#### LETTER

# **Sequence Assembly with CAFTOOLS**

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Large-scale genomic sequencing requires a software infrastructure to support and integrate applications that are not directly compatible. We describe a suite of software tools built around the Common Assembly Format (CAF), a comprehensive representation of a sequence assembly as a text file. These tools form the backbone of sequencing informatics at the Sanger Centre and the Genome Sequencing Center. The CAF format is intentionally flexible, and our Perl and C libraries, which parse and manipulate it, provide powerful tools for creating new applications as well as wrappers to incorporate other software. The tools are available free by anonymous FTP from ftp://ftp.sanger.ac.uk/pub/badger/.

Genomic sequencing is now a semi-industrial process that is being increasingly automated. The amount of finished sequence produced in large centers worldwide more than doubles each year. This effort has required a huge investment in bioinformatics, and new software is under continual development both within these centers and in the wider academic community. High-throughput sequence assembly is a complicated multistep pipeline, using many pieces of software, and we as users want to be in a position to use the best set of software tools, even if this causes problems reconciling the various data formats they use. In addition, because more than one tool may be suitable for the same task (e.g., for manually editing sequence assemblies) we also want to offer alternatives within the same framework.

Consequently we require a system that is flexible enough for us to evaluate and incorporate new software as it emerges and yet is easy to maintain and use. We have not found any existing product that meets these requirements completely, so our solution to this problem was to create the Common Assembly Format (CAF), a complete textual description of a sequence assembly, together with Perl and C libraries for parsing and manipulating CAF files, and applications written with these libraries to perform tasks for which no third-party software exists.

<sup>5</sup>Corresponding author. E-MAIL richard mott-1@sbphrd.com; FAX 44 1279 622200. The purpose of this paper is threefold: (1) to describe CAF and its associated software package CAFTOOLS; (2) to illustrate their use for genomic sequencing at the Sanger Centre; and (3) to propose CAF as a standard format for developers and sequencing centers.

## The CAF

## Overview

CAF is a restriction of the data file format (.ace file format) conforming to a specific acedb (http:// www.sanger.ac.uk/Software/Acedb/) schema for describing sequence assemblies. It is acedbcompliant, although using CAF does not require the use of acedb. A full acedb schema for CAF can be found at the official CAF web site, http:// www.sanger.ac.uk/Software/CAF/. CAF is designed to be sufficiently comprehensive that any assembly engine/editor such as phrap (P. Green, pers. comm.), consed (Gordon et al. 1998), gap4 (Bonfield et al. 1995), acembly (J. Thierry-Mieg, unpubl.), FAKII (Larson et al. 1996; Myers 1996), and so forth, can derive all of the information it needs from the CAF file without reading any other data, except for trace information that is held in standard chromatogram format (SCF) files (Dear and Staden 1992). We have written tools to convert to and from each of these systems. Note that because CAF describes a superset of sequence attributes, passing an assembly through any of these editors may result in loss of information.

A sequence assembly is essentially a set of contigs, each contig being a multiple alignment of reads. In outline, the information we may need to store about each sequence is

- 1. The DNA sequence.
- 2. The base quality (a list of numbers indicating the confidence that the corresponding base in the sequence is correct).
- 3. The base positions (for reads only: a list of numbers indicating the location of the corresponding base within the SCF trace).
- 4. General properties (for reads only) such as the sequence template, name of corresponding trace file, etc.
- 5. Tags (regions of the sequence with some property, e.g., matching vector, repeat sequence, etc.).
- 6. Alignment of DNA onto the constituent reads, in the case of contigs, or of DNA onto original base calls in the case of reads.

CAF supports all of these features. In CAF the information associated with the sequence *Name* is divided into a maximum of four data types, which are represented as separate paragraphs of text, separated by blank lines, with header lines.

DNA : Name

1. the DNA sequence

BaseQuality : Name

2. the base quality information for the DNA

BasePosition : Name

3. the base position information for the DNa, ie the trace coordinates

Sequence : Name

4-6. all other information about the sequence

Throughout this paper, we will use Courier font for CAF reserved words and Italic Courier for CAF variables. The order of paragraphs within a CAF file is arbitrary. The BaseQuality and BasePosition types are optional but the DNA and Sequence types are mandatory. Contigs and reads have the same DNA and BaseQuality types but specialized Sequence subtypes. DNA sequence is represented as consecutive lines of text following DNA: Name. Base quality is represented as lines of space-separated integers following BaseQuality: Name. The number of quality values must equal the length of the DNA. Base positions are represented similarly following BasePosition: Name.

