

From RNA folding to inverse folding:

a computational study

Der Fakultät für Mathematik und Informatik
der Universität Leipzig
eingereichte

D I S S E R T A T I O N
zur Erlangung des akademischen Grades
DOCTOR RERUM NATURALIUM (Dr.rer.nat.)
im Fachgebiet Informatik

vorgelegt von M.Sc.
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Leipzig, den August 25, 2022

Ohana means family.
Family means nobody gets left behind, or forgotten.
— Lilo & Stitch

Dedicated to my loving dad and mum Michel Saha and
Nguepche Saha Berthe

ABSTRACT

Since the discovery of the structure of deoxyribonucleic acid ([DNA](#)) in the early 1953s, and its double-chained complement of information hinting at its means of replication, biologists have recognized the strong connection between molecular structure and function. In the past two decades, there has been a surge of research on an ever-growing class of ribonucleic acid ([RNA](#)) molecules that are non-coding but whose various folded structures allow a diverse array of vital functions. From the well-known splicing and modification of ribosomal [RNA](#), non-coding RNAs ([ncRNAs](#)) are now known to be intimately involved in possibly every stage of [DNA](#) translation and protein transcription, as well as [RNA](#) signalling and gene regulation processes.

Despite the rapid development and declining cost of modern molecular methods, they typically can only describe [ncRNA](#)'s structural conformations *in vitro*, which differ from their *in vivo* counterparts. Moreover, it is estimated that only a tiny fraction of known [ncRNA](#) has been documented experimentally, often at a high cost. There is thus a growing realization that computational methods must play a central role in the analysis of [ncRNAs](#). Not only do computational approaches hold the promise of rapidly characterizing many [ncRNAs](#) yet to be described, but there is also the hope that by understanding the rules that determine their structure, we will gain better insight into their function and design. Many studies revealed that the [ncRNA](#) functions are performed by high-level structures that often depend on their low-level structures, such as the secondary structure. This thesis studies the computational folding mechanism and inverse folding of [ncRNAs](#) at the secondary level.

In this thesis, we describe the development of two bioinformatic tools that have the potential to improve our understanding of [RNA](#) secondary structure. These tools are as follows: (1) RAFFT for efficient prediction of pseudoknot-free [RNA](#) folding pathways using the fast Fourier transform ([FFT](#)); (2) aRNAque, an evolutionary algorithm inspired by Lévy flights for [RNA](#) inverse folding with or without pseudoknot (A secondary structure that often poses difficulties for bio-computational detection).

The first tool, RAFFT, implements a novel heuristic to predict [RNA](#) secondary structure formation pathways that has two com-

ponents: (i) a folding algorithm and (ii) a kinetic ansatz. When considering the best prediction in the ensemble of 50 secondary structures predicted by RAFFT, its performance matches the recent deep-learning-based structure prediction methods. RAFFT also acts as a folding kinetic ansatz, which we tested on two RNAs: the coronavirus frameshifting stimulation element (CFSE) and a classic bi-stable sequence. In both test cases, fewer structures were required to reproduce the full kinetics, whereas known methods (such as Treekin) required a sample of 20,000 structures and more.

The second tool, aRNAque, implements an evolutionary algorithm (EA) inspired by the Lévy flight, allowing both local global search, and which supports pseudoknotted target structures. The number of point mutations at every step of aRNAque EA is drawn from a Zipf distribution. Therefore, our proposed method increases the diversity of designed RNA sequences and reduces the average number of evaluations of the evolutionary algorithm. The overall performance showed improved empirical results compared to existing tools through intensive benchmarks on both pseudoknotted and pseudoknot-free datasets.

In conclusion, we highlight some promising extensions of the versatile RAFFT’s method to RNA-RNA interaction studies. We also provide an outlook of both tools’ implications in studying evolutionary dynamics.

PUBLICATIONS

This thesis presents our contributions to RNA secondary structures' computational methods for the folding and inverse folding problems. They were obtained in collaboration with my advisor Matteo Smerlak, Vaitea Opuu and Vincent Messow. Most of the ideas and figures have appeared previously in the following publications:

- [126] **Nono SC Merleau** and Matteo Smerlak (2021). *A simple evolutionary algorithm guided by local mutations for an efficient RNA design*. In: *Proceedings of the Genetic and Evolutionary Computation Conference*. pp. 1027-1034.
- [136] Vaitea Opuu, **Nono SC Merleau**, Vincent Messow, and Matteo Smerlak(2021). *RAFFT: Efficient prediction of RNA folding pathways using the fast Fourier transform*. In: *PLoS Comput. Biol.*
- [127] **Nono SC Merleau** and Matteo Smerlak (2022). *An evolutionary algorithm for inverse RNA folding inspired by Lévy flights*. In: *BMC Bioinformatics*, 23.1

In addition to these works in RNA folding and inverse folding, I studied the fragility of RNA viruses during my PhD using multi-agent evolutionary algorithm simulations. I also contributed to various works in natural language processing and multi-agent simulations for Holonification models. None of these investigations,

- Igor Haman Tchappi, Stéphane Galland, Vivient Corneille Kamla, Jean-Claude Kamgang, **Cyrille Merleau S Nono**, and Hui Zhao (2019). *Holonification model for a multilevel agent-based system*. In: *Personal and Ubiquitous Computing* 23(5).
- Ivan P Yamshchikov, **Cyrille Merleau Nono Saha**, Igor Samenko, Jürgen Jost (2020). *It Means More if It Sounds Good: Yet Another Hypothesis Concerning the Evolution of Polysemous Words*. In: *Proceedings of the 5th International Conference on Complexity, Future Information Systems and Risk (COMPLEXIS 2020)*, pages 143-148.

- **Nono SC Merleau**, Sophie Pénisson, Philip J Gerrish, Santiago F Elena, and Matteo Smerlak (2021). *Why are viral genomes so fragile? The bottleneck hypothesis*. In: *PLoS. Comput Biol.* 17(7).

will be addressed in this manuscript.

ACKNOWLEDGEMENTS

I want to thank my supervisor Matteo Smerlak for his support, orientation, apprehension and unlimited tolerance during this challenging exercise. *Merci bien pour cette immense opportunité.* Special gratitude to Prof. Dr. Peter F. Stadler for reading through my first draft and supporting this thesis submission.

Thanks to Ian Hatton's patience and unlimited comments, that significantly improve this essay. A special thank goes to my collaborator, colleague and friend Opuu Vaitea who contributed to the publications part of this thesis.

I thank the Structure of Evolution Group at the Max Planck Institute for Mathematics in the Sciences, especially Vincent Messow and Camila Bräutigam, for valuable discussions and insightful comments.

My warmest thanks extend to all MPI-MIS administration staff for their supports in making my stay in Leipzig comfortable and conducive to learning. Thanks to the AIMS network for their help and time to share great and interesting information and knowledge.

Many thanks also to Sayan Mukherjee for ensuring that my career starts as this thesis ends. I am looking forward to working with you!

I am also particularly grateful to my friends Abdulrraouf Biala and Josephina Burger for their unlimited emotional and social supports throughout my stay in Leipzig.

I would also like to thank my Leipziger people, Saida, Saidou, Anne, Hamza, Taba and Mokobe for their familiarity, encouragement and social support.

Thanks to Louisa Kienzler for the unique moments and valuable comments that contributed to improving this work.

Thanks to the LEC church family for their spiritual and social supports, especially Verona Hivemuine Black, for being there precisely when I needed it.

Et bien sûr, merci à ma famille et Ousmanou Djika pour leur soutien inconditionnel.

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ACRONYMS

DNA	deoxyribonucleic acid
RNA	ribonucleic acid
ncRNA	non-coding RNA
CFSE	coronavirus frameshifting stimulation element
EA	evolutionary algorithm
lncRNA	long non-coding RNA
sncRNA	short non-coding RNA
tRNA	transfert RNA
rRNA	ribosomal RNA
cRNA	coding RNA
mRNA	messenger RNA
CRISPR	clustered regularly interspaced short palindromic repeats
SELEX	systematic evolution of ligands by exponential enrichment
MFE	minimum free energy
DP	dynamic programming
NMR	nuclear magnetic resonance
ML	machine learning
DNN	deep neural network
SCFG	stochastic context-free grammar
SVM	support vector machine
CLLM	conditional log-linear model
NN	nearest neighbour
MEA	maximum expected accuracy
GPU	graphics processing unit
WC	Watson-Crick

PCA	principal components analysis
PC	principal component
PPV	positive predictive value
API	application programming interface
FFT	fast Fourier transform
SAVE	synthetic attenuated virus engineering
NP	non-deterministic polynomial-time
CPU	central processing unit
NMCS	nested monte carlo search
MCTS	monte carlo tree search
ED	ensemble defect
NED	normalized energy distance
MPGA	massively parallel genetic algorithm
piRNA	PIWI-interacting RNA
PAR	promoter-associated RNA
miRNA	microRNA
snoRNA	small nucleolar RNA
DFT	distcrete Fourier transform
IDFT	Inverse discrete Fourier transform
NMR	nuclear magnetic resonance

LIST OF SYMBOLS

- σ : string representation of an RNA secondary structure
- ϕ : RNA sequence
- Σ_ϕ : structural ensemble of an RNA sequence ϕ
- \mathcal{S} : RNA secondary structure
- L : length of an RNA sequence
- $\mathbb{L}_{\phi, \mathcal{S}}$: Loop set of an RNA secondary structure
- ΔG : free energy of an RNA secondary structure
- Z : partition function

- μ : mutation rate
- c : exponent parameter of the Zipf distribution.
- T : total number of generation
- \mathcal{D}_E : normalized ensemble defect
- \mathcal{N}_E : normalized energy distance between two RNA secondary structures
- N : RAFFT stack size
- P_N : array of nucleotide weights
- P_C : array of base-pair weights
- ΔH : enthalpy contribution in the free energy of an RNA secondary structure
- ΔS : entropy contribution in the free energy of an RNA secondary structure
- C : set of base-pairs allowed in an RNA secondary structure

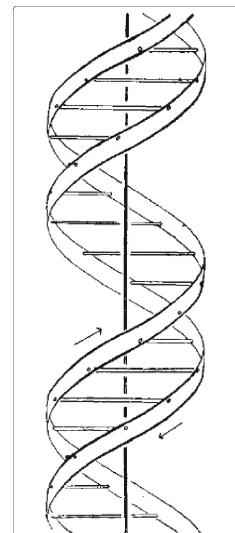
INTRODUCTION

1.1 SURVEY

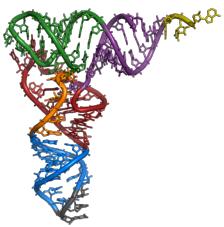
DNAs and RNAs are macromolecules in the nucleus of eukaryotic cells that allow storing information with the help of nucleotides. Nucleotides consist of a five-carbon sugar, a phosphate group, and a nucleobase. There are four nucleotides in the DNA, distinguished by their nucleobases: A for Adenine, T for Thymine, G for Guanine, and C for Cytosine. Similar to DNA, we also find four different nucleotides in RNA, also distinguished by their nucleobases with only one exception; the Uracil (U), which replaces Thymine in DNA. Even though the basis blocks constituting the DNA were known for many years, in 1953, James Watson and Francis Crick [206] succeeded in putting them together and suggested a reasonable DNA structure. Their work revealed for the first time that the structure of DNA molecules has helical chains, each coiled round the same axis where the chain consists of phosphate dieter groups. The two chains are held together by the purines and pyrimidine bases; they are joined together in pairs, a single base from the other chain bonded to a single base from one chain. For the bidding to occur, one of the pairs must be Adenine and Thymine or Guanine and Cytosine. A DNA molecule structure is depicted on the right side of the page. In contrast to DNA, RNAs are mostly single-stranded, and the complementary pairings formed in the structure are A-U, G-U and G-C.

Watson and Crick's elucidation of DNA structure has motivated many other scientists to investigate further the structural implications of molecules in functions such as replication and gave rise to modern molecular biology. Later in the same year, Crick formulated the central dogma of molecular biology that describes the flow of information from DNA to messenger RNA (mRNA) through transcription and from mRNAs to proteins through translation [26]. Since this information flow was proposed, more works have been done to investigate each step.

But not all RNAs are translated into proteins; in other terms, not all RNAs are mRNAs. There are mainly two RNA groups: coding RNAs (cRNAs) that are translated into proteins, and non-coding RNAs that are not translated into proteins. During the transcri-



Helical representation of DNA structures [206].



The tertiary structure of tRNA. The CCA-tail is in yellow, the acceptor stem in purple, the variable loop in orange, D-arm in red, the anticodon arm in blue with anticodon in black, and T-arm in green (Taken from Wikipedia)

tion and translation steps in the information flow, some vital functions are performed by ncRNAs such as ribosomal RNA (rRNA) and tRNA. The tertiary structure of a tRNA is shown on the left side of the page. The study of such RNAs revealed that rRNAs, rather than ribosomal proteins, catalyze the synthesis of proteins (i.e. the polymerization of amino acids), distinguish between correct and incorrect codon-anticodon pairs and prevent the premature hydrolysis of peptidyl-tRNAs [15, 131]. Apart from being central to the protein machinery, ncRNAs regulate various biological functions in transcriptional interference, telomere maintenance, epigenetic changes, imprinting, post-transcriptional, translational control, structural organization, cell differentiation and development [50, 157]. We are interested in this work in the structures of ncRNAs.

The function of ncRNAs is largely determined by their high-dimensional structure [19]. For instance, we can analyze the catalytic function of ribozymes in terms of basic structural motifs, e.g. hammerhead or hairpin structures [39]. Other RNAs, like riboswitches, involve changes between alternative structures [200]. Understanding the relation sequence and structure is a central challenge in molecular biology. In the last 20 years, many different methods for determining the RNA structures of molecules have emerged: from experimental lab methods to computational approaches. For experimental lab methods, X-ray crystallography and the nuclear magnetic resonance (NMR) are the most accurate approaches to offer structural information at a single base-pair resolution. Both experimental methods are often characterized by high experimental cost and low throughput. In addition to those limitations, RNA molecules are volatile and difficult to crystallize.

Despite the development of more sophisticated techniques to infer the state of nucleotides in RNA molecules using enzymatic [94, 198] or chemical probes [191, 210] coupled with next-generation sequencing [12, 190], most of them can only capture RNA structures *in vitro* which mostly differ from the *in vivo* structure conformations. Experimentally, only a tiny fraction of known ncRNAs has been determined [140]. Because measuring the structure of RNAs experimentally is very difficult and expensive, computational approaches play a central role in the analysis of natural RNAs [49, 165], and are an essential alternative to experimental approaches.

Given the ncRNA sequence of bases (primary structure), RNAs fold into secondary structures, such as stem loops and pseudo-knots, before folding into higher level (tertiary and quaternary)

structures [16, 192]. This separation of time scales justifies focusing on the secondary structure prediction; evidence suggests that the RNA's secondary structures largely determine the resulting high-level structures [192].

This thesis focuses on computational methods addressing RNA molecules' folding and inverse folding at the secondary level. This introductory chapter presents a brief overview of the non-coding RNA concepts. The overview concepts contain biological and biochemical structure definitions of the non-coding RNAs. It also gives an overview of different techniques used to identify new ncRNAs and some applications. It concludes by providing the bioinformatic definitions of RNA secondary structure that constitute the basis and understanding of computational methods and the results presented in this thesis.

1.2 CHARACTERISTICS AND BIOLOGICAL FUNCTIONS OF NCRNA

In the previous section, we introduced the classical view of information flow in microbiology. Two important ncRNAs involved in the protein machinery have been highlighted (tRNA and rRNA). In this section, we provide some of the main characteristics of ncRNAs, and we emphasize how those characteristics often play an essential role in realizing their functions.

