Towards more robust methods of alien gene detection

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ABSTRACT

Because the properties of horizontally-transferred genes will reflect the mutational proclivities of their donor genomes, they often show atypical compositional properties relative to native genes. Parametric methods use these discrepancies to identify bacterial genes recently acquired by horizontal transfer. However, compositional patterns of native genes vary stochastically, leaving no clear boundary between typical and atypical genes. As a result, while strongly atypical genes are readily identified as alien, genes of ambiguous character are poorly classified when a single threshold separates typical and atypical genes. This limitation affects all parametric methods that examine genes independently, and escaping it requires the use of additional genomic information. We propose that the performance of all parametric methods can be improved by using a multiple-threshold approach. First, strongly atypical alien genes and strongly typical native genes would be identified using conservative thresholds. Genes with ambiguous compositional features would then be classified by examining gene context, including the class (native or alien) of flanking genes. By including additional genomic information in a multiple-threshold framework, we observed a remarkable improvement in the performance of several popular, but algorithmically distinct, methods for alien gene detection.

INTRODUCTION

In recent years, tremendous effort has been directed toward understanding the evolutionary dynamics of bacterial genomes. Among their many remarkable features, chimerism arising from the acquisition of genes from unrelated organisms has evoked intense debate (1,2). This phenomenon, termed horizontal or lateral gene transfer (LGT), is now considered a potent force driving bacterial genome evolution (3), and the accumulation of whole genome sequences has allowed its scope to be evaluated with increasing precision. Because change in gene inventory is an historical process, determining genes’ evolutionary history depends on indirect evidence imbedded in their sequences. A number of disparate approaches to identify horizontally acquired genes have been proposed, falling mainly into two classes (4,5): phylogenetic methods are based on comparative study of many genomes to find genes with unusually taxonomic distributions, while parametric methods explore a single genome to find genes that are atypical with respect to the majority of genes. Approaches combining these classes are most successful (6).

Parametric methods exploit the unusual compositional features of acquired genes to identify them; while native genes have evolved together, the properties of recently acquired genes will reflect the mutational proclivities of their donor genomes. Thus, alien genes can be identified by measuring their atypicality against the recipient genome background. As a proof of concept, Lawrence and Ochman (7) examined the G+C content of protein-coding genes at their first and third codon positions; if they differed by two standard deviations from their respective genomic means, the gene was deemed likely to be alien. While phylogenetic analysis showed that the majority of putative alien genes were indeed absent from the sister Salmonella lineage (8), there were many false negatives and false positives. Karlin suggested dinucleotide composition (9) or overall codon usage patterns (10) could provide more effective statistical determinants, thereby improving performance of alien gene detection algorithms. Here, atypicality was assessed through an odds ratio or difference in codon frequencies, once again comparing a gene’s composition to the genomic average. Next-generation methods (Table 1) use increasingly more complex measures, e.g. octamer frequencies (11), to refine the distinction between typical and atypical genes. Multiple-class methods—e.g. the k-mean clustering algorithm of Hayes and Borodovsky (12) or the AIC or Jensen–Shannon entropic divergence methods of Azad and Lawrence (13,14)—are even more sophisticated, identifying more than one class of atypical gene in the context of a native gene background by clustering genes in n-dimensional parametric space.

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Despite these improvements in assessing sequence diversity, the classification of native and foreign genes by parametric measures remains notoriously error-prone (15). The reason these methods fail to achieve high accuracy is related more to the genes’ compositional continuum than to the core principles underlying their approaches. The compositional features of acquired and native genes often overlap significantly, so that a simple boundary between atypical and typical genes does not exist (Figure 1A). Despite the development of increasingly sophisticated methods for quantifying atypical character (Table 1), the critical issue of classifying genes with ambiguous compositional features has not been addressed satisfactorily. This limitation reflects the common strategy of parametric methods in balancing type I (false positive) and type II (false negative) classification error within a single-threshold framework. An optimal threshold minimizing both type I and II error is impossible to achieve as the two error parameters share a reciprocal relationship. More conservative thresholds decrease the number of false positives at the expense of increased numbers of false negatives, while relaxed criteria increase the number true positives at the expense of increased false ones. No single-threshold approach can eliminate this trade-off.

We assert that this problem cannot be solved by examining only the compositional characteristics of individual genes. Existing methods treat genes as independent data objects, abandoning potentially useful biological information that may influence their composition such as the strand of transcription (leading or lagging), position relative to the replication origin or, more importantly, position within operons or gene clusters. Because alien genes often arrive as genomic islands (GIs), introducing multiple potentially atypical genes in a single event (16), a weakly atypical gene lying within a cluster of moderately- or strongly-atypical genes is likely to be of foreign origin, whereas a weakly atypical gene embedded within an otherwise unremarkable operon is likely to be native. We posit that gene context and operon structural information can resolve the origin of many compositionally ambiguous genes, as suggested by the results of our (14) and others’ (17–19) research. Our results here show a remarkable improvement in the performance of popular parametric methods for alien gene detection when implementing this approach, thus strongly advocating for the use of additional biological information in the development of novel parametric methods.