The format of the data following a Sequence:

Name is variable. The minimum requirement is to specify the type (Is\_Read or Is\_Contig) and state (Padded or Unpadded, see the examples below). For clarity, we divide the Sequence data into simple and coordinate-sensitive attributes.

## Simple Sequence Attributes

Sequence attributes that are not linked to coordinates have the general format

## Attribute type Value(s)

For example, the CAF fragment in Figure 1 describes the sequence attributes of the read hh26e2.s1. Comments start with // and continue to the end of the line. New simple attributes can be created without constraint because CAFTOOLS will treat unrecognized attributes as text to be carried along unchanged with the associated Sequence object. The order of the attributes is arbitrary. Figure 1 details the most important and commonly used attributes, and a full list may be found at our web site.

## Alignments and Coordinate-Sensitive Data

Those data that are coordinate dependent, for example, alignments and tags, are more structured because they must be parsed so that they can mirror changes to their associated DNAs. For example, editing, padding, or depadding a sequence alters the corresponding tag coordinates. The CAFTOOLS handle these changes transparently.

CAF stores two levels of alignment—that of the contig DNA to the read DNA, and that of the read DNA to the original base calls in the SCF trace. The alignment of a read onto a contig is represented by a series of statements of the form

which means coordinates c1 to c2 in the contig align with r1 to r2 in the read. Coordinates start at 1. If c1 > c2 then the statement means align the reverse complement of r1 to r2 in the read. The lengths |c1-c2| and |r1-r2| must be the same. The alignment of a read to its original base calls in the SCF trace is similar:

that is, coordinates r1 to r2 in the read correspond with t1 to t2 in the trace. Align\_to\_SCF is only applicable when the base positions of the DNA can be derived from the base position information held in the corresponding SCF trace files (recall that an SCF trace stores the trace data, the original base

```
Sequence : hh26e2.s1
                                // Header
Is_Read
                                // Sequence sub-type
Padded
                                // Padded state
                                // Name of SCF trace file
// Name of DNA template or subclone
SCF_File hh26e2.s1SCF
Template hh26e2
Dye Dye_primer
                                // Dve chemistry
Primer Universal_primer
                                // Type of primer
                                // Forward or Reverse strand
Strand Forward
ProcessStatus PASS
                                // Pass/Fail verdict from ASP
Sequencing_vector ml3mp18
                                // Subcloning vector
Insert_size 1400 2000
                                // Size range of subclone insert.
Seq_vec SVEC 1 34
                                // Sequencing vector clipping
                                // High quality part of read
Clipping QUAL 5 357
Clone cN104C4
                                // Name of parent bacterial clone
Asped 1996-08-28
                                // Date sample was preprocessed by ASP
```

Figure 1 An example showing how the attributes of the read hh26e2.s1 are described as a CAF Sequence object. The text following the // on each line are comments. This example illustrates most of the commonly used CAF read attributes.

calls, and the mapping of each called base onto the trace). For certain purposes, for example, consed, we can override the SCF base calls and their positions by storing the coordinates explicitly in a BasePosition paragraph, in which case there is no need to use Align to SCF.

CAF supports padded and unpadded alignments. Padded means that gaps (-) have been inserted where required in the contigs and their aligned reads so that there is a one-to-one correspondence between the aligned sequences. In a padded assembly, there is exactly one Assembled\_from line for each aligned read in a contig, and the DNA objects contain – padding characters.

In an unpadded alignment, all of the pads are removed from the DNA objects and there are multiple Assembled\_from lines for each read in a contig. Within each Assembled\_from line there is still a one-to-one correspondence between the read and contig.

Some applications, for example, auto-editor (described in Table 1B) and gap4, require padded alignments. Others (e.g., applications that screen the DNA against known sequences like repeats) require unpadded. The programs caf\_pad and caf\_depad allow one to move transparently between padded and unpadded states, without losing information. In a padded alignment with BaseQuality information it is necessary to attach a quality value to each pad to keep the lengths equal. By convention this is interpolated from neighboring BaseQuality values. BasePosition data are treated similarly.