What motivates the computational studies of ncRNAs is often the importance of the biological function they play. Consequently, the ncRNAs can be classified based on their biological functions. Although many recent transcriptomic and bioinformatic studies suggested thousands of ncRNAs with their functional importances, the total number of ncRNAs encoded in the human genome still remains unknown [157]. More recently, newly identified ncRNAs have not been validated by their function; it could be possible that most of them are non-functional. Some evolutionary experiments *in vitro* have shown that RNA molecules can catalyze various chemical reactions relevant to biological processes such as RNA replication, nucleotide synthesis, thymidylate synthesis, lipid synthesis, and sugar metabolism [44, 151]. Another characteristic of ncRNAs is their lengths formed post-transcriptionally. We often distinguish two main ncRNA classes of critical biological functions: the short non-coding RNAs (sncRNAs) (with length < 30nt) and the long non-coding RNAs (lncRNAs) (with length > 200nt). The length limit is often because of the practical considerations, including separating RNAs in standard experimental protocols. The length of ncRNAs is also taken into account in computational stud-

ies, and it will be used throughout our work to distinguish **RNA** sequences and structures in the different datasets considered.

The function of **lncRNAs** includes a role in higher-order chromosomal dynamics, telomere biology, and subcellular structural organization [11, 27]. Some **lncRNAs** play key regulatory and functional roles in the gene expression program of the cell. One of the vital functions is to act as ribozymes. Examples of naturally occurring ribozymes include group I and group II introns—RNase P and the hammerhead. The group, I and group II introns are usually 200–600nt long, catalyzing **RNA** splicing [64]. Many **sncRNAs** also contribute to the realization of similar biological functions. For example, small interfering **RNA**s contribute to gene regulation, transposon control and vital defence. **microRNAs** (**miRNAs**) participate in the post-transcriptional gene regulation, **miRNAs**, PIWI-interacting RNAs (**piRNAs**)) and promoter-associated RNAs (**PARs**) contribute to the gene regulation. More recently, many discoveries revealed several **ncRNAs** implicated in cancer growth and MCL-1 expression regulation [157, 203]. Those examples include **ncRNAs** from different classes, **miRNAs**, small nucleolar RNAs (**snoRNAs**) and T-UCR, all associated with a specific disease [48, 157].

There are also other classes of **ncRNAs** such as aptamers and riboswitches that have also been observed in nature. Aptamers are **ncRNAs** that can bind to other specified targets, whose nature is highly diverse. They range from small molecules to larger molecules. In some contexts, aptamers are termed riboswitches; for example, when their function is to sense the presence of an associated metabolite to cause a specific *cis*-reaction and/or *cis*-regulation of subordinated functional pathways [211].

In sum, **lnc/snc-RNAs** contribute to the realization of various biological functions, and they are mostly distinguishable based on their length and functions. But, their functions allow us to distinguish them better. In the next section, we provide some of the recent advancements in the techniques used to identify functional **ncRNAs**.

1.3 RECENT ADVANCEMENTS IN DETERMINING NCRNA FUNCTIONS

Most of the previously mentioned functions of **ncRNAs** are identified using gene targeting techniques, a well-known set of techniques used to investigate protein functions [161]. In addition, experimental approaches are used to define **ncRNA** functions. With the recent advancements in genome engineering, a method

such as clustered regularly interspaced short palindromic repeats (**CRISPR**) has been employed to tag **lncRNAs**, allowing to capture specific **RNA**-protein complexes assembled *in vivo*. This section aims at providing an overview of different techniques used to determine **ncRNA** functions.

The **CRISPR** [8] was described by Barrangou and his collaborators in 2007 as a distinctive genome feature of most bacteria and archaea and thought to be involved in resistance to bacteriophages. It is an adaptive defence system against viruses and plasmid intrusions. When a successful defence takes place, the system updates information about the intruder's genetic material. This update will then allow the system's host to identify its enemy, making it robust and durable in the future. The information about the intruder's genetic material is stored in short repeating stretches of **RNA**, which can, in the case of a new intrusion, be incorporated into a carrier protein(CAS). The capacities of the **CRISPR/CAS9** of selectively destroying foreign **DNA/RNA** and editing the genome was identified by Li et al. [106], and it was turned into methods allowing to alter and edit single genes within genomes selectively. The same technology is also successfully applied to animal cell lines [84, 90, 202] and industrial plants [107, 184].

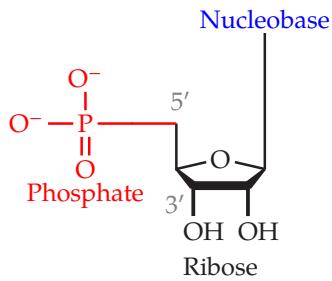
Another method of systematic evolution of ligands by exponential enrichment (**SELEX**) [194] introduced by Tuerk in the early 1990s offers the possibility of enriching stretches of **RNA** that can bind a certain target. The method relies on mechanisms usually ascribed to the process of evolution, that is, variation, selection, and replication. A pool of **RNAs** that are entirely randomized at specific positions is subjected to selection for binding, in this case to GP43 on nitrocellulose filters. The selected **RNAs** are amplified as double-stranded **DNA** competent for subsequent *in vitro* transcription. This newly transcribed **RNA** is enriched for better binding sequences and is then subjected to selection to begin the next cycle. Multiple rounds of enrichment result in the exponential increase of the best binding ligands until they dominate the population of sequences. **SELEX** has given rise to numerous synthetic aptamers with different targets in its application. They have been subject to a further extension towards inclusion into regulative **RNA** entities.

More recently, increased types of **ncRNAs** have been detected and identified by the development of next-generation sequencing [204], which can be roughly divided into the process sections

of sample preprocessing, library preparation, sequencing, and bioinformatics.

The functions of many ncRNAs are dependent on their high-level structures, which often depend on lower-level sequence and secondary structures. Knowing the structure of an ncRNA plays a vital role in probing its function. For example, Peter Flor and his collaborators used structure information to interpret experiments related to the mechanism of RNA function [55]. Or, Yoon et al. suggested new experiments based on RNA secondary structure in yeast to probe RNA functions [95]. Therefore, understanding even the secondary structure alone can assist both of these examples. In the following section, we provide a biochemical definition of the elementary building blocks of ncRNAs, which are the nucleotides A, U, G and C. In addition, we will provide an overview of the different nucleotide interactions involved during the formation of their secondary structures.

1.4 BIOCHEMISTRY OF RNA MOLECULES



Structure of an RNA nucleotide

So far, we have provided a biological motivation for studying ncRNA as an independent entity. The discovery of new ncRNAs functions has emerged through intensive experimental studies and with recent advanced techniques in next-generation sequencing. Several examples demonstrated the importance of the ncRNA structures in the probing process of new functions. The process in which RNA sequences are mapped to their corresponding structures is called RNA folding. In nature, this process is thought to be hierarchical [16, 192]. Nucleotides form a chain given their sequence of bases (primary structure); RNAs fold into secondary structures, such as stem-loops and helices, before folding into higher-level (tertiary and quaternary) structures. Our work is restricted here to the secondary level of an RNA structure, i.e., the set of canonical pairs. This section provides a biochemical definition of different nucleotides and base-pair interactions involved in the secondary structure folding of RNA molecules.

Chemically, each nucleotide in RNA molecules consists of a phosphate residue, a pentose sugar and a nucleobase. The typical chemical structure of a nucleotide is depicted on the right side of the page. Figure 1.1 illustrates the chemical structure of each of the four different nucleobases found in RNA (A, C, G and U). A nucleotide is a nucleoside which has a (mono, di, tri) phosphate residue bound to its 5'-carbon atom. By convention, the carbon

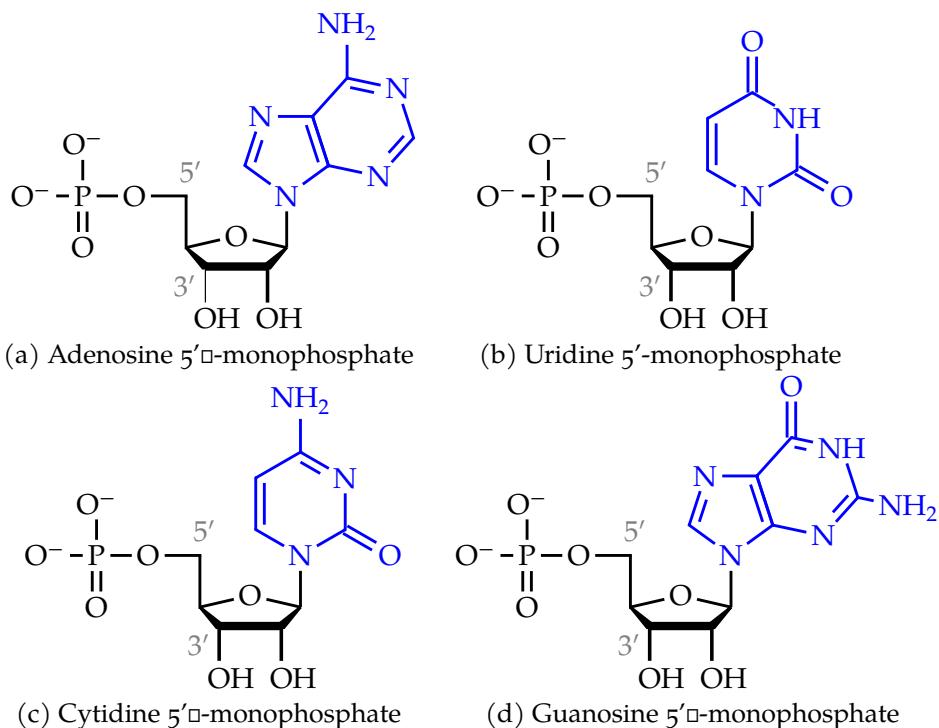


Figure 1.1: **RNA nucleotides.** Adenine and guanine belongs into the chemical class of purine molecules and the uracil and thymine in the class of pyrimidines

atoms of the pentose sugar in nucleotides are numbered with *primes*.

At the lowest level, **RNA** molecules are simply represented as a list of nucleobase characters. The 5'-3' phosphodiester bonds attach the different nucleotides composing the **RNA** molecule between ribose to form the primary structure of **RNA**. The chain direction is conventionally designed as 5' to 3' (i.e. from 5'-phosphate first sugar backbone to the 3'-hydroxyl last sugar in the sequence).

In contrast to the **RNA** primary structure, the secondary structure consists of a list of nucleobase-pairs, and the hydrogen bonds between the bases form base-pairs. Different interactions are possible between the bases depending on the structure level considered. At the secondary level, we have the Watson-Crick (or canonical) pairs [152, 164] (A-U and G-C), the Wobble (or non-canonical) (G-U) pairs that occur with reduced frequency. **Figure 1.2** shows the chemical base-pairs for the Watson-Crick and Wobble interactions.

In addition to the Watson-Crick (**WC**) and wobble interactions, we also find crossing or pseudoknotted interactions in natural **RNA** that play vital roles in realizing biological functions, e.g.

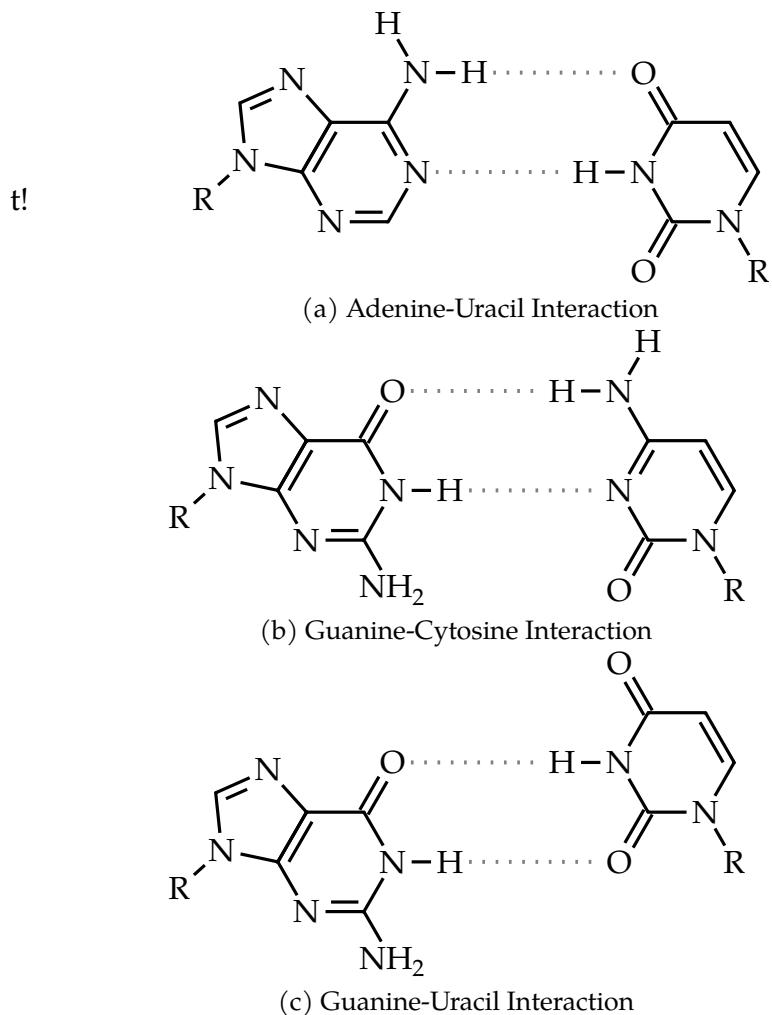


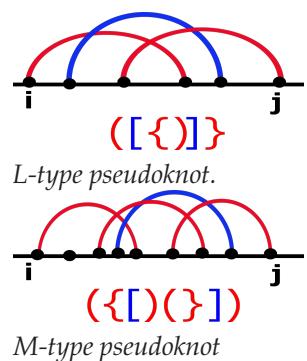
Figure 1.2: **RNA base-pair interactions.** (a) and (b) are commonly known as Watson-Crick base-pairs. (c) is the wobble base-pair. Hydrogen bonds are indicated as grey dashed lines. Substitution of bold hydrogen residues with ribose 5-phosphate yields the corresponding nucleotides found in **RNA** molecules.

ribosomal frame-shifting [62], regulation of translation and splicing, or the binding of small molecules [63, 97, 180]. Although the pseudoknots are not considered in the computational folding tool we propose in Chapter 3, they are essential to evaluate the performance of the computational tool we will introduce in Chapter 5 for RNA design. This section also presents different pseudoknot patterns found in natural RNA and emphasizes the one considered in our work.

Pseudoknots occur when two WC, wobble or non-canonical interactions cross each other [208]. Even though pseudoknots are often considered the beginning of the interaction between the secondary and tertiary levels of RNA structures, they account in this work as part of the secondary structure. The restriction to only crossing WC and wobble base-pairs contrasts the other tertiary interactions, which may include a broader class of interactions. Many pseudoknot patterns have been identified in natural RNAs. Most occurring pseudoknot patterns tend to be relatively simple in the sense that their crossings are not interlaced and may be viewed as superpositions of two nested secondary structures (bi-secondary structures) [75]. The simplest pattern is often termed as Hairpin-type or H-type (see Figure 1.3a). More complex forms of H-type pseudoknot are bulge hairpin (B-type) or complex hairpin (cH-type). H-type and K-type pseudoknots are the most frequent pseudoknots, but more complex but less frequent pseudoknots are possible such as M-type and L-type pseudoknots (See the figure on the right side of the page) [105]. The four types of pseudoknot patterns considered in Chapter 5 are depicted in Figure 1.3.

Considering pseudoknots in designing functional RNAs is vital given their role in realizing biological functions. Nevertheless, computationally folding an RNA molecule with arbitrary pseudoknot patterns is non-deterministic polynomial-time (NP)-complete [116]. Solving this problem is a prerequisite for RNA design and is still a real challenge, not only because of the computational constraint but also the experimental energy measurements of the pseudoknot interactions. In most cases, existing computational tools are restricted to a specific pseudoknot pattern and are based on approximated energy parameters [66].

