METHOD

Gclust: A Parallel Clustering Tool for Microbial Genomic Data

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Abstract  The accelerating growth of the public microbial genomic data imposes substantial burden on the research community that uses such resources. Building databases for non-redundant reference sequences from massive microbial genomic data based on clustering analysis is essential. However, existing clustering algorithms perform poorly on long genomic sequences. In this article, we present Gclust, a parallel program for clustering complete or draft genomic sequences, where clustering is accelerated with a novel parallelization strategy and a fast sequence comparison algorithm using sparse suffix arrays (SSAs). Moreover, genome identity measures between two sequences are calculated based on their maximal exact matches (MEMs). In this paper, we demonstrate the high speed and clustering quality of Gclust by examining four genome sequence datasets. Gclust is freely available for non-commercial use at https://github.com/niu-lab/gclust. We also introduce a web server for clustering user-uploaded genomes at http://niulab.scgrid.cn/gclust.

Introduction
The first complete bacterial genome was published more than 20 years ago [1]. During the last decade, the number of sequenced genomes has been growing very rapidly, mainly due to the development of low cost and high throughput DNA sequencing technologies [2]. As of the beginning of 2018, the Genomes OnLine Database (GOLD; https://gold.jgi.doe.gov/) has collected data from more than 180 thousand sequencing projects. Most genomic studies have been focusing on microbial species, especially bacteria. Thus, the growth of publically available bacterial genomes have become substantial and the amount of such data pose significant challenges for researchers interested in using these resources efficiently. In addition, these databases host a large portion of redundant genomes from the same or closely related species and the redundancy has to be reduced.

Clustering algorithms are key for redundancy reduction and there have been many of them available including CD-HIT [3], UCLUST [4], DNACLUST [5], canopies [6], Linclust [7], CLOSET [8], and SynerClust [9], among others. Most of them are efficient at clustering DNA sequences from hundreds to a few thousands of base pairs, including expressed sequence tags (ESTs), short reads from the next generation sequencers, and amplicon sequences, but less efficient on longer sequences. In fact, these programs are not able to handle typical bacterial genomes of mega basepairs in size. The performances and features of these clustering programs have been reviewed in many publications, such as this recent report [10].

BLASTclust from the BLAST package [11] can be used for clustering long sequences, but it is too slow to process large-scale genomic sequences. Other genome alignment tools, such as MUMmer [12], BLASTZ [13], and Mauve [14], are also incapable of clustering large-scale genomic sequences, because they were originally designed to assess genomic variation and rearrangements by pairwise or multiple alignment of a small number of genomes.

Since sequence clustering is time-consuming, most clustering programs use different algorithms to improve performance. For example, CD-HIT [3] uses a heuristic based on short word filtering to reduce computational load. Beside short word index tables or hash tables, suffix trees and suffix arrays have also been widely used for sequence comparison. For example, Malde et al. [15] introduced an EST clustering algorithm, where sub-quadratic time complexity was achieved by using suffix arrays. Another strategy to reduce the overall computational time in clustering a large dataset is through parallelization. For example, a multi-threaded function was introduced in an enhanced version of CD-HIT [16], and this was able to achieve quasi-linear speedup when using up to 8 cores.

In this article, we introduce Gclust, a fast program for clustering microbial genomic sequences. A key algorithm in Gclust for sequence comparison is based on sparse suffix arrays (SSAs). Our method has several key features. First, it is specially designed for clustering very long sequences, of up to typical prokaryotic genomes. Genomic sequences are compared using extended maximal exact matches (MEMs), which are used to calculate genome sequence identity. Second, a fast algorithm was implemented in building SSAs and querying SSAs to identify MEMs. Third, Gclust supports multi-threaded parallel computing.

Method
Datasets
We used four genomic sequence datasets (Table 1) from NCBI to test the performance of Gclust. The first three datasets contain viral, archaenal, and fungal genomic data (ftp://ftp.ncbi.nlm...
Gclust is a greedy incremental clustering algorithm for genomic sequences. The algorithm is explained with pseudo-codes (Table 2).

The main Gclust parallel algorithm includes (1) sorting the input genome sequences from long to short and (2) dividing the input genome sequences into blocks based on the memory occupied by suffix arrays and process these blocks one after another.

