#### Information Theory and Genomes

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Medical Bioinformatics
Natural Computing
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Life is information represented and processed at molecular level.

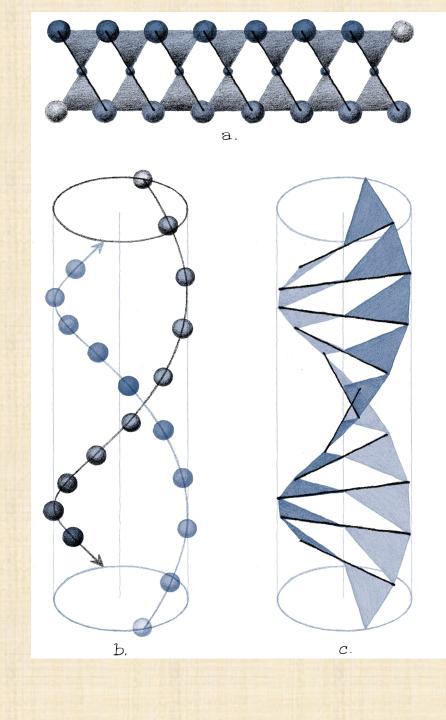
It "has born" when molecules were available to represent and to process information (polymers and membranes).

symbolic calculus (versus numerical/algebraic calculus) arose in 20° century from Mathematical Logic (formal and automatic information processing):

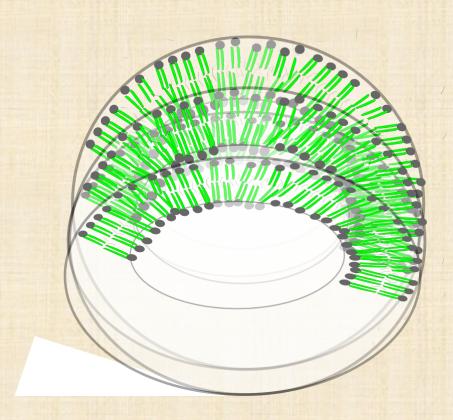
- 1) There exist processes mathematically definable, but uncomputable. Computation Limits
- 2) There exist universal computation machines able to perform any possible. Computation Power

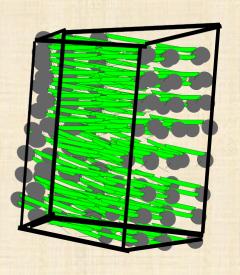
## Replication and Universality

 The existence of "universal" computation machines is based on algorithms of symbolic duplication (a program is the "mirror" of a machine within another one). Analogously, biological reproduction postulates mechanisms of duplication (ds DNA).









### **Probability and Information**

 Shannon 1948: The Information of an event is a function of its probability.

Probability is distribution (space of events).

# Probability crucial in the scienze since 20° century

- Cardano e Galileo : De ludo aleae
- Pascal e Fermat : Chevalier de Merè
- Jacob Bernoulli : urn and Bernoulli process : Ars Conjectandi
- De Moivre, Laplace e Bayes : gaussian curve and conditional probability
- Gauss: The chance law: errors follow the gaussian curve
- French, Russian, Italian Schools (Poisson, Cauchy, Borel, Chebicev, Kolmogorov, Cantelli, De Finetti): distributions, measure theory, laws of large numbers
- Boltzmann (Statistical Mechanics)
- English Statisticians (Galton, Pearson, Student, Fisher) Mathematical Statistics

### **Probability Pitfalls**

- A pilot has 2% probability of dying in each mission, what is the probability of dying in 50 missions?
- 2% x 50 = 100% **ERROR**!
- The same error of the game Chevalier de Meré pointed to Pascal
- The pilot has dead at n-th mission iff he survives in all the previous ones. Summing up from 1 a 49, with p = 0,02 we get:

$$p + (1-p)p + (1-p)^2p + ... + (1-p)^{49}p = 1 - (1-p)^{50} = 0.64$$

 $(1-p)^{50}$  is the probability of surviving up to 50° mission

#### Modus essendi / Modus conjectandi

Which way things are?

 Which is the probability that things are in a given way?

### Information Theory

- Communication (Hartley, Nyquist, Shannon)
- Coding Theory (Fano, Hamming, Reed, Solomon)
- Cryptography (Hellman, Rivest, Shamir, Adleman)
- Complexity (Kolmogovov, Chaitin) Computation, Chaos
- Cybernetics (Wiener, von Neumann, Langton)
- Foundations (Brillouin, Bennet, Landauer)
- Canonical Quantum Gravity (Wheeler, De-Witt)
- Metabiology (Conrad, Chaitin)
   Unification via Information (Carlo Rovelli's books)

Universe's ultimate mechanism for existence might be Information: "it from bit" (Wheeler's last speculation)

#### Distribution - Information

X variable assuming values with some multiplicities:

$$X_1, X_2, X_3, \dots, n_1, n_2, n_3, \dots$$

- If  $n = n_1 + n_2 + n_3$ , .....
- $n_1/n$ ,  $n_2/n$ ,  $n_3/n$ , ..... are frequencies
- $p_1$ ,  $p_2$ ,  $p_3$ , ..... are probabilities (measures of possibility of occurring)
- Shannon calls (X, p) Source of Information
- -Ig p<sub>e</sub> is the measure of the information of event e with probability p<sub>e</sub>

#### Information Paradoxes

Choice, Uncertainty, Information ???