### METHODS

#### Chimeric artificial genomes

Artificial genomes were modeled on the properties of genuine genomes; sequences were downloaded from NCBI and genes were extracted using the existing annotation. To quantify native variability within genuine genomes, native core genes were extracted from each genome using a gene clustering algorithm based on Akaike Information Criterion (13,20); this process eliminated unusual genes that were acquired by LGT. A k-means clustering algorithm was then used to segregate the core genes into distinct classes representing the variability among the core genes. Artificial genomes were generated by generalized hidden Markov models with parameters learned from both these distinct gene classes and from the non-coding sequences (13); the length distribution of intergenic spacers was modeled explicitly. Chimeric artificial genomes were constructed by simulating transfer of one or more contiguous genes from several donor genomes.
genomes into a recipient genome. We chose an artificial Escherichia coli genome as the recipient genome, and acquired genes (≈15% of all genes) were provided by 10 donor genomes modeled on Archaeoglobus fulgidus (1%), Bacillus subtilis (1%), Deinococcus radiodurans (2%), Haemophilus influenzae Rd (2%), Methanocaldococcus jannaschii (1%), Neisseria gonorrhoeae (1%), Ralstonia solanacearum (2%), Sinorhizobium meliloti (2%), Synechocystis PCC6803 (1%) and Thermotoga maritima (2%).

**Single-threshold methods**

Discrimination by atypical G+C content was implemented as suggested by Lawrence and Ochman (7); if the G+C content of a gene’s first and third codon positions deviated significantly from their respective genomic means, the gene was deemed alien. Dinucleotide bias (Karlin’s dinucleotide) was assessed through an odds ratio comparing the frequencies of each gene’s dinucleotides to the genomic averages (9). If the deviation exceeded an established threshold, the gene was deemed sufficiently atypical to be classified as alien. Codon usage bias (Karlin’s codon bias) was similarly assessed as described (10,14); if the codon usage bias of a gene was significantly different from the bias averaged over a genome, the gene was classified as alien. The horizontal transfer index (HTI) uses fifth-order Markov models to assess the biases in hexamer frequencies in a Bayesian framework (21). A 96-bp window was moved along a genome with in 12-bp steps and its *a posteriori* probability to be part of protein-coding region was computed for the six reading frames. The foreign origin of a gene was inferred by averaging the scores of successive in-frame windows that lie within the gene and are in same coding frame as the gene. If the *a posteriori* probability for a gene to be protein coding according to the Markov model of protein-coding sequences was less than a threshold, the gene was deemed alien. Heptamer frequency bias was assessed by the Wn method (22) using a covariance measure to assess the atypicality of a gene against the genome average.

**Gene clustering methods**

Azad and Lawrence (14) used Jensen–Shannon divergence (JSD) to measure the compositional difference between two sequences. Gene clustering was accomplished in a hierarchical agglomerative framework. Genes that are most similar (smallest JSD) are grouped first, provided this grouping is deemed statistically significant. The algorithm proceeds recursively, adding genes that are most similar to existing genes and gene clusters until the distinction between resulting gene classes becomes significantly large (clusters are too different to be merged). Thus this method generates multiple native classes (representing stochastic variability) and alien classes (representing distinct
gene donors) using any discriminant criterion as the basis for clustering.

Catalogs of horizontally transferred genes

High-confidence GIs, regions of horizontally-transferred genes that confer specific functions (16), were extracted from both the Islander and tRNAcc databases (23,24). In addition, 453 genes unique to Salmonella enterica Typhi CT18 genome were identified as those not found in the genomes of related enteric bacteria including E. coli CFT073, E. coli W3110, E. fergusonii ATCC 35469, C. koseri ATCC BAA-895 and K. pneumoniae 342 (6). Genes <400 bp in length were not considered.

RESULTS AND DISCUSSION

A generalized, multiple-threshold approach

We took a two-pronged approach to solve the problem of trade-offs between types I and II measurement error. To begin, we abandoned the use of a single-threshold between typical and atypical genes. Rather, genes were classified using two conservative thresholds, each set to minimize either type I or II error. The first threshold was used to identify strongly typical native genes (those with scores less than threshold one in Figure 1B), while the second was used to identify strongly atypical alien genes. As a result, compositionally ambiguous genes lying between these two thresholds were not initially classified as either native or alien, but were reassigned to either the foreign or native class by invoking gene context and operon structural information (Figure 1C and D). This approach can be applied to any metric which is used to assess the atypicality of genes, and thus can be used to refine any existing method for detecting potentially alien, compositionally atypical genes. Genes were classified in seven steps.