For each block, the following steps are performed. (a) one suffix array is constructed before clustering using the representative sequences. The longest sequence is automatically classified as the first representative sequence within the block. (b) Each remaining query sequence is searched in the suffix array and is compared to the existing representative sequences longer than it. The comparison is made by attempting to extend MEMs. If the MEM-based sequence identity satisfies the user-specified clustering threshold, the query sequence is considered redundant, or is otherwise a new representative sequence. (c) A new suffix array is reconstructed using all the representative sequences found in this block. This new suffix array is used in comparing sequences in the remaining blocks to the representative sequences in this block in parallel to identify redundant sequences. (d) The main loop of the algorithm processes the next block with steps (a) through (c) until all blocks are processed.

### Segment match refinement and extension

Given sequences $A$ and $B$ and a set $\Sigma$ of matched segments between them, the matched sequence problem is to compute a set of non-intersecting matches $\Sigma'$ that are all sub matches of $\Sigma$, that maximize the amount of sequence covered by the

### Table 2 Pseudo-codes of the Gclust algorithm

**Input:** Genomic sequences for clustering  
1: Sort genomes by length in decreasing order  
2: Mark each genome as representative genome  
3: for each Representative Genome Block do  
4: Construct sparse suffix array $SA_0$  
5: Pthread_create  
6: for each Genome in Block do  
7: Genome alignment  
8: Seed extension  
9: Mark redundant genome  
10: Pthread_join  
11: Mark representative genome  
12: Collect representative genomes  
13: Construct sparse suffix array $SA_1$  
14: Pthread_create  
15: for each Representative Genome in Block do  
16: Genome alignment  
17: Seed extension  
18: Mark redundant genome  
19: Pthread_join  

**Output:** Clusters of genomes and non-redundant genomes
matched segments. Halpern et al. [23] introduced an efficient method for refining a set of matched segments in which the projections of resulting segments onto each sequence were disjoint or identical. However, the method is time-consuming. Since a MEM spans the same length on the two sequences being compared, it is less complicated to refine the MEMs. Deloger et al. [24] designed an approximate solution for computing the maximal unique matches index (MUMi). Here, we used a similar solution to refine MEMs and to compute the sequence identity using refined MEMs (Figure 1).

The procedures are as follows. (1) MEMs whose coordinates on are representative sequence (or query sequence) are completely included in a larger MEM are removed, e.g., MEM1 and MEM2 in Figure 1A. (2) MEMs whose coordinates on a representative sequence (or query sequence) are completely included in two neighboring MEMs are removed, e.g., MEM2 in Figure 1B. (3) The remaining MEMs of a representative sequence (or query sequence) that exhibit partial overlap are trimmed. To do this, MEMs are sorted according to their beginning positions on a representative sequence (or query sequence). Starting from the last element of the list, each MEM is compared to its leftward neighbor. In cases of overlap, the left end of the current MEM is trimmed, e.g., MEM1 in Figure 1C, i.e., its end coordinates on both the representative and query sequences are shifted rightward so that no overlap exists on the representative sequence (or query sequence) (Figure 1C). (4) The MEMs retained are extended after refinement using the given score matrix (Figure 1D). While computing the MEM extension, the score matrix is used to give a reward or penalty. The 
milen value is determined empirically. It has been reported that under the uniform Bernoulli model, no maximum unique matches (MUMs) longer than 21 are expected by chance in 1.7-Mbp random genomes [25]. This suggests that a milen value of 21 can avoid many spurious matches.

Using suffix arrays to find MEMs

For a given sparse step \( K \), there are two major drawbacks in finding MEMs using sparse suffix arrays: (1) the need to run the search procedure \( K \) times; and (2) a complicated search procedure is required when the MEM is shorter than \( K \). In Gclust, we only use \( K = 1 \) for small MEMs to decrease the cost of repeated searches. For longer MEMs, we use \( K = 2–4 \). Since MEMs shorter than 21 are unlikely to find redundant sequences, our choice of \( K \) avoids the second drawback. For a large MEM or a clustering of 100% identity, a larger \( K \) will shorten the time in constructing the suffix array with little impact on the efficiency of MEM searching.

However, unlike other mapping programs in which the suffix arrays for reference genomes are constructed only once prior to mapping, in Gclust, the suffix arrays for each block are constructed in real time. Therefore, it is important to accelerate the sorting process of suffix arrays within the block, especially when clustering at 100% identity, when the construction of suffix arrays becomes the most time-consuming step.

Clustering within one genome block

According to the greedy incremental clustering algorithm, a sequence \( S \) only need to be searched against the sequences longer than \( S \) in the pre-constructed the suffix array for that block. Here we implemented a modified MEM filtering algorithm (collectMEMs). This approach avoids the need to scan up to \( P \) characters to the left of the match and then discarding the MEMs located in those sequences that are shorter than \( S \) (Table S1).