Section 6 of Shannon's booklet (compare to: Learning/Ignorance/Knowledge)

The paradox is intrinsic to the notion of Event (someting that happens).

The **uncertainty** of E, before it happens, corresponds to the loss of uncertainty, that is, its **information**, when it happened. Both of them correspond to the number of events among which it was **chosen** to happen.

# Shannon's Approach (Al Kindi's intuition)

The meaning of a letter in a text is given by its frequency (Caesar Encoding breakdown)

Shannon – The Mathematical Theory of Communication (shannon48.pdf)

Cover & Thomas - Information Theory, Wiley, 1991

# Boltzmann's Tomb The epochal formula



### Thermodynamic Entropy

#### Carnot's Theorem

A thermodynamic machine between two heat sources:

M (boiler) at temperature T and M $_{\rm o}$  (condenser) at temperature T $_{\rm o}$ , with T > T $_{\rm o}$ , taking heat Q from M and

giving heat Q<sub>o</sub> to M<sub>o</sub> and transforms Q-Q<sub>o</sub> into mechanical work. In the best efficient machines:

$$Q_o / T_o = Q/T$$

When  $T_o = 1 Q_o$  is called entropy (Clausius) denoted by S therefore S = Q/T is minimum heat that M can release to a condenser at unitary temperature

(Proof: via reversible machines, automata theory style) Limit to the efficiency of thermodynamical machines

# The Second Principle of Thermodynamics

In any isolated system (with no energy exchange with the external world):

$$\Delta S \ge 0$$

$$S_{t+1} - S_t \ge 0$$

$$S_{t+1} \ge S_t$$

Where does ">" come from?

How this relates to Newton Mechanics where laws are equations?

# Time irreversibility as probabilistic consequence of complexity

**Boltzmann: S** of Carnot **is** proportional to the **logarithm of** the number **W** of microstates of the thermodynamical macrostate.

#### GAS

Microstate = position and speeds of all molecules

Let n be the number of particles and k their classes of velocities:

$$n = n_1 + n_2 + .....n_k$$

$$S = k \lg W (***)$$

- $W = n!/n_1! n_2! .....n_k!$   $n_i = number of particles with velocity in the interval$ i (the whole range of velocity is split in k intervals)
- From Stirling Ig n! ≈ n Ig n
- $\lg W \approx n \lg n (n_1 \lg n_1 + n_2 \lg n_2 \dots + n_k \lg n_k)$
- $S = -k(n_1 \lg n_1 + n_2 \lg n_2 .... + n_k \lg n_k) + C$

### The impossible theorem

H-Theorem (Boltzmann)

$$H = \Sigma_i n_i \lg n_i$$

H is the discrete microscopic version of thermodynamical entropy (apart: the sign and additive, multiplicative costants).

H-Theorem (1872) In a isolated system:

$$H(t) \geq H(t+1)$$

#### From Boltzmann to Shannon

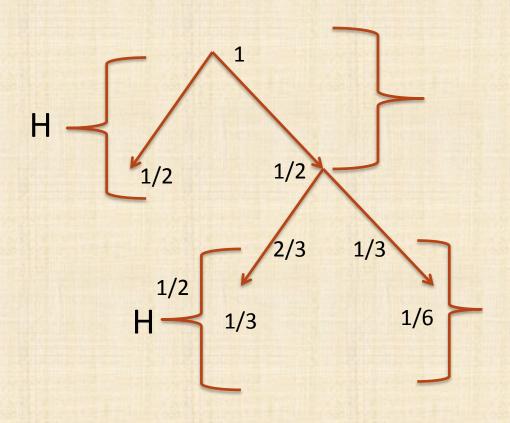
$$H_s(X, p) = -\Sigma_x p(x) \lg p(x)$$

#### Shannon 1948

**Entropy Th.** H<sub>S</sub> is completely characterized by 3 conditions:

Continuity in p, Maximum in p= 1/n, Additivity of choices: H(1/2, 1/3, 1/6) = H(1/2, 1/2) + 1/2 H(2/3, 1/3)

## The additivity of Choices



## Shannon Game (abridged version)

Let **X** be a discrete random variable and ask someone, knowing the distribution of **X**, to guess a xalue **x** of **X**, by using the optimal dichotomy strategy (choosing equi-probable intervals):  $\mathbf{x} \leq \mathbf{x}_0$  or not? with  $P(\mathbf{x} \leq \mathbf{x}_0) = P(\mathbf{x} > \mathbf{x}_0)$ , (Yes/Not answers).

