

# Burrows-Wheeler Transform & FM Index

Ben Langmead



JOHNS HOPKINS

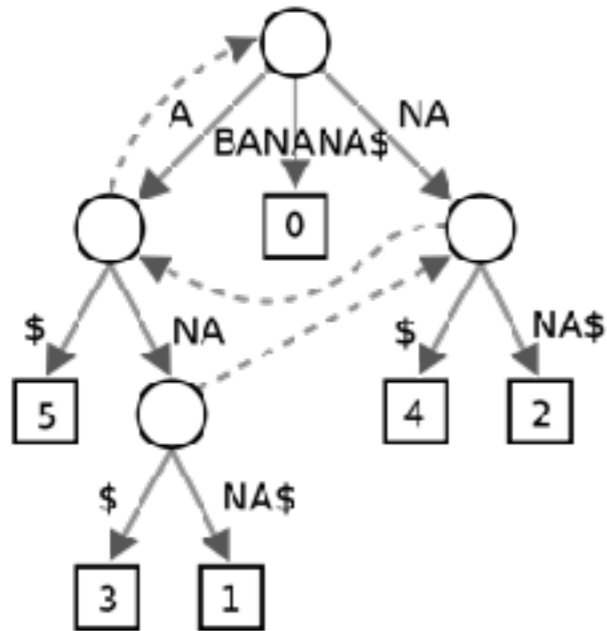
WHITING SCHOOL  
*of* ENGINEERING

Department of Computer Science



Please sign guestbook ([www.langmead-lab.org/teaching-materials](http://www.langmead-lab.org/teaching-materials)) to tell me briefly how you are using the slides. For original Keynote files, email me ([ben.langmead@gmail.com](mailto:ben.langmead@gmail.com)).

# Indexing with suffixes



Suffix Tree

6	\$
5	A\$
3	ANA\$
1	ANANA\$
0	BANANA\$
4	NA\$
2	NANA\$

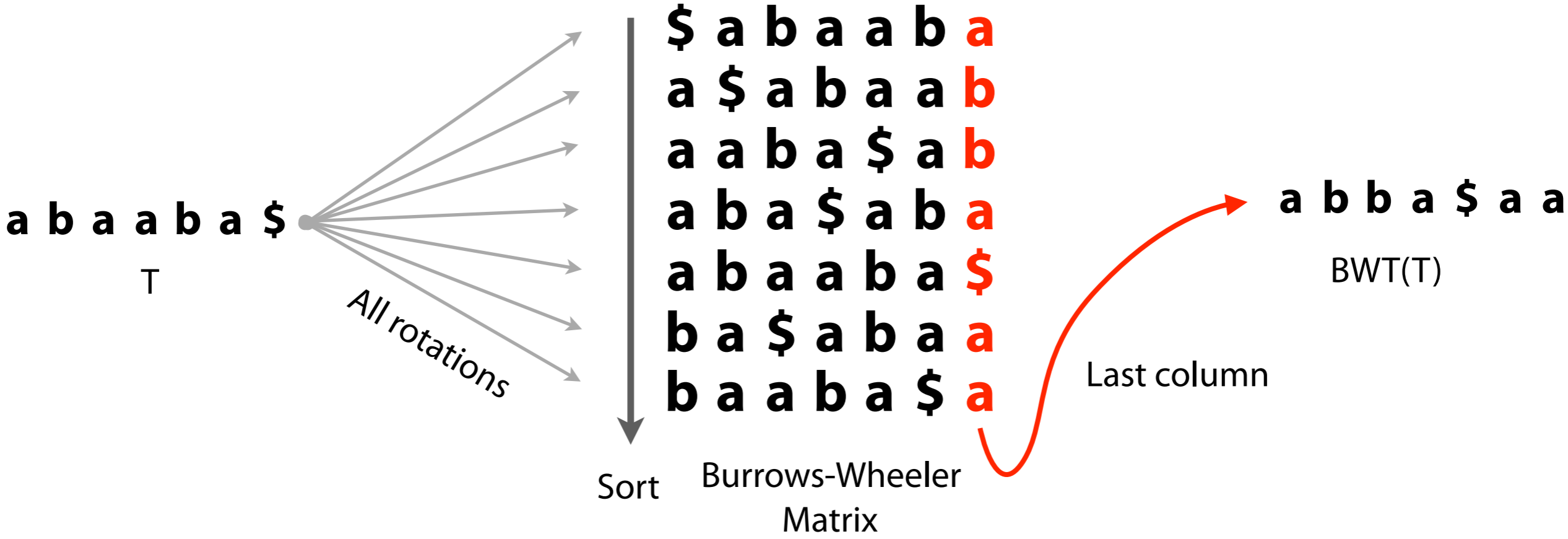
Suffix Array

**\$** BANANA  
**A** \$BANAN  
**A** NA\$BAN  
**A** NANA\$B  
**B** ANANA\$  
**N** A\$BANA  
**N** ANA\$BA

FM Index

# Burrows-Wheeler Transform

Reversible permutation of the characters of a string, used originally for compression



Burrows M, Wheeler DJ: A block sorting lossless data compression algorithm. *Digital Equipment Corporation, Palo Alto, CA 1994, Technical Report 124; 1994*

# All rotations

**a b a a b a \$**

**b a a b a \$ a**

**a a b a \$ a b**

**a b a \$ a b a**

**b a \$ a b a a**

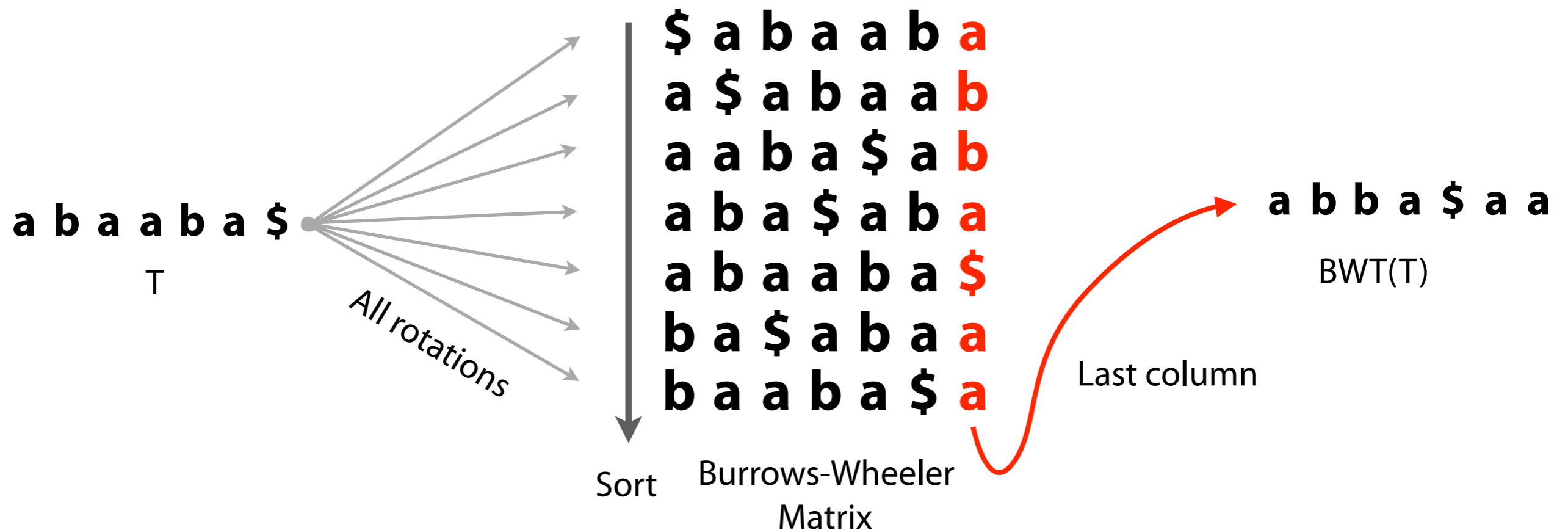
**a \$ a b a a b**

**\$ a b a a b a**

(then they repeat)

# Burrows-Wheeler Transform

*Reversible permutation* of the characters of a string, used originally for compression



How is it useful for compression?

How is it reversible?

How is it an index?

# Burrows-Wheeler Transform

```
def rotations(t):  
    """ Return list of rotations of input string t """  
    tt = t * 2  
    return [ tt[i:i+len(t)] for i in range(0, len(t)) ]
```

Make list of all rotations

```
def bwm(t):  
    """ Return lexicographically sorted list of t's rotations """  
    return sorted(rotations(t))
```

Sort them

```
def bwtViaBwm(t):  
    """ Given T, returns BWT(T) by way of the BWM """  
    return ''.join(map(lambda x: x[-1], bwm(t)))
```

Take last column

```
>>> bwtViaBwm("Tomorrow_and_tomorrow_and_tomorrow$")  
'w$wwdd__nnoooaattTmmrrrrrrrooo__ooo'  
  
>>> bwtViaBwm("It_was_the_best_of_times_it_was_the_worst_of_times$")  
's$esttssffteww_hhmmbootttt_ii__woeearessIi_____  
  
>>> bwtViaBwm('in_the_jingle_jangle_morning_Ill_come_following_you$')  
'u_gleeeengj_mlh1_nnnnt$nwj__lggIolo_iiiiarfcmlylo_oo_'
```

[http://j.mp/CG\\_BWT](http://j.mp/CG_BWT)

# Burrows-Wheeler Transform

a b a a b a \$  
T

\$ a b a a b a  
a \$ a b a a b  
a a b a \$ a b  
a b a \$ a b a  
a b a a b a \$  
b a \$ a b a a  
b a a b a \$ a



a \$ a b a a b  
b a \$ a b a a  
b a a b a \$ a  
a a b a \$ a b  
\$ a b a a b a  
a b a \$ a b a  
a b a a b a \$

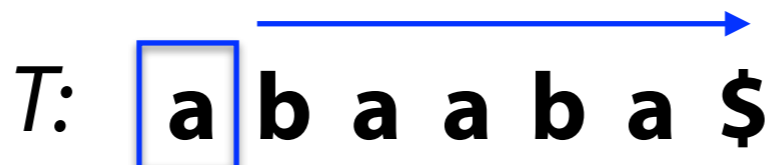
↑  
BWT

↑  
Right  
contexts

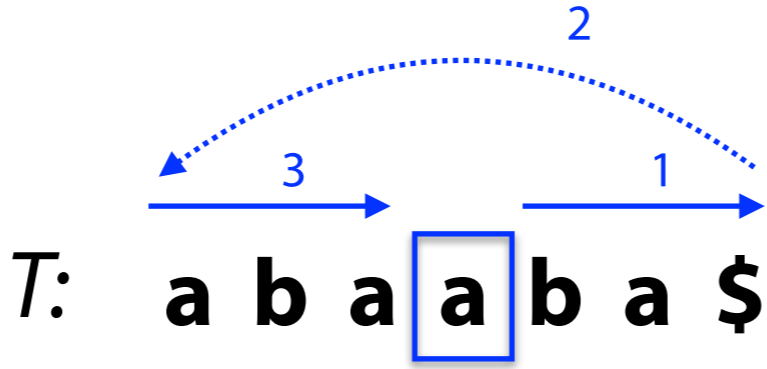
BWT(T) orders T's characters according to alphabetical order of their right contexts in T

# Right context

The right context of a position in  $T$  consists of everything that comes after it with "wrap around"