We illustrate these ideas with a hypothetical example. Suppose the alignment of Read\_X to Contig\_Y is

Read\_X GCTGCCTTCGC-TTAAAA
Contig Y CAGCTGC-TTAGCGCTTAAAA

In padded coordinate space, positions [1,19] in Read X align with [3,21] in Contig Y. However, the presence of pads in Read X makes its alignment to its trace SCF X complicated. Figure 2A shows a fragment of a CAF file describing the padded alignment. Note that the alignment of the read to the contig is attached to the contig's sequence data and not the read's. The equivalent unpadded description is shown in Figure 2B, where the coordinates now refer to the unpad-

ded sequences. Note also that the alignment of the read DNA sequence onto the underlying base calls in the SCF file will change if insertions or deletions have been made to the read.

The other major type of coordinate-sensitive data to consider is the tag. A tag is a region of a sequence with some property. The format must be one of

```
Tag Type x1 x2 Comment

Seq_vec Method x1 x2 Comment

Clone_vec Method x1 x2 Comment

Clipping Method x1 x2 Comment
```

The Tag attribute means that positions x1 to x2 of the sequence have property Type, optionally with the free text Comment. This is used extensively to mark regions matching repeat sequences, or those that have been automatically edited with autoeditor. The special tags Seq\_vec, Clone\_vec, and Clipping are reserved for regions that match sequencing vector, cloning vector, or are high quality. These are held inside CAFTOOLS as separate data structures. Their Method attribute is used to indicate which algorithm was used to generate the relevant coordinates (e.g., so that different quality clip points can be represented).

Finally, CAF supports the phrap concept of the "golden path" of a contig. This is a sequence of abutting intervals covering the contig's DNA, such that each interval of the contig is associated with the read with locally the highest base quality. The format is a series of lines

```
Golden path Read x1 x2
```

# Table 1. Summary of the CAFTOOLS

A. General CAF utilities, including tools for communication with other software

general CAF utilities

caf\_pad Converts an unpadded assembly to a padded one. All coordinate-dependent data are updated (written

in C).

caf\_depad Inverse of caf\_pad (C).

cafcat Concatenates and consolidates multiple CAF files into a single file. Also reports semantic errors (C).

Cafmerge Merges two CAF files, replacing duplicated objects rather than concatenating them (cf. cafcat) (C).

Caf2phrap Extracts a subset of sequences from a CAF file into three files; (1) FASTA DNA; (2) base quality; (3) CAF

stub of remaining attributes. This is used to prepare data for phrap but also provides a general way

to extract FASTA sequence data from CAF (C).

assembler support

caf\_phrap Takes a CAF file and an optional list of reads, assembles them with phrap and creates a new CAF file

describing the assembly. No other postprocessing is done.

caf\_fak Similar Perl wrapper for FAKII.

acembly support

caf2bly Converts a CAF file into an acembly database. bly2caf Exports a CAF file from an acembly database.

caf\_bly Takes a CAF file and a script command file, reads a CAF file into an acembly database, performs the

script, re-exports a CAF file on standard output and cleans up.

gap support

caf2gap Converts a CAF file into a gap4 database. All CAF tags are converted to their gap4 equivalents (C).

gap2caf Creates a CAF representation of data in a gap4 database (C).

exp2caf Converts Staden Experiment files into CAF.

update\_caf

consed support

consed2caf Converts a phrap assembly or a consed database into CAF.

consed2gap Converts a phrap assembly or consed database into a gap4 database.

caf2phd Converts CAF reads to phred PHD files required for consed.

phd2caf Converts phred PHD files to CAf.

B. Specialized processing tools. Programs are written in Perl unless indicated otherwise.

tag generators

cafvector caftagfeature These wrappers extract contig sequence from CAF, screen it using blast or cross\_match against a

library of sequences, and create tags for any matches found.

cafalu cafcgi

auto-editor

np\_edit Proposes edits for an assembly by examining the SCF traces in the context of the alignment. A new

CAF file is generated listing the suggested edits as special edit tags that are parsed and acted on by

nd\_edit (C).

nd\_edit Makes the edits proposed by np\_edit. Editing will change the DNA sequences of the reads. nd\_edit

modifies the coordinates of all tags and base qualities appropriately (C).

clipping

nd\_clip Clips back all assembled reads according to the Clipping tags. We use this to postprocess phrap

assemblies to restrict aligned reads to their higher-quality regions (C).

cafsplit Alternative to ne\_clip. Splits contigs at holes.

finishing

finish

Analyzes the assembly to choose directed reads for the purpose of finishing.