The minimum number of questions that, in average, is sufficient for guessing correctly **x** coincides with the entropy H(X) of the variable X.

- H and H<sub>s</sub> are essentially the same thing (von Neumann: suggested the name), En-tropos (internal verse)
- From inf<sub>i</sub> = lg p<sub>i</sub> follows that:

 $H_s$  is average information of the source S = (X, P)

# Double Entropies (X, p), (Y,q)

- $H(X \times Y) = -\Sigma_{x,y} p(x)q(y) \lg p(x)q(y) product / independent joint$
- $H(X \land Y) = -\Sigma_{x,y} p_{\uparrow}q(x,y) \lg p_{\uparrow}q(x,y)$  joint
- Very often H(X , Y) is denoted simply by H(X, Y)

 $p_{\Lambda}q$  requires joint variables (each marginal of an s(x, y), i. e. :

$$p(x) = \Sigma_y s(x, y)$$
  
 $q(y) = \Sigma_x s(x, y)$ 

that is, x and y have the same dependence set, for ex., height/weight over a population of individuals

### **Conditional Entropy**

•  $H(X | Y) = -\Sigma_{x,y} p_{x}q(x,y) | g p|q(x,y) | conditional p|q(x,y) = p_{x}q(x,y) / q(y) | conditional probability$ 

- $H(X | y) = -\Sigma_x p|q(x,y) | g p|q(x,y)$
- $H(X | Y) = \Sigma_y q(y) H(X | y)$

## Joint and Conditional Entropies

• 
$$H(X \land Y) = H(Y) + H(X|Y)$$

• 
$$H(Y \land X) = H(X) + H(Y | X)$$

#### Mutual Information

$$I(X, Y) = H(X) - H(X|Y)$$

Is the information that a source gains with respect to another source, that is, the difference of its average information minus the mean of its information conditioned to the values emitted by Y.

### Mutual Information and Entropies

$$I(X, Y) = H(X) - H(X|Y)$$
  
=  $H(Y) - H(Y|X)$   
=  $H(X) + H(Y) - H(X|Y)$   
=  $H(X|Y) - H(Y|X)$ 

Mutual information is symmetric, Zero-diagonal (that is, I(X,X) = 0), it is not triangular.

Last two equations follow from the joint/conditional entropies relationships.

#### Mutual information

$$I(X, Y) = DIV(X_{\wedge}Y, X_{\times}Y)$$

Sender X === Channel ===> Receiver Y

Noise alters data along the channel What is the information amount that can pass correctly?

#### Entropic Divergence

$$DIV_{KL}(X, Y) = \sum_{x \in X, y \in Y} p(x) \lg [p(x)/q(y)]$$

Mean information difference between distributions (Kullback, Leibler 1951).

How applying this definition to the case of genomic distributions?

We need joint variables!

#### H theorem is an information theory theorem

1) Maxwell already proved that velocities reach normal Distribution (as a consequence of cause normalization).

- 2) Elastic collisions guarantee that variance of speed distribution remains constant(Pytagorean game keeps variance distribution constant).
- 3) The Gaussian curve is the distribution having maximum Entropy within the class of distributions with a given variance.

# Information Theory and Genomes Vincenzo Manca

#### **SECOND PART**

(Information Sources and Codes)

## From Information Sources to Encoding and Transmission

 Variable values become "Digital Data" via Codes

 Encoded Data are transmitted with a second encoding, channel encoding for reducing error transmission

#### Codes

 $c: C \rightarrow D$  surjective

C strings over A (encodings or codewords, C and c will be often identified). D set of data

Only 1 datum corresponds to a codeword corresponds

Two **code-words** can encode the same datum (genetic code). A code is *redundant* if **C** is injective (non redundant otherwise)

# Types of codes (recovering codewords from a stream)

- Univocal: any string is factorizable in only one way by means of codewords of C
- Instantaneous or prefix-free: no encoding is prefix of an other encoding
- Auto-delimitative: any code-word w includes the specification of its length (a prefix of w tells the length of w)
- Fixed length

#### **Kraft Norm**

Let k be the alphabet size

C code over the alphabet

$$|C| = \sum_{x \in C} k^{-|x|}$$

#### McMillan – Kraft Theorems

• Th. McMillan: Cunivocal iff |C| ≤ 1

Th. C univocal →
 exists C' istantaneous t. c. |C|=|C'|
 (Proof by construction)