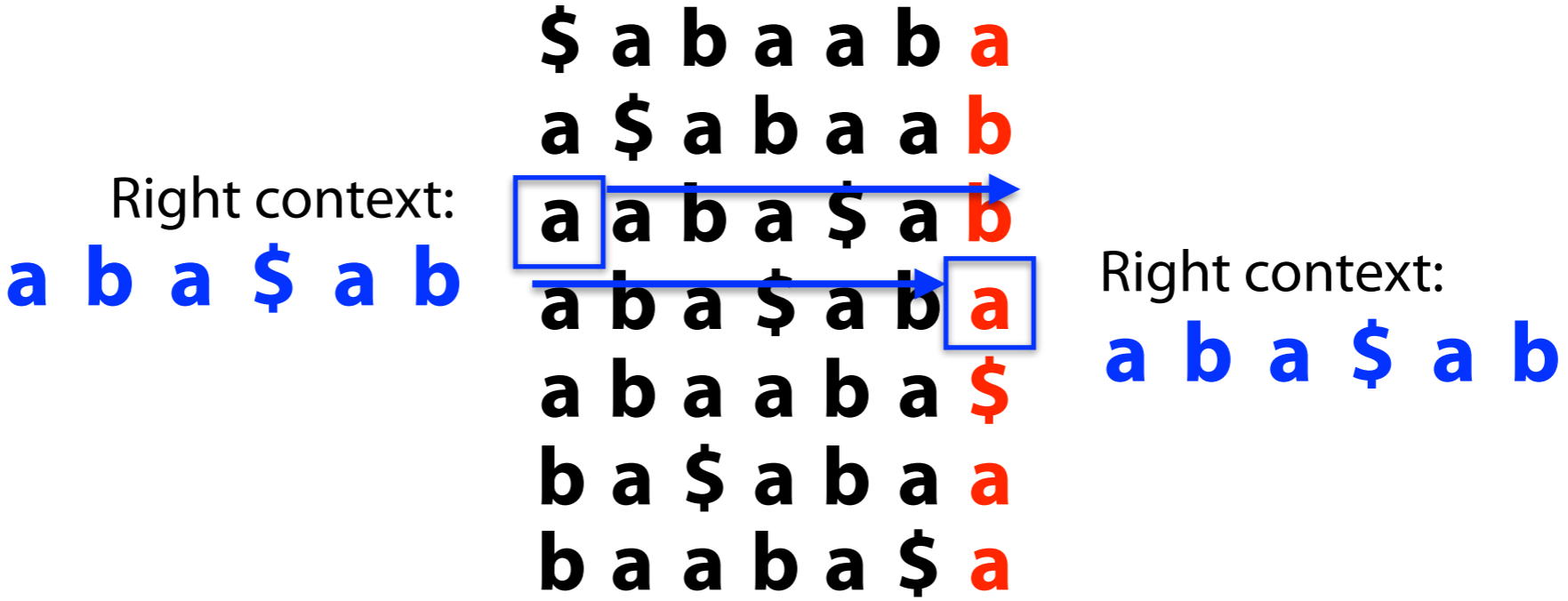
Right context: **b a a b a \$**



Right context: **b a \$ a b a**



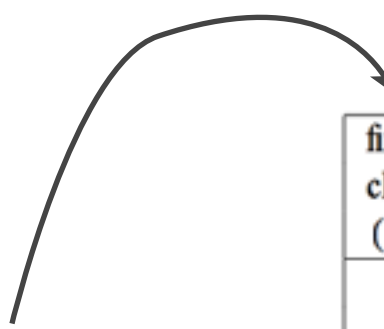
# Burrows-Wheeler Transform



# Burrows-Wheeler Transform

Sorted by *right-context*

Gives "structure" to BWT(T),  
making it more compressible



final char (L)	sorted rotations
a	n to decompress. It achieves compression
o	n to perform only comparisons to a depth
o	n transformation} This section describes
o	n transformation} We use the example and
o	n treats the right-hand side as the most
a	n tree for each 16 kbyte input block, enc
a	n tree in the output stream, then encodes
i	n turn, set \$L[i]\$ to be the
i	n turn, set \$R[i]\$ to the
o	n unusual data. Like the algorithm of Man
a	n use a single set of probabilities table
e	n using the positions of the suffixes in
i	n value at a given point in the vector \$R
e	n we present modifications that improve t
e	n when the block size is quite large. Ho
i	n which codes that have not been seen in
i	n with \$ch\$ appear in the {\em same order
i	n with \$ch\$. In our exam
o	n with Huffman or arithmetic coding. Bri
o	n with figures given by Bell~\cite{bell}.

Figure 1: Example of sorted rotations. Twenty consecutive rotations from the sorted list of rotations of a version of this paper are shown, together with the final character of each rotation.

# Burrows-Wheeler Transform

BWM is related to the suffix array

**\$** a b a a b a  
 a **\$** a b a a b  
 a a b a **\$** a b  
 a b a **\$** a b a  
 a b a a b a **\$**  
 b a **\$** a b a a  
 b a a b a **\$** a

BWM(T)

6	<b>\$</b>
5	a <b>\$</b>
2	a a b a <b>\$</b>
3	a b a <b>\$</b>
0	a b a a b a <b>\$</b>
4	b a <b>\$</b>
1	b a a b a <b>\$</b>

SA(T)

Same order whether rows are rotations or suffixes

# Burrows-Wheeler Transform

In fact, this gives us a new definition / way to construct BWT(T):

$$BWT[i] = \begin{cases} T[SA[i] - 1] & \text{if } SA[i] > 0 \\ \$ & \text{if } SA[i] = 0 \end{cases}$$

“BWT = characters just to the left of the suffixes in the suffix array”

**\$** a b a a b a  
 a **\$** a b a a b  
 a a b a **\$** a b  
 a b a **\$** a b a  
 a b a a b a **\$**  
 b a **\$** a b a a  
 b a a b a **\$** a

BWM(T)

6	<b>\$</b>
5	<b>a \$</b>
2	<b>a a b a \$</b>
3	<b>a b a \$</b>
0	<b>a b a a b a \$</b>
4	<b>b a \$</b>
1	<b>b a a b a \$</b>

SA(T)

# Burrows-Wheeler Transform

```
def suffixArray(s):  
    """ Given T return suffix array SA(T). We use Python's sorted  
        function here for simplicity, but we can do better. """  
    satups = sorted([(s[i:], i) for i in xrange(0, len(s))])  
    # Extract and return just the offsets  
    return map(lambda x: x[1], satups)
```

Make suffix array

```
def bwtViaSa(t):  
    """ Given T, returns BWT(T) by way of the suffix array. """  
    bw = []  
    for si in suffixArray(t):  
        if si == 0: bw.append('$')  
        else: bw.append(t[si-1])  
    return ''.join(bw) # return string-ized version of list bw
```

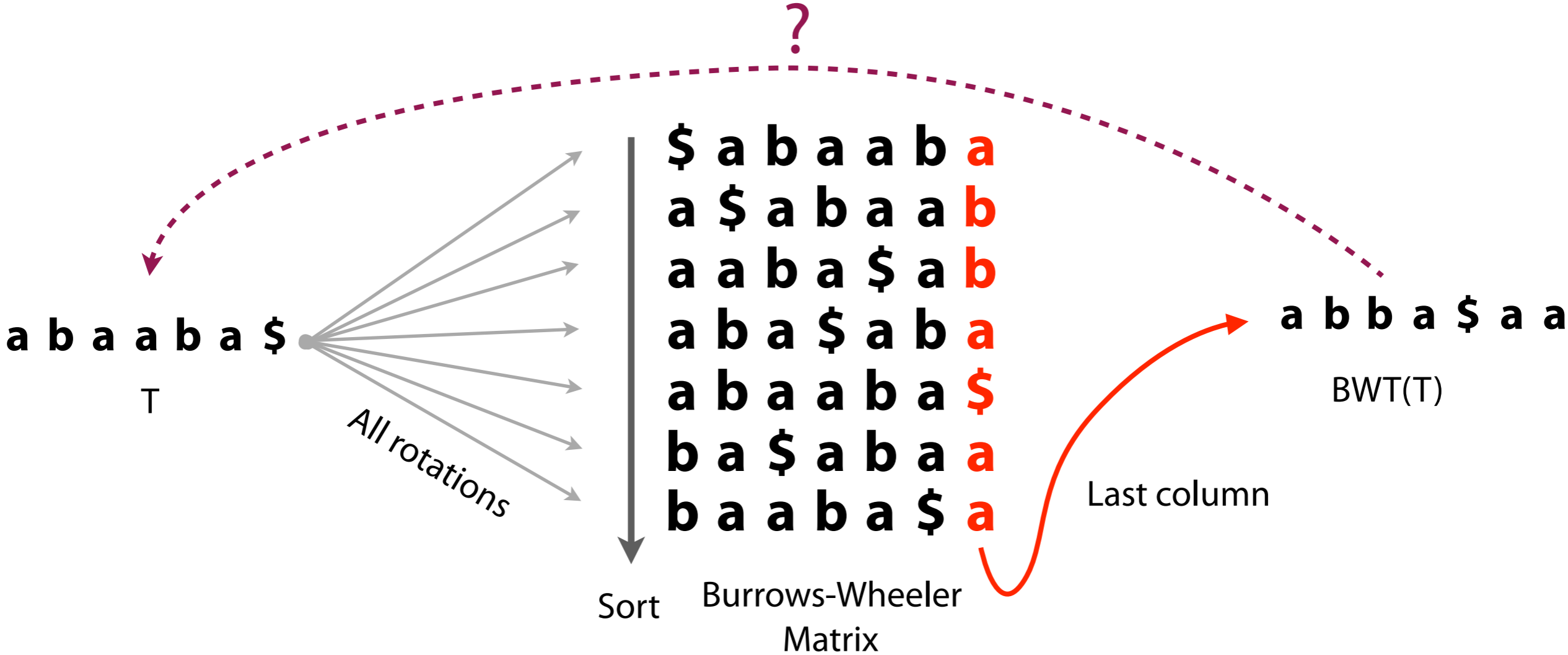
Take characters just  
to the left of the  
sorted suffixes

```
>>> bwtViaSa("Tomorrow_and_tomorrow_and_tomorrow$")  
'w$wwdd__nnoooaattTmmrrrrrrrooo__ooo'  
  
>>> bwtViaSa("It_was_the_best_of_times_it_was_the_worst_of_times$")  
's$esttssffteww_hhmmbootttt_ii__woeearessIi_____  
  
>>> bwtViaSa('in_the_jingle_jangle_morning_Ill_come_following_you$')  
'u_gleeeengj_mlh1_nnnnt$nwj__lggIolo_iiiiarfcmlylo_oo_'
```

Python example: [http://bit.ly/CG\\_BWT\\_SimpleBuild](http://bit.ly/CG_BWT_SimpleBuild)

# Burrows-Wheeler Transform

How to reverse the BWT?



BWM has a key property called the *LF Mapping*...

# Burrows-Wheeler Transform: T-ranking

Give each character in  $T$  a rank, equal to # times the character occurred previously in  $T$ . Call this the *T-ranking*.

**a<sub>0</sub> b<sub>0</sub> a<sub>1</sub> a<sub>2</sub> b<sub>1</sub> a<sub>3</sub> \$**

Ranks aren't explicitly stored; they are just for illustration

Now let's re-write the BWM including ranks...

