming. If the initial step was successful, more sensitive but time consuming refinement steps are applied (in-
cluding dynamic programming). Methods based on such simple comparisons are
heuristics and do not guarantee an optimal alignment between two sequences. Nev-
ertheless, when comparing a query sequence to a sequence database, generally most
of the sequences do not share any homology with the query, and may be skipped
by the fast heuristic step, reducing the search space to which the more detailed
comparisons are applied.

3.3.1 The FastA heuristic

Wilbur & Lipman (1983) introduced the first heuristic method to search a query
sequence against a database of sequences. This method has been subsequently im-
proved in the FastP and later in the FastA methods (Pearson & Lipman, 1988; Pear-
son, 1990). The FastA method can be applied to nucleotide or peptide sequences.
There are five major steps in the algorithm:

1. Identify matching ‘words’ between two sequences (the query and a database
sequence) that share identical pairs of amino acids ($ktup = 2$, a word of two
residues).

2. Find regions of high density of identities. This is done by finding the words
that are on the same diagonal of a plot between the two sequences. These
words are extended to merge with other existing words to form a region if the
distance of the previous word or region in residues is smaller than the score of
the current region or word match.

3. Re-score the ten highest scoring regions using a PAM250 matrix, and trim or
extend the ends of these to optimise their score. This is a partial alignment
without gaps.

4. If there are several regions above a given score cut-off, these regions are joined
via dynamic programming, producing a gapped alignment if their score can
be improved (the overall score is the sum of the scores of the regions minus a
penalty score for gaps). This score is called $initn$, and is used as a rank of the
database sequence.

5. For the top ranking sequences, a local alignment is constructed with the query
sequence using a centred 32 residue window on top of the best $initn$ region.
The resulting score is the optimised score that is reported.
The initial search step may not reduce the number of sequences substantially, but it reduces the subsequent more detailed and time consuming searches to only a few regions of the sequence that have to be compared in more detail. The calculation of the \textit{initu} value reduces the number of regions and sequences for which Smith-Waterman local gapped alignments have to be produced. In summary, the FastA method speeds up sequence database searches by reducing the time consuming dynamic programming to a set of matrices per sequence which are in total smaller than the complete $n \times m$ matrix.

### 3.3.2 The BLAST heuristic

The original BLAST method (Basic Local Alignment Search Tool, Altschul et al. (1990)) uses heuristics similar to FastA to find candidate sequences, but BLAST is even faster than FastA. The original BLAST method produced un-gapped alignments and was refined (Altschul & Koonin, 1998; Schaffer et al., 2001) to gain more sensitivity (including gapped alignments) and speed. The steps of the method implemented in BLAST series 2.0 (Altschul & Koonin, 1998) for amino acid sequences are described below (the steps for nucleotide sequences are similar).

1. Find word pairs of a given length (usually 3 residues for proteins) for which the cumulative score is at least $T$. A word satisfying this condition is called a hit. Scores are taken from a standard matrix such as BLOSUM or PAM.

2. If the two sequences contain at least two non-overlapping hits within a distance $A$ on the same diagonal then the extension of these matches is triggered. If two hits overlap, the most recent one is ignored. This two-hit method reduces the number of triggered extensions, which is the most time consuming step in BLAST.

3. If the previous conditions are satisfied, the un-gapped bidirectional extension of the second hit is triggered using the same substitution matrix as in the first step. The extension terminates if its cumulative score cannot be improved anymore, and the score is $\geq S$. A step in the heuristics to speed up the extension procedure is to terminate an extension if it reaches another hit with a score that falls a certain distance below the previous shorter extension. The extended hit may include other hits. An extended hit is called an HSP (High scoring Segment Pair).
4. The highest scoring HSP with a score $\geq S_g$ is further extended in both directions via a gapped alignment. Only the highest scoring HSP is extended because most of the HSPs will be included in this gapped extension.

5. The final alignment for hits for which a gapped extension produced a high score are re-aligned with relaxed alignment parameters. This increases the extent of the alignment.

BLAST performs far fewer local alignments compared to FastA and is therefore much faster. Like FastA, gapped extensions are only performed on a relatively small region within a sequence.

### 3.4 Basic statistics and probabilities for local alignments

The scoring system is crucial in distinguishing between real and chance alignments, and equation 2 gives most of the basic statistics of a scoring system. Sequence search methods employ a scoring system to judge whether similarity could have arisen by chance, and for heuristics such as BLAST whether a more time consuming comparison has to be performed.

The basic statistics for the score distributions from local ungapped alignments has been described by Karlin and Altschul (Karlin & Altschul, 1990, 1993; Altschul & Gish, 1996). The distribution of scores for hits between a real sequence and a set of randomly generated sequences can be approximated with an extreme value distribution. Scores as given in equation 2 are summed over the region participating in a hit. Figure 2 shows scores that are approximated with an extreme value distribution. Since this score distribution is the result of chance alignments, biologically meaningful scores should be distributed at the long tail end of the distribution, and the location of this score on the distribution can be treated as a confidence level for this score (Karlin & Altschul, 1990). The formal description of this confidence is given in equation 3 which is the probability to find at least one random alignment with a score $S \geq x$. This probability is also known as a $P$-value. $K$ is another constant that depends on the scoring system, and $mn$ is the product of the lengths of the sequences that are compared. For database searches $mn$ is the product of the length of the query sequence and the search space of the database.

$$P(S \geq x) = 1 - e^{-Knme^{-\Lambda x}}$$  (3)
The score $S$ depends on the scoring system via $K, \lambda$ and special scores for the introduction of gaps and gap extensions ($\lambda$ is the same as in equation 2). It is useful to convert this score into a score $S'$ that is independent of the scoring system to compare results obtained from searches that use different substitution matrices. A normalised score $S'$ is expressed in bits which can be obtained from the scaling constants of the scoring system and the score distribution. Equation 4 gives the formal description of this normalisation.

$$S' = \frac{\lambda S - \ln K}{\ln 2}$$  \hspace{1cm} (4)

The reliability of an alignment in BLAST and other programs is given as an $e$-value, described in equation 5.