## Let C be code of a source (X, P)

$$L_C = \Sigma_{w \in C} |w| p(w)$$

L<sub>C</sub> is the average length of C

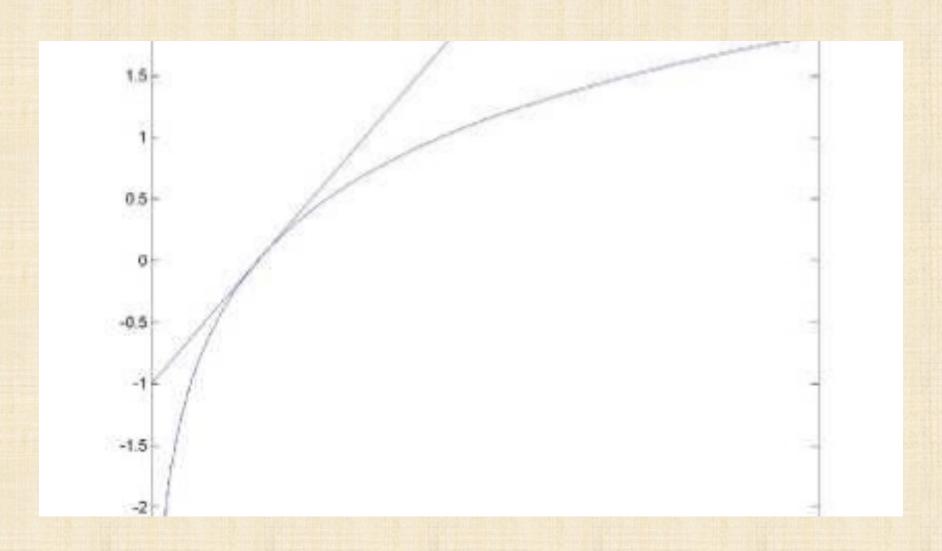
C is optimal if no C' exists with  $L_{C'} < L_{C}$ 

#### First Shannon Theorem

$$H(X, p) \leq L_C$$

No code of a source can reach an average encoding length smaller than the entropy of the source

## Logarithm Lemma



- $X = q_i/p_i$
- $\ln q_i/p_i \leq q_i/p_i 1$
- and multiplying both members by p<sub>i</sub> and summing we have:
- $\Sigma p_i \ln q_i/p_i \le \Sigma p_i (q_i/p_i-1) \le 0$
- whence:
- $\Sigma p_i \ln q_i/p_i \leq 0$
- $\sum p_i \ln q_i \sum p_i \ln p_i \le 0$
- $\Sigma p_i \ln q_i \Sigma p_i \ln p_i \le 0$
- $\Sigma p_i \ln q_i \leq \Sigma q_i \ln q_i$
- -  $\sum p_i \ln q_i \ge \sum q_i \ln q_i = H$

#### First Th. Proof

- $H(A, p) = -\Sigma_{a \in A} p(a) \log_k p(a)$
- $\leq -\Sigma_{a \in A} p(a) \log_k q(a)$
- =  $-\Sigma_{a \in A} p(a) \log_k k^{-|c(a)|} / ||c||$
- =  $-\Sigma_{a \in A} p(a)(\log_k k |c(a)| \log_k // C // )$
- =  $-\Sigma_{a \in A} p(a) \log_k k^{-|c(a)|} \Sigma_{a \in A} p(a) \log_k // C //$
- =  $\Sigma_{a \in A} p(a) |c(a)| \log_k // C //$

Therefore if C univocal // C // ≤ 1 whence

-  $\log_k /\!\!/ C /\!\!/ = K > 0$ , that is:

$$H(A,p) \leq L_C + K$$

whence:

$$H(A,p) \leq L_C$$

## Typical sequences

 A sequence is typical for a source (X, p) if the the frequency of any symbol in the sequence coincides with its probability p in the source

- Th: The number of typical sequences of length n of (X, p) is  $2^{nH(X)}$  and the probability that a sequence of length n is typical for (X, p) is
- 2-nH(X)

## The number of Typical Sequences

- $logp(\alpha) = log(p_1^{Np1} \cdot p_2^{Np2} \cdot \dots \cdot p_m^{Npm})$  (N is the length) whence
- $logp(\alpha) = Np_1log p_1 + Np_2 log p_1 + \cdots + Np_mlog_{pm}$ = -NH

#### **Therefore**

- $p(\alpha) = 2^{-NH}$
- Typical = 2<sup>NH</sup>

#### **REMARK**

We are speaking of simple information sources

#### Shannon's 2° Th.

The theorem provides conditions to transmit with error probability tending to zero, avoiding transmission errors (autocorrecting codes).