In the context of this work, we consider two main secondary structure definitions: a pseudoknot-free one in which only canonical interactions with no crossing pairs are allowed and a second one where canonical interactions with possible crossing pairs are permitted. The following section will provide formal definitions



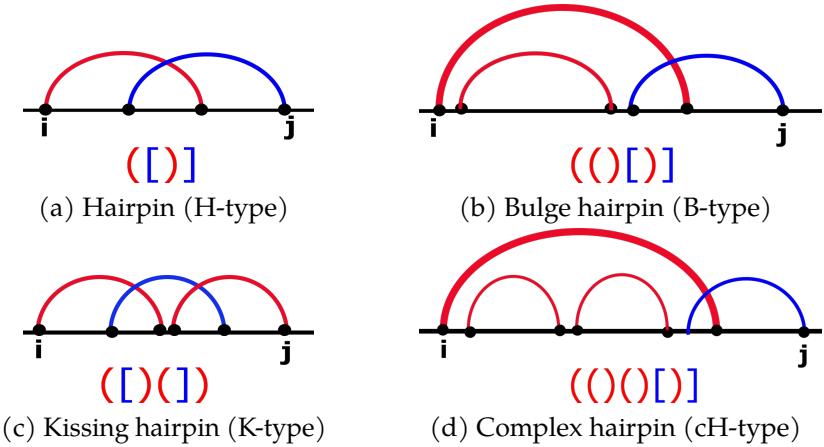


Figure 1.3: **Pseudoknot patterns found in the PseudoBase++.** For each pseudoknot patterns, the different rows represent respectively the circular and the dotbracket shape representations. The B-type and cH-type are more complex forms of H-type. The full complexity order is H-type < B-type < cH-type < K-type.

and the framework in which we can computationally study the folding of the secondary structure of ncRNAs.

1.5 BIOINFORMATIC DEFINITIONS

We provided in the previous sections the biological motivations and biochemical concepts that support the computation methods studied in the thesis. In order to computationally study and analyse RNA molecules, a more formal representation of RNAs and bioinformatic definitions are required. We provide in this section formal definitions and concepts that will support the result presented in this thesis.

1.5.1 Structural definitions

This thesis focuses on computational folding and inverse folding methods of the secondary structure of RNA molecules. The secondary structure, in most cases, is computed for a given RNA sequence. Along the thesis, ϕ will represent an RNA sequence of a fixed length L and \mathcal{S} its corresponding structure. This subsection provides formal definitions of ϕ , \mathcal{S} and the structural properties of \mathcal{S} . We will assume the same definitions in the different tools reviewed in Chapter 2, Chapter 4, which also supports the results presented in Chapter 3 and Chapter 5.

Definition 1 ([RNA](#) sequence). More formally, ϕ consists of an ordered sequence of nucleotides that can be represented as:

$$\phi = (\phi_1, \dots, \phi_L), \quad (1.1)$$

where $\phi_i \in \{A, C, G, U\}$ for $i \in \{1 \dots L\}$. ϕ is often known as the primary structure of [RNA](#).

Definition 2 ([RNA](#) pseudoknot-free secondary structure). Given an [RNA](#) sequence $\phi \in \{A, C, G, U\}^L$, let $\mathcal{P} = \{(i, j) : i < j\}$ be the list of possible pairing positions over the sequence ϕ . A pseudoknot-free secondary structure $\mathcal{S} \subset \mathcal{P}$ of such sequence ϕ is a list of base-pairs with the following constraints [[78](#), [80](#)]:

1. A nucleotide (sequence position) can only belong to a single pair, i.e. $\forall (i, j), (k, l) \in \mathcal{S}$ with $i < k : i = k \Rightarrow j = l$.
2. Paired bases must be separated by at least three unpaired nucleotides. i.e. $\forall (i, j) \in \mathcal{S} \Rightarrow j - i \geq 3$.
3. There are no pseudoknots, i.e. $\nexists (i, j), (k, l) \in \mathcal{S}$ with $i < k < j < l$,
4. The base-pairs consist exclusively of Watson–Crick (C–G and A–U) pairs and Wobble (G–U) pairs. i.e. $\forall (i, j) \in \mathcal{S} \Rightarrow \phi_i \phi_j \in \{\text{GC}, \text{CG}, \text{AU}, \text{UA}, \text{GU}, \text{UG}\}$,

Therefore, [RNA](#) secondary structures can be thought as planar graphs than can be more or less easily drawn on a plan.

Definition 3 (Secondary structure representation). A graphical way of representing an [RNA](#) secondary structure. There are several representations of \mathcal{S} .

- Dot-bracket (or string) representation: In this representation, the secondary structure \mathcal{S} is compactly stored in a string σ consisting of dots and matching brackets. i.e. σ is a string of length L over the alphabet $\Delta_\sigma = \{., [., .], \{., \}, <, >, .\}$ where, at each unpaired positions we have a dot ‘.’ at the corresponding string position, and $\forall (i, j) \in \mathcal{S}$, we have an opening bracket at position σ_i and a closing bracket at position σ_j . We denote σ the string representation of the structure \mathcal{S} . [Figure 1.4D](#) shows an example of a string representation.
- Planar representation: it is the common way of representing an [RNA](#) secondary structure in which \mathcal{S} is presented as a

graph with each vertex representing a nucleotide and an edge connecting consecutive nucleotides and base-pairs (See [Figure 1.4B](#)).

- Circular (or circle) representation: similar to planar representation, \mathcal{S} is a graph but drawn in the plane in such a way that all vertices are arranged on a circle, and the edges representing base-pairs lie inside the circle. In a pseudoknot-free secondary structure circular representation, the edges do not intersect (See [Figure 1.4A](#)).
- Linear representation: In this representation, \mathcal{S} is a graph in which the nucleotides are arranged consecutively in a line and the edges representing base-pairs form semi-circle that do not intersect for pseudoknot-free structure (See [Figure 1.4C](#)).
- Mountain representation: it is mainly used for representing large structures. \mathcal{S} is presented in a two-dimensional graph, in which the x -coordinate is the position i of the nucleotide in the sequence ϕ and the y -coordinate the number $m(i)$ of base-pairs that enclose nucleotide i .
- Tree representation: \mathcal{S} is drawn as a tree in which internal nodes are the base-pairing positions, and the leaves are the unpaired positions. The dot-bracket representation is also often considered as a tree represented by a string of parenthesis (base-pairs) and dots for the leaf nodes (unpaired nucleotides).
- Shapiro representation: it allows representing the different elements composing \mathcal{S} by single matching brackets, and the components are labelled with H(Hairpin), B(Bulge), I (interior loop), M (multi-loop) and S (stacking loop) [[167](#)].

[Figure 1.4](#) shows some examples of RNA secondary structure representation. For graphical illustrating examples in the thesis, we will mostly use the planar representation, and for computational methods, we will use the dot-bracket representation for simplicity.

Definition 4 (Secondary structure loop). There exists a unique decomposition of \mathcal{S} into a set of n loops $\mathbb{L}_{\phi, \mathcal{S}}$, where loops are the faces of its planar drawing. Each loop $\mathcal{L} \in \mathbb{L}_{\phi, \mathcal{S}}$ is characterised by its length l (the number of unpaired nucleotides in the loop)

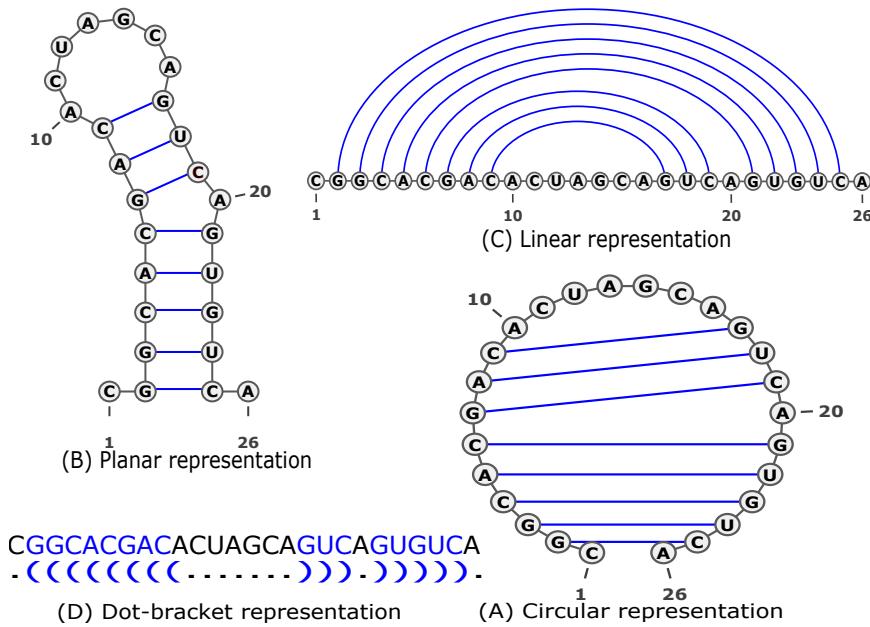
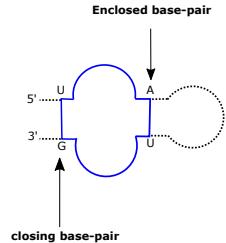


Figure 1.4: Different secondary structure representations of a random generated RNA sequence. The MFE structure is predicted using RNAfold from the ViennaRNA Package [110]. The representations were then drawn using VARNA [31]

and its degree d (the number of base-pairs delimiting the loop, including the closing loop pair).

By definition, $\forall \mathcal{L} \in \mathbb{L}_{\phi, \delta} \Rightarrow \mathcal{L} = \mathcal{L}_p \cup \mathcal{L}_u$ where \mathcal{L}_p and \mathcal{L}_u denote respectively the set of loop base-pairs and the unpaired positions. \mathcal{L}_p contains only one closing loop and the rest are enclosed base-pairs. We say $(i, j) \in \mathcal{L}_p$ is a closing pair if and only if $\forall \mathcal{L}_p \ni (i', j') \neq (i, j) : i < i' < j' < j$.

1. Interior loop: a loop with degree $d = 2$ i.e $|\mathcal{L}_p| = 2$ and $\mathcal{L}_u \subset \{1, 2, \dots, L\} \cup \emptyset$.
2. Stacking pair: an interior loop of length $l = 0$ i.e. $|\mathcal{L}_p| = 2$ and $\mathcal{L}_u = \emptyset$.
3. Hairpin Loop: Any loop of degree $d = 1$ and length $l \geq 3$. i.e $|\mathcal{L}_p| = 1$ and $\mathcal{L}_u \neq \emptyset$.
4. Bulge loop: a special case of interior loop in which there are unpaired bases only on one side. i.e $\mathcal{L}_p = \{(i_1, j_1), (i_2, j_2)\}$ with $i_1 \neq i_2, j_1 \neq j_2$ one of the following assumption holds:
 - If $\exists i' \in \mathcal{L}_u : i_1 < i' < j_2 \Rightarrow \nexists k' \in \mathcal{L}_u : i_2 < k' < j_2$
 - If $\exists k' \in \mathcal{L}_u : i_2 < k' < j_2 \Rightarrow \nexists i' \in \mathcal{L}_u : i_1 < i' < j_1$



5. Multi-loop: Any loop with degree $d > 2$ i.e. $|\mathcal{L}i_p| \geq 3$ and $\mathcal{L}_u \neq \emptyset$.
6. Exterior loop: a loop in which all the positions are not interior of any pair i.e. $\mathcal{L}_p = \emptyset$ and $\mathcal{L}_u \neq \emptyset$.

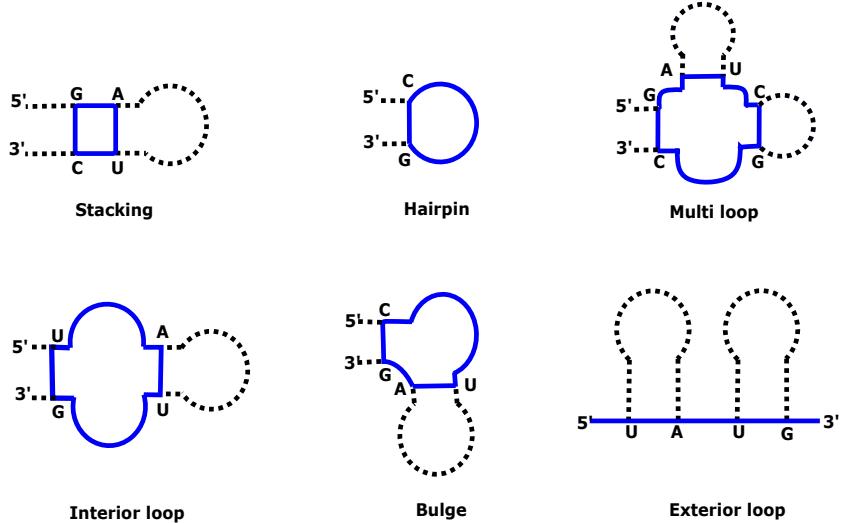


Figure 1.5: **RNA secondary structure loop decomposition.** Each loop is highlighted in blue.

Definition 5 (Free energy of an RNA secondary structure). Given the loop set $\mathbb{L}_{\phi, \mathcal{S}}$, the free energy ΔG of \mathcal{S} defines its thermodynamic stability. ΔG is the free energy difference with respect to the completely unfolded state [193]. $\Delta G(\mathcal{S}, \phi)$ is computed using the additivity principle [34], by summing up the energies of its constituent loops. The free energy ΔG is then defined as

$$\Delta G(\mathcal{S}, \phi) = \sum_{\mathcal{L} \in \mathbb{L}_{\mathcal{S}, \phi}} \Delta G(\mathcal{L}). \quad (1.2)$$

Many models allow for computing the free energies of those constituent loops, but the dominant is the nearest-neighbor loop energy model [196]. This model associates tabulated free energy values to loop types and nucleotide compositions; the Turner2004 [121] is one of the most widely used parameter sets.

The free energy of each given loop \mathcal{L} is expressed as

$$\Delta G(\mathcal{L}) = \Delta H - T\Delta S \leq 0 \quad (1.3)$$

where ΔH is the (pressure- and volume-dependent) enthalpy change, T the absolute temperature and ΔS the entropy change. The dominant stabilizing effect is attributed to consecutive base-pairs (The stacking loops), whereas long unpaired regions enclosed between base-pairs have destabilizing effects [57, 80]. As a simplified example, the destabilizing free energy contribution $\Delta G(\mathcal{L}_m)$ of a multiloop \mathcal{L}_m as seen in [Figure 1.5C](#) is modelled as

$$\Delta G(\mathcal{L}_m) = \Delta G_{\text{init}} + b\Delta G_{\text{branch}} + u\Delta G_{\text{unpaired}} \quad (1.4)$$

where b is the number of all surrounding base-pairs and u the number of base-pairs [36].

In addition to the definitions mentioned above, we have various properties of an [RNA](#) sequence such as structural diversity, positional entropy, structures with maximal expected accuracy, or the density of states. An extensive summary of all possible properties and the history of algorithms is reviewed by Lorenz [113].

The structure decomposition and the tabulated energy parameter sets allow an efficient dynamic programming algorithm to determine a sequence's secondary structure in the entire structure space. Several programs implementing algorithms will enable the computation of these properties efficiently. The thesis gives a literature review of such tools in [Chapter 2](#).

1.5.2 *Thermodynamic definitions*

A common way to computationally address the [RNA](#) folding problem is to consider a dynamic system of structures (the states of the system). Given enough time, a sequence ϕ will form every possible structure Σ_ϕ . For each structure $\mathcal{S} \in \Sigma_\phi$, there is a probability of observing it at a given time. This subsection defines [RNA](#) folding thermodynamic properties such as structural ensemble, partition function, Boltzmann probability of a structure \mathcal{S} , and the others that derive from them, the base-pair probability and the most probable secondary structure.

The folding tools such as [RNAfold](#), [LinearFold](#) used in this thesis use the same thermodynamic definitions. However, some computational folding methods do not rely on a thermodynamic model. For example, [Chapter 2](#) presents a literature review of such tools.

Definition 6 (Structure Ensemble). For a given [RNA](#) sequence ϕ , the set of all pseudoknot-free secondary structures with their

corresponding energies is called the structure ensemble Σ_ϕ of ϕ or Boltzmann ensemble. We write

$$\Sigma_\phi = \{\mathcal{S} | \mathcal{S} \text{ is a secondary structure of } \phi\}.$$

According to the nearest neighbor energy model, all possible secondary structures of a given RNA sequence do not have the same energy. Since each structure has a unique decomposition, each structure has its own energy but different structures can have the same energy.