# Burrows-Wheeler Transform

BWM with T-ranking:

	<i>F</i>						<i>L</i>
	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	<b>a<sub>3</sub></b>
	<b>a<sub>3</sub></b>	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>
	<b>a<sub>1</sub></b>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>
	<b>a<sub>2</sub></b>	b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	<b>a<sub>1</sub></b>
	<b>a<sub>0</sub></b>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$
	b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	<b>a<sub>2</sub></b>
	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$	<b>a<sub>0</sub></b>

Look at first and last columns, called *F* and *L*

And look at just the **a**s

**a**s occur in the same order in *F* and *L*. As we look down columns, in both cases we see: **a<sub>3</sub>, a<sub>1</sub>, a<sub>2</sub>, a<sub>0</sub>**



# Burrows-Wheeler Transform

BWM with T-ranking:

	<i>F</i>						<i>L</i>
	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>
	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	<b>b<sub>1</sub></b>
	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>	<b>b<sub>0</sub></b>
	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>
	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$
	<b>b<sub>1</sub></b>	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>
	<b>b<sub>0</sub></b>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>

Same with **bs**: **b<sub>1</sub>**, **b<sub>0</sub>**

# Burrows-Wheeler Transform: LF Mapping

BWM with T-ranking:

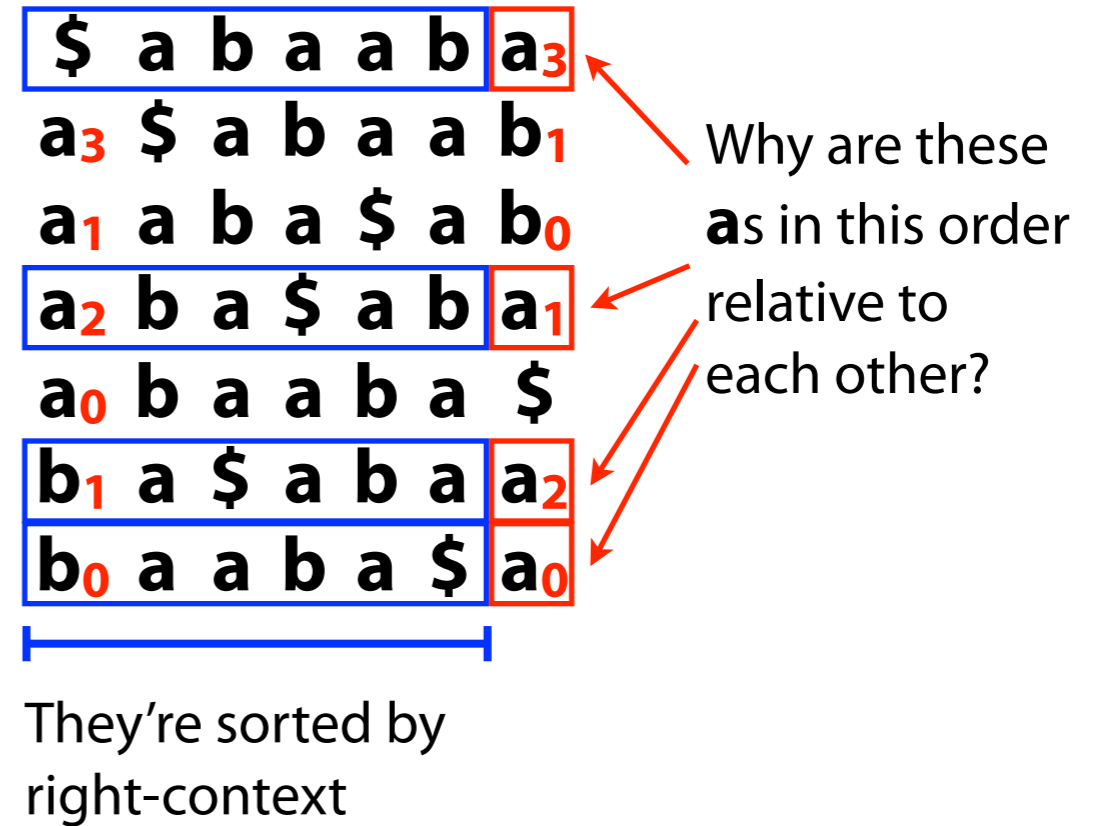
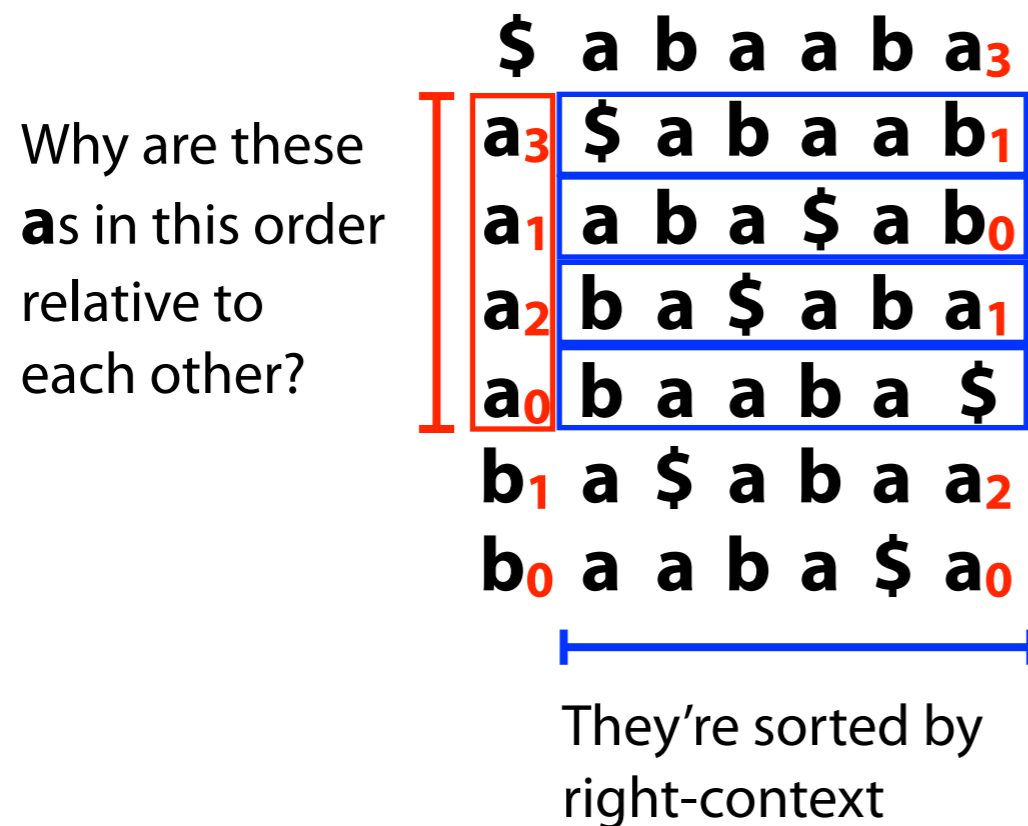
	<i>F</i>					<i>L</i>	
	<b>\$</b>	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	<b>a<sub>3</sub></b>
	<b>a<sub>3</sub></b>	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	<b>b<sub>1</sub></b>
	<b>a<sub>1</sub></b>	a <sub>2</sub>	b <sub>1</sub>	a <sub>0</sub>	\$	a <sub>0</sub>	<b>b<sub>0</sub></b>
	<b>a<sub>2</sub></b>	b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	<b>a<sub>1</sub></b>
	<b>a<sub>0</sub></b>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	<b>\$</b>
	<b>b<sub>1</sub></b>	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	<b>a<sub>2</sub></b>
	<b>b<sub>0</sub></b>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$	<b>a<sub>0</sub></b>

LF Mapping: The  $i^{\text{th}}$  occurrence of a character  $c$  in  $L$  and the  $i^{\text{th}}$  occurrence of  $c$  in  $F$  correspond to the *same* occurrence in  $T$  (i.e. have same rank)

However we rank occurrences of  $c$ , ranks appear in the same order in  $F$  &  $L$

# Burrows-Wheeler Transform: LF Mapping

Why does the LF Mapping hold?



Occurrences of  $c$  in  $F$  are sorted by right-context. Same for  $L$ !

Whatever ranking we give to characters in  $T$ , rank orders in  $F$  and  $L$  will match

# Burrows-Wheeler Transform: LF Mapping

BWM with T-ranking:

<i>F</i>							<i>L</i>
\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	
a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	
a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	
a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	
a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$	
b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>	b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	
b <sub>0</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>1</sub>	a <sub>3</sub>	\$	a <sub>0</sub>	

We'd like a different ranking so that for a given character, ranks are in ascending order as we look down the F / L columns...

# Burrows-Wheeler Transform: LF Mapping

BWM with B-ranking:

<i>F</i>							<i>L</i>
	<b>\$</b>	a <sub>3</sub>	b <sub>1</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>0</sub>	<b>a<sub>0</sub></b>
	<b>a<sub>0</sub></b>	\$	a <sub>3</sub>	b <sub>1</sub>	a <sub>1</sub>	a <sub>2</sub>	<b>b<sub>0</sub></b>
	<b>a<sub>1</sub></b>	a <sub>2</sub>	b <sub>0</sub>	a <sub>0</sub>	\$	a <sub>3</sub>	<b>b<sub>1</sub></b>
	<b>a<sub>2</sub></b>	b <sub>0</sub>	a <sub>0</sub>	\$	a <sub>3</sub>	b <sub>1</sub>	<b>a<sub>1</sub></b>
	<b>a<sub>3</sub></b>	b <sub>1</sub>	a <sub>1</sub>	a <sub>2</sub>	b <sub>0</sub>	a <sub>0</sub>	<b>\$</b>
	<b>b<sub>0</sub></b>	a <sub>0</sub>	\$	a <sub>3</sub>	b <sub>1</sub>	a <sub>1</sub>	<b>a<sub>2</sub></b>
	<b>b<sub>1</sub></b>	a <sub>1</sub>	a <sub>2</sub>	b <sub>0</sub>	a <sub>0</sub>	\$	<b>a<sub>3</sub></b>

Ascending rank

*F* now has very simple structure: a **\$**, a block of **a**s with ascending ranks, a block of **b**s with ascending ranks

# Burrows-Wheeler Transform

Say  $T$  has 300 **A**s, 400 **C**s, 250 **G**s and 700 **T**s and  $\$ < \mathbf{A} < \mathbf{C} < \mathbf{G} < \mathbf{T}$

Which BWM row (0-based) begins with **G**<sub>100</sub>? (Ranks are B-ranks.)

Skip row starting with **\$** (1 row)

Skip rows starting with **A** (300 rows)

Skip rows starting with **C** (400 rows)

Skip first 100 rows starting with **G** (100 rows)

Answer: row 1 + 300 + 400 + 100 = **row 801**

# Burrows-Wheeler Transform: reversing

Reverse BWT( $T$ ) starting at right-hand-side of  $T$  and moving left

Start in first row.  $F$  must have \$.

$L$  contains character just prior to \$:  $a_0$

Jump to row beginning with  $a_0$ .

$L$  contains character just prior to  $a_0$ :  $b_0$ .

Repeat for  $b_0$ , get  $a_2$

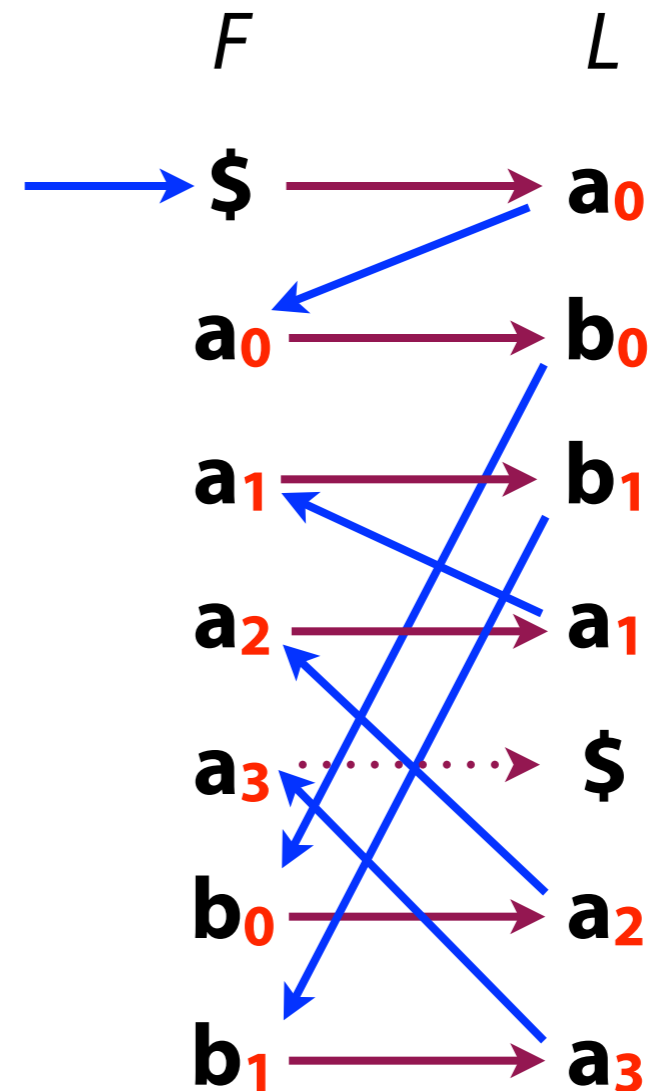
Repeat for  $a_2$ , get  $a_1$

Repeat for  $a_1$ , get  $b_1$

Repeat for  $b_1$ , get  $a_3$

Repeat for  $a_3$ , get \$ (done)