$$e(S') = mn2^{-S'}$$  \hspace{1cm} (5)

$$e(S') = Kmn \exp(-\lambda S)(\text{directly calculated from the raw score})$$  \hspace{1cm} (6)

The $e$-value is the number of expected chance hits with a score $\geq S'$. Doubling the length of the query sequence or database doubles the number of expected chance hits, and the number of expected chance hits decreases exponentially with increasing score. Note that $e(S')$ is found in the exponent of equation 3.
Another confidence measure that requires a substantial sample of the score distribution is the $z$-score. It is defined as the distance of an the alignment score $S$ from the mean $\mu$ of the distribution of all scores of the analysis divided by the standard deviation $\sigma$ of the score distribution ($\text{score} = (S - \mu)/\sigma$). The normalisation by the standard deviation of the distribution ensures that even high scores with a short distance to the mean get relative low $z$-scores if the score distribution is flat, e.g. if there are many chance hits. A $z$-score is as defined above is only informative for normally distributed scores. However, it is possible to calculate P-values for $z$-scores that are derived from an extreme value distribution of scores (personal communication with William Pearson). Therefore $z$-scores may be used as confidence measures for local alignments such as in the FastA (Pearson, 1990).

All equations in this section and equation 2 have only been proven to hold for ungapped local alignments, but computational analysis and some analytical work suggest the same applies to gapped local alignments (Karlin & Altschul, 1990, 1993; Altschul & Gish, 1996; Altschul et al., 2001). Extreme value distributions fit scores from gapped local alignments of randomly generated sequences well using standard background frequencies (Robinson & Robinson, 1991) and a standard substitution matrix such as BLOSUM62 with standard gap opening and extension scores (Waterman & Vingron, 1994; Altschul & Koonin, 1998; Altschul & Gish, 1996), from which the scale parameters $\lambda$ and $K$ are derived. These parameters cannot be determined analytically for gapped local alignments. However, Mott (2000) derived an empirical formula from a large number of simulation with different scoring systems to calculate $\lambda$. For ungapped local alignments these parameters are analytically derived from the scoring system (Karlin & Altschul, 1990). The FastA method generates enough optimal gapped local alignments between unrelated sequences for each run to have a basis from which to $\lambda$ and $K$ can be estimated. The BLAST program generates gapped alignments only for potentially related sequences and cannot estimate the parameters from these scores. Therefore BLAST uses pre-estimated parameters from simulations for different standard matrices and gap opening and extension costs (Altschul et al., 1997).
3.5 Sequence specific profiles and PSI-BLAST

As mentioned at the beginning of section 3.2, none of the standard substitution matrices optimally describes the target frequencies of a particular class of sequences. A position specific scoring matrix (PSSM) or sequence profile is specifically constructed for a particular class of proteins. A PSSM has the dimensions $n \times 20$, where $n$ is the length of the sequence. At each position $n_i$ of the matrix, a substitution score for each of the 20 amino acids is given. The main difference to the standard substitution matrices is that the score for the same amino acid type can differ depending on the position within the sequence. Usually a PSSM is constructed from a multiple sequence alignment, for example from a set of already identified homologues and may be subsequently refined by pulling in more distant homologues when a database is searched with the PSSM. Earlier profile methods (e.g. Patthy (1987); Gribskov et al. (1987); Taylor (1986); Yi & Lander (1994); Tatusov et al. (1994)) used rather complex procedures involving several programs with substantial user intervention.

The PSI-BLAST method (Altschul et al., 1997; Schaffer et al., 2001) combines all the required steps, automatically constructs a PSSM and uses this profile to search a sequence database. A comparison of several sequence database search methods showed that PSI-BLAST is about three times more sensitive than BLAST or FastA in detecting remote homologues (Park et al., 1998).

Figure 3 shows the basic steps of the PSI-BLAST procedure. First, a standard BLAST, as described in section 3.3, is performed using a standard substitution matrix (e.g. BLOSUM62) and a sequence database. From this run those sequences satisfying a given $e$-value cut-off are stored, and a multiple sequence alignment is constructed from these sequences. This multiple alignment is converted into a PSSM which is then used in the second search round instead of the query sequence and the standard substitution matrix to search the sequence database via the BLAST algorithm. The difference between this step and the original BLAST is just that the PSSM itself contains the information about the query sequence and the substitution matrix. The procedure of searching the database and re-constructing a new PSSM after every round is repeated until no more sequences with sufficient $e$-value can be added to the list of sequences of the previous round or a given maximum number of rounds has been reached. The result is a list of sequence alignments of the last round that are of sufficient $e$-value.
3.5.1 Construction of a Position Specific Scoring Matrix

A multiple alignment is constructed by stacking all sequences found in a search round with an e-value ≤ the cut-off. Sequences identical to the query are skipped, and for sequences with very high sequence identity (> 97% in PSI-BLAST version 2.0 and > 93% in version 2.1) only one representative sequences is kept. The final multiple sequence alignment $M$ has residues or gap characters in every column and row. For the calculation of the sequence weight for a column in the PSSM only those rows (sequences) are considered that contribute a residue or gap to that row.

Figure 3: Overview of the PSI-BLAST procedure. The procedure starts by running BLAST for a query sequence against the sequence database using a standard matrix (here BLOSUM62). In the next round the PSSM, instead of the query sequence and the BLOSUM62 matrix, is used for the database search. A new PSSM is constructed in every round until no new sequences can be found. A search cycle is called iteration. See text for more details.
Sequences contributing to a column of the multiple alignment are weighted in a similar way as for the construction of the BLOSUM matrices described in (Henikoff & Henikoff, 1992). Closely related sequences can bias the PSSM. This bias can be avoided by weighting each sequence according to its individual information content. Gaps are treated as the 21st distinct character of the amino acid alphabet, and any column consisting of identical characters are ignored for calculating the individual weight factor for a sequence. This weight scales the raw observed residue frequency for a given column $i$ of the PSSM, giving the weighted residue frequency $f_i$. Furthermore the relative number of independent residue observations $N_C$ is calculated as the mean of the number of different amino acid types observed at a position. The maximum of $N_C$ is 21, but for most columns in the multiple alignment $N_C$ is much smaller. $N_C$ is a per column scaling factor reflecting alignment variability.