1) The strongly typical native and strongly atypical alien genes were first identified using conservative thresholds. Atypicality was assessed by comparing genes against a reference set of all genes, which served as a surrogate for strictly native genes.

2) The reference set of all genes was replaced with the set of strongly typical native genes identified above. This set was iteratively refined until convergence.

3) Before assessing compositionally ambiguous genes, the classes of native and alien genes were refined. Short native genes (<300 bp in length) are often incorrectly assigned to the alien class; here, their apparent atypical character simply reflects stochastic variation. This problem can be resolved by reassigning short, atypical genes to the native class if one or more of their flanking genes are in the native class and no flanking gene is in the foreign class (Figure 1C). If both flanking genes are in ambiguous class, one may examine the next flanking genes sequentially. Similarly, if a short gene in the native class is flanked on both sides by strongly atypical genes, it is moved to the alien class; the logic here is that strongly atypical gene insertions are unlikely to occur on both sides of a single native gene. Otherwise, if none of the neighboring genes (typically 4 and 5) is in the native class, the gene is moved to the ambiguous class.

4) Next, genes in the ambiguous class can be assigned to either the native or alien classes using the classification of their flanking genes (Figure 1D). Unlike single-threshold approaches, we are essentially ignoring the atypicality score and are relying instead on the potentially more informative contextual data. Ambiguous genes were classified in two steps: (i) if both the flanking genes were in either native or foreign class, the gene was moved to that class; and (ii) if the flanking genes were in different classes, the orientation and intergenic distance between this gene and the flanking genes were examined to determine if it formed an operon with one of its flanking genes; if so, this gene was moved to that class. Here, we are using the presence of an operon as a likely indicator of ancestry, either alien or native. If all three genes formed a likely operon, ambiguity was resolved only if one of the flanking genes was also in the ambiguous class; the gene in question was then moved to the ‘non-ambiguous’ class of the other flanking gene. If genes flanking an ambiguous gene were both ambiguous and all three genes formed an operon, the adjacent flanking genes were investigated for being part of this operon in either direction; if this search encountered a gene that is a member of one of the high-confidence gene classes, the entire operon was moved to that class.

5) The short genes in the alien class were examined again. If both flanking genes belonged to the native class, these genes were reassigned to the native class. If only one flanking gene belonged to the native class, the gene was reassigned to the native class only if the other flanking gene was in ambiguous class. If both flanking genes belonged to ambiguous class we examined the genes on both sides (typically up to 10 genes on either side) sequentially; if a native gene was found without encountering a foreign gene, the gene in question was moved to the native class.

6) Further refinement was achieved by averaging the scores of consecutive genes. Here, one relies not on the weak atypical character of a single gene but on the mean compositional character of consecutive genes. Only if the region in question is of foreign origin, one would expect many consecutive atypical genes.

7) Finally, the remaining ambiguous genes were assigned to the class, either native or alien, whose class average for the metric was closest to the gene being analyzed. Thus, a solely metric-based approach (assigning the gene to a class based on its score alone) was used only for those genes where genomic context was not informative.

Assessing the multiple-threshold approach

We evaluated our approach by modifying several parametric methods to use multiple-thresholds and assessing
their performance using chimeric artificial genomes wherein the evolutionary ‘history’ of genes is known. We created a series of genomes with a constant artificial recipient core and alien genes originating from 10 compositionally distinct artificial donor genomes. Alien genes were inserted in clusters of several genes (modeled after the number of contiguous genes on the same strand); critically, the lengths of intergenic spacers were modeled explicitly to allow for operon prediction. Previous studies found intergenic spacer length most informative in predicting operons (25,26); the majority of genes showed spacers ~35 bp in all cases considered here (Supplementary Figures 1–5) and this was used as the threshold for localizing operons. We then assessed atypicality of genes in these chimeric artificial genomes by three widely used approaches, GC bias (nucleotide composition), Karlin’s dinucleotide bias and Karlin’s codon bias (solid points in Figure 2A). The trade-off between false positives and false negatives was examined by varying the threshold parameters. Significant improvement in the performance of all three parametric methods was observed when the multiple-threshold framework was implemented (open points in Figure 2A). When assessing nucleotide composition, type I error decreases almost 2-fold for a given type II error. Improvements were greater for dinucleotide- and codon bias-based methods, reaching 4- and 6-fold, respectively. These results demonstrate that compositionally ambiguous genes can be placed into alien and native gene classes more accurately when gene context information is considered.