#### **Transmission Rate**

Given a Transmission fixed length code where are transmitted M different messages with codewords of length n, the transmission rate R is given by (M < n)

 $R = \lg M/n$ 

whence, for a binary alphabet  $2^{nR} = M$ 

## Capacity

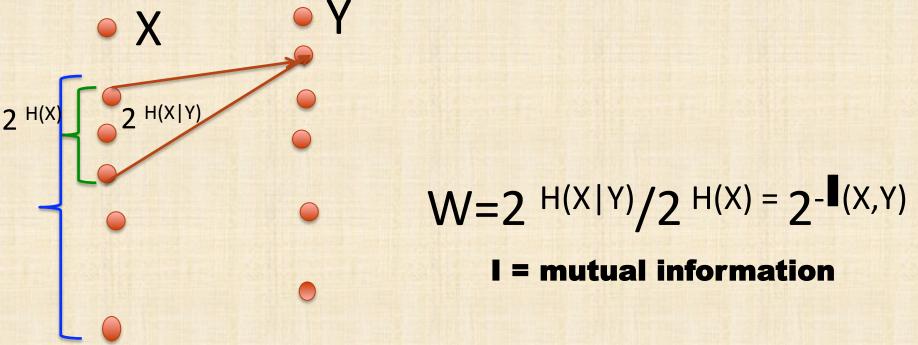
The capacity C of a channel X → Y conecting a Sender Source to a Receiver source:

$$C = \max_{S} I(X, Y)$$

Where S is the set of possible sources definable over X (or the possible probability distributions definable over variable X)

## 2° Th: If R < C E $\rightarrow$ 0 for n $\rightarrow \infty$

Consider X-typical and Y-Typical (binary alphabet)



W is the average probability that a X-typical transmits a Y-typical. The probability of error is: the number of wrong messages M -1 (all possible messages minus the correct one) multiplied by the average probability W:

$$(2^{nR}-1)W < 2^{nR}W \le 2^{nR}2^{-n} \le 2^{nR}2^{-nC} = 2^{-n(C-R)} \to 0$$

#### Informational Genomics

- An information source (X, p) is a discrete probability distribution (Shannon 1948)
- Let X<sub>G</sub> be a variable varying along genome components (positions, segments, strings, ...)

```
How many times X_G = a?

p(a) = the frequency of the event X_G = a
```

(X<sub>G</sub>, p) is a Genomic Information Source GIS extracted from G

 $I(x) = 1/log_2p(a) = -log_2p(a)$  is the information quantity of a

$$E(X_G) = \Sigma_x p(x) I(x) = mean information of (X_G, p)$$

# Infogenomics An Informational Approach analogous to Genomes (ENCODE)

- Distributions
- Dictionaries
- Indexes
- Elongation
- Segmentation
- Representation
- Entropies and related notions
- Recurrence
- Randomness
- Para/Meta/Iper-Genomes

 Important genomic distribution are based on genomic dictionaries on genomes, in particular, D<sub>k</sub>(G).

 Using the distribution of k-mers we define E<sub>k</sub>(G) (w in D) by:

$$E_k(G) = \Sigma_W p(w) \lg p(w)$$

$$Inf_2(w) = -log_2(prob(w))$$

$$E_k(G) = - \Sigma_{w \in D(G), |k|=k} \operatorname{prob}(w) \operatorname{Inf}(w)$$

k-Entropy is the mean information of a genome as information source of k-mers.

We computed Empirical Entropy for any word length, and for all Human chr. (k= 18,  $E_k \approx 24$ ; k=200  $E_k \approx 25$  !!!)