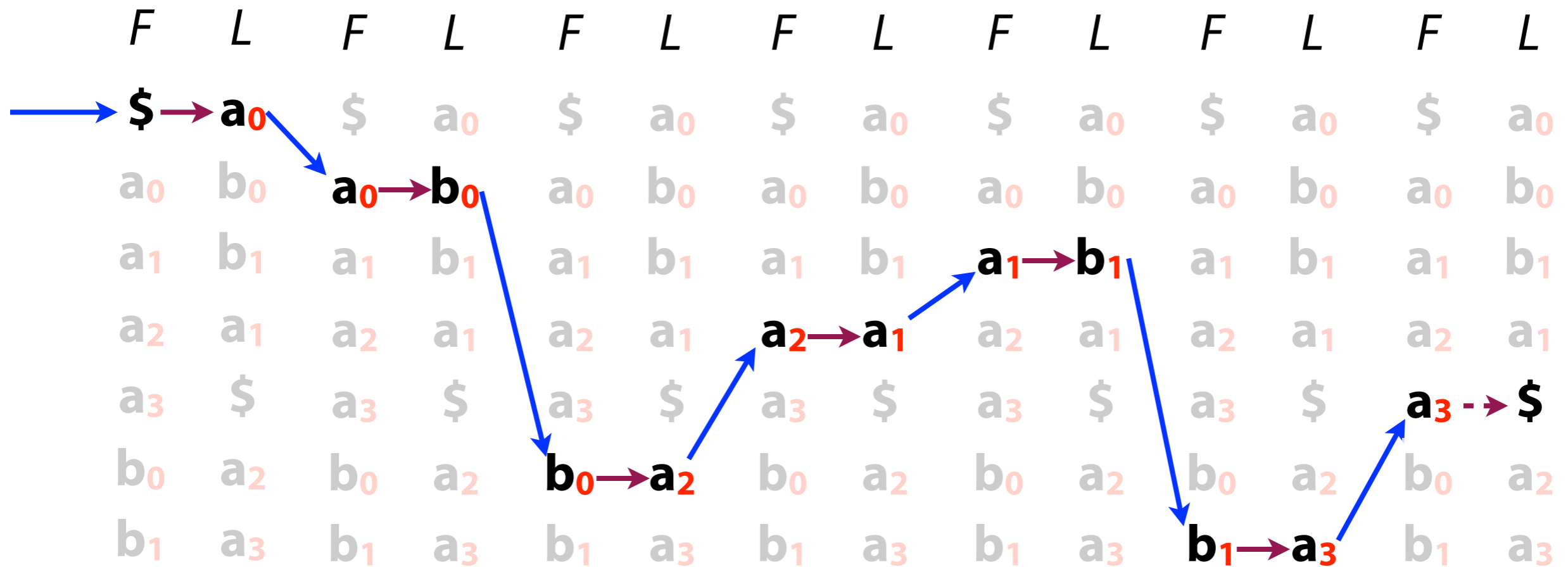
$T$ :  $a_3 b_1 a_1 a_2 b_0 a_0 \$$



In reverse order, we saw =  $a_3 b_1 a_1 a_2 b_0 a_0 \$ = T$

# Burrows-Wheeler Transform: reversing

Another way to visualize:



$T$ : a<sub>3</sub> b<sub>1</sub> a<sub>1</sub> a<sub>2</sub> b<sub>0</sub> a<sub>0</sub> \$



# Burrows-Wheeler Transform: reversing

[http://bit.ly/CG\\_BWT\\_reverse](http://bit.ly/CG_BWT_reverse)

```
def rankBwt(bw):  
    ''' Given BWT string bw, return parallel list of B-ranks. Also  
        returns tots: map from character to # times it appears. '''  
    tots = dict()  
    ranks = []  
    for c in bw:  
        if c not in tots: tots[c] = 0  
        ranks.append(tots[c])  
        tots[c] += 1  
    return ranks, tots
```

L

{ a: 4, b: 2, \$: 1 }

a<sub>0</sub>  
b<sub>0</sub>  
b<sub>1</sub>  
a<sub>1</sub>  
\$  
a<sub>2</sub>  
a<sub>3</sub>

Like when we did it by eye, the code depends on *knowing the ranks* of all the characters in L

But **ranks** is big! We'll fix this later

# Burrows-Wheeler Transform

We've seen how BWT is useful for compression:

Sorts characters by right-context, making a more compressible string

And how it's reversible:

Repeated applications of LF Mapping, recreating  $T$  from right to left

How is it used as an index?

# FM Index

FM Index: an index combining the BWT *with a few small auxiliary data structures*

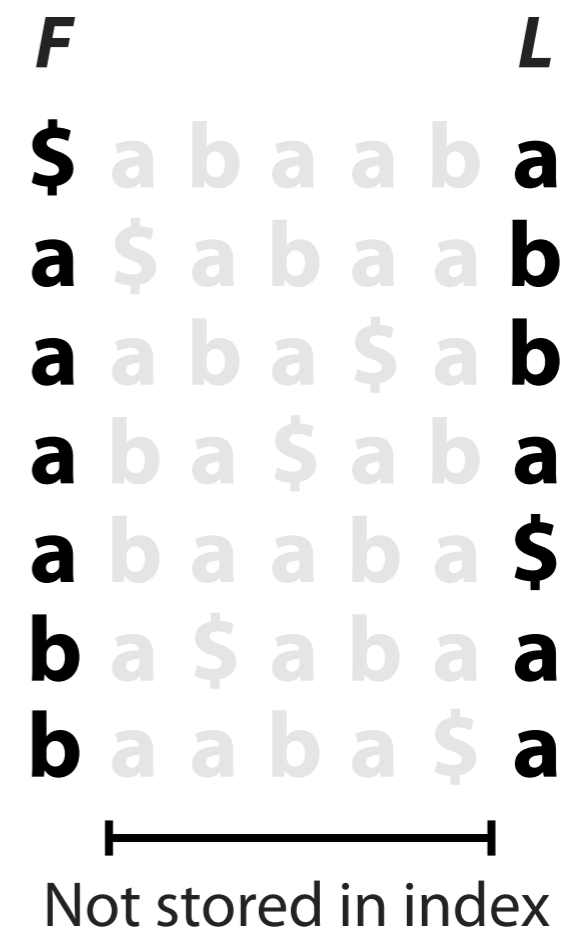
Core of index is ***F*** and ***L*** from BWM:

***L*** is the same size as ***T***

***F*** can be represented as array of  $|\Sigma|$  integers

***L*** is compressible (but even uncompressed, it's small compared to suffix array)

We're discarding ***T***



Paolo Ferragina, and Giovanni Manzini. "Opportunistic data structures with applications." *Foundations of Computer Science, 2000. Proceedings. 41st Annual Symposium on*. IEEE, 2000.

# FM Index: querying

How to query?

<b>\$</b>	a	b	a	a	b	a
a	<b>\$</b>	a	b	a	a	b
a	a	b	a	<b>\$</b>	a	b
a	b	a	<b>\$</b>	a	b	a
a	b	a	a	b	a	<b>\$</b>
b	a	<b>\$</b>	a	b	a	a
b	a	a	b	a	<b>\$</b>	a

# FM Index: querying

Can we query like the suffix array?

\$	a	b	a	a	b	a
a	\$	a	b	a	a	b
a	a	b	a	\$	a	b
a	b	a	\$	a	b	a
a	b	a	a	b	a	\$
b	a	\$	a	b	a	a
b	a	a	b	a	\$	a



6	\$
5	a \$
2	a a b a \$
3	a b a \$
0	a b a a b a \$
4	b a \$
1	b a a b a \$

We don't have these columns, and we don't have T.  
Binary search not possible.

# FM Index: querying

Look for range of rows of BWM(T) with  $P$  as prefix

Start with shortest suffix, then match successively longer suffixes

$P = \mathbf{aba}$

Easy to find all the rows beginning with **a**

	$F$					$L$	
	\$	a	b	a	a	b	<b>a<sub>0</sub></b>
	<b>a<sub>0</sub></b>	\$	a	b	a	a	<b>b<sub>0</sub></b>
	<b>a<sub>1</sub></b>	a	b	a	\$	a	<b>b<sub>1</sub></b>
	<b>a<sub>2</sub></b>	b	a	\$	a	b	<b>a<sub>1</sub></b>
	<b>a<sub>3</sub></b>	b	a	a	b	a	\$
	<b>b<sub>0</sub></b>	a	\$	a	b	a	<b>a<sub>2</sub></b>
	<b>b<sub>1</sub></b>	a	a	b	a	\$	<b>a<sub>3</sub></b>

# FM Index: querying

We have rows beginning with **a**, now we want rows beginning with **ba**

$P = \mathbf{ab}a$

$P = \mathbf{a}ba$

<i>F</i>						<i>L</i>
\$	a	b	a	a	b	<b>a<sub>0</sub></b>
<b>a<sub>0</sub></b>	\$	a	b	a	a	<b>b<sub>0</sub></b>
<b>a<sub>1</sub></b>	a	b	a	\$	a	<b>b<sub>1</sub></b>
<b>a<sub>2</sub></b>	b	a	\$	a	b	<b>a<sub>1</sub></b>
<b>a<sub>3</sub></b>	b	a	a	b	a	\$
<b>b<sub>0</sub></b>	a	\$	a	b	a	<b>a<sub>2</sub></b>
<b>b<sub>1</sub></b>	a	a	b	a	\$	<b>a<sub>3</sub></b>

← Look at those rows in *L*.  
**b<sub>0</sub>**, **b<sub>1</sub>** are **b**s occurring just to left.

Use LF Mapping. Let new range delimit those **b**s

<b>b<sub>0</sub></b>	a	\$	a	b	a	<b>a<sub>2</sub></b>
<b>b<sub>1</sub></b>	a	a	b	a	\$	<b>a<sub>3</sub></b>

Now we have the rows with prefix **ba**

# FM Index: querying

We have rows beginning with **ba**, now we seek rows beginning with **aba**

$P = \mathbf{aba}$

<i>F</i>						<i>L</i>
\$	a	b	a	a	b	<b>a<sub>0</sub></b>
<b>a<sub>0</sub></b>	\$	a	b	a	a	<b>b<sub>0</sub></b>
<b>a<sub>1</sub></b>	a	b	a	\$	a	<b>b<sub>1</sub></b>
<b>a<sub>2</sub></b>	b	a	\$	a	b	<b>a<sub>1</sub></b>
<b>a<sub>3</sub></b>	b	a	a	b	a	\$
<b>b<sub>0</sub></b>	a	\$	a	b	a	<b>a<sub>2</sub></b>
<b>b<sub>1</sub></b>	a	a	b	a	\$	<b>a<sub>3</sub></b>

← **a<sub>2</sub>**, **a<sub>3</sub>** occur just to left.