Detecting alien genes in genuine genomes

The use of artificial genomes suggests that multiple-threshold approaches can result in significant improvement in parametric methods for alien gene detection. However, the above results rely on our model for horizontal gene transfer, including the nature of the donors, the number of contiguous genes transferred and the distribution of insertion sites in the recipient genome. To validate these results in genuine genomes, parameters of both the original single-threshold and augmented multiple-threshold algorithms were optimized on artificial genomes before attempting to identify horizontally-transferred genes previously cataloged in four genomes of *E. coli* and *S. enterica*. We cannot report precise type I and II error rates because the evolutionary histories of genes in genuine genomes are not known with certainty. Rather, we assess the relative performance of the single- and multiple-threshold methods in identifying annotated GIs and phylogenetically unique *S. enterica* Typhi genes. Better-performing methods will identify larger numbers of cataloged alien genes using the fewest numbers of predictions of potentially alien genes. This will allow assessment of the performance of the augmented methods without calculation of precise type I and II error rates.

In all cases, the use of multiple thresholds improved the detection of GI-borne genes. For example, 327 GI genes are reported in the *E. coli* O157 genome. When approximately 1725 alien genes were predicted by Karlin’s codon bias method, a greater fraction of the GI-borne genes was detected when multiple thresholds were used (Table 2, lines 1 and 2). Only when stringency was relaxed to predict an additional 520 alien genes (predicting 2245 alien genes) was this level of sensitivity achieved without the use of multiple thresholds (Table 2, line 3), no doubt resulting in far more false positives. Even more dramatic improvements were seen when dinucleotide frequencies were used to detect alien genes (Karlin’s dinucleotide); here, the multiple-threshold method detected 83% of the island-borne genes as alien while the single-threshold method could detect only 59% for a comparable number of putatively alien genes. Only when nearly twice as many alien gene predictions were made—amounting to more than half of the genome being classified as alien—did the single-threshold approach identify as many GI-borne
genes as the multiple-threshold one. Similar results were seen in the three other genomes examined, and when the more sensitive tRNAcc database is used to supply target GIs for identification (Table 2). Therefore, we conclude that the improvement in alien gene detection quantified using artificial genomes remains when the algorithms are applied to genuine genomes.

One could argue that the improvement afforded by the use of positional information is restricted to a more robust identification of large GIs. Therefore, we also created a dataset of 453 genes phylogenetically unique to *S. enterica* Typhi regardless of their residency within a GI. All methods showed improvement when positional information was included (Table 3). The improvement was most pronounced for Karlin’s first-generation methods; for example, more than twice as many alien genes were detected by aberrant dinucleotide frequencies when multiple thresholds and positional information were considered (see Supplementary Tables S8 and S9 for the threshold configurations for all methods).

Assessing the stepwise approach to alien gene detection

As outlined above, gene-context information was assessed in seven steps. We assessed the differential contributions from each step in improving Karlin’s dinucleotide method (Tables 4 and 5). Gene-context information (steps 4a and 6) was found most effective, contributing over 16% of total ~26% improvement in alien gene detection in *E. coli* O157 (Table 4). The remaining 10% improvement came from the application of other steps including operon structural information (3%, step 4b), short gene corrections (3%, steps 3 and 5) and metric-based ambiguous gene assignment (2%, step 7). Similar trend was observed in *E. coli* O157 EDL933 and *E. coli* CFT073.

### Table 2. Improved performance of position-augmented parametric methods in detecting genomic islands in genuine genomes