Definition 7 (Partition function of RNA). Given the free energy change $\Delta G(\mathcal{S})$ of a structure \mathcal{S} , the partition function $Z(\Sigma_\phi)$ is defined on the Boltzmann ensemble (or structure ensemble) of all possible structures of a given sequence ϕ and we write

$$Z(\Sigma_\phi) = \sum_{\mathcal{S} \in \Sigma_\phi} \exp(-\beta \Delta G(\mathcal{S}, \phi)) \quad (1.5)$$

where, $\beta = (RT)^{-1}$ with R the ideal gas constant, and T the temperature.

Definition 8 (Secondary structure probability). How probable is an RNA secondary structure $\mathcal{S} \in \Sigma_\phi$ for the sequence ϕ ? Given the free energy change $\Delta G(\mathcal{S})$ of a structure \mathcal{S} , the boltzmann distribution describes the structure's probability at constant temperature T among all other possible structure of the same sequence ϕ . The probability $p(\mathcal{S} | \phi)$ depends on the free energy $\Delta G(\mathcal{S})$, the lower the more probable. We write

$$p(\mathcal{S} | \phi) = \frac{\exp(-\beta \Delta G(\mathcal{S}, \phi))}{Z} \quad (1.6)$$

where, Z is the partition function and $\beta = (RT)^{-1}$ the thermal constant.

Definition 9 (MFE secondary structure). To predict biologically relevant structures, most computational methods search for structures that minimize the free energy. For a given sequence ϕ , let Σ_ϕ be the secondary structure ensemble of ϕ . The minimum free energy structure \mathcal{S}_{MFE} is the structure with the lowest probability $p(\mathcal{S} | \phi)$ i.e. the most stable conformation in the thermodynamic equilibrium. We write

$$\mathcal{S}^{MFE}(\phi) = \arg \min_{\mathcal{S} \in \Sigma_\phi} \Delta G(\mathcal{S}, \phi). \quad (1.7)$$

Definition 10 (Base-pair probability). Let $\phi = (\phi_i)_{1 \leq i \leq L}$ be an RNA sequence. The base-pair probability matrix $\mathbf{P}(\phi)$ quantifies the equilibrium structural features of the ensemble Σ_ϕ , with entries $P_{i,j}(\phi) \in [0, 1]$ defines as

$$P_{i,j}(\phi) = \sum_{\mathcal{S} \in \Sigma_\phi} p(\mathcal{S}|\phi) S_{i,j}(\mathcal{S}). \quad (1.8)$$

$P_{i,j}(\phi)$ corresponds to the probability that base-pair i,j forms at the equilibrium. $\mathbf{S}(\mathcal{S})$ is the structure matrix with entries $S_{i,j} \in \{0, 1\}$. If the structure \mathcal{S} contains pair (i,j) , then $S_{i,j}(\mathcal{S}) = 1$ otherwise $S_{i,j}(\mathcal{S}) = 0$.

The base-pair probabilities enable then a new view at the structure ensemble. Figure 1.6 shows an example of MFE structure and the base-pair probability dot plot¹ of a tRNA. A square at row i and column j indicates a base-pair. The area of a square in the upper right half of the matrix is proportional to the base-pair probability (i,j) within the equilibrium ensemble. The lower left half shows all pairs belonging to the MFE structure. While the MFE consists of hairpins, bulge and stacking, several different loops are visualized in the pair probabilities, which leads to several local minima with different shapes.

The definitions mentioned above provide us with a necessary framework enabling us to compute the MFE secondary structure within the equilibrium ensemble Σ_ϕ . Several implementations of these definitions have been suggested [110, 146, 216], and they are available as an application programming interface (API). In the context of this work, we are not only interested in the MFE structure but, instead, we use some features of the existing computer libraries (e.g. the computation of the structure free energy) to predict an ensemble structure. The following section introduces some metrics used in this dissertation to compare RNA secondary structures and, eventually, the structure predictions produced by different tools.

1.5.3 Structural distance definitions

The validation of the results obtained in this thesis is purely empirical. We achieved this goal by comparing the predicted and expected structures for the folding tools. We use the PPV and the sensitivity's statistical properties for the benchmark results

¹ computed using RNAfold -p

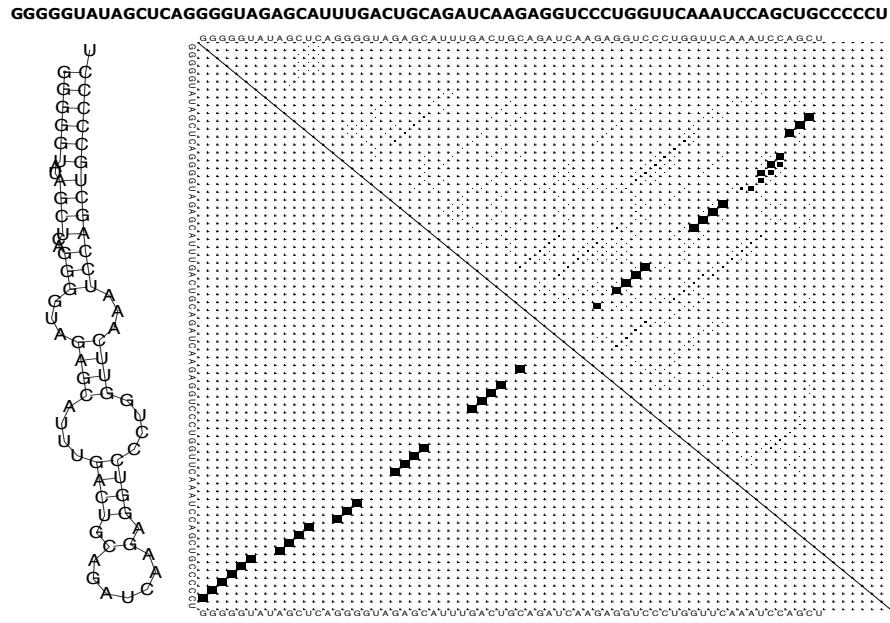


Figure 1.6: Base-pair probability matrix of a tRNA sequence computed using RNAfold 2.4.13. The MFE structure is depicted on the left and the sequence on top. The frequency of the MFE structure in the structural ensemble Σ_ϕ is 0.116. The dot plot on the right shows the pair probabilities within the equilibrium ensemble as (72×72) -matrix and is an excellent way to visualize structural alternatives.

presented in [Chapter 3](#). For the inverse folding tools, we compare the MFE structure of the designed sequence to the target structure. For that end, a rigorous definition of a measure of similarities between two structures is needed. This subsection defines the different similarity measurements used throughout this work. In addition, it defines the objective functions used in our inverse folding presented in [Chapter 5](#).

Definition 11 (The PPV). It measures the fraction of correct base-pairs in the predicted structure and it is defined as

$$PPV = \frac{TP}{TP + FP} \quad (1.9)$$

where TP and FP stand respectively for the number of correctly predicted base-pairs (true positives), and the number of wrongly predicted base-pairs (false positives).

Definition 12 (Sensitivity). It measures the fraction of base-pairs in the accepted structure that are predicted. We write

$$\text{Sensitivity} = \frac{TP}{TP + FN} \quad (1.10)$$

where FN stands for the number of base-pairs not detected (false negatives).

Definition 13 (Base-pair distance). Let σ_1 and σ_2 be two secondary structures in their string representation. The base-pair distance between σ_1 and σ_2 is defined as

$$d_{bp}(\sigma_1, \sigma_2) = \sum_{i,j} A_{i,j}[\sigma_1] + A_{i,j}[\sigma_2] + 2 \times A_{i,j}[\sigma_1]A_{i,j}[\sigma_2], \quad (1.11)$$

where,

$$A_{i,j}[\sigma] = \begin{cases} 1 & \text{if } (i,j) \text{ is a base-pair in } \sigma \\ 0 & \text{otherwise.} \end{cases}$$

Definition 14 (Hamming distance). Let σ_1 and σ_2 be two secondary structures in their string representation. We define the hamming distance between σ_1 and σ_2 , $d_h(\sigma_1, \sigma_2)$, to be the number of positions where σ_1 and σ_2 differ. We write

$$d_h(\sigma_1, \sigma_2) = \sum_{i=1}^L S(\sigma_1^i, \sigma_2^i) \quad (1.12)$$

where,

$$S(\sigma_1^i, \sigma_2^j) = \begin{cases} 1 & \text{if } \sigma_1^i \neq \sigma_2^j \\ 0 & \text{otherwise.} \end{cases}$$

Definition 15 (ensemble defect (ED)[\[217\]](#)). Given an RNA sequence ϕ of length L , the ensemble defect \mathcal{D}_E is the expected base-pair distance between a target structure \mathcal{S}^* and a random structure generated with respect to the Boltzmann probability distribution. It is defined as

$$\begin{aligned} \mathcal{D}_E(\phi, \mathcal{S}^*) &= \sum_{\mathcal{S} \in \Sigma_\phi} p(\mathcal{S}|\phi) d_{bp}(\mathcal{S}, \mathcal{S}^*) \\ &= L - \sum_{1 < i, j < L} P_{i,j}(\phi) S_{i,j}(\mathcal{S}^*) \end{aligned} \quad (1.13)$$

where $P_{i,j}$ is the base-pair probability matrix entrances, $d_{bp}((\mathcal{S}, \mathcal{S}^*))$ is the base-pair distance between two structures, and $\mathbf{S}(\mathcal{S})$ is the structure matrix with entries $S_{i,j} \in \{0, 1\}$. If the structure \mathcal{S} contains pair (i, j) , then $S_{i,j}(\mathcal{S}) = 1$ otherwise $S_{i,j}(\mathcal{S}) = 0$.

Definition 16 (normalized energy distance (NED)). the difference between the energy of a given sequence ϕ evaluated to fold into a target structure \mathcal{S}^* and the minimum free energy of the

sequence in its structural ensemble Σ_ϕ . The value is normalized over all the sequences in a given population P . We write

$$\mathcal{N}_E(\phi, \mathcal{S}^*) = [1 - \Delta\hat{E}(\mathcal{S}^*, \phi)]^q \quad \forall q > 1 \quad (1.14)$$

where,

$$\Delta\hat{E}(\mathcal{S}^*, \phi) = \frac{\Delta E(\mathcal{S}^*, \phi)}{\sum_{s \in P} \Delta E(\mathcal{S}^*, s)} \quad (1.15)$$

and,

$$\Delta E(\mathcal{S}^*, \phi) = \Delta G(\mathcal{S}^*, \phi) - \arg \min_{\mathcal{S} \in \Sigma_\phi} \Delta G(\mathcal{S}, \phi). \quad (1.16)$$

Among the definitions mentioned above, 11 and 12 are used in Chapter 3 for the benchmark comparison. Whereas, definitions 13, 14, 15, 16 are used in Chapter 5 for both objective function and benchmark purposes. The following section provides a formal definition of the fitness landscape and some of its properties. It will mostly use 14 for both structure and sequence comparison.

1.5.4 RNA folding map properties

This work considers RNA molecule folding and inverse folding optimisation problems. In both cases, it is fundamental to define the fitness landscape notion. This subsection provides the formal definitions of the fitness landscape and examples related to the folding and inverse problem. Some properties such as neutrality, mutation mode or move operator are also provided. The size of the RNA structural ensemble has been analytically computed through tools developed by Stein and Waterman [183], and it yields an upper bound of $S_L \approx 1.48 \times L^{-\frac{3}{2}} 1.85^L$ structure vis-a-vis 4^L sequences. Compared to the total number of sequences, the number of structures is much smaller, which means there is a high possibility that many sequences fold into the same MFE secondary structure. In case that happens, we call the set of those sequences a neutral set. The fraction of such sequences defines the neutrality of a fitness landscape.

Definition 17 (Fitness landscape). A fitness landscape \mathfrak{L} results from the combination of three elements: a set of configurations \mathcal{V} , a cost or fitness function f , and a move operator ψ that induces a topology on the set of configurations. We write:

$$\mathfrak{L} = (\mathcal{G}_f, f, \psi) \quad (1.17)$$

where \mathcal{G}_f is the the landscape underlying the hypergraph whose vertices are the elements from \mathcal{V} labelled with values given by f , and whose edges are specified by the move operator ψ .

The fitness function f assigns to each configuration $v \in \mathcal{V}$ a real value taken from an interval $\mathbb{I} \subset \mathbb{R}$ as follows:

$$f : \mathcal{V} \rightarrow \mathbb{I}.$$

An example of fitness function in the case of inverse folding is defined in [Chapter 5 \(Section 5.1.2\)](#), which uses the hamming distance d_h and $\mathcal{V} = \{\text{A, C, G, U}\}^L$. But in this case, the fitness defined in the structural space Σ_ϕ . i.e. we have an intermediate folding function $\Delta G(\mathcal{S}, \phi)$, mapping any sequence $\phi \in \mathcal{V}$ to an [MFE](#) secondary structure.

The move (or mutation) operator ψ defines the relationship between the configuration from \mathcal{V} in the following way:

$$\psi : \mathcal{V} \rightarrow \mathcal{V}.$$

Definition 18 (Mutation mode). Let $\phi, \phi' \in \mathcal{V} = \{\text{A, C, G, U}\}^L$, be two [RNA](#) sequences. ϕ' is said to be an n -point mutation of ϕ if it differs from ϕ at n nucleotides; i.e. $d_h(\phi, \phi') = n$ where $d_h(., .)$ is the hamming distance on $\{\text{A, C, G, U}\}^L$.

A mutation mode is a random variable U taking values in $\{1, \dots, L\}$. $P(U = n)$ is defined as the probability that, exactly n nucleotides, selected uniformly at random undergo point mutation during a mutation event. U can generally be any probability distribution.

Definition 19 (Neutral set of [RNA](#) sequences). For a give fitness landscape $\mathcal{L} = (\mathcal{G}_f, f, \psi)$, with $\mathcal{V} = \{\text{A, C, G, U}\}^L$, two [RNA](#) sequence ϕ_1 and ϕ_2 are set to be neutral $\iff f(\phi_1) = f(\phi_2)$. We call a set $\Gamma \subset \mathcal{V}$ of all such [RNA](#) sequences a neutral set. In the case of inverse folding, ϕ_1 and ϕ_2 are neutral if they share the same [MFE](#) secondary structure. In contrast, ϕ_1 and ϕ_2 have the same free energy in the folding problem context.

Definition 20 (Neutral Network). Let $\mathcal{G}(\mathcal{V}, E)$ be a connected graph in which vertices are all in the neutral sequence set Γ (i.e. $\mathcal{V} \subset \Gamma$). \mathcal{G} is said to be a neutral network $\iff \forall e(v_i, v_j) \in E, v_i, v_j$ differ by a single nucleotide (i.e. $d_h(v_i, v_j) = 1$).

We provided in this subsection a general definition of a fitness landscape with examples related to computational [RNA](#) folding and inverse folding. Now that we have all the ingredients to

computationally study the folding and the inverse folding of [RNA](#) molecule, we are left with the definition of some computational techniques used in our proposed tools. Our contributions rely on two well-known techniques of algorithms: the [FFT](#) for the folding mechanism and the [EA](#) for the inverse folding. An overview of both techniques is provided in the following section.

1.5.5 *The fast Fourier transform (FFT) and evolutionary algorithm (EA) applied to RNA bioinformatics*

The computational results present in this work rely on two well-known techniques: the [FFT](#) and [EA](#). Both approaches have already been studied and have found many applications, including the computational folding and inverse folding of [ncRNA](#). This section gives a short overview of the two concepts.

A [FFT](#) is an algorithm that computes the discrete Fourier transform ([DFT](#)) of a sequence or its inverse (Inverse discrete Fourier transform ([IDFT](#))). Fourier analysis converts a signal from its original domain (often time or space) to a representation in the frequency domain and vice versa. The [DFT](#) is obtained by decomposing a sequence of values into components of different frequencies.