#### Algorithmic basis of k-mer frequency computation

Bonnici V, Manca V – IGTools, J. of Bioinformatics and Proteomics, 2015

Suffix trees

Suffix arrays
 SA

Enanched SA ESA

N-extended ESA NESA

Weiner 73

McCreight 76

Ukkonen 95

Farach 97

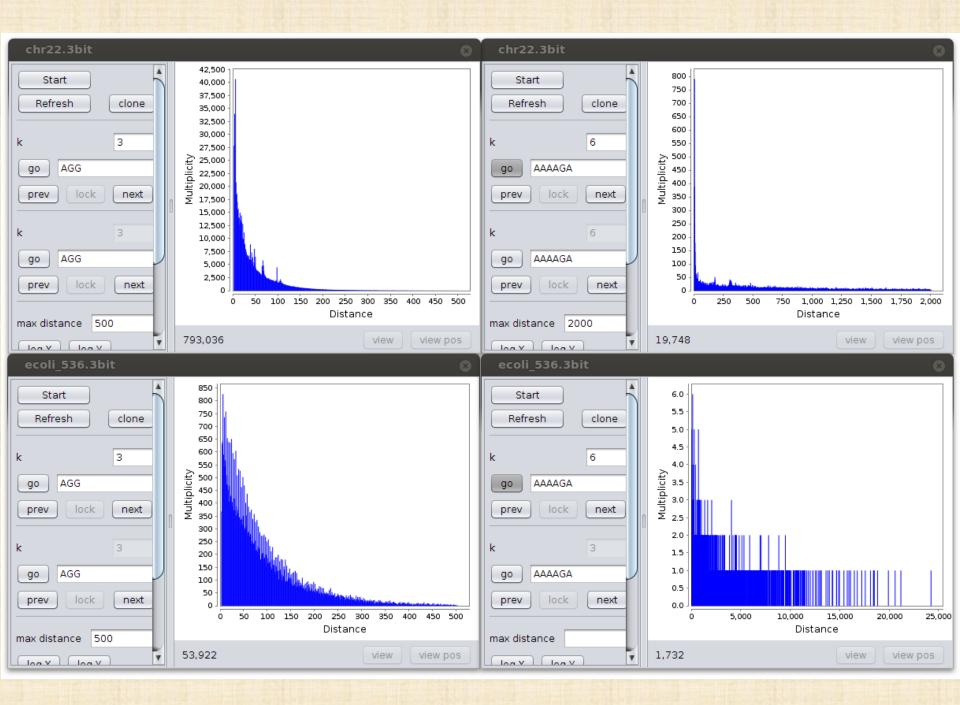
Manber & Myers 90

Abouelhoda, Kurtz, Ohlebusch 2004

Kurtz et a. 2008

#### Genomic Distributions

- Multiplicity (how many times words of D occur)
- coMultiplicity (how many words have a given m-plicity)
- Segment-Multiplicity (w.r.t. D and a segment length)
- Segment-coMultiplicity (w.r.t. D and a segment length)
- Segment-Lexicality (w.r.t. D and a segment length)
- RDD (how many times a mer recurrs at a given distance)
- Repeat-Length (how many repeats of a given length)
- Duplex-dist (how many duplexesat a given distance)



#### Information Correlation and RDD in Genomes

- Trifonof et al.: DNA correlation periodicities, 1980
- Shepherd: DNA periodicities in coding regions, 1981
- Eigen et al.: periodicity in Transfer-RNA, 1981
- Fickett :1982 non min. RDD periodicity in coding regions, 1982
- Li: Mutual information in DNA Strings, 1990
- Herzel et al.: Measuring DNA correlations, 1990
- Li internal correlation in DNA, 1997
- Herzel-Weiss-Trifonof: 10-11 Periodicity, 1999
- Afreixo: 1-RDD min. 2009
- Bastos: 2-RDD min. 2011
- Carpena et al. RDD in keywords finding (non DNA), 2009-2013
- Computational Chemistry 2014

## Important classes of k-mers

- **Repeats** ∃ i,j,i',j' G[i, j] = G[i', j'] with i≠i', j≠j'
- Duplexes ∃! i,j,i',j' G[i, j] = G[i', j'] i≠i', j≠j'
   often correctly parenthesized: no ([)]
- Hapaxes  $\neg \exists i,j,i',j' G[i,j] = G[i',j'] i \neq i',j \neq j'$
- Creodes  $\exists k > 0$  G[i, j]=G[i', j']  $\rightarrow$  G[i, j+k]=G[i',j'+k] G[j+1, j+k] with the maximum k is called Creode-tail

## Sequencing = Dictionary (of Reads) $\rightarrow$ G Repeats give ambiguity in reconstructing G

- G[i, j] and G[j+1, k] are contiguous strings in G
- G[i, j] and G[i+k, m] k-overlap if
   i+k ≤ j and G[i+k, j] is their overlapping string
- A repeat G[i, j] = G[i', j'] longer than k gives k-overlappings determining positions (i+k) and (j'+k) as k-crossing pairs

αωβωγ -> αωγωβ

Distances between Duplexes or Hapaxes can remove ambiguity

#### Other classes of k-mers

```
G[i_1, j_1] is Memer if \exists i_2, i_3, i_4, j_2, j_3, j_4:

- G[i_1, j_1] = G[i_2, j_2] = G[i_3, j_3] = G[i_4, j_4]

- \{G[j_1+1], G[j_2+1], G[j_3+1], G[j_4+1]\} = \{A, C, G, T\}

- \{G[j_1+2], G[j_2+2], G[j_3+2], G[j_4+2]\} \neq \{A, C, G, T\}

moreover it is not proper suffix or prefix of a k-mer with this property and any of its substring has this property.
```

A memer is a maximal maximally elongable k-mer.

If w is a memer, then w is a repeat and for all x = A, C, G, T, wx occurs in G, and also the same property holds for all its prefixes.

- Minimal Nullomers (shortest non-occurring k-mers)
- Tandems w---w' (and poly-tandems)
   (with length and/or structure constraints for ---)
- Anti-Creodes (creodes w.r.t. right-left elongation)
- Twin-creodes (creodes+anticreodes)
- Double creodes (duplexes that are also creodes)
- Free creode tails (occurring without creodes)
- Proper creode tails (occurring only after creodes)

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## Coverage

The **coverage** of a dictionary D can be considered w.r.t. to single positions or to the whole genome

 How many elements of D pass for a given position?