A general frequency probability $Q_i/P_i$ with $Q$ being the target frequency and $P$ being the standard background frequency on which equation 2 is based on is not appropriate for the probability estimation for the PSSM, because of the weighting issues discussed above. A small sample size (some alignments may just have a few sequences at some columns) and the necessity for the prior knowledge of the relationships among the residues requires a different probability scheme. The calculation of $Q_i$ for a position in the PSSM includes the target frequency $q_{ij}$ that was used for the initial substitution matrix (see equation 2) to make use of the prior knowledge of the residue relationships. Equation 7 calculates a pseudocount (Tatusov et al., 1994) for a given column in the PSSM where $q_{ij}$ is the target frequency for the standard substitution matrix from equation 2.

\[
g_i = \sum_{j=1}^{20} \frac{f_j}{P_j} q_{ij} \quad (7)
\]

\[
Q_i = \frac{\alpha f_i + \beta g_i}{\alpha + \beta} \quad (8)
\]

The target frequency $Q_i$ for a position in the PSSM is then given via equation 8 which combines the scaled observed frequency with the pseudocount. Therefore a PSI-BLAST PSSM is a position specific scaled version of the initial substitution matrix that was used. The factor $\alpha$ is defined as $N_C - 1$ to account for the alignment variability mentioned above. The two equations above imply that for positions in the query for which the multiple alignment does not have any sequences the initial substitution score is used. The $\beta$ factor can be used to increase or decrease the
weight of the initial substitution matrix. Gaps do not have any position specific scores, constant gap opening and gap extension scores are applied as for the standard substitution matrices. The actual substitution score is calculated from $Q_i$ using equation 2.

### 3.5.2 Applying BLAST to a position specific search

The BLAST method is applied in the same way to the PSSM as for a query sequence and a standard substitution matrix, assuming the same statistics holds for a position specific search. The calculation of the normalised score $S'$ for hits includes the scaling parameters $\lambda$ and $K$ for which Altschul et al. use the same values as for the initial substitution matrix that was used in the first round (e.g. BLOSUM62). They showed that the employed scoring system fits well the observed score distribution. The score distribution from comparisons of random sequences with a PSSM derived from a real sequence can be fitted by an extreme value distribution (figure 2) with the calculated parameters $\lambda$ and $K$ close to those for gapped simulations for a BLOSUM62 matrix.

By employing the pseudocount PSI-BLAST makes use of the statistics from BLAST and the underlying substitution matrix which assumes a standard amino acid composition of the query sequence and the database. Although the initial analysis of PSI-BLAST has shown that its statistics fits the observed score distribution, and the calculation of the $e$-value approximates the observed error rate within a range of 20%, there have been problems with the PSI-BLAST statistics for a range of query sequence the more the sequence differs from the assumed standard amino acid composition. A BLAST comparison between a query and a database sequence of similar biased composition may produce a hit with significantly high score because the standard BLAST statistics does not apply for this sequence pair. Recent changes in the BLAST and PSI-BLAST algorithms (Schaffer et al., 2001) implemented in the 2.1 series of the program consider biased amino acid compositions. Especially for PSI-BLAST, biased sequences have a strong impact because in every iteration the PSSM itself will be biased towards the amino acid composition of the query, producing even more unreliable results in the next search round (Schaffer et al., 2001; Altschul & Koonin, 1998).

The most important change to cope with different amino acid compositions is a
PSSM specific $\lambda$. For composition biased sequence pairs the standard $\lambda$ (e.g. that for the BLOSUM62 scoring system) is generally too big and results in a lower $e$-value (lower $e$-values give more confidence) than justified (Schaffer et al., 2001). A composition dependant $\lambda'$ is therefore generally smaller than the standard $\lambda$. It is computationally too intensive to estimate $\lambda'$ by fitting the score distribution for each query or PSSM and database sequence pair. Since $\lambda_u$ can be determined analytically (Karlin & Altschul, 1990) for ungapped alignments (it is the unique solution to sum the scores for a matrix column given in equation 2 to one), a composition specific $\lambda_u'$ for scores from ungapped alignments is calculated using the amino acid frequencies of the database sequence and the query. The composition rescaled score for a matrix cell in the PSSM is then given by $\frac{\lambda'}{\lambda_u} S_{ij}$, where $S_{ij}$ is the non-scaled score of the PSSM.

As mentioned in section 3.4 the statistics for ungapped alignments has been shown to approximate score distributions for gapped alignments, too. Matrix rescaling is time consuming because it has to be performed for every query database sequence pair. Rescaling is only triggered if an alignment produces a significantly high score using the non-scaled scoring system. The alignment for the sequence pair (or a PSSM and the sequence) is then recalculated. $e$-Values as the common confidence measure for BLAST and PSI-BLAST alignments are more conservative with the rescaled scoring system and have been shown to be more realistic than the original $e$-values (Schaffer et al., 2001).

To avoid the application of the BLAST algorithm to highly biased sequences with a low amino acid entropy, for which re-scaling may not be sufficient to stop a corrupted search, a low complexity filter can be applied to remove regions from the database or query sequence that differ markedly from the standard amino acid composition. Positions in these low complexity regions are replaced by the ‘X’ character and are ignored by the BLAST search procedure. Such a filter is implemented in the BLAST 2.0 and 2.1 series (Wootton, 1994).

Finally, it is worth mentioning that the sensitivity of PSI-BLAST, the ability to detect even distantly related homologues, depends on the diversity and size of the sequence database that is used for the search. Generally in every iteration more distantly related sequences are identified and added to the PSSM. After every round the PSSM explores evolution a step backward. PSI-BLAST would not be
able to detect the relationship between a query sequence $A$ and a distantly related sequence $B$ in the database if there were no evolutionary intermediates present in the database, see e.g. Aravind & Koonin (1999).