| Method for detection | *Escherichia coli* O157 Sakai<sup>b</sup> | *Escherichia coli* O157 EDL933<sup>c</sup> | *Escherichia coli* CFT073<sup>d</sup> | *Salmonella enterica* Typhi CT18<sup>e</sup> |
|----------------------|--------------------------------------|--------------------------------------|--------------------------------------|--------------------------------------|
|                      | Predicted | Detected | Percent | Predicted | Detected | Percent | Predicted | Detected | Percent | Predicted | Detected | Percent |
| Karlin’s codon bias    | 1724      | 214      | 65      | 1715      | 460      | 65      | 1655      | 451      | 53      | 1194      | 444      | 49      |
| Karlin’s codon bias    | 1726      | 246      | 75      | 1712      | 532      | 75      | 1645      | 556      | 65      | 1194      | 574      | 64      |
| augmented             |           |          |         |           |          |         |           |          |         |           |          |         |
| Karlin’s codon bias    | 2245      | 246      | 75      | 2308      | 532      | 75      | 2202      | 556      | 65      | 1681      | 574      | 64      |
| Karlin’s dinucleotide  | 1654      | 184      | 56      | 1581      | 387      | 55      | 1671      | 416      | 48      | 1112      | 373      | 41      |
| Karlin’s dinucleotide  | 1653      | 270      | 83      | 1580      | 539      | 76      | 1670      | 623      | 73      | 1112      | 552      | 61      |
| augmented             |           |          |         |           |          |         |           |          |         |           |          |         |
| Karlin’s dinucleotide  | 3106      | 272      | 88      | 2893      | 544      | 77      | 2694      | 626      | 73      | 1858      | 553      | 61      |
| HTI/hexamer           | 1912      | 238      | 73      | 1921      | 523      | 74      | 2163      | 650      | 76      | 1537      | 605      | 67      |
| augmented             | 1912      | 279      | 85      | 1920      | 572      | 81      | 2165      | 716      | 83      | 1536      | 678      | 75      |
| HTI/hexamer           | 2725      | 279      | 88      | 2299      | 572      | 81      | 2570      | 715      | 83      | 1901      | 677      | 75      |
| augmented             | 1851      | 203      | 62      | 1736      | 444      | 63      | 1857      | 544      | 63      | 1593      | 621      | 69      |
| Wn/heptamer           | 1851      | 225      | 69      | 1735      | 486      | 68      | 1854      | 608      | 71      | 1594      | 701      | 78      |
| augmented             | 2176      | 225      | 69      | 2117      | 486      | 68      | 2233      | 608      | 71      | 2127      | 701      | 78      |
| JSD/codon bias        | 1966      | 190      | 58      | 1938      | 531      | 74      | 1599      | 449      | 52      | 1189      | 457      | 51      |
| JSD/codon bias        | 1958      | 316      | 96      | 1928      | 657      | 83      | 1592      | 745      | 86      | 1162      | 650      | 72      |
| augmented             | 4050      | 311      | 95      | 3438      | 659      | 92      | 3677      | 741      | 86      | 1902      | 653      | 72      |

<sup>a</sup>Augmented methods use multiple thresholds.

<sup>b</sup>Predicted: total number of putative alien genes predicted. Detected: number of the 327 genes from the Islander database that were among the total number of predicted. Percent: fraction of the database-archived alien genes detected.

<sup>c</sup>Seven hundred and ten genes from the tRNAcc database.

<sup>d</sup>Eight hundred and fifty-nine genes from the tRNAcc database.

<sup>e</sup>Nine hundred and three genes as reported by Vernikos and Parkhill (27).

### Table 3. Improved performance of position-augmented parametric methods in detecting phylogenetically unique genes in *S. enterica* Typhi CT18 genome

| Method for detection | Predicted | Detected | Percent |
|----------------------|-----------|----------|---------|
| Karlin’s codon bias  | 1194      | 210      | 46      |
| Karlin’s codon bias  | 1194      | 303      | 67      |
| augmented             |           |          |         |
| Karlin’s codon bias  | 1956      | 303      | 67      |
| Karlin’s dinucleotide| 1112      | 120      | 63      |
| Karlin’s dinucleotide| 1112      | 264      | 58      |
| augmented             | 2059      | 264      | 58      |
| HTI/hexamer           | 1537      | 321      | 71      |
| augmented             | 1536      | 359      | 79      |
| HTI/hexamer           | 1829      | 359      | 79      |
| Wn/heptamer           | 1593      | 367      | 81      |
| augmented             | 1594      | 389      | 86      |
| JSD/codon bias        | 1189      | 274      | 60      |
| JSD/codon bias        | 1162      | 320      | 71      |
| augmented             | 1301      | 322      | 71      |

<sup>a</sup>Augmented methods use multiple thresholds.