(at most k if k is the max length of k-mers in D)

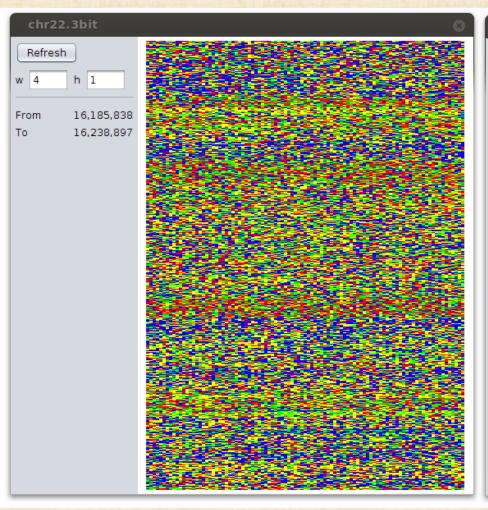
 Which is the fraction of positions k of G where are placed words of D (i ≤ k ≤ j s.t. G[i,j] is in D)?

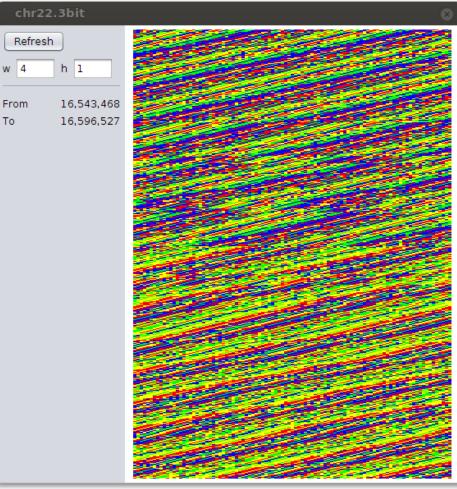
#### **Basic Genomic Indexes**

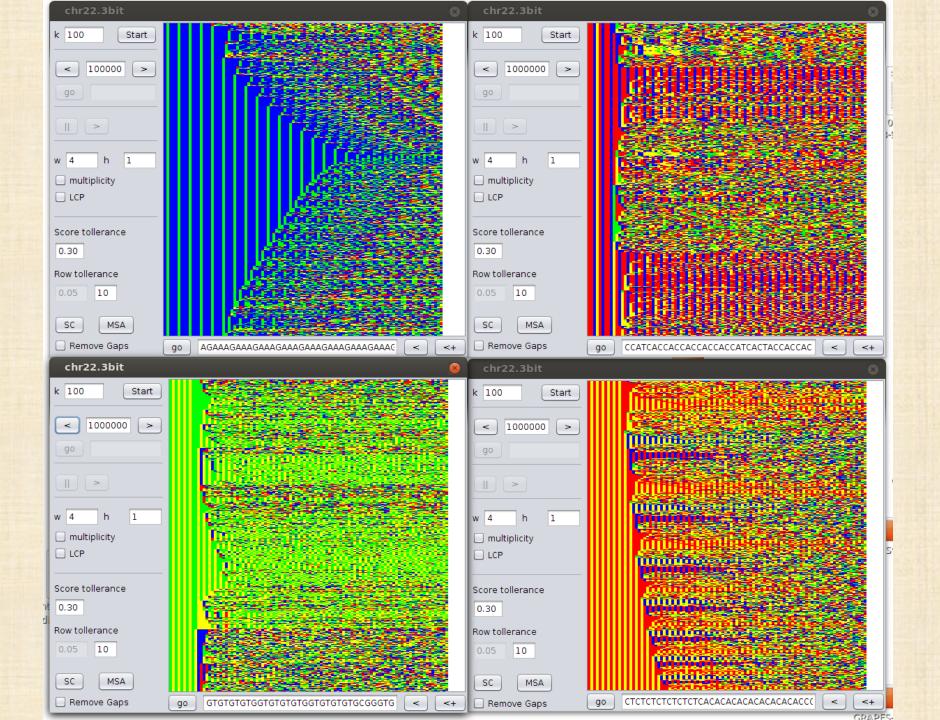
```
Logarithmic Length (base 4)
- LG
-LX_k
              k-Lexical Multiplicity (how many times k-mers occur
              in average)
              Minimal Forbidden Length (MCL = MFL -1)
- MFL
-MRL
              Maximum Repeat length:
              all the strings of length MRL+1 are hapaxes of G
-MHL
              Minimum Hapax length:
              all the strings of length MRL-1 are repeat of G
- COV
              Coverage percentage (w.r.t. a dictionary)
- PCV
              Positional coverage (w.r.t. a dictionary)
-E_k(G)
                     Empirical k-Entropy ->
- ED_k(G_1, G_2)
                     k-Entropic Divergence →
```