3.6 Using sequence profiles with IMPALA

The IMPALA method (Schaffer et al., 1999) compares a query sequence against a library of PSSM produced by PSI-BLAST. This is particularly useful if one wants to find the protein or domain family to which a given query belongs. Each family is represented as one PSSM in the library. Such a library may be constructed by searching a large sequence database with a member of a characterised protein family using PSI-BLAST. The final PSSM produced by PSI-BLAST may then be used as a representation of the protein family.

The comparison of the query sequence with each PSSM is performed via the Smith-Waterman procedure (see equation 1 and text in that section), so that optimal local alignments are guaranteed. The time consuming Smith-Waterman procedure is acceptable because a profile library generally contains only a few hundred members representing families or domains rather than hundreds of thousands of single protein sequences from a database that is used within e.g BLAST and PSI-BLAST searches. IMPALA faces the same statistical problems calculating significance for scores between the query and a PSSM as PSI-BLAST. In fact the re-scaling procedure to scale a PSSM by $\lambda_u$ (mentioned in the previous section) was initially developed for IMPALA and later adapted by PSI-BLAST version 2.1. IMPALA performs similarly to PSI-BLAST version 2.0 and 2.1 in terms of sensitivity and error rate. Since IMPALA and PSI-BLAST version 2.1 use the same re-scaled scoring system, $e$-values are very similar, whereas $e$-values generally differ from those calculated by the older PSI-BLAST version 2.0.

A recent development is the RPS-BLAST program (Reversed Position Specific, Marchler-Bauer et al. (2002)) that is a derivative of IMPALA. The query is compared to the query PSSM via the BLAST heuristics instead of using a Smith-Waterman dynamic programming as in IMPALA (the program is part of the NCBI BLAST package).
3.7 Hidden Markov Models

Hidden Markov models are a commonly used technique in genome annotation, for example to identify known protein families (Krogh et al., 1994). An overview of this technique and its application in sequence comparison is given in a review by Eddy (1998). A hidden Markov model (HMM) associates different states and the transition between these states with probabilities. Protein sequences generated randomly by an HMM for a particular family should then contain members of this family, or from a different point of view, sequences with a high probability to be derived from this model should belong to the family the model describes.

Sequences can be represented by first order Markov chains. A letter in a sequence is not independent, it depends on the previous letter, but does not depend on the full list of previous letters in the sequence. An HMM contains different states which are for example biological meaningful descriptions, such as hydrophobic $H$ and polar $P$, to describe different regions within a protein. Between these states there are transitions, each associated with a probability $t$ to go from one state to another. All transition probabilities from one to another state must sum to one. Each state contains emissions which are the 20 amino acids for a protein sequence. The probabilities of the emissions per state must sum to one. Only the emission symbols (the amino acid letters) of the model are directly observed, but the states and the transitions between them are hidden, therefore such a Markov chain is called a hidden Markov chain. Having introduced the terms transition and emission, the dependency of a letter in a sequence on the letter of the previous position is in fact the transition state between two emissions. Inferring a hidden state sequence (such as the above hydrophobic and polar states) from a protein sequence labels the protein sequences with biological information of higher order than just the residue letters in the protein sequence.

Figure 4 represents the two state HMM for hydrophobic and polar with the transitions between these states. The probability that a sequence FYK is modelled via $H \rightarrow H \rightarrow P$ is then given by equation 9, the first probability in each term is $t$, the second is $e$.

$$P(HHP) = (1 \ast 0.25) \ast (0.9 \ast 0.1) \ast (0.1 \ast 0.5)$$ (9)

The sum of the probabilities to find the sequence in any of the states is the prob-
Figure 4: Schematic representation of a two state hidden Markov model, to assign a residue in a protein sequence to either the hydrophobic $H$ or the polar $P$ state. $t$ is the transition probability, $e$ gives the probability for emitting a particular amino acid type from this state.

ability with which the sequence can be modelled by this HMM. Usually dynamic programming is used to find the optimal path for a given input sequence through the HMM, where the rows and the columns of the matrix contain the sequence letters and the states.

HMMs are used in a wide range of bioinformatics applications, such as (i) gene prediction where a gene is modelled with different states such as exon-intron structure (see section 2.1), (ii) transmembrane helix prediction of protein sequences (e.g. Sonnhammer et al. (1998); Krogh et al. (2001); Tusnady & Simon (2001)) where a helix may get states for the helix caps and states for the hydrophobic core and (iii) the identification of homologous sequence families (Bateman et al., 1999). Homology based sequence searches using carefully constructed HMMs for protein families perform better than PSI-BLAST (Park et al., 1998) in detecting distantly related proteins, but the construction of high quality HMMs on which the performance relies is difficult and usually requires several steps and manual inspection (Bateman et al., 1999, 2002; Letunic et al., 2002; Gough & Chothia, 2002). The key aspect for the performance of any HMM based application is the design of the HMM which includes a definition of the states and the associated probabilities $e$ and $t$.

Profile HMMs that describe a protein or domain family such as in PFAM and SMART (see section 2.3.4) usually derive the probabilities for $e$ and $t$ from multi-
ple sequence alignments. An initial HMM is constructed that may just contain a limited number of rather closely related members of the family. This HMM is then iteratively refined in a similar way PSI-BLAST refines its PSSMs (Bateman et al., 1999). A HMM in database search round $n$ will detect more divergent members of the family than in round $n - 1$, and the new HMM that is constructed after round $n$ is used to search the sequence database in round $n + 1$. The most commonly used profile HMM packages are HMMer (Eddy, 1998) and SAMT99 (Karplus et al., 1998). These methods contain programs to construct, refine and manage HMMs and to search libraries of HMMs with a query sequence.

The states for a sequence profile HMM are (a) the residue positions of the protein family (from one to the sequence length of members of the family), referred to as match states, (b) a deletion state between each match state that allows bypassing a match, and (c) an insertion state between each match state to allow residues to be inserted between two matches. Figure 5 represents a model for a three residue sequence motif (Eddy, 1998). The two major differences between sequence profiles such PSI-BLAST PSSMs and HMMs is that a PSSM does not score gaps in a position specific way whereas a HMM contains the deletion (gaps) state. Further, in a HMM a state is dependant on the previous state, whereas a position in a PSSM is mathematically independent.