<sup>b</sup>Predicted: total number of alien gene predicted. Detected: number of the 453 unique CT18 genes (those not found in the genomes of related enteric bacteria including *E. coli* CFT073, *E. coli* W3110, *E. fergusonii* ATCC 35469, *C. koseri* ATCC BAA-895 and *K. pneumoniae* 342) that were among the total number of predicted. Percent: fraction of the database-archived alien genes detected.
| Step | Method | *Escherichia coli* O157 Sakai | *Escherichia coli* O157 EDL933 | *Escherichia coli* CFT073 | *Salmonella enterica* Typhi CT18 |
|------|--------|-------------------------------|-------------------------------|--------------------------|-----------------------------|
|      |        | Amb. | Native | Alien | TP | SN | Amb. | Native | Alien | TP | SN | Amb. | Native | Alien | TP | SN |
| 1    | Augmented | 2881 | 2061  | 418   | 59 | 18.0 | 2900  | 2053  | 455   | 128 | 18.0 | 2738  | 2018  | 622   | 142 | 16.5 | 2315 | 1740  | 338   | 119 | 13.1 |
|      | Standard | –    | –     | –     | – | – | – | – | – | – | – | – | – | – | – | – | – | – |
| 2    | Augmented | 2749 | 2135  | 476   | 67 | 20.4 | 2699  | 2108  | 501   | 151 | 21.2 | 2641  | 2072  | 665   | 169 | 19.6 | 2208 | 1785  | 400   | 152 | 16.8 |
|      | Standard | 4883 | 477   | 65    | 19.8 | – | 4807  | 501   | 138   | 19.4 | – | 4713  | 665   | 155   | 18.0 | – | 3993 | 400   | 137 | 15.1 |
| 3    | Augmented | 2884 | 2132  | 344   | 64 | 19.5 | 2826  | 2124  | 358   | 141 | 19.8 | 2784  | 2147  | 447   | 153 | 17.8 | 2318 | 1789  | 286   | 134 | 14.8 |
|      | Standard | 5014 | 346   | 53    | 16.2 | – | 4949  | 359   | 100   | 14.0 | – | 4931  | 447   | 91    | 10.5 | – | 4106 | 287   | 97  | 10.7 |
| 4a   | Augmented | 2297 | 2649  | 414   | 85  | 25.9 | 2226  | 2654  | 428   | 187 | 26.3 | 2208  | 2665  | 505   | 181 | 21.0 | 1797 | 2242  | 354   | 177 | 19.6 |
|      | Standard | 4945 | 415   | 59    | 18.0 | – | 4879  | 429   | 114   | 16.0 | – | 4872  | 506   | 104   | 12.1 | – | 4038 | 355   | 123 | 13.6 |
| 4b   | Augmented | 2442 | 2409  | 509   | 85  | 25.9 | 2419  | 2411  | 478   | 191 | 26.9 | 2420  | 2423  | 535   | 188 | 21.8 | 1958 | 2041  | 394   | 208 | 23.0 |
|      | Standard | 4850 | 510   | 69    | 21.1 | – | 4839  | 478   | 131   | 18.4 | – | 4843  | 535   | 116   | 13.5 | – | 3999 | 394   | 136 | 15.0 |
| 4a and b | Augmented | 1855 | 2926  | 579   | 106 | 32.4 | 1819  | 2941  | 548   | 237 | 33.3 | 1844  | 2941  | 593   | 216 | 25.1 | 1437 | 2494  | 462   | 251 | 27.7 |
|      | Standard | 4781 | 579   | 73    | 22.3 | – | 4760  | 548   | 150   | 21.1 | – | 4785  | 593   | 131   | 15.2 | – | 3930 | 463   | 163 | 17.9 |
| 5    | Augmented | 1855 | 2928  | 577   | 106 | 32.4 | 1819  | 2943  | 546   | 237 | 33.3 | 1844  | 2946  | 588   | 216 | 25.1 | 1437 | 2497  | 459   | 250 | 27.6 |
|      | Standard | 4783 | 577   | 73    | 22.3 | – | 4762  | 546   | 150   | 21.1 | – | 4790  | 588   | 131   | 15.2 | – | 3934 | 459   | 161 | 17.8 |
| 6    | Augmented | 1447 | 2928  | 985   | 185 | 56.5 | 1506  | 2943  | 859   | 365 | 51.4 | 1313  | 2946  | 1119  | 453 | 52.7 | 1225 | 2497  | 671   | 384 | 42.5 |
|      | Standard | 4373 | 987   | 113   | 34.5 | – | 4448  | 860   | 216   | 30.4 | – | 4259  | 1119  | 275   | 32.0 | – | 3722 | 671   | 236 | 26.1 |
| 7    | Augmented | 0    | 3707  | 1653  | 270  | 82.5 | 0     | 3728  | 1580  | 539 | 75.9 | 0     | 3708  | 1670  | 623  | 72.5 | 0    | 3281  | 1112  | 552 | 61.1 |
|      | Standard | 3706 | 1654  | 184   | 56.2 | – | 3727  | 1581  | 387   | 54.5 | – | 3707  | 1671  | 416   | 48.4 | – | 3281 | 1112  | 373 | 41.3 |

*Augmented methods use multiple thresholds.
*Predicted: total number of putative alien genes predicted. Detected: number of the 327 genes from the Islander database that were among the total number of predicted. Percent: fraction of the database-archived alien genes detected.
*Seven hundred and ten genes from the tRNAcc database.
*Eight hundred and fifty-nine genes from the tRNAcc database.
*Nine hundred and three genes as reported by Vernikos and Parkhill (27). Amb., ambiguous.
In *S. enterica* Typhi CT18 where annotated alien genes originate from islands which by definition (27) can have as few as two genes (Table 4) or are independent of the island structure (Table 5), the contribution from operon structural information is somewhat more pronounced. Particularly with the later (Table 5) where 32% improvement was observed in detection of phylogenetically unique genes, the contribution from gene-context information was ~11% while that from operon structural information was ~4.5%. Notably over 10% improvement came from assignment of ambiguous genes based on their distance from native and alien cluster centers (step 7). The improvement from this step was also observed for island originated genes, although less pronounced (4.3% for *E. coli* O157, 0.4% for *E. coli* O157 EDL933, 3.4% for *E. coli* CFT073 and 3.4% for *S. enterica* Typhi CT18).