$P = \mathbf{aba}$

Use LF Mapping →

<i>F</i>						<i>L</i>
\$	a	b	a	a	b	<b>a<sub>0</sub></b>
<b>a<sub>0</sub></b>	\$	a	b	a	a	<b>b<sub>0</sub></b>
<b>a<sub>1</sub></b>	a	b	a	\$	a	<b>b<sub>1</sub></b>
<b>a<sub>2</sub></b>	b	a	\$	a	b	<b>a<sub>1</sub></b>
<b>a<sub>3</sub></b>	b	a	a	b	a	\$
<b>b<sub>0</sub></b>	a	\$	a	b	a	<b>a<sub>2</sub></b>
<b>b<sub>1</sub></b>	a	a	b	a	\$	<b>a<sub>3</sub></b>

Now we have the rows with prefix **aba**



# FM Index: querying

$P = \mathbf{aba}$

Got the same range,  $[3, 5)$ , we would have got from suffix array

	<i>F</i>		<i>L</i>				
	\$	a	b	a	a	b	<b>a<sub>0</sub></b>
	<b>a<sub>0</sub></b>	\$	a	b	a	a	<b>b<sub>0</sub></b>
	<b>a<sub>1</sub></b>	a	b	a	\$	a	<b>b<sub>1</sub></b>
[3, 5)	<b>a<sub>2</sub></b>	b	a	\$	a	b	<b>a<sub>1</sub></b>
	<b>a<sub>3</sub></b>	b	a	a	b	a	\$
	<b>b<sub>0</sub></b>	a	\$	a	b	a	<b>a<sub>2</sub></b>
	<b>b<sub>1</sub></b>	a	a	b	a	\$	<b>a<sub>3</sub></b>

6	\$
5	a \$
2	a a b a \$
[3, 5)	<b>3</b> a b a \$
	<b>0</b> a b a a b a \$
	4 b a \$
	1 b a a b a \$

Where are these?

Unlike suffix array, we don't immediately know *where* the matches are in T...

# FM Index: querying

When  $P$  does not occur in  $T$ , we eventually fail to find next character in  $L$ :

$P = \mathbf{bba}$

	$F$					$L$
	\$	a	b	a	a	b <b>a<sub>0</sub></b>
	<b>a<sub>0</sub></b>	\$	a	b	a	a <b>b<sub>0</sub></b>
	<b>a<sub>1</sub></b>	a	b	a	\$	a <b>b<sub>1</sub></b>
	<b>a<sub>2</sub></b>	b	a	\$	a	b <b>a<sub>1</sub></b>
	<b>a<sub>3</sub></b>	b	a	a	b	a \$
Rows with <b>ba</b> prefix	<b>b<sub>0</sub></b>	a	\$	a	b	a <b>a<sub>2</sub></b>
	<b>b<sub>1</sub></b>	a	a	b	a	\$ <b>a<sub>3</sub></b>

← No **bs**!

# FM Index: querying

If we *scan* characters in the last column, that can be slow,  $O(m)$

$P = \mathbf{ab}\mathbf{a}$

<i>F</i>						<i>L</i>
<b>\$</b>	a	b	a	a	b	<b>a<sub>0</sub></b>
<b>a<sub>0</sub></b>	\$	a	b	a	a	<b>b<sub>0</sub></b>
<b>a<sub>1</sub></b>	a	b	a	\$	a	<b>b<sub>1</sub></b>
<b>a<sub>2</sub></b>	b	a	\$	a	b	<b>a<sub>1</sub></b>
<b>a<sub>3</sub></b>	b	a	a	b	a	<b>\$</b>
<b>b<sub>0</sub></b>	a	\$	a	b	a	<b>a<sub>2</sub></b>
<b>b<sub>1</sub></b>	a	a	b	a	\$	<b>a<sub>3</sub></b>

Scan, looking for **b**s

# FM Index: lingering issues

(1) Scanning for preceding character is slow

	\$	a	b	a	a	b	a <sub>0</sub>
a <sub>0</sub>	\$	a	b	a	a	b	b <sub>0</sub>
a <sub>1</sub>	a	b	a	\$	a	b	b <sub>1</sub>
a <sub>2</sub>	b	a	\$	a	b	a	a <sub>1</sub>
a <sub>3</sub>	b	a	a	b	a	\$	
b <sub>0</sub>	a	\$	a	b	a	a	a <sub>2</sub>
b <sub>1</sub>	a	a	b	a	\$	a	

$O(m)$   
 scan

(2) Storing ranks takes too much space

```

def reverseBwt(bw):
    """ Make T from BWT(T) """
    ranks, tots = rankBwt(bw)
    first = firstCol(tots)
    rowi = 0
    t = "$"
    while bw[rowi] != '$':
        c = bw[rowi]
        t = c + t
        rowi = first[c][0] + ranks[rowi]
    return t
  
```

*m* integers

(3) Need way to find where matches occur in  $T$ :

	\$	a	b	a	a	b	a <sub>0</sub>
a <sub>0</sub>	\$	a	b	a	a	b	b <sub>0</sub>
a <sub>1</sub>	a	b	a	\$	a	b	b <sub>1</sub>
a <sub>2</sub>	b	a	\$	a	b	a	a <sub>1</sub>
a <sub>3</sub>	b	a	a	b	a	\$	
b <sub>0</sub>	a	\$	a	b	a	a	a <sub>2</sub>
b <sub>1</sub>	a	a	b	a	\$	a	

Where?

# FM Index: fast rank calculations

Is there an fast way to  
determine which **b**s  
precede the **a**s in our range?

<i>F</i>						<i>L</i>
\$	a	b	a	a	b	<b>a<sub>0</sub></b>
<b>a<sub>0</sub></b>	\$	a	b	a	a	<b>b<sub>0</sub></b>
<b>a<sub>1</sub></b>	a	b	a	\$	a	<b>b<sub>1</sub></b>
<b>a<sub>2</sub></b>	b	a	\$	a	b	<b>a<sub>1</sub></b>
<b>a<sub>3</sub></b>	b	a	a	b	a	<b>\$</b>
<b>b<sub>0</sub></b>	a	\$	a	b	a	<b>a<sub>2</sub></b>
<b>b<sub>1</sub></b>	a	a	b	a	\$	<b>a<sub>3</sub></b>

# FM Index: fast rank calculations

Idea: pre-calculate  
cumulative # **a**s, **b**s  
in  $L$  up to every row:

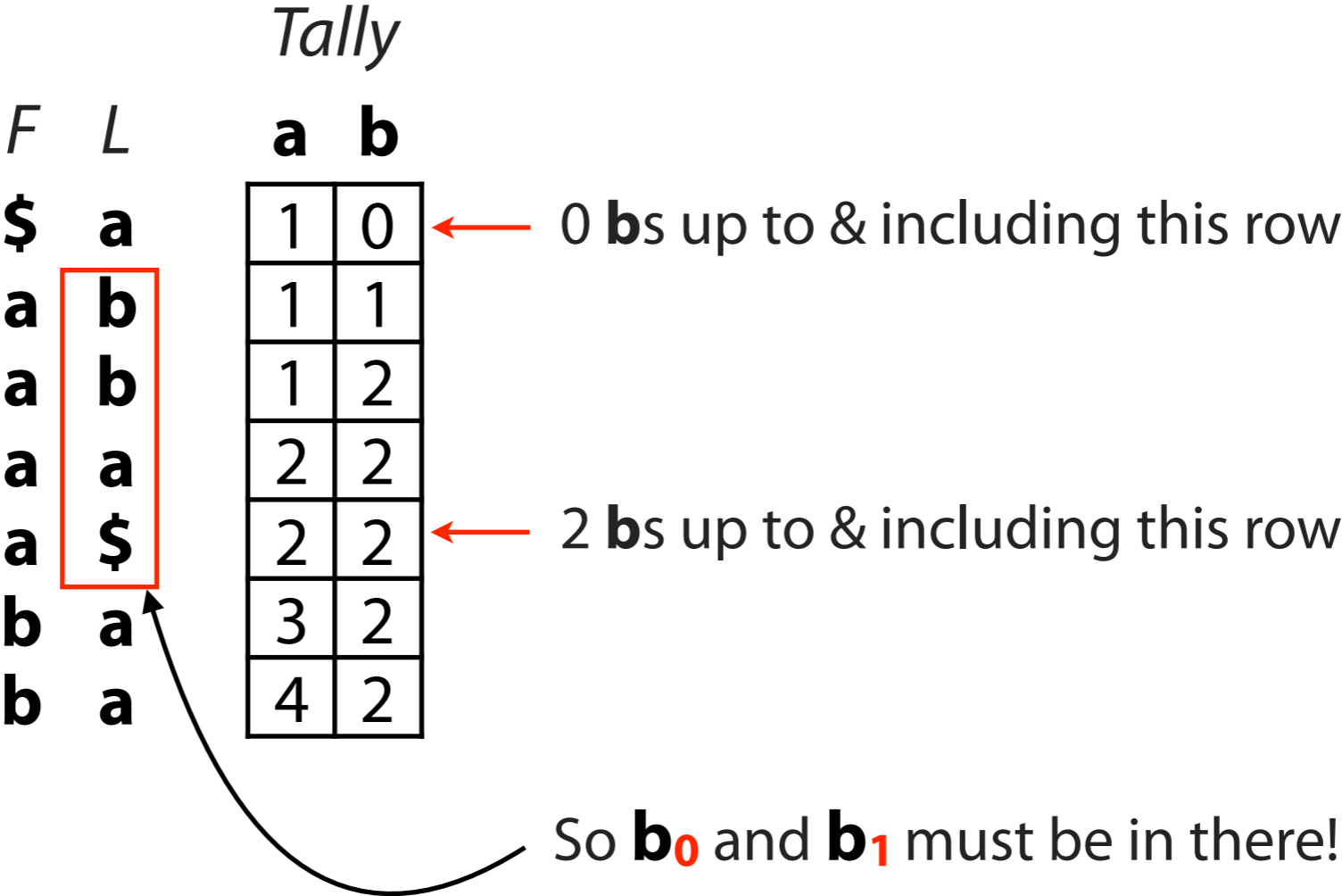
$L$	<i>Tally</i>	
	<b>a</b>	<b>b</b>
<b>a</b>	<b>1</b>	0
<b>b</b>	1	<b>1</b>
<b>b</b>		
<b>a</b>		
<b>\$</b>		
<b>a</b>		
<b>a</b>		

# FM Index: fast rank calculations

Idea: pre-calculate  
cumulative # **a**s, **b**s  
in  $L$  up to every row:

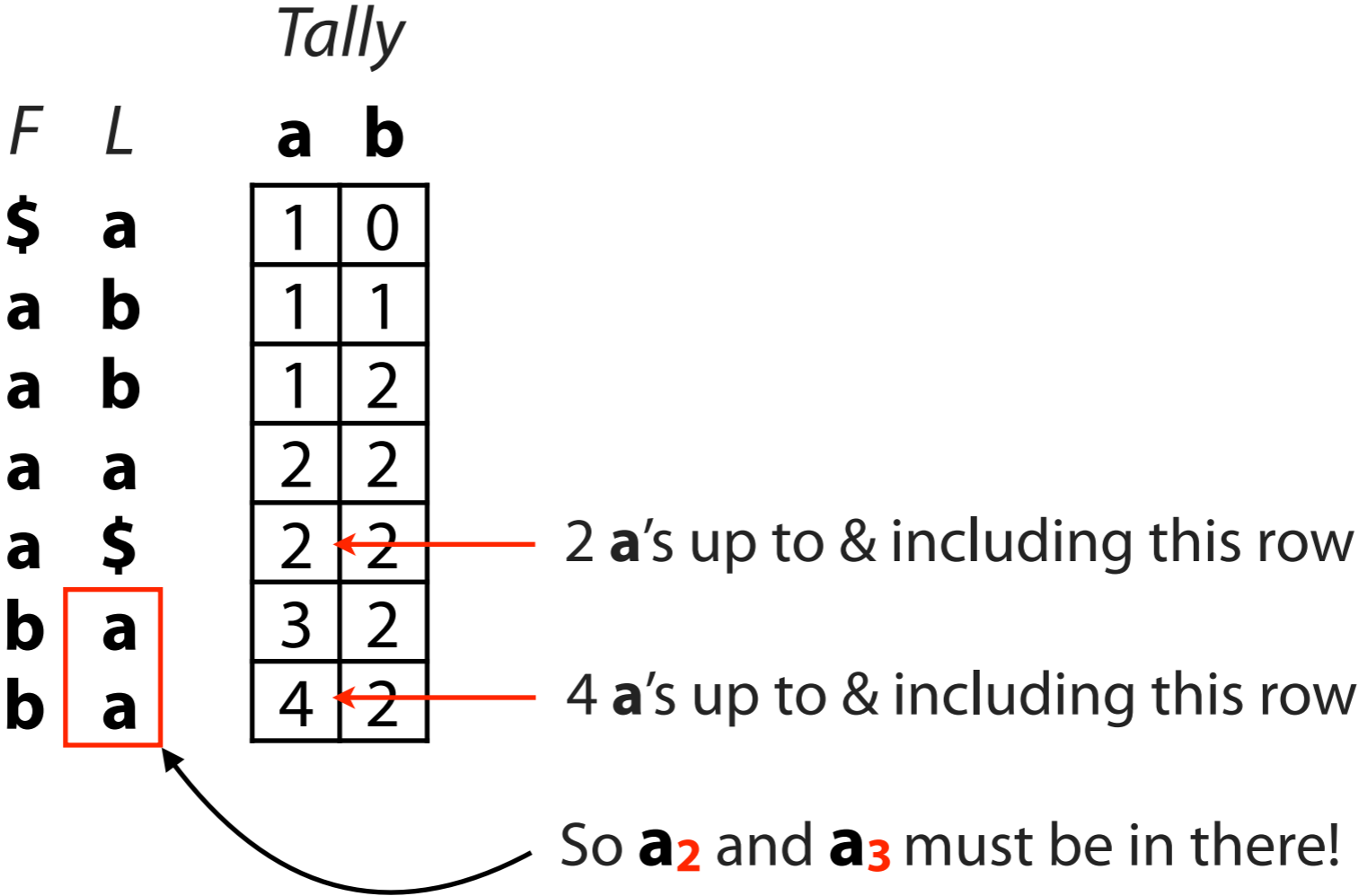
$L$	<i>Tally</i>	
	<b>a</b>	<b>b</b>
<b>a</b>	<b>1</b>	0
<b>b</b>	1	<b>1</b>
<b>b</b>	1	<b>2</b>
<b>a</b>	<b>2</b>	2
<b>\$</b>	2	2
<b>a</b>	<b>3</b>	2
<b>a</b>	<b>4</b>	2