4 Protein structure and genome annotation

This section explains why knowledge of the three dimensional structure of proteins is important. There is a huge discrepancy between the availability of protein sequences and their 3D-structures. Currently there are more than 800,000 different sequences in the public databases (12/2001, ftp://ftp.ncbi.nlm.nih.gov/blast/db/), but there are less than 16,000 experimentally determined protein structures in the Protein Data Bank (PDB, 12/2001, http://www.rcsb.org, Berman et al. (2000)), and these contain redundancies such as structures with point a mutation. Despite the difference in absolute numbers, the sequence and the structure databases both grow exponentially.
4.1 Functional and evolutionary insights from protein structure

The 3D-structure of a protein determines its biochemical function. Homology based sequence comparisons and motif searches to identify the function of a protein are therefore simplifications because these searches only consider 1D-information. However, divergent sequences often share a similar 3D-structure that accepts to some extent a range of amino acid substitutions. The 3D-structure is generally more conserved than the 1D-structure (the sequence), see e.g. Chothia & Lesk (1986) and Murzin et al. (1995). Figure 6 shows the dependency of the structural similarity measured as the root mean square of $C_\alpha$ distances of homologous protein domains and the sequence identity between these domain pairs. At about 20-25% sequence identity the 3D-similarity starts to decrease dramatically. Distantly related sequences with less than 20% sequence identity (the twilight zone) generally only share a similar structural scaffold, a common fold, with differences in structural details which usually determine the biochemical function (Hegyi & Gerstein, 1999; Wilson et al., 2000). However, an analysis from Wood & Pearson (1999) using z-scores for a sequence-structure comparison showed a linear relationship between z-scores of the sequences members of a fold and the z-scores of their structural align-
Wilson et al. (2000) analysed the relationship between sequence identity and function, and structural similarity and function. For enzyme domains with an RMSD of 1Å 90% of the domains pairs have the same broad function. This structural similarity can be mapped to the start of the twilight zone sequence similarity (about 25% sequence identity) in figure 6. For a 90% chance of a precise match of function of two structures a similarity of about less than 0.6Å RMSD is required corresponding to 40% sequence identity. These thresholds of sequence identity are also supported by other work (Devos & Valencia, 2000; Todd et al., 2001). Hegyi & Gerstein (1999) showed with their analysis, that the functional diversity of protein domains decreases approximately as a function of the exponent of the e-value threshold of the alignment between a protein domain and its functionally annotated homologues in the SwissProt database (see section 2.3.2 for a description of SwissProt). The plot of this sequence/function relationship is shown in figure 7.

The analysis described above is based on single domains. For multi-domain proteins function is less conserved between proteins than for single domain proteins, and even proteins with the same domain combination may not have the same func-
Figure 7: Multi-functionality of protein domains versus $e$-value threshold. A domain has multiple functions if at least two homologues of different function from the SwissProt database can be identified for this domain. The $e$-value of the alignment between homologous pairs is plotted as the negative logarithm to the base of 10 against the fraction of domains with multiple functions (i.e. increasing values on the $x$-axes indicates more confidence in the homologous relationship). Starting from an $e$-value of $10^{-5}$ ($\log_{10} - 5$) multi-functionality decreases exponentially. Figure 7 from Hegyi & Gerstein (1999).

The relationship between structure and function raises the question whether there is a relationship between a particular function and a fold. Studies from Martin et al. (1998) showed only little preference of a function to be associated with a particular protein fold. However, other results (Hegyi & Gerstein, 1999; Wilson et al., 2000) show a significant bias of certain folds with a particular group of functions. E.g., mixed $\alpha/\beta$-folds are often associated with enzymatic domains whereas all-$\alpha$ domains are biased towards non-enzymatic function. On the other hand there are a few folds such as the TIM (Triose-phosphate Isomerase) barrel that provides a generic scaffold to fulfil a broad range of enzymatic functions.

Todd et al. (2001) showed that 25% of the homologous superfamilies of similar structure have different enzymatic function, highlighting the divergent evolution within these superfamilies. Most functional changes within a related set of sequences are due to a change in the substrate but maintain the same reaction mechanism (Holm & Sander, 1997; Todd et al., 2001).

Due to the structural conservation of proteins the number of distinct 3D-architectures for globular proteins has been estimated to be limited between 1,000 and
7,000 (Brenner et al., 1997; Govindarajan et al., 1999; Zhang & DeLisi, 1998; Wolf et al., 2000). This means that many proteins have the same or a very similar general architecture of secondary structure elements (α-helices and β-sheets), although their peptide sequences may not show obvious similarity. Considering this structural ‘limitation’, functional diversity has to be generated by adopting an existing structural scaffold to a particular function. Functional changes within the same structural fold is often related to critical local sequence changes Todd et al. (2001); Aloy et al. (2001), and in difficult cases may be traced to differences of a few critical atoms.

An overview about the relationships between sequence, structure, function and evolution is given by Orengo et al. (1999); Thornton et al. (1999, 2000). Generally protein structure is more conserved than its function (and its sequence).

4.2 Examples for protein structure/function relationships

4.2.1 Glycogen synthase kinase 3β

The recently published structure of the glycogen synthase kinase 3β (GSK3β, Dajani et al. (2001)) is represented as an example of how protein structure reveals insight into biochemical function, supporting and guiding functional studies. The GSK3β plays a regulatory role in two distinct signalling pathways, the insulin induced signalling pathway to regulate glycogen synthesis and the Wnt (Wintbeutel) signalling pathway involved in cell proliferation and development. The default for GSK3β is to phosphorylate and thereby inhibit its target proteins.

GSK-3β contains an N-terminal activation segment that is also found in other kinases such as ERK2 MAP kinase (Zhang et al., 1995), forming a β barrel structure that opens a substrate specific binding cleft and positions the active site residues for the phosphorylation reaction. This activation itself is enhanced by the phosphorylation of the activation segment (tyrosine 216 in GSK-3β). A feature specific for GSK3β is the P+4 phosphorylation pattern. The kinase efficiently phosphorylates substrates at a position with a serine or threonine if the residue 4 positions towards the C-terminus has already been phosphorylated (primed phosphorylation). Additional serine or threonine residues can be phosphorylate in +4 steps in a C-terminal to N-terminal direction (hyper-phosphorylation, Fiol et al. (1994)).