More formally, let $\{x_k\} := x_0, \dots, x_{L-1}$ be a sequence of L complex numbers, the [DFT](#) transforms the sequence $\{x_k\}$ into another sequence of L complex numbers $\{X_k\} := X_0, \dots, X_{L-1}$ defined as

$$X_k = \sum_{n=0}^{L-1} x_n e^{-i2\pi kn/N}. \quad (1.18)$$

The direct evaluation of [Equation 1.18](#) will require $O(L^2)$ operations because there are L outputs of X_k , and each of them requires a sum of L terms. A [FFT](#) is, therefore, any approach allowing to compute the same results in $O(L \log L)$ operations [[91](#)].

Let x and y be two sequences of length L and let X and Y be their respective [DFT](#)s. The correlation c_k between sequences x and y with the positional lag of k sites is defined as

$$c_k = \sum_{1 < n < L, 1 < n+k < L} x_n y_{n+k}. \quad (1.19)$$

It is known that the correlation c_k can be expressed in terms of the [DFT](#). We write

$$c_k \Leftrightarrow X_n^* \cdot Y_n \quad (1.20)$$

where the asterisk denotes complex conjugation. That means we simply need to compute the DFT X_n and Y_n . Therefore, we can compute correlations c_k using the FFT as follows: FFT the two sequences, multiply one resulting transform by the complex conjugate of the other, and inverse transform the product.

Similar to [Equation 1.18](#), the direct evaluation of c_k requires $O(L^2)$ operations and taking advantage of the FFT reduces it to $O(L \log L)$ operations. Several FFT algorithms have been implemented to speed up the computation of the DFT but so far, the most commonly used is the Cooley–Tukey algorithm [25].

The same idea has been applied in the context of RNA bioinformatics, where the two sequences of complex numbers can be thought of as two data sets of real numbers encoding the RNA sequences information. And the correlation c_k measures the homologous region in the two RNA sequences [93]. In contrast to Katoh and his collaborators [93], we use the FFT to rapidly identify the largest stems of an RNA sequence. Thanks to the FFT which allows us to efficiently predict the fast-folding pathways of RNA molecules (See [Chapter 3](#)) within a reasonable CPU time.

The EA is another well-known heuristic approach, especially when dealing with problems in which less information about the fitness landscape is provided or when there is no exact algorithm in polynomial for such problems. The EA approach is inspired by evolutionary systems. In the 1950s and the 1960s, several computer scientists already independently studied evolutionary systems with the idea that evolution could be used as an optimization tool for engineering problems [129]. The picture in all these systems was to evolve a population of candidate solutions to a given situation, using operators inspired by natural genetic variation and natural selection.

Since the genetic algorithm (or more generally EA) was proposed by John Holland [81] in the early 1970s, it has emerged as a popular search heuristic. It has found application in many disciplines that deal with complex landscape optimization problems, e.g. RNA folding [130, 209] and inverse RNA folding [46, 47, 187].

EAs form a class of heuristic search methods based on a particular algorithmic framework whose main components are the variation operators (mutation and recombination or crossover) and the selection operators (parent selection and survivor selection). The general evolutionary algorithm framework is depicted in [Figure 1.7](#). In most of the EA implementations, the solutions are encoded in the form of genomes (array of elements). The

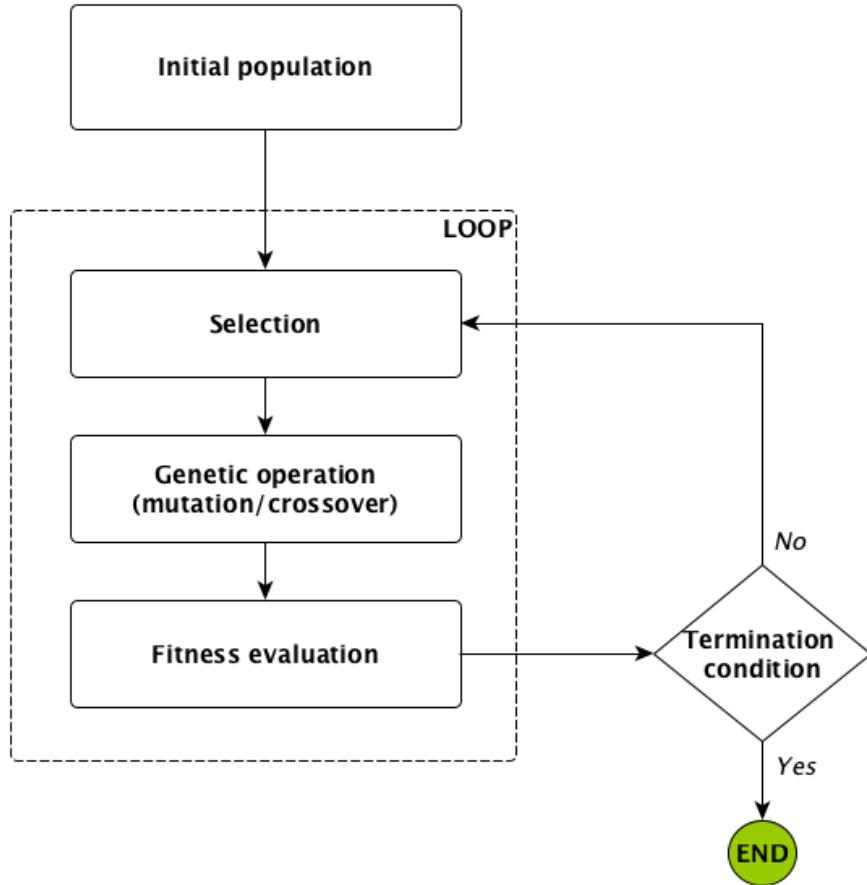


Figure 1.7: **Evolutionary algorithm flow diagram.** The algorithm initializes a population of candidate solutions and then loops over the three genetic operations until the termination criteria are satisfied.

simplest form of EA typically involves two types of operators: selection and mutation (single point).

- **Selection:** the operator consists of selecting solutions in the population for reproduction. The fitter the solution, the more times as likely it is selected to reproduce. This operator often requires a fitness function evaluation.
- **Mutation:** the operator allows generating new solutions in the population. It randomly flips or permutes some element positions in a genome solution. For example, if we encode the solutions in a binary string, the solution 00000100 might be mutated in its second position to yield 01000100. Mutation can occur at each bit position in a string with some probability, usually very small (e.g. 0.001 for a sequence of length 50).

In a more complex configuration, we can have a crossover operator that plays almost the same role as mutation, which generates new solutions in the population. In contrast to the mutation operator, the crossover randomly chooses a locus and exchanges the subsequence solutions before and after that locus between two solutions to create two offspring solutions.

In the context of this work, we use the simplest form of [EA](#), in which we did not consider a crossover operator. We implement the simplest [EA](#) framework with a mutation operator adapted to the Inverse folding problem, which results in an alternative computational tool named [aRNAque](#) (see [Chapter 5](#)).

This section provided an overview of the two main tools used in this thesis, which are [EA](#) and [FFT](#). The [EA](#) is implemented in the computational inverse folding tool we propose in [Chapter 5](#), and the [FFT](#) in the [RNA](#) folding tool that will be introduced in [Chapter 3](#).

1.6 CONCLUSION AND OUTLINE OF THE THESIS

This introductory chapter presents nucleic acids in general and, in particular, a description of [ncRNA](#) and its chemical, biological, and algorithmic definitions. Those concepts with biological motivations constitute the basis of the thesis.

We organize the next part of the thesis into fives. The two first s are grouped into a first result part which only concerns [RNA](#) folding. The second part discusses inverse folding, and similarly to the first part, it contains two s. The last discusses the presented results and concludes by providing some limitations and possible future research directions.

In [Part i](#), [Chapter 2](#) provides a brief literature review on the existing computational methods for [RNA](#) folding. The review focuses on thermodynamic and machine learning methods such as [RNAfold](#), [LinearFold](#) and [Mxfold](#). We review some of the limitations of existing tools in [Chapter 2](#), such as the computational time, and in some cases, the predicted thermodynamic structure does not match the native one. [Chapter 3](#) presents our proposed folding tool called [RAFFT](#), which aims at overcoming those limitations. [RAFFT](#) implements a novel heuristic to predict [RNA](#) secondary structure formation pathways that has two components: (i) a folding algorithm and (ii) a kinetic ansatz. This heuristic is inspired by the kinetic partitioning mechanism, by which molecules follow alternative folding pathways to their native structure, some much faster than others. [RAFFT](#) starts by generating an ensemble

of concurrent folding pathways ending in multiple metastable structures, which contrasts with traditional thermodynamic approaches that find single structures with minimal free energies. When analyzing 50 predicted folds per sequence, we found near-native predictions for RNAs of length ≤ 200 nucleotides, matching the performance of current deep-learning-based structure prediction methods [158, 218]. RAFFT also acts as a folding kinetic ansatz, which we tested on two RNAs: the CFSE and a classic bi-stable sequence. For the CFSE, an ensemble of 68 distinct structures computed by RAFFT allowed us to produce complete folding kinetic trajectories. In contrast, known methods require evaluating millions of sub-optimal structures to achieve this result. For the second application, only 46 distinct structures were required to reproduce the kinetics, whereas known methods required a sample of 20,000 structures.

Similar to the first part of the result, Part ii contains two chapters. Chapter 4 will briefly introduce the RNA design problem. It distinguishes the positive from the negative RNA design problem and reviews the current state of the art computational tools, especially those implementing evolutionary techniques. The existing tools present challenges when benchmarked on recent datasets such as Eterna100. Another limitation is that most existing tools do not consider the pseudoknot patterns in their designing process. In Chapter 5, we propose an improved evolutionary algorithm inspired by the Lévy flights. Like a Lévy flight, our tool, aRNAque, implements a Lévy mutation scheme that allows simultaneous search at all scales over the mutational landscape. New mutations often produce nearby sequences (one-point mutations) but occasionally generate mutant sequences far away in genotype space (macro-mutations). In aRNAque, the number of point mutations distribution at every step is taken to follow a Zipf distribution. The Lévy mutation scheme increases the diversity of designed RNA sequences and reduces the average number of evaluations of the evolutionary algorithm compared to the local search. The overall performance showed improved empirical results compared to existing tools through intensive benchmarks on both pseudoknot (the PseudoBase++ dataset) and pseudoknot-free (the Eterna100 dataset) datasets.

Finally, Chapter 7 presents a general conclusion, a discussion on the results obtained and some promising perspectives. It emphasizes the understanding of the Lévy mutation in the context of RNA design and the application of our results to evolutionary dynamics.

Part I

RNA FOLDING

This first part of our thesis provides a literature review on existing computational tools addressing the prediction of RNA secondary structure, and it presents our proposed tool RAFFT. Chapter 3 contains figures and ideas that have previously appeared in our publication:

- [136] Vaitea Opuu, Nono SC Merleau, Vincent Messow and Matteo Smerlak (2021). *RAFFT: Efficient prediction of RNA folding pathways using the fast Fourier transform.* In: *bioRxiv* (**Submitted and accepted**) (PLoS Comp. Biol.)

2

INTRODUCTION TO RNA FOLDING

We provided some motivations for studying ncRNAs and introduced their bioinformatic concepts in the introduction. We also highlighted the relationship between the structure of ncRNAs and their functions. The functions of ncRNAs and their lengths usually distinguish them, and several ncRNA classes were presented. Identifying the ncRNA functions is challenging, though there is a widespread expectation that their functions are largely determined by their structures. The process of determining the RNA structure is often termed RNA folding. Experimental methods that determine the secondary structure of such molecules are usually expensive. Many computational methods have been developed in the last decades as alternatives. This chapter overviews computational methods for predicting RNA secondary structures. Two techniques will be reviewed: statistical approaches such as machine learning and score-based methods.

2.1 STABILITY AND PREDICTION OF RNA SECONDARY STRUCTURES

The mapping from RNA sequences to their corresponding secondary structure defines the folding of RNA molecules. RNA folding is, therefore, a process by which a linear RNA sequence acquires a secondary structure through intra-molecular interactions. The nature of those interactions defines the thermodynamic stability of the secondary structure. Throughout this dissertation, we will denote the thermodynamic stability of a structure σ by ΔG_σ , which is the free energy difference with respect to the completely unfolded state. This section provides an intuition on how the *free energy* of an RNA secondary structure is computed based on the definitions and concepts introduced in Chapter 1. Furthermore, it introduces the problem of RNA secondary structure prediction and an overview of existing techniques.

In predicting biologically relevant structures, most computational methods search for structures that minimize the free energy function ΔG (i.e. the MFE structure). Therefore, the prerequisite to efficiently computing the MFE secondary structure is the computation of the free energy for any given secondary structure

\mathcal{S} . The calculation of the [RNA](#) structure free energies starts by decomposing each structure into components called loops (See Definition 4). The loop decomposition allows building the basis of the standard energy model for [RNA](#) secondary structures called the nearest neighbour ([NN](#)) model [196]. The total free energy of a secondary structure is assumed to be a sum over its constituent loops according to the additivity principle [34] (see Definition 5). Therefore, this structure decomposition allows an efficient dynamic programming ([DP](#)) algorithm to determine the [MFE](#) pseudoknot-free structure of a sequence ϕ in the structure space Σ_ϕ .

The [DP](#) is a computer programming method developed by Richard Bellman in the early 1950s [10], and it has found applications in various fields, including the [RNA](#) secondary structure prediction. It consists of simplifying a complicated problem by breaking it down into simpler sub-problems in a recursive manner. When sub-problems can be nested recursively inside larger problems so that [DP](#) methods are applicable, then there is a relation between the value of the larger problem instance and the values of the sub-problems.

For example, let us consider the definition of secondary structure \mathcal{S} introduced in the previous chapter (Definition 2) and its string representation σ . When considering a substructure $\sigma[i:j]$ within the sequence interval $\phi[i:j]$, there are only two alternatives to how position i may contribute to $\sigma[i:j]$. Either i does not pair with any other position, or it pairs with another nucleotide k with $i < k \leq j$. In the first situation, $\sigma[i:j]$ consists of the base-pairs in the subsequence $\sigma[i+1:j]$ only. The formation of a base-pair (i,k) , however, subdivides the structure into two parts, one enclosed by (i,k) , namely $\sigma[i+1:k-1]$, and the other one, $\sigma[k+1:j]$. Thus, $\mathcal{S} = \text{proc}\{\sigma[i+1:k-1] \cup \sigma[k+1:j]\} \cup \{(i,k)\}$, where the *proc* is the recursive procedure. Since condition (3) of definition 2 ensures that the position (i,j) can not contain base-pairs that cross (i,k) (or at least in the pseudoknot-free situation), the two shorter substructures $\sigma[i+1:k-1]$ and $\sigma[k+1:j]$ can be treated independently for a large variety of purposes.

This observation has led to a recursive decomposition scheme for [RNA](#) secondary structures, which is the basis of the large variety of [DP](#) approaches that solve [RNA](#) secondary structure prediction problems. The first [DP](#) algorithm was then proposed by Nussinov and Jacobson [134] to find the structure with the maximum base-pairs. A few years after, Zucker and Stieger [226] extended Nussinov's algorithm to a more realistic scoring model

based on free energy, the [NN](#) model. Almost all score-based methods rely on the same [DP](#) algorithm, but the decomposition scheme and the scoring model could differ from one to another. When predicting structures with non-canonical base-pairs, some other scoring schemes are used, such as nucleotide cyclic motifs score system [28, 138, 172] or equilibrium partition function [175].

In addition to score-based methods, we have comparative sequence analysis methods, which are the most computationally accurate for determining [RNA](#) secondary structures [71, 117]. Using the set of homologous structures, the comparative method allows finding base-pairs that covary to maintain [WC](#) and wobble bases of a given sequence ϕ [72]. The first comparative method predicting a common secondary structure conserved in the given homologous sequence set was developed by Han and Kim in the early nineteenth century, and it was based on comparative phylogenetic analysis.