Checks assembly for finishing errors and regions of insufficient sequence coverage.

clone overlap data management

Readraid Incorporates SCF traces and sequence of reads from overlapping regions of neighboring clones in the

physical map.

Conraid Incorporates consensus sequence from overlapping regions of neighboring clones.

| Α                       |                              | В  |
|-------------------------|------------------------------|--|
|                         | Contig_Y<br>GC-TTAGCGCTTAAAA | DNA : Contig_Y<br>CAGCTGCTTAGCGCTTAAAA               |
| Seque<br>Is_co<br>Padde |                              | Sequence : Contig_Y<br>Is_contig<br>Unpadded         |
| Assem                   | mbled_from Read_X 3 21 1 19  | Assembled_from Read_X 3 7 Assembled_from Read_X 8 12 |
|                         | Read_X<br>CTTCGCTTAAAA       | Assembled_from Read_X 15 20 1                        |
|                         |                              | DNA : Read_X   |
| Seque<br>Is re          | ence : Read_X<br>ead         | GCTGCCTTCGCTTAAAA                                    |
| Padde                   | ed                           | Sequence : Read_X                                    |
|                         | ile Read_X.SCF               | Is_read  |
|                         | _to_SCF 1 11 1 11            | Unpadded   |
| Align                   | _to_SCF 14 19 12 17          | SCF_File Read_X.SCF Align to SCF 1 17 1 17           |
|                         |                              | ALIUH LO SUF I   /     /                             |

Figure 2 An example alignment in CAF, when the sequences are padded (A) and when they are unpadded (B).

meaning Read provides the golden path for the interval [x1, x2]. Complete examples of CAF files can be found on our CAF web site.

## The CAFTOOLS

We have written two libraries for reading, manipulating, and writing CAF files:

- Perl-5 libraries, which are easy to use and are convenient for creating wrappers for software written by third parties. The general procedure is to extract the relevant data from the input CAF file, convert it into the format required by the program, run the application, parse the output back into CAF, and write an updated CAF file. For example, the CAF tagging applications are based on this model.
- 2. ANSI-C libraries, which are less flexible but are much faster and can handle very large data sets (up to 50,000 reads) without using too much memory. They also perform much more stringent data checking and understand which information is position-sensitive, so that coordinates are automatically changed in concert with DNA modifications. They also provide error checking that reports (a) references to nonexistent sequences, (b) sequence coordinates out of range (compared with length of DNA), (c) inconsistent alignments, and (d) mixed or unspecified pad states. They are suited for writing computationally intensive applications, such as the autoeditor, which requires access to trace data. Applications written with the C libraries can pad or depad the input data as required by a single function call. They can also handle multiple CAF databases simultaneously in different name spaces.

CAFTOOLS have been tested extensively under Digital Alpha OSF and Sun Solaris UNIX but should work on most UNIX platforms. They do not provide graphics. Most of the applications that we have written with the libraries act as UNIX-style filters, reading a CAF file on standard input, modifying it, and writing a new CAF on standard output. Command-line switches can modify the function of many applications. The only exceptions are those that split the CAF into multiple files (e.g., to prepare data for processing by phrap) or that merge multiple CAF files into one. This means it is

possible to pipe together many processing modules in one command. For example, to auto-edit a gap4 database GAPDB.0 one could type

```
gap2caf -project GAPDB -version 0
-preserve | np_edit -scf | nd_edit
| caf2gap -project GAPDB -version 1
```

This will create a new edited database GAPDB.1. (The -preserve switch ensures that the internal gap4 numbering of the sequences is retained. We use a special attribute, Staden\_id, for this purpose.) In practice, we chop up the assembly pipeline at significant breakpoints and write intermediate temporary CAF files to disk so that we can switch modules more easily and perform a postmortem if an error occurs. Full details of how to run each application, including all command-line options, may be found on our web site. Table 1 summarizes the more important utilities and applications written using CAFTOOLS.

Most of the utilities run in under 10 elapsed sec on a cosmid-sized CAF file. The applications are slower, for example, the auto-editor takes 2–3 min to edit a cosmid (40 kb, ~1000 reads). We can process a cosmid through our complete assembly pipeline in ~15 min on a 433 Mhz DEC Alpha processor.