The crystal structure was analysed to suggests a model by which the requirement
for primed phosphorylation and the substrate specificity is explained. The structure of GSK3β shows the active from of the protein, with an open cleft between the activation segment at the N-terminus and the C-terminal domain. Figure 8 (A) shows the surface of GSK3β with the functionally key residues labelled. The cleft from the positively charged patch formed by R96, R80 and K205 to the left, passing the active site residues R220 and D181, is the substrate binding site. The positively charged patch is stabilised by either a phosphorylated tyrosine at position 216 forming a hydrogen bonding network with the three positively charged residues or by a free phosphate or sulphate from the surrounding buffer in vitro (as it is found in the crystal structure) and the cytosol in vivo. The modelled protein substrate complex in 8 (B) explains the requirement for P+4 primed substrates, and the specificity for substrates containing a serine or threonine at ‘P(0)’ and ‘P(+4)’.

Figure 8: GSK3β surface and active site. From Dajani et al. (2001), figures 3a and 4a. (A) The solvent-accessible surface of GSK3β coloured according to electrostatic potential (red, negative, blue: positive). The intensive positive patch generated by the basic side chains of Arg 96, Arg 180 and Lys 205 is indicated, as is the location of the catalytic Asp 181 and Arg 220 which could interact with a phosphorylated Tyr 216. The N-terminal mainly neutral activation segment is located towards the bottom of figure. (B) Phospho-Substrate bind model. Model of substrate binding (peptide sequence PPSPSL3) to GSK3β. Phosphorylation of a serine at P(0) by the active site residues (red) depends on a ‘priming’ phospho-serine at P(+4) interacting with residues of the positively charged patch (blue sidechains) shown in (A) fitting the substrate into the binding pocket.

The authors further suggest an autoinhibition mechanism to interpret the inhibi-
tion of GSK3β when serine 9 is phosphorylated in the insulin pathway (Cross et al., 1995). The 35 residue N-terminal peptide, which is distorted in the crystal structure and therefore not visible, was modelled into the substrate binding site serving as a pseudo primed substrate analogue with the phosphorylated serine 9 as ‘P(+4)’ and a proline 5 in ‘P(0)’ occupying the pocket at the catalytic residues. The authors showed experimentally that inhibition depends on the sequence context of the serine 9, and is in fact specific to the sequence N-terminal fragment of GSK3β itself.

The structure of GSK3β from Dajani et al. (2001) does not reveal any insights into how GSK3β acts differently in the two signalling pathways (insulin and Wnt). However, recently a structure of a complex between GSK3β and a peptide from an interacting regulatory protein required in the Wnt pathway was published (Bax et al., 2001), showing that the interaction site is close to the substrate binding site but without any overlap. This structural complex explains why GSK-3β can be inhibited in the Wnt pathway while staying active in the insulin pathway.

4.2.2 Similar structure and function - different sequence

As figure 6 shows and is further discussed in section 4.3 below, similar sequences generally have a similar 3D-structure which in turn determines the biochemical function of the protein, although, as explained in section 4.1, it is not straightforward to identify these relationships. In this section two protein structures with such a difficult relationship are discussed.

The structures of the core domain from different viral integrase proteins Dyda et al. (1994) are similar to ribonuclease H (RNaseH, Katayanagi et al. (1990); Davies et al. (1991)), but their sequences do not show significant similarity (Yang & Steitz, 1995; Dyda et al., 1994). The integrase inserts the viral DNA into the host DNA, whereas RNaseH hydrolyses RNA strands of RNA-DNA hybrids. Despite the difference of their biological function, both enzymes perform a similar trans-esterification reaction that requires either $Mg^{2+}$ or $Mn^{2+}$ ions and three carboxylates. Overall the reaction mechanism of both enzymes has been proposed to be similar Yang & Steitz (1995).

The topology of the core folds for the integrase and the RNaseH are the same, but the length and twist of the secondary structure elements are different, also both
folds contain additional secondary structure elements. Figure 9 shows a superposition of both structures. The three residues of the catalytic site that provide the carboxylates for the chelated metal-ion are in similar relative positions (coloured in magenta and green). In integrase glutamate 157 (magenta) does not interact directly with the magnesium-ion, although mutagenesis has shown that this position requires a glutamate (Kulkosky et al., 1992). Further, glutamate 157 is in an opposite position relative to glutamate 48 of the RNaseH. It has to be pointed out that the fold of the Avian Sarcoma Virus (ASV) integrase shown in the figure is similar to the HIV-1 integrase (Bujacz et al., 1996) with a sequence identity of 24% but the relative orientation of the three active site residues are different (Bujacz et al., 1996).

Figure 9: Superposition of ribonuclease H from *E. coli* (PDB code 1RDD, red structure, Katayanagi et al. (1993)) and integrase from Avian Sarcoma virus (PDB code 1VSD, structure shown in blue, Bujacz et al. (1996)). (A) The RMSD of the superposition is 3.9Å. Most similarity is found in the 5 stranded sheet, both structures contain additional secondary structure elements, although their general topology is the same. (B) Mg$^{2+}$ binding site of both enzymes (integrase in magenta, and RNaseH in green). The two aspartates occupy similar positions whereas the two glutamates are on opposite sites of the metal ion.

The similarity between both protein domains and the proposal of a common enzymatic mechanism was identified only because their 3D-structures are available, pointing out the limitations of sequence based comparisons, and raising the question
of how many of these hidden relationships there are in the protein universe.

4.2.3 Similar sequence and structure - different function

The sequence and structure of lysozyme and α-lactalbumin are very similar (36% sequence identity and an RMSD of 1.3 Å between the structures, see figure 10), although their biochemical functions are different. The first 3D-structure of lysozyme was described by Blake et al. (1965), and was derived from Hen egg. Lysozyme is also found in other birds, mammals and insects Jolles et al. (1984). It degrades bacterial cell walls by cleaving the β-1,4 glycosidic linkage between N-acetylmuramic acid and N-acetylglucosamine of polysaccharides. α-lactalbumin is mainly found in mammary glands and milk. The protein changes the substrate specificity of the enzyme galactosyltransferase in the lactating mammary gland from N-acetylglucosamine to glucose to produce lactose. The first α-lactalbumin structure was published by Phillips and co-workers (Smith et al., 1987). A review about the discovery, analysis and comparison of α-lactalbumin and lysozyme is given by McKenzie & White (1991).