When neglecting the special base-pairs (or pseudoknots) and the weak interactions, the running time of both approaches (score-based and comparative analysis) is usually $O(L^3)$ (Where L is the [RNA](#) sequence length) and thus prohibitively slow for longer sequences.. Many other comparative analysis methods and variations of score-based methods were also proposed to improve computational time. More recently, a heuristic method such as [LinearFold](#) allows achieving good [RNA](#) folding performance in a linear time ($O(L)$).

When pseudoknots are considered, the loop decomposition of a secondary structure and the energy rules break down. Although we can assign reasonable free energies to the helices in a pseudoknot and even to possible coaxial stacking between them, it is impossible to estimate the effects of the new kinds of loops created. Base triples pose an even greater challenge because the exact nature of the triple cannot be predicted in advance, and even if it could, we have no data for assigning free energies. Nevertheless, there are existing techniques that approximate the energies of pseudoknot loops and allow the dynamic programming technique to tackle the [RNA](#) folding with pseudoknots. However, the time complexity still remains the main problem. Using the [DP](#) technique for the pseudoknot structure prediction, the time complexity goes up to $O(L^6)$ for the exact prediction. But for heuristic methods such as [IPKnot](#) [160] and [Hotknots](#) [145], the running time can be reduced down to $O(L^4)$.

Despite the advanced development of computational tools for [RNA](#) folding, it's challenging to understand the folding mecha-

nism fully. In contrast to score-based and comparative analysis methods, machine learning methods are data-driven methods that require no knowledge of the folding mechanism. Nevertheless, the requirement of ML-based methods is a large amount of training data on which they can learn. In the last few decades, ML methods have been used for many aspects of RNA secondary structure prediction methods to improve the prediction performance and overcome the limitations of existing methods. However, they did not replace the mainstream score-based methods with respect to accuracy and generalization. In addition to some overfitting concerns, ML-based methods cannot give dynamic information on the RNA folding process since little data are available on structural dynamics. In addition, the training data used in ML-based methods are mostly obtained through phylogenetic analyses. Consequently, their prediction may be biased due to the *in vivo* third elements. The following subsections provide a detailed description of some of the recent ML-based and score-based tools for secondary structure prediction.

In sum, computational methods usually consider the MFE secondary structure as the most biologically relevant one. Predicting the MFE structure consists of solving a free energy optimization problem in the case the scoring function is the free energy. Existing methods for RNA secondary structures prediction can be clustered into three main categories: the score-based, comparative sequence analysis and ML methods. The DP technique is one of the most widely used score-based methods, but they are usually less accurate than the comparative methods. In contrast, ML methods are more recent and still under intensive improvements. The following section will overview some existing tools and highlight their limitations.

2.1.1 MFE prediction tools for pseudoknot-free RNA sequences using a score-base method

The score-based methods often assume that the native or biological RNA structure is the one that minimizes/maximizes the overall total score, depending on the hypotheses made on the RNA folding mechanism. In the pseudoknot-free MFE prediction, where the special and weak interactions are neglected, the folding problem is less complex, and the scoring model is simply the free energy. Hence, the issue of RNA secondary structure prediction becomes an optimization problem that aims at finding the best-

scoring structure \mathcal{S}^{MFE} by minimizing a scoring function ΔG . We write

$$\mathcal{S}^{MFE} = \operatorname{argmin}_{\mathcal{S} \in \Sigma_\phi} \Delta G(\mathcal{S}, \phi) \quad (2.1)$$

where Σ_ϕ is the set of all possible pseudo-knot free secondary structures for the sequence ϕ of length L and, $\Delta G(\mathcal{S}, \phi)$ the free energy of the structure \mathcal{S} evaluated for the sequence ϕ .

Since each possible structure can be uniquely and recursively decomposed into smaller components (or loops) with independent free energy contributions, the DP is best suited for most of the following tools presented here.

- **Unfold** [225, 226]: It is the successor of the original `mfold` program which was the first realistic implementation of the DP for secondary structure predictions with a score based on the loop energy parameters and a worse case time complexity of $O(L^3)$. The initial version was an improvement of the simplest DP for secondary structure prediction known as the *maximum circular matching problem*. The authors demonstrated that the loop-based energy model is also amenable to the same algorithmic ideas. With McCaskill's algorithm [125], for computing the partition function of the equilibrium ensemble of RNA molecules, more efficient implementations of the initial program with accurate thermodynamic modelling have been provided. The latest implementation is known as Unfold.
- **RNAstructure** [123, 146]: The software first appeared in 1998 as a reimplementation of the program `mfold` with improved thermodynamic parameters. In its initial version, four major changes were made in `mfold`: (1) an improvement on the methods for forcing base-pairs; (2) a filter that removed isolated WC or wobble base-pairs has been added; (3) the energy parameter for interior, internal and hairpin loops were incorporated; (4) a new model for coaxial stacking of helices. It predicts the lowest free energy structure and a set of low energy structures. The new implementation also provided a user-friendly graphical interface for Windows operating system. Subsequently, the first implementation was extended to include biomolecular folding; an algorithm that finds low free energy structures common to two sequences; the partition function algorithm and all free

energy structures, and the constraints with enzymatic data and chemical mapping data. The recent version includes the partition function computation for secondary structures common to two sequences and can perform stochastic sampling of common structures [74]. Additionally, it contains MaxExpect, which finds maximum expected accuracy structures [114], and a method for removal of pseudoknots, leaving behind the lowest free energy pseudoknot-free structure.

- **RNAfold** [79, 110]: It is one of the most used and efficient folding tools. It computes the MFE secondary structure using an efficient DP scheme and backtraces an optimum structure. It also allows computing the partition function using McCaskill's algorithm, the matrix of base-pairing probabilities, and the centroid structure. It is part of the ViennaRNA Package. Since its first version, it aims at suggesting an efficient implementation of Zucker's algorithm with more flexibility on the folding constraints. Many other versions have been released, including a graphics processing unit (GPU) implementation. The latest stable release of the ViennaRNA Package is Version 2.5.0.
- **LinearFold** [83]: For many decades, the DP techniques have been the most accurate and fast at predicting pseudoknot-free structure for short input RNA sequences. But for long sequences, the prediction remains challenging because of the computational time and the lack of accurate thermodynamic energy parameters. In contrast to traditional DP methods which are often bottom-up, LinearFold is a left-to-right DP. The left-to-right DP consists of scanning the input RNA sequence ϕ from left to right, maintaining a *stack* along the way and performing one of the three actions (*push*, *skip* or *pop*). The *stack* consists of a list of unpaired opening bracket positions and at each position $j = 1 \dots L$, the three actions consist respectively of 1) *push*: opening a bracket at position j , 2) *skip*: unpaired nucleotide at position j and 3) *pop*: closing the bracket at position j . Initially, LinearFold's computational time was similar to the classical DP ($O(L^3)$) because of the *pop* action that involves three free indices (i.e. unpaired positions). But using a beam search heuristic, the time complexity was then reduced to $O(Lb \log b)$, where b is the beam size. The beam search is a popular heuristic technique used in computational linguistics. This

technique allows keeping only the top b highest-scoring (or low energy) states for each prefix of the input sequences.

Although the score-based approaches for **RNA** structure prediction often offer good accuracy and generalization, the non-availability of the thermodynamic energy parameters for specific loops of extended sizes presents the main challenge for predicting long sequences (i.e. $L \geq 1,000$ nucleotides). Early **ML**-based methods aim to improve the energy parameters by learning the underlying folding patterns from a more considerable amount of training data. In the next section of this chapter, we will present some of the recent improvements in structure prediction using **ML**-based methods.

2.1.2 **ML**-based methods

In the previous section, we reviewed the score-based **RNA** secondary structure prediction methods in general and four tools in particular, i.e. **Unfold**, **RNAstructure**, **RNAfold**, and **LinearFold**. These methods are thermodynamic methods that usually rely on experimentally energy parameters. For example, most experimental energy parameters are available only for short **RNA** sequences (e.g. with a length of fewer than 200 nucleotides). This limitation significantly degrades the prediction performance of thermodynamic methods for long RNA sequences. In an attempt to improve these methods, **ML** methods have been proposed. This section presents an overview of existing **ML** methods, especially those used in [Chapter 3](#) for benchmark comparison with our proposed method.

The **ML**-based methods for **RNA** secondary structure prediction can generally be classified into three categories according to **ML**'s subprocess, i.e., score scheme based on **ML**, preprocessing and postprocessing based on **ML**, and prediction process on **ML**. All the **ML**-based methods in these three categories trained their models in a supervised way [223].

When using a scoring scheme based on **ML**, the parameter estimation in the scoring scheme is first optimized using an **ML** model. The estimated parameters are then used to evaluate the scores of possible conformations. Difference scoring schemes can be refined by using that approach: the free energy parameters, weights, and probabilities. The free energy parameter-refining is the most popular because several thermodynamic parameters of the **NN** model have to be based on a large number of optimal

melting experiments and the experiments are time and labour-consuming. In fact, not all free energy changes in structural elements can be experimentally measured because of technical difficulties. Instead of refining the free energy parameters, some ML-based approaches scream through existing data of RNA structures to extract weights that consist of different features of RNA structure elements. These weights can be used as a scoring function for DP techniques. The advantage of such a scoring function is that it decouples structure prediction and energy estimation. However, learned weights have no explanations because of the ML black box.

Another alternative for predicting RNA structures is the stochastic context-free grammar (SCFG) [41, 101, 102, 149, 155, 212]. SCFGs allow building grammar rules and induce a joint probability distribution over possible RNA structure for a given sequence ϕ . In addition, the SCFG models specify probability parameters for each production rule in the grammar, which allow assigning a probability to each sequence generated by the grammar. These probability parameters are learned from datasets of RNA sequences associated with known secondary structures without carrying any external laboratory experiments [41].

Besides the ML-based methods that focus on refining the folding parameters, there are preprocessing and post-processing based on ML [76, 82, 224] and direct predicting process based on ML [109, 182, 185]. Preprocessing and postprocessing models allow for choosing the appropriate prediction method or set of prediction parameter sets and provide a means of determining the most likely structures among the possible outcomes that are useful for decision. The preprocessing and postprocessing ML tools are often based on a support vector machine (SVM).

Finally, it is possible to use ML techniques to predict RNA secondary structure directly or combine it with other algorithms in an end-to-end fashion. Below are some of the most used and recent ML-based tools for RNA secondary structure prediction.

- **ContraFold**[38]: Using the so-called probabilistic model, the conditional log-linear model (CLLM), ContraFold appeared for the first time in early 2006. It was the first probabilistic prediction tool outperforming the existing tools, including thermodynamic tools such as RNAfold and mfold. The CLLM is a flexible class of probabilistic models that generalizes upon SCFGs, using discriminative training and feature-rich scoring. The tool implements a CLLM incorporating most of the features found in typical thermodynamic

models allowing the tool to achieve the highest single sequence prediction accuracy to date when compared with the currently available probabilistic models.

- **ContextFold** [218]: In contrast to **ContraFold**, **ContextFold** utilizes a weighted approach based on **ML**. In particular, it uses a discriminative structured-prediction learning framework combined with an online learning algorithm. **ContextFold** uses a large training dataset of **RNA** sequences annotated with their corresponding structures to obtain an **ML** model made of 70,000 free parameters, which has several orders of magnitudes compared to traditional models (i.e. thermodynamic free energy parameters). At its first apparition, **ContextFold**'s model succeeded at the error reduction of about 50%. Still, some overfitting concerns have been reported when using the tool, especially for predicting structures with large unpaired regions.
- **Mxfold2** [158]: It is one of the most recent **ML**-based tools for predicting the secondary structure of **RNA** molecules. Its particularity is the **ML** technique used, a **ML** it also belongs to the weighted approach based on **ML** since the resulting model of a deep neural network (**DNN**) is a set of weight parameters. **MxFold2**'s **DNN** uses the max-margin framework with thermodynamic regularization. It made the folding scores predicted by **Mxfold2** and the free energy calculated by the thermodynamic parameters as close as possible. This method has shown robust prediction on both sequences and families of natural **RNAs**, suggesting that the weighted **ML** approaches can compensate for the gaps in the thermodynamic parameter approaches.

Although **ML** methods provide substantial improvements compared to traditional methods such as thermodynamic and comparative sequence analysis [159, 173], they often lack physical principles (training data are mostly obtained through phylogenetic analyses) and present some over-fitting concerns [150]. In addition to the over-fitting problems partially due to few data availability, **ML** methods do not provide dynamic information on **RNA** folding for the same reason. In **Chapter 3**, we will introduce our approach that aims at predicting an ensemble structure, which allows us to derive some dynamic information and contrasts the methods previously presented.

2.1.3 Prediction tools for pseudoknotted RNA sequences

In the introduction, we have provided the importance of pseudoknot interaction in realizing biological functions, and different pseudoknot patterns have been reviewed. This section introduces a couple of tools for predicting RNA pseudoknotted structures that will be used in the benchmark results presented in Chapter 5.

Folding RNA sequences with pseudoknotted interactions is computationally more expensive than a pseudoknot-free target. Specifically, the time complexity of the pseudoknot-free secondary structure prediction is $O(L^3)$ when using dynamic programming approaches such as RNAfold, or less with heuristic folding methods (e.g. $O(L)$ for LinearFold and $O(L^2 \log L)$). By contrast, when considering a special class of pseudoknots, the time complexity of folding goes up to $O(L^6)$ for an exact thermodynamic prediction using a dynamic programming approach such as [148]. When Using heuristic methods, the time complexity slows down to $O(L^4)$ (e.g. tools such as IPknot and HotKnots) or $O(L^3)$ for tool such as HFold.

- pKiss [89]: The program pKiss appears the first time in 2014 as an updated version of the program pknotsRG[142] which is a module of the RNA abstract shapes analysis RNAsshapes [89]. Initially, the program pknotsRG was built for the prediction of some special class of pseudoknots (unknotted structures and H-type pseudoknots). Later on, it was extended to predict RNA structures that exhibit kissing hairpin motifs in an arbitrarily nested fashion, requiring $O(L^4)$ time. In addition to predicting the kissing hairpin motifs, pKiss also provides new features such as shape analysis, computation of probabilities, different folding strategies and different dangling base models.
- IPknot [160]: it was first introduced in a paper by Kengo and his collaborators in 2011 as a novel computational tool for predicting RNA secondary structure with pseudoknots using integer programming technique. IPknot uses the maximum expected accuracy (MEA) as a scoring function, and the maximizing expected accuracy problem is solved using integer programming with threshold cut. IPknot decomposes a pseudoknotted structure into a set of pseudoknot-free substructures and approximates a base-pairing probability distribution that considers pseudoknots, leading to the capability of modelling a comprehensive class of

pseudoknots and running quite fast. In addition to single sequence analysis, IPknot can also predict the consensus secondary structure with pseudoknots when a multiple sequence alignment is given.

- HotKnots [145]. In contrast to the previously mentioned tools, HotKnots implements a heuristic algorithm based on the simple idea of iteratively forming stable stems. The algorithm explores many alternative secondary structures using a free energy minimization for pseudoknot-free secondary structures. Several other additions of a single substructure are considered for each structure formed at each step, resulting in a tree of candidate structures. The criterion for determining which substructures to add to partially formed structures at successive levels of the tree was also new. Similar to previous algorithms, energetically favourable substructures called *hotspots* are found by a call to Zuker's algorithm, with the constraint that no base already paired may be in the structure.

Despite the higher computational complexity of pseudoknots, it is still important to account for them as they occur in natural RNA and are relevant for RNA function. We have reviewed three mainly used RNA secondary prediction tools (pKiss, IPknot, HotKnots) that support the two pseudoknot patterns (i.e. the H-type and K-type) considered in Chapter 5. In addition to the computational complexity, existing methods lack experimentally measured energy parameters for pseudoknot interactions. Therefore, they mostly rely or do not on approximated energy parameters, which may influence the predictions. Only IPknot and HotKnots will be used among these tools when designing pseudoknotted RNA structures. HotKnots predicts the free energy of pseudoknotted structure based on recently updated energy parameters, whereas IPknot does not.