The algorithm to find MEMs using sparse suffix arrays by Khan et al. [18] relies on a traverse algorithm to match up to \( L - (K - 1) \) characters and to find the longest match. If a match of length \( L \geq L - (K - 1) \) characters can be obtained,
the suffix array interval \(d : [s...e]\) corresponding to matches of length \(\geq L - (K - J)\) and the interval \(q : [r...t]\) corresponding to the longest match are used by the \textit{collectMEMs} algorithm to find right maximal matches. Each right maximal match must be verified for the left by scanning up to \(K\) characters using the \textit{findL} algorithm to the left of the match. In Gelust, for the sorted sequences \(S : [1...N]\) in one block, given the query sequence \(P\), we modified the \textit{collectMEMs} algorithm to discard the MEMs located on the sequences shorter than \(S\).

**Parallelization techniques used**

Three different explicit parallel extensions to the C language are the Message-Passing Interface (MPI), POSIX threads (Pthreads), and OpenMP [26]. MPI is used for distributed-memory programming. While OpenMP and Pthreads are both APIs for shared-memory programming, Pthreads is more flexible than OpenMP. Due to the advantages of using shared memory, in Gelust we adapted Pthreads to facilitate parallel processing of clustering.

The major part of the Gelust algorithm (Table 2) includes two primary alignment processes (intra- and inter-block). The main computation involves finding MEMs. Multiple query sequences need to be searched in the same suffix array. In Gelust, these are distributed to individual processors or cores.

**Results and discussion**

The greedy incremental clustering algorithm introduced by the enhanced version of CD-HIT [16] was implemented in Gelust for clustering genomic sequences. In Gelust, genome identity measures of two sequences are calculated based on the extension of their MEMs. We implemented an improved SSA algorithm to find these MEMs.

We tested the performance of Gelust using four RefSeq genome datasets (viral, archaeal, fungal and bacterial genome data; Table 1). Tests were done on an Era supercomputer with a 24-core Intel(R) Xeon(R) CPU E5-2680 v3 @ 2.50 GHz with 256-GB RAM.

**Clustering performance**

The cluster results for the four datasets are shown in Table 3. Genomes were clustered at 90% eMEMi. For the viral dataset, 9578 sequences were clustered into 9101 clusters. 38,381 archaea sequences were reduced to 16,064 non-redundant sequences, a reduction of 58%. The fungal and bacterial datasets were reduced by 13% and 6% respectively. It took Gelust less than two hours to cluster the 2-GB archaea dataset. For the largest bacterial dataset, Gelust took 138.11 h on a single computer with 16 threads.

A comparison between Gelust and BLASTclust is shown in Table 4. Four smaller datasets, which contained subsets of the viral, archaeal, fungal and bacterial genomic data, were used to test the efficiency of Gelust relative to BLASTclust. Smaller datasets were used for this comparison to accommodate the long running time of BLASTclust. Our tests showed that Gelust was more than 35 times faster in the viral subset, more than 40 times faster in the archaeal subset and more than 300 times faster in the bacterial subset, and generated fewer clusters in all subsets except for the fungal subset. BLASTclust could not process the fungal subset since the longest sequence was beyond the limit of BLASTclust (Table 4).

Gelust applies a parallel strategy that is similar to that introduced by the multi-threaded version of CD-HIT [16]. Using the viral and archaeal genomic datasets, we tested the parallelization of Gelust when using multiple compute cores (Figure 2). The greedy incremental clustering procedure used by Gelust (see Method) is intrinsically sequential, so it is not feasible to reach linear speedup with parallelization. Here, Gelust is able to achieve an eightfold speedup with 16 cores.

Minimal MEM length is a key parameter in Gelust and affects both running time and the number of clusters found. The default minimal MEM length in Gelust is 21. The selection

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**Table 3** Clustering results and performance of Gelust at 90% eMEMi using 16 threads

| Dataset         | No. of sequences | No. of clusters | Running time (min) |
|-----------------|------------------|-----------------|--------------------|
| Viral data      | 9578             | 9101            | 8.7                |
| Archaeal data   | 38,381           | 16,064          | 88.0               |
| Fungal data     | 79,365           | 68,698          | 1322.8             |
| Bacterial data  | 112,111          | 105,867         | 7678.8             |

Note: The parameters used for clustering are as follows: -minlen 41 -both -nuc -threads 16 -chunk 400 -loadall -memiden 90 -rebuild -ext 1 -sparse 4. Parameter “-both” indicates that Gelust compares both strands of DNA sequences. MEM, maximal exact match. eMEMi, extended MEM identity.