# FM Index: fast rank calculations





# FM Index: fast rank calculations



O(1) time; 2 lookups  
regardless of range size

# FM Index: fast rank calculations

*Tally*

<i>F</i>	<i>L</i>	<b>a</b>	<b>b</b>
<b>\$</b>	<b>a</b>	1	0
<b>a</b>	<b>b</b>	1	1
<b>a</b>	<b>b</b>	1	2
<b>a</b>	<b>a</b>	2	2
<b>a</b>	<b>\$</b>	2	2
<b>b</b>	<b>a</b>	3	2
<b>b</b>	<b>a</b>	4	2

$\vdash |\Sigma| \vdash$

*m*

Tally is  $m \times |\Sigma|$  integers  
Too big!

# FM Index: fast rank calculations

Next idea: pre-calculate # **a**s, **b**s in  $L$  up to *some* rows, e.g. every 5<sup>th</sup> row. Call pre-calculated rows *checkpoints*.

		<i>Tally</i>		
$F$	$L$	<b>a</b>	<b>b</b>	
<b>\$</b>	<b>a</b>	1	0	Checkpoint 1
<b>a</b>	<b>b</b>			
<b>a</b>	<b>b</b>			
<b>a</b>	<b>a</b>			
<b>a</b>	<b>\$</b>			
<b>b</b>	<b>a</b>	3	2	Checkpoint 2
<b>b</b>	<b>a</b>			

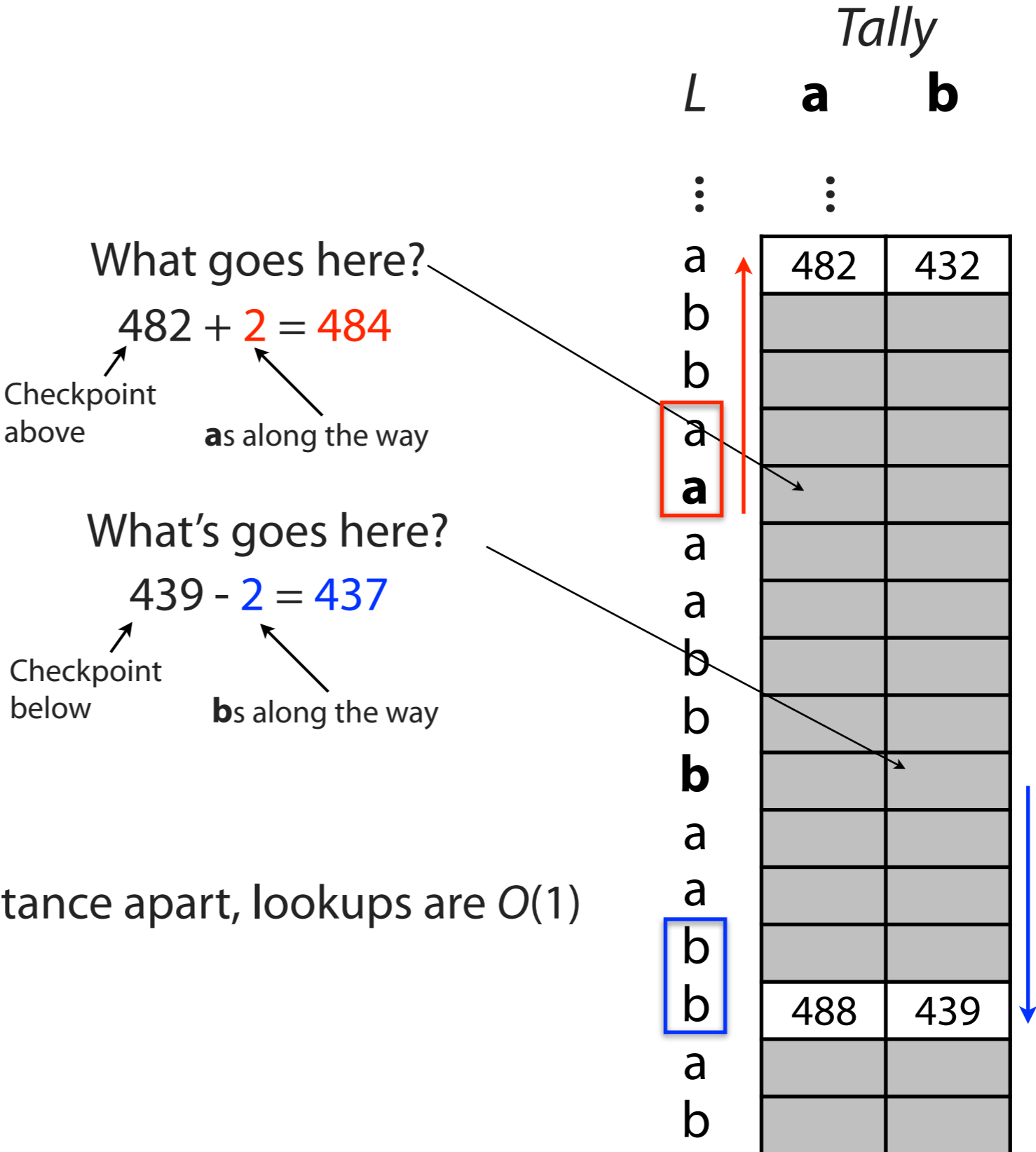
# FM Index: fast rank calculations

Next idea: pre-calculate # **a**s, **b**s in  $L$  up to *some* rows, e.g. every 5<sup>th</sup> row. Call pre-calculated rows *checkpoints*.

$F$	$L$	Tally		
		<b>a</b>	<b>b</b>	
\$	<b>a</b>	1	0	← Lookup here succeeds as usual
<b>a</b>	<b>b</b>			
<b>a</b>	<b>b</b>			
<b>a</b>	<b>a</b>			
<b>a</b>	\$			← Oops: not a checkpoint
<b>b</b>	<b>a</b>	3	2	← But there's one nearby
<b>b</b>	<b>a</b>			

To resolve a lookup for a non-checkpoint row, walk to nearest checkpoint. Use tally at that checkpoint, *adjusted for characters we saw along the way*.

# FM Index: fast rank calculations



If checkpoints are  $O(1)$  distance apart, lookups are  $O(1)$

# FM Index: a few problems

Solved! At the expense of adding checkpoints ( $O(m)$  integers) to index.

(1)

$F$						$L$
\$	a	b	a	a	b	$a_0$
$a_0$	\$	a	b	a	a	$b_0$
$a_1$	a	b	a	\$	a	$b_1$
$a_2$	b	a	\$	a	b	$a_1$
$a_3$	b	a	a	b	a	\$
$b_0$	a	\$	a	b	a	$a_2$
$b_1$	a	a	b	a	\$	$a_3$

This scan is  $O(m)$  work

$O(1)$  with checkpoints

(2) Ranking takes too much space

$m$  integers

```
def reverseBwt(bw):  
    """ Make T from BWT(T) """  
    ranks, tots = rankBwt(bw)  
    first = firstCol(tots)  
    rowi = 0  
    t = "$"  
    while bw[rowi] != '$':  
        c = bw[rowi]  
        t = c + t  
        rowi = first[c][0] + ranks[rowi]  
    return t
```

Still  $O(m)$  space to store checkpoints, but we control the constant

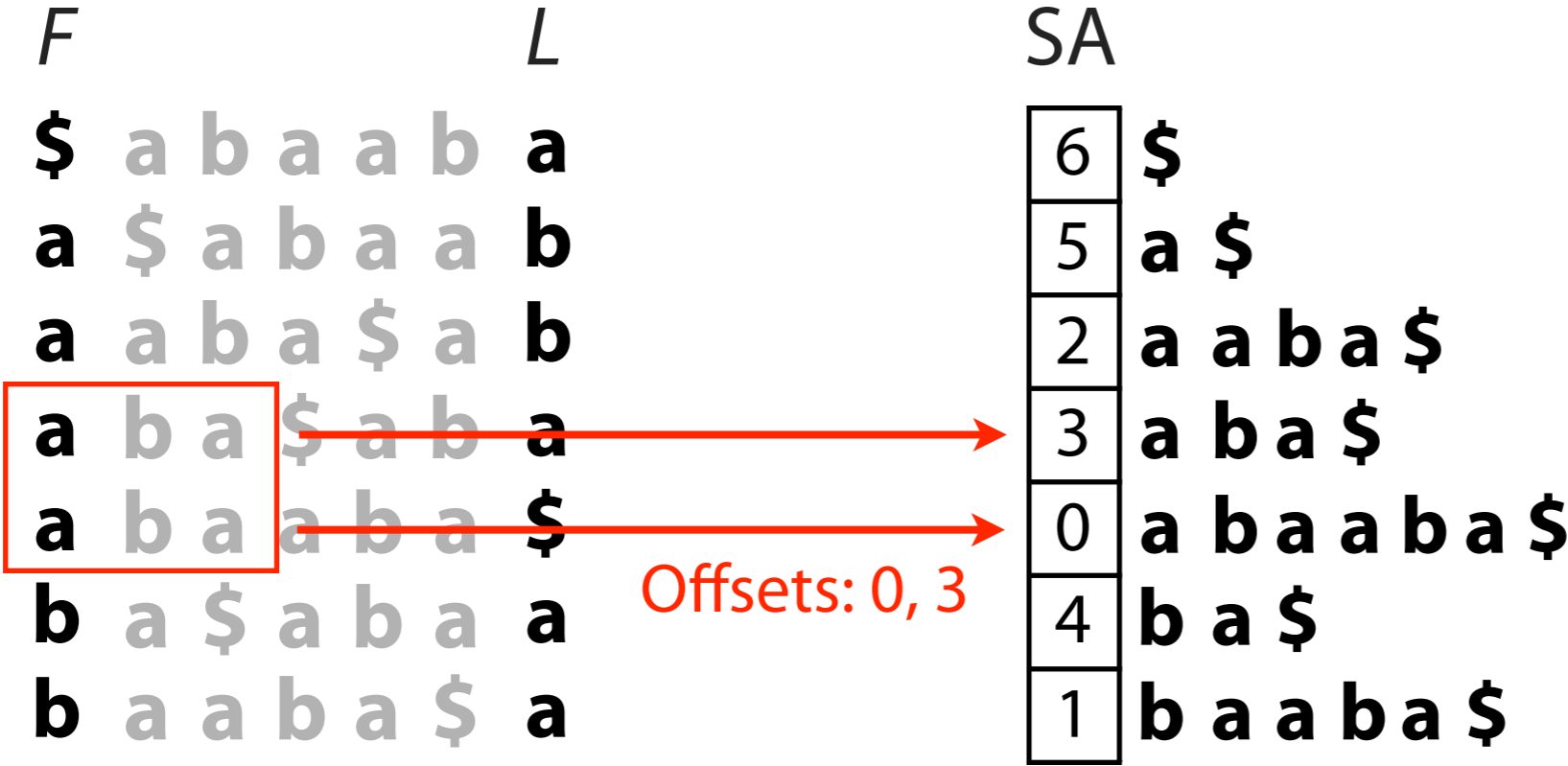
# FM Index: a few problems

Not yet solved:

**(3)** Where are these occurrences in  $T$ ?

\$	a	b	a	a	b	a <sub>0</sub>
a <sub>0</sub>	\$	a	b	a	a	b <sub>0</sub>
a <sub>1</sub>	a	b	a	\$	a	b <sub>1</sub>
a <sub>2</sub>	b	a	\$	a	b	a <sub>1</sub>
a <sub>3</sub>	b	a	a	b	a	\$
b <sub>0</sub>	a	\$	a	b	a	a <sub>2</sub>
b <sub>1</sub>	a	a	b	a	\$	a <sub>3</sub>

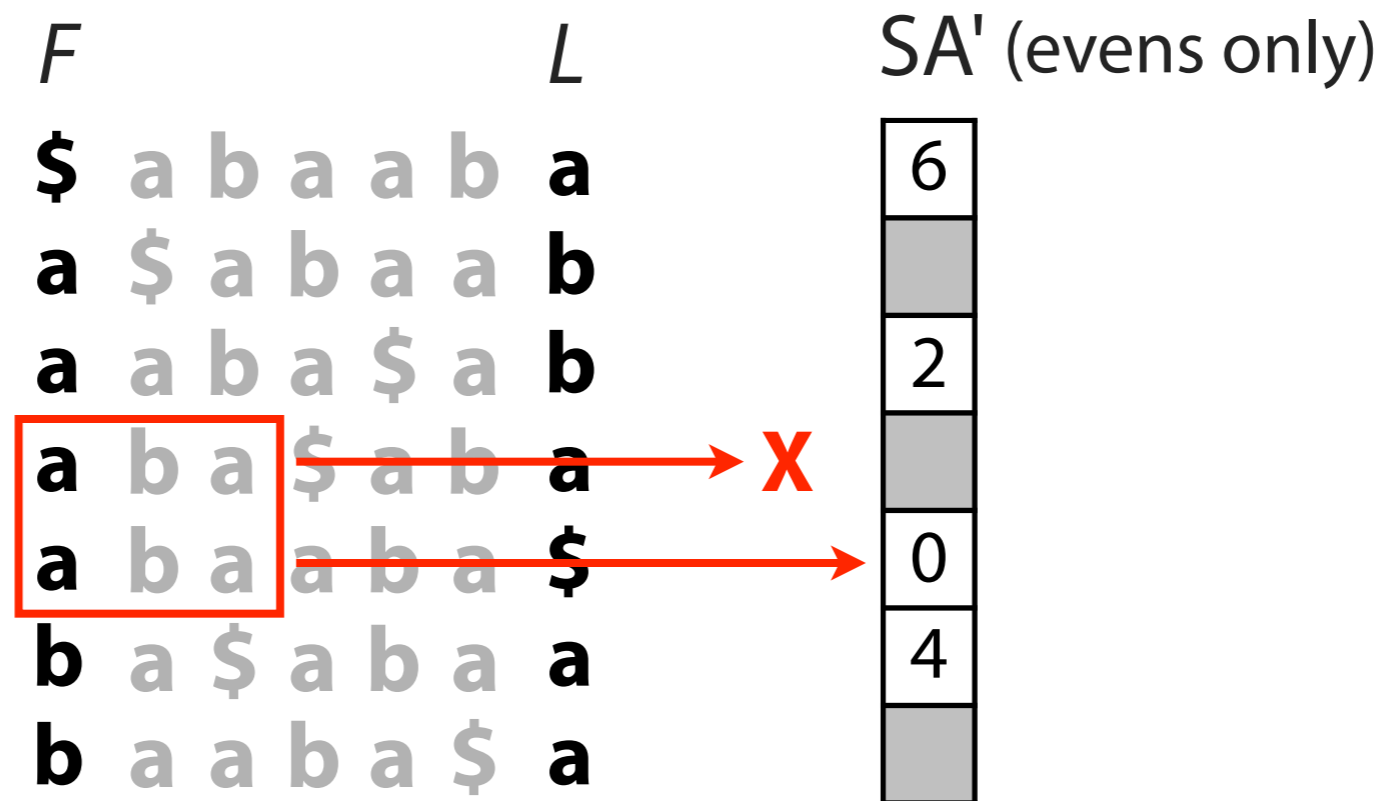
If we had suffix array, we could look up offsets...



...but we don't; we are trying to avoid storing  $m$  integers

# FM Index: resolving offsets

Idea: store some suffix array elements, but not all



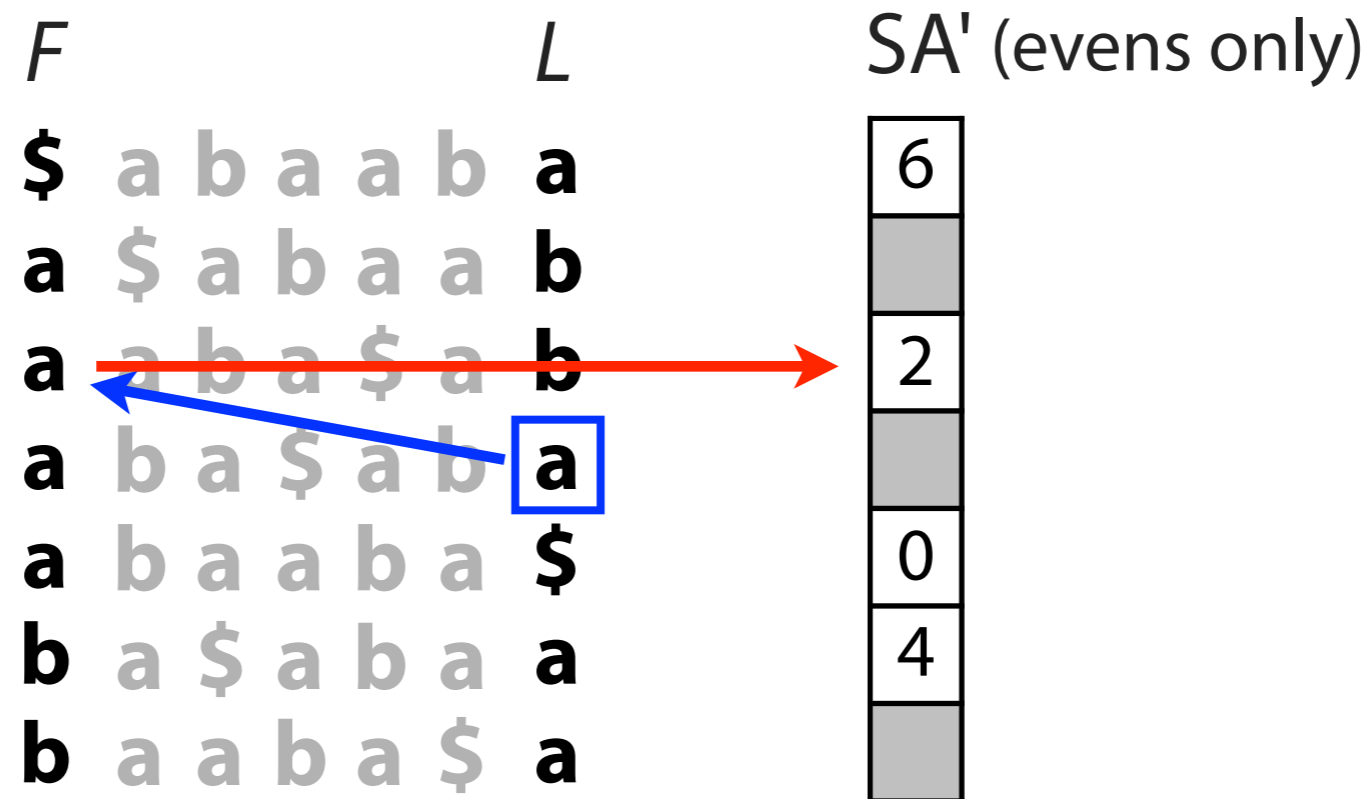
Lookup for row 4 succeeds

Lookup for row 3 fails - SA entry was discarded



# FM Index: resolving offsets

LF Mapping tells us that "a" at the end of row 3 corresponds to...  
 ... "a" at the beginning of row 2



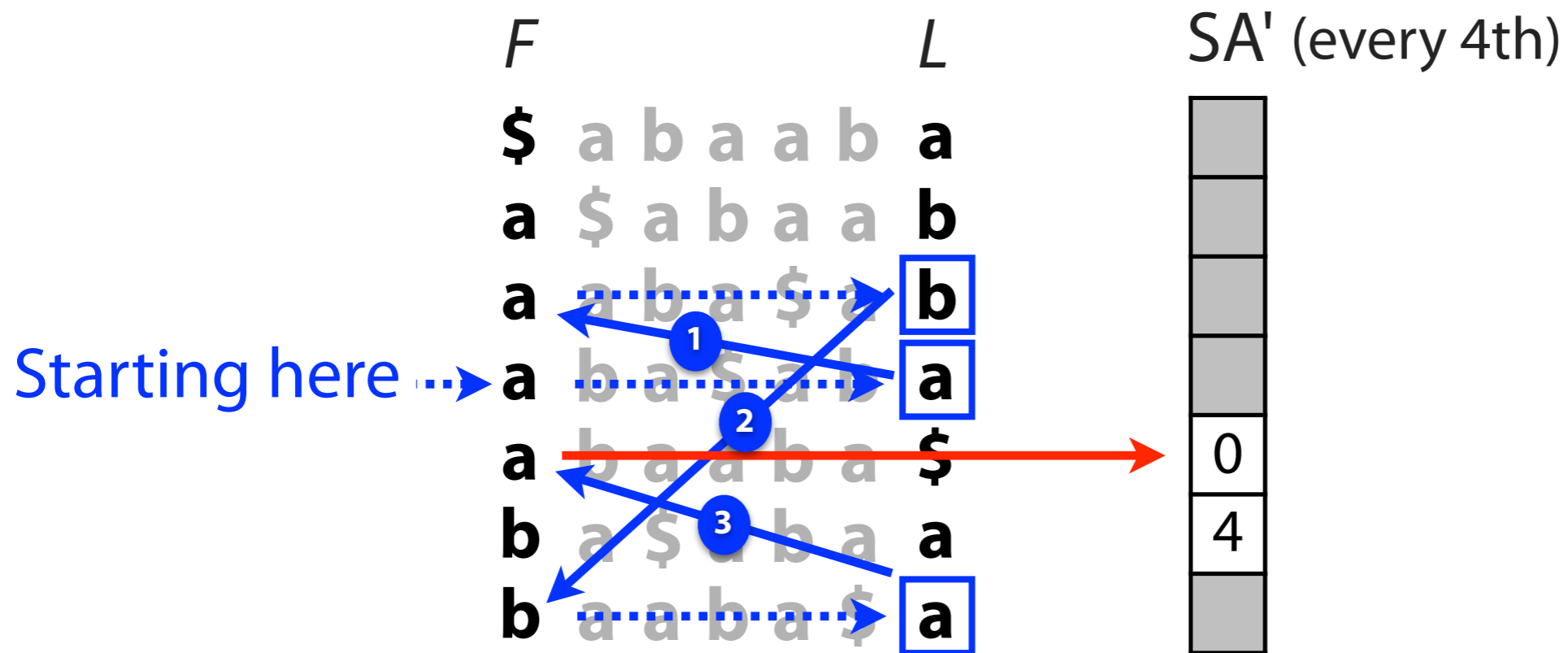
Row 2 of suffix array = 2

Missing value in row 3 = 2 (row 2's SA val) + 1 (# steps to row 2) = **3**

If saved SA values are  $O(1)$  positions apart in  $T$ , resolving offset is  $O(1)$  time