The clusters generated following the preceding steps that incorporate gene context and operon structural information are indeed more helpful in assignment of ‘left over’ ambiguous genes than the clusters that could be generated using compositional biases alone (i.e. following steps 1 and 2, see Supplementary Table S1). In particular for *E. coli* CFT073 and *S. enterica* Typhi CT18, more alien genes were identified with fewer predictions (Supplementary Table S1). Importantly, variations in conservative thresholds do not impact the augmented method’s performance (Supplementary Table S2).

The use of gene-context information also improves moving-window approaches to alien gene detection. Karlin (9) showed that dinucleotide frequencies within successive 50-kb windows represent the genomic signature of an organism and thus can be used for distinguishing alien regions from the native ones. When Karlin’s method is used in its moving window formulation, the augmented version continues to outperform the standard approach. In addition to predicting a greater fraction of known alien genes for a given number of total predictions (Supplementary Table S3), the augmented method was far less sensitive to changes in its threshold parameters. For the augmented method, as the total number of alien gene predictions increased, the fraction of known alien genes predicted also increased (Supplementary Tables S4 and S5); this was not true for the non-augmented method, wherein increase in total numbers of alien gene predictions led to unpredictable increase in the detection of known alien genes, apparently an undesirable behavior. While larger windows can help detect longer GIs, they are prone to missing shorter islands. On the other hand, while smaller windows yield better resolution, they meet the same difficulty in reconstructing an island structure as the individual genes (which can be interpreted as ‘smaller’ windows of variable size). Using strategies similar to one proposed here can help resolve this predicament, reconstructing not just the longer acquisitions but also rendering the detection resolution to as few as one or two alien genes.

Improvements in more advanced algorithms

One may argue that metrics relying on dinucleotide frequencies and codon usage bias alone simply lack sophistication in measuring the compositional differences between genes, and that more advanced techniques would eliminate compositionally ambiguous genes by identifying native and alien genes more robustly. To explore this possibility, we implemented approaches using more advanced algorithms; the HTI method (21) assesses hexamer frequencies and the Wn method (22) can examine oligomers of length six to eight (we implemented heptamers). Despite the algorithmic sophistication of these methods, the same problems remained: compositionally ambiguous genes were not sorted robustly into native and alien gene classes and the use of positional information again resulted in a significant decrease in error rates (Tables 2 and 3). Therefore, we posit that a high degree of computational sophistication alone does not eliminate compositionally ambiguous genes, and additional information must be used to identify the potentially alien genes among them.

Application to clustering methods

While native genes are similar to each other, alien genes are most often described as being ‘not native’, rather than possessing properties of their own. But, owing to their arrival on GIs from a non-random selection of donor genomes, alien genes may be identified by their similarity to each other as much as by their dissimilarity to native genes. Clustering methods use this similarity among sets of genes. The clusters generated following the preceding steps that incorporate gene context and operon structural information are indeed more helpful in assignment of ‘left over’ ambiguous genes than the clusters that could be generated using compositional biases alone (i.e. following steps 1 and 2, see Supplementary Table S1). In particular for *E. coli* CFT073 and *S. enterica* Typhi CT18, more alien genes were identified with fewer predictions (Supplementary Table S1). Importantly, variations in conservative thresholds do not impact the augmented method’s performance (Supplementary Table S2).

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We previously implemented a two-tier approach to use genomic information to improve the performance of
clustering methods (14). We examined gene-context information to realign genes between clusters based on the cluster assignment of their flanking genes. To begin, similar genes were grouped by the JS clustering method using conservative significance thresholds, leading to a large number of robust clusters. Positional information was used to merge clusters with genes that were physically associated within a genome. Gene-context information was again invoked to refine the final set of gene clusters, moving genes between clusters if flanking genes were robust members of a different cluster. When tested on chimeric artificial genomes, this two-step procedure minimized the classification errors well in comparison to the standard JS method which assigns genes into different clusters by invoking JS distance alone (14).