In addition to their sequence and structural similarity, both enzymes have a similar exon-intron structure (McKenzie, 1996) suggesting a common ancestor. The different biochemical functions, despite different substrates, are rendered by two major features: (i) α-lactalbumin binds calcium, whereas only a few lysozymes have been reported to bind calcium (e.g. Nitta et al. (1988); Nitta (2002)), and (ii) α-lactalbumin interacts with galactosyltransferase, this interaction has not been found for lysozymes. Figure 10 shows a structural superposition of both proteins, highlighting the calcium binding site of α-lactalbumin (red) and the catalytic residues the lysozyme (blue).

Although α-lactalbumin and lysozyme have developed different functions, it is commonly accepted that they are homologous. However, it is not clear when in evolution the gene duplication event took place (lysozyme is believed to be the ancestor of α-lactalbumin). Some authors suggest the event happened before the divergence of birds and mammals (Prager & Wilson, 1988) while others suggest a more recent event, after birds and mammals have diverged (Shewale et al., 1984). The functional divergence of both proteins cannot be explained by structural data alone, but needs careful sequence analysis and experimental work. Similar sequences
and structures do not necessarily imply similar function. This is an important aspect in functional genome annotation which was discussed in section 4.1.

4.3 Structural genomics projects

Automated large scale structural genomics projects have been setup around the world to determine large numbers of protein structures (Sanchez et al., 2000). There are at least fifteen such projects in North America, four in Europe using X-ray crystallography and one in Japan that uses NMR technology. Generally the aim of structural genomics projects is to solve protein structures without the focus on a particular protein. Targets may be selected carefully including those of special interest such as potential drug targets, protein families or a representative set of proteins from a particular organism. An important aspect is to have a wide range of possible protein targets so that a protein that is difficult to express or to crystallise may be skipped or suspended from the processing pipeline without having any impact on the entire project. This philosophy which is often referred to as grabbing for the low hanging fruit aims for the easy targets. However, the current lack of protein structures supports this point of view, and advances in technology based on the experience of ongoing projects may allow future exploration of targets that cannot be handled at this time. Nevertheless, there are projects such as the one at the Midwest Center For Structural Genomics, that include difficult targets such as
membrane proteins.

As mentioned at the beginning of section 4, there is a large discrepancy between the number of available sequences and structures. However, structural genomics projects do not need to provide experimental structures for every single sequence, because the number of distinct 3D-architectures for globular proteins is limited to a relatively small number of folds, allowing the modelling of the structures of many proteins from a limited number of homologues for which the structures were determined experimentally.

Recent work by Vitkup et al. (2001) suggests that a number of 16,000 structures may be required to have representative structures for 90% of all proteins. To cover 90% of all protein families in PFAM (version 4.4 with 2,000 families, see section 2.3.4) about 4,000 structure determinations are required. More than one structure per family has to be solved if the sequence identity between members of a family is low (< 30%). Assuming that reliable homology based model building for protein structures requires at least 30% sequence identity between the target (the protein of unknown structure) and the template (the homologue of known structure), one could model all members of a protein family with a minimum number of template structures. This minimum number is determined so that all members of the family share at least 30% sequence identity to at least one template. On average a quarter of a genome is covered by PFAM (version 4.4), and so the extrapolated number of structure determinations rises to 16,000. This is the estimated number of protein structures to cover 90% of the sequence space. About 10% of these structures are already available. Targeting a 100% coverage of the protein sequence space requires four times more protein structures to be solved, and therefore a 90% coverage cut-off is a good ratio of completeness to costs. This theoretical estimate does not consider membrane proteins and technical difficulties with certain protein families, although difficulties with individual target proteins from families can be bypassed by choosing an alternative candidate target protein of the same family (e.g. from a different organism).

Target selection is critical for the success of structural genomics and has to be coordinated to avoid redundant work. Lists of targets from various projects are maintained at http://presage.berkeley.edu/ (Brenner et al., 1999) and http://www.structuralgenomics.org.
The expected benefits from having a large set of available structures (including those derived from homology modelling, see section 4.5) are combinations of ‘new/old’ folds (3D-architectures) and ‘known/unknown’ functions (Burley, 2000). The examples in 4.2 already highlighted the benefits of knowing the structure of a protein. Structures will be used for guiding experimental work such as site directed mutagenesis, protein-protein interaction studies and identification of possible ligands (e.g. inhibitors). Having a larger number of proteins with the same or a similar fold but different function sheds light into the evolutionary history of a fold. This allows the exploration of the differences between proteins that have diverged from a common ancestor, and how proteins with the same structural scaffold evolved new functions. As discussed in section 4.1, the structure/function relationship is complex, and there is still a lack of structural data to extract reliable rules for this relationship. New folds of proteins with known function will allow to elucidate the function of a fold, which in turn may allow to propose a function for all those members (proteins) of this fold. For a known fold with an unknown function the structure may be used to propose a function, e.g. by screening this fold for 3D-sites extracted from existing structures (Wallace et al., 1997; Russell, 1998; Jonassen et al., 1999).

4.4 Structure based classification of proteins

The protein family and domain databases discussed in section 2.3.4 derive their relevant information to cluster proteins mainly from sequence information. Another type of domain database uses protein structure to identify and cluster similar domains. Protein structure supports the identification of domain boundaries for a sequence family. A comparison of protein structures also allows the identification of structurally similar domains in the absence of obvious sequence similarity as the structural similarity of the integrase and the ribonuclease in section 4.2.2 shows.