So far, we have presented tools that predict a single stable and static RNA secondary structure for a given RNA sequence, including pseudoknots or not. More often than not, the ncRNA functions are associated with the RNAs' ability to undergo specific conformational changes, as is the case for riboswitches. The function of an RNA molecule thus is usually poorly described by its ground state structure and instead has to be studied as a dynamic ensemble of structures [35, 135]. The following section will review some computational methods that address the folding dynamics of RNA molecules.

2.2 RNA KINETICS

The previous section introduced how pseudoknot-free secondary structures with their thermodynamic properties can be predicted. It also introduced some statistical methods that do not only rely on the thermodynamic principle but training data obtained from phylogenetic analysis, mainly the [ML](#) methods. However, the methods used for predictions do not tell us anything about how the structures change over time and how they are related to each other. This section discusses the folding dynamics of [RNA](#) molecules.

The folding of [RNA](#) molecules is remarkably more complex. It is a result of the delicate balance between multiple factors: the chain entropy, ion-mediated electrostatic interactions and solvation effect, base-pairing and stacking, and other non-canonical interactions [22]. It is a dynamic process governed by a constant formation or dissolving of base-pairs. In other terms, the [RNA](#) molecule navigates its structure space by following a free energy landscape. Here, the free energy landscape is a high-dimensional space of all possible secondary structures (Σ_ϕ) weighted by their free energy ΔG .

As usually done, the kinetics is modelled as a continuous-time Markov chain [112], where populations of structure evolve according to transition rates. In this context, an Arrhenius formulation is commonly used to derive elementary transition from state i to state j . We write

$$k_{i \rightarrow j} = k_0 \exp(-\beta \Delta G_{i \rightarrow j}^\ddagger) \quad (2.2)$$

where $\Delta G_{i \rightarrow j}^\ddagger$ is the activation barrier separating i from j , and $\beta = 1/k_B T$ is the inverse thermal energy (mol/kcal). Here k_0 is the actual rate constant, solvent-dependent. Three rate models describing elementary steps in the structure space are often used to study [RNA](#) folding dynamics:

1. The base stack model [219–221]: it uses base stacks as elementary kinetic move. A move consists of an addition or a breaking of a base stack with $\Delta G_{i \rightarrow j}^\ddagger$ equal to the change in the entropic free energy $T\Delta S$ and the enthalpy ΔH , respectively.
2. The base-pair model [24, 52]: it uses base-pair as elementary kinetic steps which gives the finest resolution, but at

the cost of computation time. Here $\Delta G_{i \rightarrow j}^\ddagger = \Delta G/2$ where ΔG is the energy change from state i to state j or $\Delta G_{i \rightarrow j}^\ddagger = \Delta G$ for $\Delta G \geq 0$.

3. The helix stem model [86, 119]: the elementary move is the creation or deletion of a helix stem. It provides a coarse-grained description of the dynamics where free energy changes ($\Delta G_{i \rightarrow j}^\ddagger$) due to stem formation guiding the folding process.

The different rate models can lead to different folding pathways. The key factor that distinguishes the different rate models is whether the barrier is determined by $(\Delta H, \Delta S)$ or by ΔG . The $(\Delta H, \Delta S)$ values for different RNA base stacks show well-separated discrete hierarchies, whereas the ΔG values show no such large separation. For two typical base stacks, 5'AU-AU3' and 5'UC-GA3', the difference $\Delta(\Delta H_{stack}, \Delta S_{stack}) = (7.4 \text{ kcal/mol, } 20 \text{ kcal/mol})$ is much larger than the difference $\Delta(\Delta G_{stack}) = 1.4 \text{ kcal/mol}$ [166]. Because of this fact, different models can give different folding kinetics.

Depending on the rate model used, the following master-equation describes the population kinetics $p_i(t)$ for the i^{th} state ($i = 1 \dots \Omega$, where Ω is the total number of chain conformations)

$$\frac{dp_i(t)}{dt} = \sum_{j \in \Omega} k_{j \rightarrow i} p_j(t) - k_{i \rightarrow j} p_i(t) \quad (2.3)$$

where $k_{j \rightarrow i}$ and $k_{i \rightarrow j}$ are the rate constants for the respective transitions. The equivalent matrix form of Equation 2.3 is given by

$$\frac{d\mathbf{p}(t)}{dt} = \mathbf{M} \cdot \mathbf{p} \quad (2.4)$$

where $\mathbf{p} = (p_1, \dots, p_\Omega)$ is a column vector representing the frequency of structure at state (i, \dots, Ω) and, \mathbf{M} is the rate matrix defined as

$$\mathbf{M}_{ij} = \begin{cases} k_{i \rightarrow j}, & \text{if } i \neq j \\ -\sum_{j \neq i} k_{ij}, & \text{if } i = j. \end{cases} \quad (2.5)$$

For a given initial folding condition $p_i(0)$, the [Equation 2.4](#) is solvable by diagonalizing the rate matrix \mathbf{M} and, the solution is the population kinetics $\mathbf{p}(t)$ for $t > 0$ is given by

$$\mathbf{p}(t) = \sum_{m=1}^{\Omega} C_m \mathbf{n}_m \exp -\lambda_m t \quad (2.6)$$

where $-\lambda$ and \mathbf{n}_m are the m^{th} eigenvalue and eigenvector of the rate matrix \mathbf{M} , and C_m is the coefficient that is dependent on the initial condition. The eigenvalue spectrum gives the rates of the kinetic modes of the system.

Simulating the [RNA](#) dynamics using [Equation 2.3](#) has some limitations. The solution to the master-equation given by [Equation 2.6](#) can only give ensemble-average macroscopic kinetics and cannot give detailed information about the microscopic pathways [222]. Moreover, the number of structures (Ω) increases rapidly with the [RNA](#) sequence length L . Therefore, the master equation is often limited to short [RNA](#) sequences. Because of these limitations, kinetics-cluster methods are alternatively used. The basic idea of the kinetic-cluster method is to classify the large structural ensemble into a much-reduced system of clusters (of macrostates) such that the inter-cluster transitions can represent the overall kinetics. Although both the master-equation and the kinetic-cluster methods can predict the macroscopic kinetics, the kinetic-cluster approach has the unique advantage of providing direct information on the microscopic pathway statistics from the inter-cluster transitions [222]. Both approaches are based on the complete conformational ensemble. An alternative approach, implemented in [kinwalker](#) [61], used the observation that folded intermediates are generally locally optimal conformations. Like thermodynamic methods for static [RNA](#) secondary structure prediction, experimental studies usually play an essential role in guiding computational methods in studying [RNA](#) folding dynamics. Several recent observations are discussed in the following paragraph.

In folding experiments, Pan and coworkers observed two kinds of pathways in the free energy landscape of a natural ribozyme [137]. Firstly, the investigations revealed fast-folding pathways, in which a subpopulation of [RNAs](#) folded rapidly into the native state. However, the second population quickly reached metastable misfolded states, then slowly folded into the native structure. In some cases, these metastable states are functional. These phenomena

are direct consequences of the rugged nature of the RNA folding landscape [178].

The experiments performed by Russell and coworkers also revealed the presence of multiple deep channels separated by high energy barriers on the folding landscape, leading to fast and slow folding pathways [154]. The formal description of the above mechanism, called the kinetic partitioning mechanism, was first introduced by Guo and Thirumalai in the context of protein folding [68]. These metastable conformations constitute competing attraction basins in the free energy landscape where RNA molecules are temporarily trapped. However, *in vivo*, folding into the native states can be promoted by molecular chaperones [20], which means that the active structure depends on factors other than the sequence. This may raise some discrepancies when comparing thermodynamic modelling to actual data.

The experimental verification of the rate model is also a challenge because the microscopic elementary processes are hidden in the ensemble averages of the measured kinetics. Many researchers believe that single-molecule experiments may provide a discerning measure with careful extrapolation to the force-free case. All atom-simulations with a reliable force field and sampling method are highly valuable for providing detailed atomistic configurations for the transition state [22]. Alternatively, systematic theory-experiment tests as done in [222] for designed sequences can also provide critical assessment for the different rate models.

In sum, studying the folding of RNA molecules as a dynamic ensemble of structures is of central importance in describing their functions, and experimental observations often guide the computational methods. Some of the recent experimental observations have been reviewed in this section. Among them, the kinetic partitioning mechanism is of interest in this work. It revealed the presence of multiple deep channels separated by high-energy barriers on the folding landscape, which leads to fast and slow folding pathways. The folding tool we suggest in Chapter 3 is inspired by this mechanism and predicts fat RNA folding pathways. The predicted pathways, therefore, allow us to derive dynamic information on RNA folding.

2.3 CONCLUSION

In this chapter, we have presented the RNA folding in two main steps: (1) the prediction of the secondary structure of RNA, which represents the static part of the folding process; (2) the RNA ki-

netics, which aim at modelling the dynamics of the folding. RNA secondary structure prediction was introduced as an optimization problem, and a review of existing methods and tools was presented. Of particular importance in this thesis's context is that existing tools for predicting RNA secondary structures often present some limits in computational time for longer RNA sequences. Mainly the existing tools do not give dynamical information, as few data are available on structural dynamics. Simulating the folding kinetics of long RNA molecules is also of an essential limit because it requires a full enumeration of the structural space in most cases. In the next chapter, we will present our thesis's first result, which aims to predict RNA folding pathways efficiently using the FFT. The predicted pathways allow us to derive energetically suboptimal structures from which we model the RNA folding kinetics with fewer secondary structures.

3

RAFFT: EFFICIENT PREDICTION OF FAST-FOLDING PATHWAYS OF RNAs

This chapter introduces a novel heuristic algorithm to predict an ensemble of metastable RNA secondary structures for a given sequence ϕ . The algorithm is inspired by the kinetic partitioning mechanism, by which molecules follow alternative folding pathways to their native structure, some much faster than others. Similarly, our algorithm RAFFT generates an ensemble of concurrent folding pathways ending in multiple metastable structures for each given sequence. We then use the ensemble structures as finite ensemble states in which the RNA sequence can be at a given time, and the energy difference from one state to another is then used to derive a stem rate model. Therefore, our algorithm also acts as a folding kinetic ansatz. Much of the material in this chapter has been previously described in [136].

3.1 MATERIAL AND METHODS

The computational time is one of the challenges for the existing tool in folding long RNA molecules. The method we present in this work aims to improve the existing RNA folding tools reviewed in Chapter 2. It is based on the FFT and inspired by the kinetic partitioning mechanism. As presented in Chapter 1, the FFT allows reducing the computational time of the correlation between two sequences. We use the same ideal in the context of this work to faster predict RNA folding pathways by analyzing high correlation positional lag between an RNA sequence and its complementary copy, especially for longer sequences. We, therefore, derive a kinetics ansatz from the structural ensemble of the predicted folding paths. This section describes our RNA pathways prediction method and the kinetics ansatz derived from the predicted structural ensemble. In addition, it provides a description of the benchmark dataset used to assess our method performance and the comparison protocols.

3.1.1 RAFFT's algorithm description

RAFFT starts from a sequence of nucleotides $\phi = (\phi_1 \dots \phi_L)$ of length L , and its associated unfolded structure σ . We first create a numerical representation of ϕ where each nucleotide is replaced by a unit vector of 4 components:

$$A \rightarrow \begin{pmatrix} 1 \\ 0 \\ 0 \\ 0 \end{pmatrix}, U \rightarrow \begin{pmatrix} 0 \\ 0 \\ 0 \\ 1 \end{pmatrix}, C \rightarrow \begin{pmatrix} 0 \\ 1 \\ 0 \\ 0 \end{pmatrix}, G \rightarrow \begin{pmatrix} 0 \\ 0 \\ 1 \\ 0 \end{pmatrix}. \quad (3.1)$$

This encoding gives us a $(4 \times L)$ -matrix we call X , where each row corresponds to a nucleotide as shown below:

$$X = \begin{pmatrix} X^A \\ X^C \\ X^G \\ X^U \end{pmatrix} = \begin{pmatrix} X^A(1) & X^A(2) & \dots & X^A(L) \\ X^C(1) & X^C(2) & \dots & X^C(L) \\ X^G(1) & X^G(2) & \dots & X^G(L) \\ X^U(1) & X^U(2) & \dots & X^U(L) \end{pmatrix}. \quad (3.2)$$

For example, $X^A(i) = 1$ if $\phi_i = A$. Next, we create a second copy $\bar{\phi} = (\bar{\phi}_L \dots \bar{\phi}_1)$ for which we reversed the sequence order. Then, each nucleotide of $\bar{\phi}$ is replaced by one of the following unit vectors:

$$\bar{A} \rightarrow \begin{pmatrix} 0 \\ 0 \\ 0 \\ w_{AU} \end{pmatrix}, \bar{U} \rightarrow \begin{pmatrix} w_{GU} \\ 0 \\ 0 \\ 0 \end{pmatrix}, \bar{C} \rightarrow \begin{pmatrix} 0 \\ 0 \\ w_{GC} \\ 0 \end{pmatrix}, \bar{G} \rightarrow \begin{pmatrix} 0 \\ w_{GC} \\ 0 \\ w_{GU} \end{pmatrix}. \quad (3.3)$$

\bar{A} (respectively $\bar{U}, \bar{C}, \bar{G}$) is the complementary of A (respectively U, C, G). w_{AU}, w_{GC}, w_{GU} represent the weights associated with each canonical base-pair, and they are chosen empirically. We call this complementary copy \bar{X} , the mirror of X .

To search for stems, we use the complementary relation between X and \bar{X} with the correlation function $\text{cor}(k)$. This correlation is defined as the sum of individual X and \bar{X} row correlations

$$\text{cor}(k) = \sum_{\alpha \in \{A, U, C, G\}} c_{X^\alpha, \bar{X}^\alpha}(k) \quad (3.4)$$

where a row correlation between X and \bar{X} is given by

$$c_{X^\alpha, \bar{X}^\alpha}(k) = \sum_{\substack{1 \leq i \leq L \\ 1 \leq i+k \leq L}} \frac{X^\alpha(i)\bar{X}^\alpha(i+k)}{\min(k, 2L-k)}. \quad (3.5)$$

For each $\alpha \in \{A, U, C, G\}$, $X^\alpha(i) \times \bar{X}^\alpha(i+k)$ is non zero if sites i and $i+k$ can form a base-pair, and will have the value of the chosen weight as described above. If all the weights are set to 1, $\text{cor}(k)$ gives the frequency of base-pairs for a positional lag k . Although the correlation naively requires $O(L^2)$ operations, it can take advantage of the [FFT](#) which reduces its complexity to $O(L \log(L))$.

Large $\text{cor}(k)$ values between the two copies indicate positional lags k where the frequency of base-pairs is likely to be high. However, this does not allow to determine the exact stem positions. Hence, we use a sliding window strategy to search for the largest stem within the positional lag (since the copies are symmetrical, we only need to slide over one-half of the positional lag). Once the largest stem is identified, we compute the free energy change associated with the formation of that stem. Next, we perform the same search for the n highest correlation values, which gives us n potential stems. Then, we define as the current structure the stem with the lowest free energy. Here, free energies were computed using Turner2004 energy parameters through ViennaRNA package [API](#) [110].

We are now left with two independent parts, the interior and the exterior of the newly formed stem. If the exterior part is composed of two fragments, they are concatenated into one. Then, we apply recursively the same procedure on the two parts independently in a *breadth-first* fashion to form new consecutive base-pairs. The procedure stops when no base-pair formation can improve the energy. When multiple stems can be formed in these independent fragments, we combine all of them and pick the composition with the best overall stability. If too many compositions can be formed, we restrict this to the 10^4 bests in terms of energy. [Figure 3.1](#) shows an example of execution to illustrate the procedure.