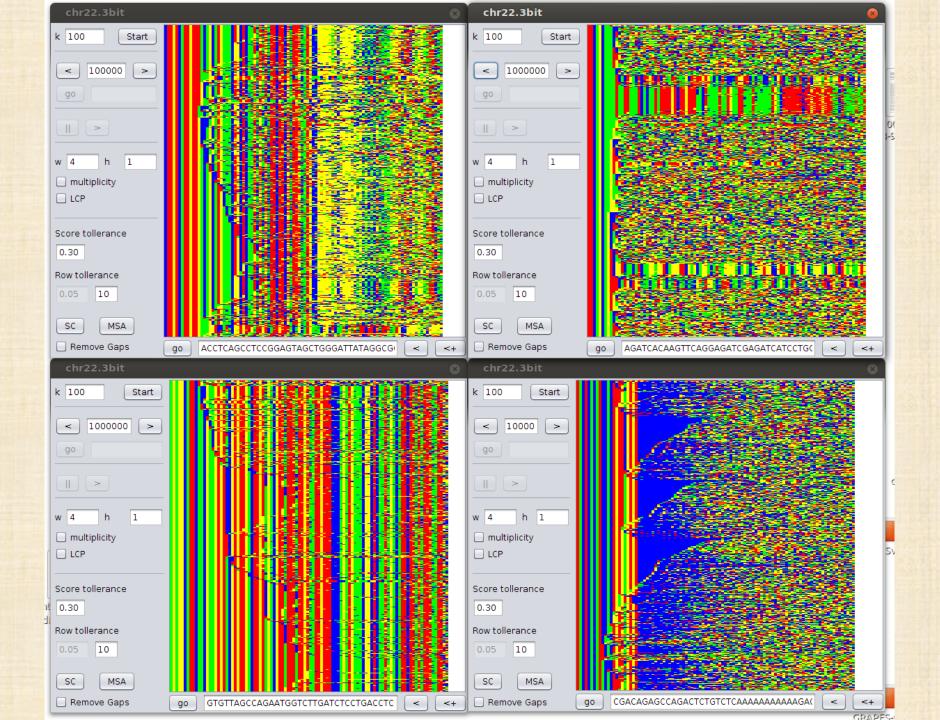
Max/min/average length and cardinality of any k-mer class

## **Genomic Chromatic lines**









## Bio-bit: a measure of biological information

#### Bio-bit(G)

provides a comparison between G and Rand<sub>|G|</sub> by revealing the degree of anti-chaos present in G.

#### **Biobit**

The information that, in the average m-words of G (for suitable m) gain in diverging from random genomes of the same length.

Boltzmann&Shroedinger&Wiener's Neghentropy.

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Boltzmann&Shroedinger&Wiener's Neghentropy.



## Mus musculus murinus Tallangde អ្នកដូច្នៃdomes

Latimeria chalumnae

Rattus norvegicus troglodytes

Pongo abelii

#### biobit(G)

The formula is not simple to explain, a mixing of: empirical entropy, logisti map, RND, KL divergence, ...

#### biobit is anti-entropic,

rather than neghentropic

genome complexity relates to a balance between order and disorder in systems genomes.

Order is related with functions (for maintaining life), Disorder with their evolving capacity

#### References

- Shannon C. The Mathematical Theory of Communication, 1948 (shannon48.pdf)
- Bonnici V, Manca V: Informational Laws of Genome Structure, Scientific Reports (Nature), 2016
- Manca V: The Principles of Informational Genomics, TCS, 2017.
- Manca V: Infobiotics, Springer, 2017.

## Open Problems

- Quantum Physics
  - State = vector in Hilbert Space (over Complex field)
  - Measurement = Hermitian Operator
  - Preparation
  - Superposition
  - Entanglement

- Quantum Information
  - Interactive Information Source
  - Mutual information as primitive notion?
  - Informational Reconstruction of Quantum Physics
  - Informational state

## Information Dynamics

 You cannot know as things are when observation changes the dynamics you are observing

 The only information you can get comes from an interaction with a source

 New informational concepts could provide coherent principles for quantum cases

### Double Quantum Sources

Input Information Source

Measures alter the state, Because when a variable is discovered other are modified (indetermination). Measure operations on S
Inaccessible states of S
Measurements of S

**Output Information Source** 

Operations change the probability of Output source. The accessible state of S is only the informational state given by a double intertwined source.

## Analogy with living states

In many cases you can know what is inside a cell only by destroying it by missing a part of its complete state.

A general approach to the informational recontruction of inaccessible states could define coherent methodology for describing complex natural systems at different levels.