However, the efficiency of this approach greatly depends on the selection of thresholds. In our earlier study, the optimal performance was achieved within the threshold range 0.2–0.3. For example, the optimal threshold for *E. coli* K12 was found to be 0.2 while that for *E. coli* O157 was around 0.168 (Supplementary Table S10). Further, slight variations from the optimal-threshold range may cause the unwanted demerger of mostly smaller native clusters from the largest (native) cluster, or unwanted merger of almost all smaller clusters to the largest cluster apparently induced by the recursive inclusion of incorrect (‘mixed’ or ‘alien’) clusters into the largest one (Supplementary Table S10). One can address this issue through heuristics, for example, by examining the relative change in cluster size in the process of merger; alternatively, to eliminate this subjectivity, a separate clustering approach could be pursued as described below. Here, we propose to invoke gene-context information to group similar genes from the initial steps of the clustering procedure, in contrast to using this information in a post-processing step. We first grouped only contiguous genes that were similar to each other, and then recursively grouped the proximal gene clusters with similar compositional bias in the hypothesis testing framework (Figure 2B, ‘JSDD/codon bias proximity’). Significant improvement in performance was observed when compared to our original approach whereby the most similar genes located at any genomic position were grouped first (Figure 2B, ‘JSDD/codon bias’). Further improvements were gained when we reintroduced this approach in a multiple-threshold framework (Figure 2B, ‘JSDD/codon bias augmented’). When compared to the use of positional information in refining cluster composition, this approach was far less sensitive to variation in threshold parameters (Supplementary Tables S10 and S11). Further this approach also raised the accuracy bar significantly (compare 96% *E. coli* O157 island gene detection when 35% of total 5360 genes were predicted alien with 75% detection from the previous approach that predicted 31% as alien, Supplementary Tables S10 and S11).

**Testing clustering methods on genuine genomes**

We again utilized the set of genuine GIs to evaluate the efficacy of both position-aware JSD clustering approaches relative to the original, position-blind approach. As seen for single-threshold approaches, the use of positional information required far fewer alien gene predictions to achieve comparable sensitivity in detecting both GI-borne and phylogenetically unique *S. enterica* Typhi genes (Tables 2 and 3). For equivalent number of predictions, the sensitivity increased by 19% for *E. coli* O157 EDL933 and up to 38% for *E. coli* O157 Sakai, the greatest improvement observed (Table 2). A remarkably large improvement in the accuracy of this method clearly demonstrates the effectiveness of gene-context information in grouping compositionally similar genes. Efficient grouping of genes is critical to the success of this class of methods which have been shown to outperform single-threshold methods for alien gene detection consistently (14).

We also assessed the performance of augmented versions of parametric methods on the HGT-DB database (28), which is more comprehensive in its inclusion of suspected alien genes. However, this database was compiled using parametric methods including G+C bias and codon usage bias, and so is not ideal for assessing the methodologies being presented here. We observed elevation of accuracy for each method, though it was more remarkable for Karlin’s dinucleotide and codon bias methods (Supplementary Tables S6 and S7). These results clearly demonstrate the utility and the promise of our proposed approach in all techniques of alien gene detection.

We also assessed the efficacy of combining augmented methods. As has been seen for standard methods (29), sets of alien genes predicted by more than one method include fewer false positives (Table 6). Proper strategy for combining predictions can help in achieving high sensitivity at the cost of negligible additional false positives. This is apparent from the performance of the unison of JS method predictions with the predictions shared among at least three of the other four methods; this approach clearly outperforms the rather naive approach of combining predictions from all five methods, identifying more island genes at lesser total predictions (Table 6). Notably the use of positional information and the use of multiple methods for detecting alien genes are complementary in their ability to reduce errors in alien gene detection.

**CONCLUSIONS**

Identifying horizontally-acquired genes has remained a challenging task despite significant progress made in recent years, partly because of the large spectrum of variability reflected in the compositional properties of both native and acquired genes. Parametric methods strive to balance type I and II error of misclassification by selecting an appropriate threshold, yet this approach is inherently ineffective in classifying a large fraction of compositionally ambiguous genes; we assert that this problem cannot be addressed by invoking parametric methods alone. Here we show that by incorporating gene context and operon structure information within the model framework of parametric techniques, the performance of parametric methods can be improved substantially. This necessitated usage of multiple thresholds as opposed to one threshold...
to classify genes based on their composition, genomic context and intergenic spacer length. The improvements we observe demonstrate the importance of using additional biological information within more flexible, multiple-threshold model frameworks for deciphering the evolutionary history of bacterial genes. While the emergence of more accurate, sophisticated methods for alien gene detection is highly desired, we propose that future efforts should be focused on integrating diverse evidence encoded in genomes.

SUPPLEMENTARY DATA

Supplementary Data are available at NAR Online.

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