The most commonly used structural domain databases are SCOP (Murzin et al. (1995); Conte et al. (2002), see also http://scop.mrc-lmb.cam.ac.uk/scop/) and CATH (Orengo et al. (1997); Pearl et al. (2001), see also http://www.biochem-ucl.ac.uk/bsm/cath/). Both databases are based on the PDB database which is the central repository for protein structures. Here, SCOP (Structural Classification Of Proteins) is described in detail. Proteins are classified via a tree with six branch levels. The top level is the class that summarises domains according to their sec-
ondary structure content. In SCOP version 1.53 there are five main classes, all-\(\alpha\), all-\(\beta\), mixed \(\alpha/\beta\) and \(\alpha + \beta\) (domains contain a separated \(\alpha\) and \(\beta\) part) and small domains (dominated by short domains that usually contain a complexed metal or disulphide bridges). The next level is the fold, that groups domains for which the secondary structure elements are arranged in a similar topology but without the need of sequence similarity. Each fold contains one or more superfamilies which aims to group domains for which the evidence suggests there is be a common ancestry, therefore members of the same superfamily are homologues. The evidence that two domains belong to the same superfamily can be similarity in sequence, structure and function, but may be a combination of similar structure and function without detectable sequence similarity (as for the integrase and ribonuclease H examples in section 4.2.2). Domains in the same fold but from different superfamilies are considered to be analogues, their similar structural framework is believed to have evolved independently. Since the discrimination between analogy and homology is not straightforward, a common evolutionary origin cannot be excluded for some domains within the same fold but in different superfamilies. SCOP decides conservatively, and places domains without clear evidence for common ancestry in different superfamilies. Each superfamily contains at least one family that groups closely related domains with at least 30% sequence identity or in some cases less identity but very similar structures and function. A domain itself is the next level within a family, followed by the species, i.e. the same domain may be present in different species. The SCOP database is constructed and maintained mainly manually, some steps of the analysis are automated.

The CATH database is organised similarly to SCOP, it contains five levels: (i) the class, similar to SCOP, and contains the entities mainly-\(\alpha\), mainly-\(\beta\) and \(\alpha - \beta\), (ii) the architecture level groups domains with similar arrangements of secondary structure elements but ignoring their connectivity, (iii) the topology/fold family level that considers secondary structure topology (grouping analogues), (iv) the homologous superfamily and (v) the sequence family levels for similar sequences. CATH is constructed and maintained mainly automatically with some manual intervention.
Figure 11: The SCOP classification. The CLASS level at the top of the triangle is the most general classification level. Several entries from a level can be summarised by the next higher level (e.g. a FOLD contains one or more SUPERFAMILIES). The lowest level is the PROTEIN DOMAIN IN A SPECIES, i.e. the same domain may be found in different species. The numbers of distinct entries at each level are given, in total there are 26,174 domains (including the same domain in different species) in SCOP version 1.53.

4.5 Methods for assigning a 3D-structure to protein sequence

The previous sections have demonstrated the benefit of protein structure for the understanding of function and evolutionary relationships. Clear homologous relationships between sequences can be identified straightforward via sequence comparison e.g. using BLAST (see section 3.3). Thus way one can identify a close homologue of known structure for a sequence of unknown structure. However, because the structure is usually more conserved than the sequence, and similar structures often share a broad similar biochemical function (see section 4.1), different methods have been developed to make use of the knowledge that is derived from structure, such as physical interactions between residues distantly apart in the sequence. The aim is not only to detect distant homologous relationships but also those for which the structures share similar physical constraints which may have arisen by convergent evolution. These methods are generally summarised as fold recognition or threading\(^1\), and were reviewed by Jones (1997); Sippl (1999); Sternberg et al. (1999).

One of the earliest fold recognition methods compares a template sequence with a library of profiles from proteins of known structure (Bowie et al., 1991). The profiles contain observed secondary structure states and solvent accessibility for each

\(^1\) Threading in this context means to thread the residues of a sequence of unknown structure onto the backbone conformation of a template structure.
residue position. A statistical analysis of all 20 amino acids with their states is performed for all proteins of known structure, calculating a score for each amino acid type in each state, which is used to score each residue of a target sequence in the templates residues states.

One of the most successful methods developed was THREADER (Jones et al., 1992) which uses pair-potentials to evaluate an energy function for the target residues in a template structure. Pair-potentials introduced by Sippl (1990); Hendlich et al. (1990) are derived by analysing the surrounding residues in a given radius in space for a given residue. This is a measure for the preferred amino acid environment for a given residue.

Advances in secondary structure predictions based on multiple sequence alignments and neural networks (Rost & Sander, 1993b,a; Jones, 1999) enhanced fold recognition (similar 3D-structures have the a similar secondary structure content and topologies) and were frequently incorporated into fold recognition methods.

In the 4th CASP competition (Critical Assessment of Structure Prediction) in 2000, a blind trial to predict the fold of structures that were held back temporarily from publication for the purpose of CASP, the 3D-PSSM method performed best under the fully automated methods (Kelley et al., 2000). Different methods are combined to score the compatibility of a target sequence with each library sequence represented by a set of profiles that are derived from superimposed structures, solvent-potentials, secondary structure prediction and sequence homology.

If more information than just the general fold is required and a homologue of known structure is available, homology based modelling can be applied to build an accurate structural model that includes sidechains. The assumption for homology modelling is that the target sequence will have a similar fold, and therefore a similar backbone conformation for the main secondary structure elements. The backbone conformation of the homologue of known structure is used as a template onto which the sidechains of the target are placed. The model may be refined using different force fields (e.g. Sali & Blundell (1993); Sanchez & Sali (1997b)), see Sanchez & Sali (1997a); Moult (1999) for a review on comparative modelling. Flexible loops and gaps are difficult to model, and special methods have been developed to tackle this problem (Bates et al., 1997). The quality of homology models strongly depends
on the accuracy of the alignment between the target and the template. Reasonable models that include sidechains and flexible loops require at least 30% sequence identity (Sanchez & Sali, 1998; Bates et al., 1997; Fischer et al., 1999). Structural genomics projects benefit from the conservation of protein structure by building reliable models for closely related sequences (see section 4.3 on page 47). The growth of the sequence database and the expected growth of the protein structure database will increase the number of relationships with >30% sequence identity, increasing template selection via straightforward sequence search methods such as BLAST.
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