**Table 4** Comparison of BLASTclust and Gelust

| Dataset         | Size (Mbp) | No. of sequences | Length of the longest sequence (Mb) | Running time (s) | No. of clusters |
|-----------------|------------|------------------|-------------------------------------|------------------|----------------|
| Viral subset    | 213        | 8584             | 2.474                               | 10,075 / 245     | 8454 / 8215    |
| Archaeal subset | 192        | 4135             | 3.122                               | 8148 / 224       | 4085 / 2364    |
| Fungal subset   | 129        | 502              | 6.910                               | / / 71 /        | / / 402       |
| Bacterial subset| 331        | 14,891           | 0.997                               | 73,672 / 237     | 9206 / 2284    |

Note: The parameters used in Gelust are as follows: -minlen 21 -both -nuc -threads 8 -rebuild -loadall -memiden 90; the parameters used in BLASTclust are as follows: -a 8 -p F -L 0.1 -b F -S 90. “/” means that BLASTclust could not process the fungal subset because the longest sequence was too long.
of this default value is described in the Method. Here, using the viral genomic dataset, we tested different MEM lengths from 13 to 40 in gapped and non-gapped extension cases (Figure 3).

In non-gapped extension cases, a sequence is rejected if its alignment score is very low, and this is much faster than gapped extension (Figure 3A). Given the same minimum MEM length, the number of clusters in gapped extension cases is always smaller than in non-gapped extension cases since the algorithm identifies more redundant sequences with gapped extension (Figure 3B).

Efficiency of MEM identification

In Gclust, finding MEMs is the most time-consuming step. We therefore adapted a fast, lightweight suffix array sorting algorithm and modified the search algorithm to find MEMs. To evaluate its effectiveness, we compared Gclust and MUMmer3 in finding MEMs. In all test cases, Gclust was considerably faster than MUMmer3 (Table S2).

When suffix array requires too much memory, sparse suffix arrays (that use a sparse step $K$) are usually used to reduce memory demand by sacrificing the accuracy of clustering. With a higher $K$, some redundant sequences might be missed. However, for larger MEMs, especially given a higher clustering threshold (e.g., 100% eMEMi), sparse steps significantly reduce the total clustering time without sacrificing accuracy. We tested the performance of Gclust with different sparse steps at 100% eMEMi using viral and fungal genomes (Table S3) and observed shorter runtime with larger $K$ (≤4). The number of clusters was consistent across all sparse steps.

Conclusion

In this paper, we present an open source program for clustering microbial genomic sequences. This algorithm provides many options for users to control the clustering process, for example, the optimal sparse step parameter $K$. We show that our method is efficient for large-scale genomic sequences with high accuracy. We expect that our parallelization strategy can be further optimized and improved to achieve better scalability.

![Figure 2](image1.png)

**Figure 2** The speedup of parallel Gclust for the viral and archaeal genome datasets
The plot represents the average of 4 runs for speedup clustering of viral (A) and archaeal datasets (B), respectively.

![Figure 3](image2.png)

**Figure 3** Comparison of running time and the number of clusters with different minimal MEMs
Running time (A) and number (B) of clusters with the minimal MEM length varying from 13 to 40 of the viral dataset.
Availability

Gclust is freely available for non-commercial use at https://github.com/niu-lab/gclust. A web server for clustering user-uploaded genomes is available at http://niulab.scgrid.cn/gclust. The four datasets for viral, archaea, fungi, and bacteria were deposited in RefSeq of NCBI and can be accessed at ftp://ftp.ncbi.nlm.nih.gov/refseq/release/.

Authors’ contributions

BN and WL conceived the idea and designed the study. RL performed data analysis. BN and WL analyzed the results and drafted the manuscript. CD built the webserver. RL and HZ contributed the code debugging. XH, XYL, WC, XL, DZ, YZ, ZL, and XC edited and revised the manuscript. TN, YZ, RC, and RH provided technical support for the test environment. XH designed and drew the figures. All authors read and approved the final manuscript.

Competing interests

The authors declare that no competing interests exist.

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Supplementary material

Supplementary data to this article can be found online at https://doi.org/10.1016/j.gpb.2018.10.008.

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