# The Sequence Assembly Pipeline

CAFTOOLS are best illustrated by their use at the Sanger Centre and the Genome Sequencing Center. We use the following pipeline at the Sanger Centre for assembling reads from a bacterial clone (e.g., a cosmid or BAC) into contigs. Most genome sequencing centers that use shotgun sequencing follow a

broadly similar work flow. Figure 3 summarizes the pipeline and shows how CAF is integrated into it.

#### **Preprocessing**

As each sample comes off a sequencing machine, we preprocess it using asp (Automated Sequence Preprocessor) (M. Wendl, S. Dear, D. Hodgson, and L. Hillier, in prep.). asp is a chain of modules written in Perl, some of which call C programs, for example, phred (Ewing and Green 1998) and svec\_clip (Mott 1998). At the Sanger Centre, asp performs the following operations:

- Query a central database to determine the worldunique name of the sample, the name of the parent clone (the "project"), the sequencing chemistry, the expected insert size, the sequencing vector, and the priming and cloning sites.
- Base-call the sample using phred creating an SCF trace file and a file of phred base quality indices.
- 3. Determine quality clip points (i.e., the good-quality part of the read) from the phred base qualities. To do this we subtract 15 from each base quality index and then find left L and right R clip points such that the sum of adjusted quality values from L to R is a maximum.

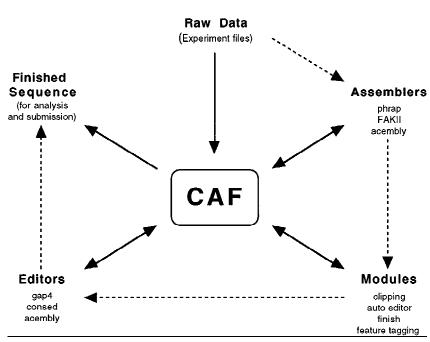


Figure 3 How CAF and CAFTOOLS are used in the sequence assembly pipeline. Broken arrows show the order in which data are processed; the solid arrows indicate actual data flow and how CAF is used as an interchange mechanism.

- 4. Identify sequencing vector clip points by alignment of the original SCF trace to the expected vector sequence (svec clip).
- 5. Screen the sequence against *Escherichia coli* and other possible contaminants.

Each sample processed by asp generates an Experiment file (Bonfield and Staden 1996) containing all the information generated about the sample in the run. A sample can be "failed" by asp if it has no high-quality region, is completely sequencing vector, or matches a contaminant. Samples that are passed by asp are moved, together with their associated trace files, into the relevant project directory for assembly. asp reports the fate (Pass or Failure, and the reason for failure) of each sample to a central database. The sequence assembly process will only start once the number of samples exceeds a threshold, typically ~600 reads for a cosmid and ~2000 for a PAC.

## Assembly

The automated assembly process is controlled by a Perl script, phrap2gap. Each stage in the assembly pipeline is a module that accepts a CAF description of the current assembly, acts on it in some way, and

writes out a new CAF file. Each CAF is a complete and consistent description of the current state of the assembly. Therefore, it is relatively easy to add or replace modules provided they conform to this pattern. For example, we have added support for the editor consed, and for the sequence assembly engines FAKII and acembly. Figure 3 summarizes the pipeline. In greater detail, the steps are

- 1. Create a CAF file containing all of the raw data from individual Staden Experiment files (update caf, exp2caf).
- 2. Extract from the raw CAF input files required by the assembly engine phrap (essentially a file of sequences and a file of base qualities). Assemble into contigs with phrap and merge back with the other information held in the raw CAF. The result is a new CAF file com-

- pletely describing the reads and how they are assembled (caf\_phrap, caf2phrap, caf-merge).
- 3. Clip back the assembled reads to their high-quality regions determined previously by asp (nd\_clip). This process can occasionally create holes in contigs where no high-quality sequence occurs. phrap2gap offers the choice of splitting contigs (cafsplit) or re-extending reads back into their low quality parts to close the gaps (ne\_clip).
- 4. Auto-edit the assembled reads, referring back to the original trace data (np\_edit, nd\_edit). Depending on the depth of coverage, up to 90% of the edits can be made at an error rate of less than one mistake per 50 kb.
- Screen (using cafvector, cafalu, cafcgi, and caftagfeature) the assembled contigs against various sequence data sets (e.g., cloning vector, known repeats, transposons) and tag any matching regions.
- 6. Analyze the assembly to choose directed reads for gap closure and to resolve ambiguities with finish (G. Marth and S. Dear, in prep.).
- 7. Convert the edited, tagged assembly into a gap4 database for manual finishing (caf2gap).