# FM Index: resolving offsets

Many LF-mapping steps may be required to get to a sampled row:



Missing value = 0 (SA elt at destination) + 3 (# steps to destination) = **3**

# FM Index: problems solved

Solved! At the expense of adding some SA values ( $O(m)$  integers) to index  
Call this the "SA sample"

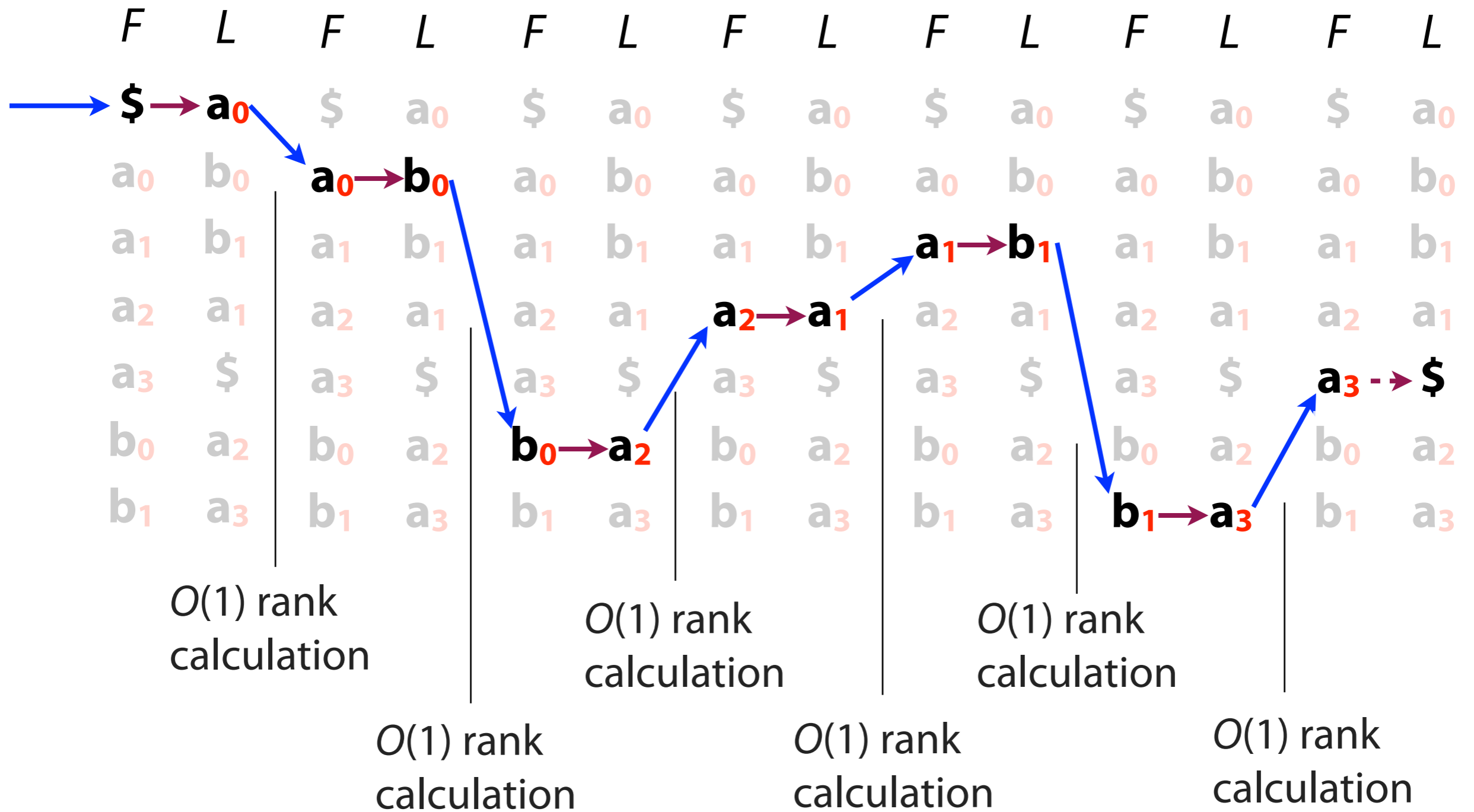
**(3)** Need a way to find where these occurrences are in  $T$ :

\$	a	b	a	a	b	a <sub>0</sub>
a <sub>0</sub>	\$	a	b	a	a	b <sub>0</sub>
a <sub>1</sub>	a	b	a	\$	a	b <sub>1</sub>
a <sub>2</sub>	b	a	\$	a	b	a <sub>1</sub>
a <sub>3</sub>	b	a	a	b	a	\$
b <sub>0</sub>	a	\$	a	b	a	a <sub>2</sub>
b <sub>1</sub>	a	a	b	a	\$	a <sub>3</sub>

**With SA sample we can do this in  
 $O(1)$  time per occurrence**

# FM Index

$$|T| = m$$



Reversing BWT( $T$ ) in FM Index is  $O(m)$  time

# FM Index

$$|T| = m, |P| = n$$

$P = \mathbf{aba}$

$P = \mathbf{aba}$

$P = \mathbf{aba}$

<i>F</i>					<i>L</i>
\$	a	b	a	a	b a <sub>0</sub>
a <sub>0</sub>	\$	a	b	a	a b <sub>0</sub>
a <sub>1</sub>	a	b	a	\$	a b <sub>1</sub>
a <sub>2</sub>	b	a	\$	a	b a <sub>1</sub>
a <sub>3</sub>	b	a	a	b	a \$
b <sub>0</sub>	a	\$	a	b	a a <sub>2</sub>
b <sub>1</sub>	a	a	b	a	\$ a <sub>3</sub>

<i>F</i>					<i>L</i>
\$	a	b	a	a	b a <sub>0</sub>
a <sub>0</sub>	\$	a	b	a	a b <sub>0</sub>
a <sub>1</sub>	a	b	a	\$	a b <sub>1</sub>
a <sub>2</sub>	b	a	\$	a	b a <sub>1</sub>
a <sub>3</sub>	b	a	a	b	a \$
b <sub>0</sub>	a	\$	a	b	a a <sub>2</sub>
b <sub>1</sub>	a	a	b	a	\$ a <sub>3</sub>

<i>F</i>					<i>L</i>
\$	a	b	a	a	b a <sub>0</sub>
a <sub>0</sub>	\$	a	b	a	a b <sub>0</sub>
a <sub>1</sub>	a	b	a	\$	a b <sub>1</sub>
a <sub>2</sub>	b	a	\$	a	b a <sub>1</sub>
a <sub>3</sub>	b	a	a	b	a \$
b <sub>0</sub>	a	\$	a	b	a a <sub>2</sub>
b <sub>1</sub>	a	a	b	a	\$ a <sub>3</sub>

2 O(1) rank calculations

2 O(1) rank calculations

Determining of  $P$  occurs in  $T$  in FM Index is  $O(n)$  time



# FM Index

Components of FM Index:

First column ( $F$ ):	$\sim  \Sigma $ integers
Last column ( $L$ ):	$m$ characters
SA sample:	$m \cdot a$ integers, $a$ is fraction of SA elements kept
Checkpoints:	$m \cdot  \Sigma  \cdot b$ integers, $b$ is fraction of tallies kept

For DNA alphabet (2 bits / nt),  $T =$  human genome,  $a = 1/32$ ,  $b = 1/128$ :

First column ( $F$ ):	16 bytes
Last column ( $L$ ):	2 bits * 3 billion chars = 750 MB
SA sample:	3 billion chars * 4 bytes / 32 = $\sim$ 400 MB
Checkpoints:	3 billion * 4 alphabet chars * 4 bytes / 128 = $\sim$ 400 MB

(blue indicates what we can adjust by changing  $a$  &  $b$ )

Total  $\approx$  1.5 GB

$\sim$ 0.5 bytes per input char

# FM Index: small memory footprint

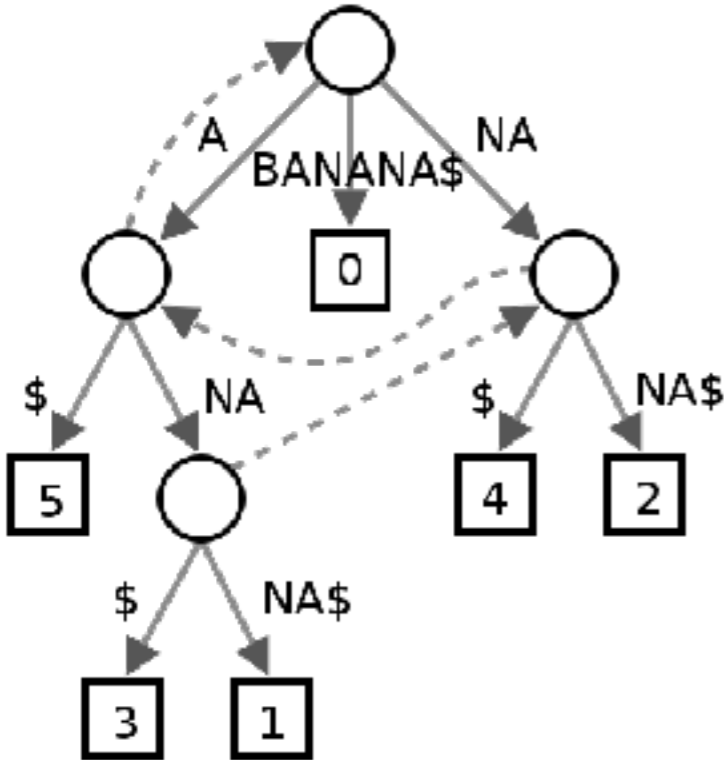
Paolo Ferragina, and Giovanni Manzini. "Opportunistic data structures with applications." *Foundations of Computer Science, 2000. Proceedings. 41st Annual Symposium on*. IEEE, 2000.

FM Index described here is simplified version of what's described in paper

Also discussed in paper: compressing  $BWT(T)$  for further savings (and selectively decompression portions of it at query time)



# FM Index: small memory footprint



Suffix tree  
 $\geq 45$  GB

6	\$
5	A\$
3	ANA\$
1	ANANA\$
0	BANANA\$
4	NA\$
2	NANA\$

Suffix array  
 $\geq 12$  GB

<b>\$</b>	<b>BANANA</b>
<b>A</b>	<b>\$BANAN</b>
<b>ANA</b>	<b>\$BAN</b>
<b>ANANA</b>	<b>\$B</b>
<b>BANANA</b>	<b>\$</b>
<b>NA</b>	<b>\$BANA</b>
<b>NANA</b>	<b>\$BA</b>

**FM Index**  
 $\sim 1.5$  GB

# Suffix index bounds

	<b>Suffix tree</b>	<b>Suffix array</b>	<b>FM Index</b>
Time: Does $P$ occur?	$O(n)$	$O(n \log m)$	$O(n)$
Time: Count $k$ occurrences of $P$	$O(n + k)$	$O(n \log m)$	$O(n)$
Time: Report $k$ locations of $P$	$O(n + k)$	$O(n \log m + k)$	$O(n + k)$
Space	$O(m)$	$O(m)$	$O(m)$
Needs $T$ ?	<i>yes</i>	<i>yes</i>	<i>no</i>
Bytes per input character	$>15$	$\sim 4$	$\sim 0.5$

$m = |T|, n = |P|, k = \# \text{ occurrences of } P \text{ in } T$