Further finishing reads are incorporated to close gaps in the contigs and strengthen the consensus in poor quality regions. To do this the user has the choice of adding the new sequences individually into the gap4 database and auto-editing again, or reassembling all of the data from scratch.

This pipeline uses the third-party applications phrap, cross\_match (P. Green, pers. comm.), consed, blast (Altshul et al. 1990), and gap4 and two CAF applications auto-editor and finish, plus repeated use of several CAF utilities.

The Genome Sequencing Center uses a similar pipeline, except the auto-editing step is omitted and consed is used in place of gap4. The Center also performs an internal quality-checking step on the final assembly (cafcop, pcop) before the sequence is submitted for analysis.

## **DISCUSSION**

Historically, CAF dates from ~1993 to 1994, growing out of our need to combine the assembly editor gap4 with the assembly engine phrap and other applications. At that time no existing interchange format was wholly appropriate for the task, for example, the Staden Experiment file format then did not represent contigs as distinct entities and relied

on padded alignments. The early versions of CAF-TOOLS were entirely Perl-based. We developed the C libraries initially to support auto-editing but soon recognized that the efficiency gains made developing a full C library worthwhile, particularly as we were starting to shotgun sequence 120-kb PAC and BAC clones.

CAF is not the only textual representation of sequence assemblies to be proposed. Staden Experiment file format has been suggested previously as a basis on which to form a standard interchange format (Bonfield and Staden 1996). The Boulder format (Stein et al. 1994) is used at the Whitehead Institute for purposes similar to CAF.

CAF may be viewed as a synthesis of many of the best features of other systems. Many of the CAF sequence attributes have exact correlates in Staden Experiment files, although the format is different and the description of multiple alignments by Assembled from lines is similar to that used by acembly. We believe that CAF has the following advantages: (1) The plain text acedb file structure used by CAF means that files are easy to read and debug. (2) Holding all of the information about an assembly in a single file, rather than divided into individual sequence files makes it simpler to maintain consistent assemblies and to manipulate assemblies as single entities. (3) CAF is very flexible. We have been able to incorporate new software into our assembly pipeline relatively easily. (4) CAFTOOLS have been tested thoroughly and are in production use. Most of the total (to October 1997) 125 Mb of finished genomic DNA produced at our two sequencing centers was processed by some version of CAFTOOLS, and >50 Mbp was processed by the current version.

The Sanger Centre recently completed the 4.4-Mbp sequence of *Mycobacterium tuberculosis* (http://www.sanger.ac.uk/Projects/M\_tuberculosis/) using CAFTOOLS applied to sequence data from a mixture of cosmids and a whole-genome library. The final stages of this project would have been much more difficult to complete without the infrastructure that CAF provided. This illustrates the power and importance of CAF.

The Sanger Centre is currently sequencing other pathogens, using whole-genome or chromosome libraries. We have found that, in general, assemblies covering more than 1 Mbp of genomic sequence are rather large to hold as single CAF files, although feasible on machines with large memories. More importantly, the final assembly must be split into pieces small enough to be completed by an individual while maintaining the integrity of the entire

assembly. The natural solution is to store the CAF information in a database. It is possible to use acedb for this purpose. Alternatively, one can use a relational database for CAF, and at the Sanger Centre we are currently implementing CAF in Oracle. The database communicates with other software by reading and writing CAF files, so that we can still use our existing CAFTOOLS while we benefit from being able to manipulate subsets of the data in a safe and efficient way. These developments have also led us to explore the extension of the CAF model to support partially assembled groups of contigs, to exploit relative contig order information from forward/reverse read pairs and restriction-digest information, although this is not yet part of the public distribution.

We anticipate that CAF will undergo further modification but that its basic principles will remain intact. We welcome suggestions for changes and additions to CAF. Our hope is that CAF will become more widely used for describing sequence assemblies and that developers will make use of it to the benefit of the wider sequencing community. As all workers in the field of bioinformatics recognize, an inordinate amount of time is spent interconverting file formats, to the detriment of actual software development. After >2 years of intensive development, testing, and production use, we believe CAF and CAFTOOLS are well-positioned to offer an effective solution to these problems in the domain of sequence assembly.

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