The algorithm described so far tends to be stuck in the first local minima found along the folding trajectory. To alleviate this, we implemented a stacking procedure where the N best trajectories are stored in a stack and evolved in parallel. Like the initial version, the algorithm starts with the unfolded structure; then, the N best potential stems are stored in the first stack. From these N structures, the procedure tries to add stems in the unpaired regions left and saves the N best structures formed. Once no stem can be formed, the algorithm stops and output the structure with the best energy found among the structures stored in the last stack. This algorithm leads to the construction of a graph we call

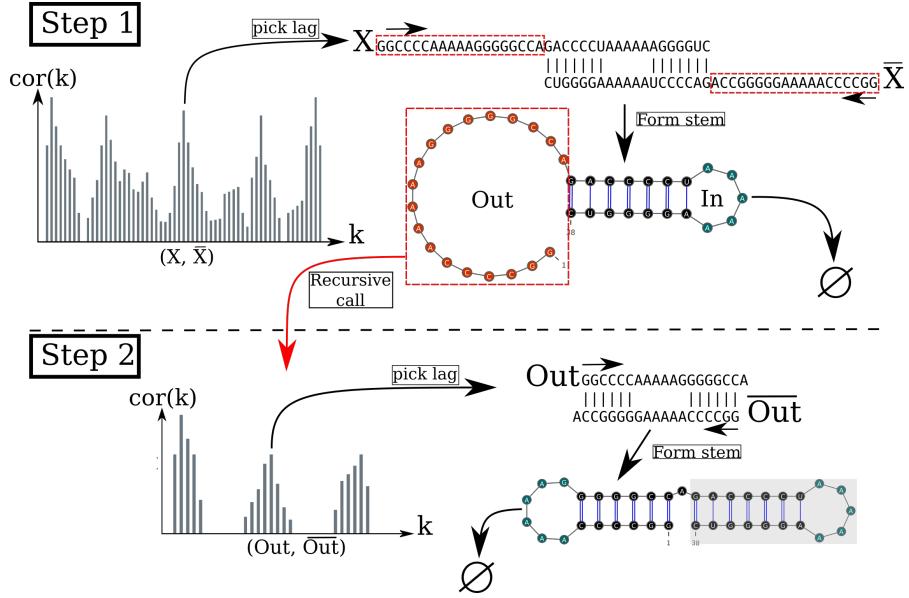


Figure 3.1: **Algorithm execution for one example sequence which requires two steps.** (Step 1) From the correlation $\text{cor}(k)$, we select one peak which corresponds to a position lag k . Then, we search for the largest stem and form it. Two fragments, “In” (the interior part of the stem) and “Out” (the exterior part of the stem), are left, but only the “Out” may contain a new stem to add. (Step 2) The procedure is called recursively on the “Out” sequence fragment only. The correlation $\text{cor}(k)$ between the “Out” fragment and its mirror is then computed and analyzing the k positional lags allows to form a new stem. Finally, no more stem can be formed on the fragment left (colored in blue), so the procedure stops.

a *fast-folding graph*. In this graph, two structures are connected if the transition from one to another corresponds to the formation of a stem or if the two structures are identical. Figure 3.2 shows an example of a *fast-folding graph* produced by RAFFT for $N = 5$.

This section presented the complete procedure implemented in our proposed tool RAFFT. The procedure resulted in an ensemble of concurrent folding pathways ending in multiple metastable secondary structures. The connections in each folding pathway are dictated by the formation of stems, resulting in an energy increase. The different folding pathways connected to the initial unfolded structure form a fast folding graph. The ensemble of secondary structures constituting the fast folding graph is then used to build our kinetics ansatz where the transitions follow the Metropolis rules, i.e. no barriers between structures. The

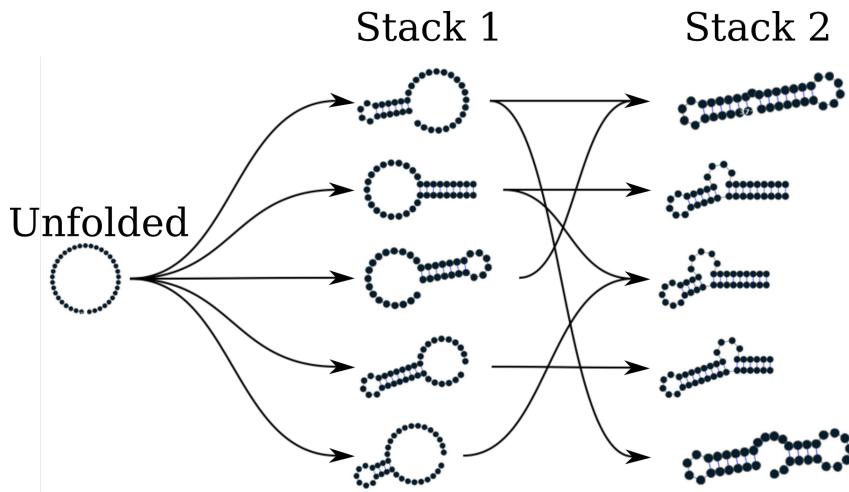


Figure 3.2: Fast folding graph constructed using RAFFT. In this example, the sequence is folded in two steps. The algorithm starts with the unfolded structure on the left. The $N = 5$ best stems are stored in stack 1. From stack 1, multiple stems formation are considered, but only the $N = 5$ best are stored in stack 2. Structures are ordered (from top to bottom) by energy in each stack. All secondary structure visualizations were obtained using VARNA [31].

following section provides more details on our proposed kinetics ansatz.

3.1.2 Kinetic ansatz

Now that the RNA pathway prediction algorithm is described, we provide the ingredients needed to extract dynamic folding information from the previously generated fast folding graph in this section.

The folding kinetic ansatz used here is derived from the fast-folding graph and allows us to model the slow processes in RNA folding. As described in Figure 3.2, transitions can occur from left to right (and right to left) but not vertically. The fast-folding graph follows the idea that parallel pathways quickly reach their endpoints; however, when the endpoints are non-native states, this ansatz allows slowly folding back into the native state [137].

Using the master-equation (See Equation 2.3), the traditional kinetic approach often starts by enumerating the whole space (or a carefully chosen subspace) of structures using RNAsubopt. Next, this ensemble is divided into local attraction basins separated from one another by energy barriers. This coarsening is usually

done with the tool called **barriers**. Then, following the Arrhenius formulation (See [Equation 2.2](#)) , one simulates a coarse grained kinetics between basins.

In contrast to traditional kinetics approaches, the connected structures in the RAFFT’s fast-folding graph are not always separated by activation barrier energies. Therefore, we computed the transition rates $k_{i \rightarrow j}$ using the Metropolis [[100](#)] formulation defined as

$$k_{i \rightarrow j} = \begin{cases} k_0 \times \min(1, \exp(-\beta \Delta(\Delta G_{i \rightarrow j}))), & \text{if } \sigma_i \in \mathcal{M}(\sigma_j) \\ 0, & \text{else} \end{cases} \quad (3.6)$$

where $\Delta \Delta G_{i \rightarrow j} = \Delta G_j - \Delta G_i$ is the free energy change between structure σ_i and σ_j . Here, k_0 is a conversion constant that we set to 1 for the sake of simplicity and we initialize the population $p_i(0)$ with only unfolded structures; therefore, the trajectory represents a complete folding process. The frequency of a structure σ_i evolves according to the master [Equation 2.3](#). Due to this approximation, we referred to our approach as a *kinetic ansatz*

In sum, based on the [FFT](#), we constructed a method that allows generating an ensemble of secondary structures by a successive formation of stems. Using this ensemble, we derived a kinetics ansatz in which transitions between structures follow the Metropolis rules. We assess the performance of our tool by comparing its predictions to existing tools using benchmark datasets. The following section briefly describes the datasets used in this work, including the clean procedure applied to the initial datasets.

3.1.3 Benchmark datasets.

Measuring the performance of computational RNA folding tools can be quite a challenging task. A perfect validation procedure will require a comparison to experimental data, which in practice are not also perfect and are very expensive. In the context of this work, we perform *in silico* validation using benchmark datasets, which is a collection of native sequence structures. Because our proposed method produces kinetics and static structure predictions., we assess the performance of both tasks separately and using a different dataset. This section presents the two datasets.

To build the dataset for the folding task application, we started from the ArchiveII dataset derived from multiple sources [[4](#), [9](#), [17](#), [29](#), [32](#), [60](#), [69](#), [70](#), [122](#), [156](#), [162](#), [174](#), [179](#), [181](#), [205](#), [227](#), [228](#)]. We first removed all the structures with pseudoknots, since the

tools considered here do not handle these loops. Next, using the Turner2004 energy parameters, we evaluated the structures' energies and removed all the unstable structures: structures with energies $\Delta G > 0$. This dataset is composed of 2,698 sequences with their corresponding known structures. 240 sequences were found multiple times (from 2 to 8 times); 19 of them were mapped to different structures. For the sequences that appeared with different structures, we picked the structure with the lowest energy. In the end we arrived at a dataset with 2,296 sequences-structures.

For the kinetics task, there is no existing standard procedure or dataset allowing to validate or not a computational tool. However, for the validation of our kinetic ansatz, we used the CFSE RNA sequence and classic bi-stable sequence **GGCCCCUUUUGGGGGCCA-GACCCCUAAAGGGGUC**.

In sum, two different dataset sets are used to assess RAFFT performance: the first one, Archive II consists of 2,296 sequences-structures used for the prediction task, and one which contains two sequences, the CFSE and a bistable sequence for the kinetic study. The following section describes the benchmarking protocols for both tasks.

3.1.4 *Structure prediction protocols*

The static RNA structure prediction and the RNA kinetic performances of our proposed tool RAFFT are evaluated separately. This section describes the evaluation protocols for both performances and the different tool parameters used throughout.

To evaluate the structure prediction accuracy of the proposed method, we compared RAFFT to five recent secondary structure pseudoknot-free prediction tools. The five tools include ML-based methods (`Mfold2 0.1.1` and `Contrafold`) and score-based methods (`RNAfold 2.4.13`, `Linearfold`, and `RNAstructure`). To compute the MFE structure for the score-based methods, we used the default parameters and the Turner2004 set of energy parameters. We also computed the ML predictions using the default parameters. Therefore, only one structure prediction per sequence for these tools was used for the statistics.

Two parameters are critical for RAFFT, the number of positional lags in which stems are searched, and the number of structures stored in the stack. For our computational experiments, we searched for stems in the $n = 100$ best positional lags and stored $N = 50$ structures. The correlation function $\text{cor}(k)$ which

allows to choose the positional lags is computed using the weights $w_{GC} = 3$, $w_{AU} = 2$, and $w_{GU} = 1$.

To assess the performance of RAFFT, we analyzed the output in two different ways. First, we considered only the structure with the lowest energy found for each sequence. This procedure allows us to assess RAFFT performance in predicting the [MFE](#) structure. Second, we computed the accuracy of all $N = 50$ structures saved in the last stack for each sequence and displayed only the best structure in terms of accuracy. As mentioned previously in [Chapter 2](#), the lowest energy structure found may not be the active structure. Therefore, this second assessment procedure allows us to show whether one of the pathways is biologically relevant.

We used two metrics to measure the prediction accuracy: the [PPV](#) and the sensitivity. The [PPV](#) measures the fraction of correct base-pairs in the predicted structure, while the sensitivity measure the fraction of base-pairs in the accepted structure that are predicted. These metrics are defined in [Chapter 1](#) (See definitions [11](#), [12](#)). To be consistent with previous studies, we computed these metrics using the [scorer](#) tool provided by Matthews *et al.* [[120](#)], which also provides a more flexible estimate where shifts are allowed.

Further more, we used a [PCA](#) to visualize the loop diversity in the predicted structures for each folding tool considered here. To extract the weights associated with each structure loop from the dataset, we first converted the structures into weighted coarse-grained tree representation [[167](#)]. In the tree representation, the nodes are generally labelled as E (exterior loop), I (interior loop), H (hairpin), B (bulge), S (stacks or stem-loop), M (multi-loop) and R (root node). We separately extracted the corresponding weights for each node, and the weights are summed up and then normalized. Excluding the root node, we obtained a table of 6 features and n entries. This allows us to compute a 6×6 correlation matrix that we diagonalize using the [eigen](#) routine implemented in the [scipy](#) package. For visual convenience, the structure compositions were projected onto the first two principal components ([PCs](#)).

Finally, the [CFSE](#) and a bistable [RNA](#) sequence are used to assess the kinetic performance. For each sequence, initial conditions are chosen for both Treekin and RAFFT to simulate the kinetic trajectories. Both kinetics are simulated using the master equation described in [Chapter 2](#) ([Equation 2.3](#)) but with different transition rules, Treekin uses the Arrhenius rules whereas RAFFT uses the

Metropolis rules. The following section describes the statistical results obtained for both kinetics and structure prediction tasks.

3.2 EXPERIMENTAL RESULTS

The validation of our results is purely statistical, i.e. using statistical methods such as *t*-test and regression to compare different tool performance data. Based on the previously mentioned limitations of existing tools, we evaluate three main RAFFT potential improvements: the running time for the folding or pathways prediction, the quality of the predicted pathways and the RNA folding kinetics. This section discusses each of those performances in comparison to the existing tools.

3.2.1 RAFFT's run time and scalability

The first input of our method is a potential improvement to the CPU time of existing tools. This section focuses on analyzing RAFFT's running time compared to existing methods. Four different tools are considered: RNAfold, ContraFold, RNAsstructure and LinearFold. All of them are MFE estimates implementing a DP with cubic time complexity($O(L^3)$), except for ContraFold which implements a ML approach. When using the heuristic implementation of LinearFold, the time complexity is linear while losing the MFE estimation. We will first discuss RAFFT theoretical time complexity before comparing the empirical execution times to the existing tools.

The complexity of RAFFT's algorithm depends on the number and size of the stems formed. The main operations performed for each stem formed are: (1) the evaluation of the correlation function $\text{cor}(k)$, (2) the sliding-window search for stems, and (3) the energy evaluation. We based our approximate complexity on the correlation evaluation since it is the more computationally demanding step; the other operations only contribute a multiplicative constant at most. The best case is the trivial structure composed of one large stem where the algorithm stops after evaluating the correlation on the complete sequence. At the other extreme, the worst case is one where at most $L/2$ stems of size 1

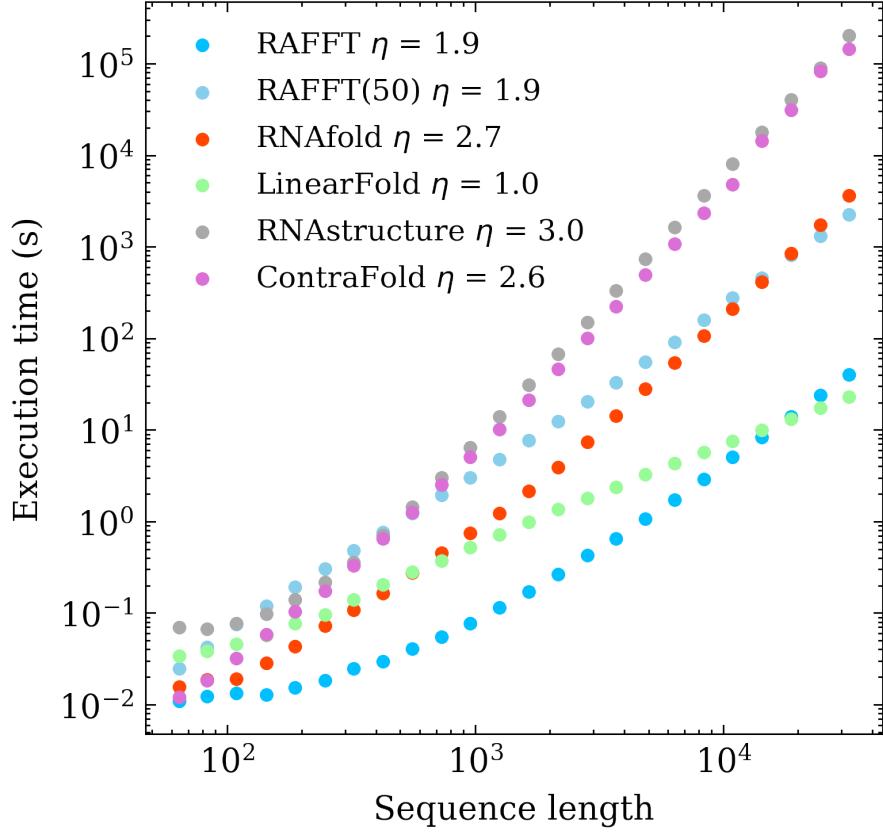
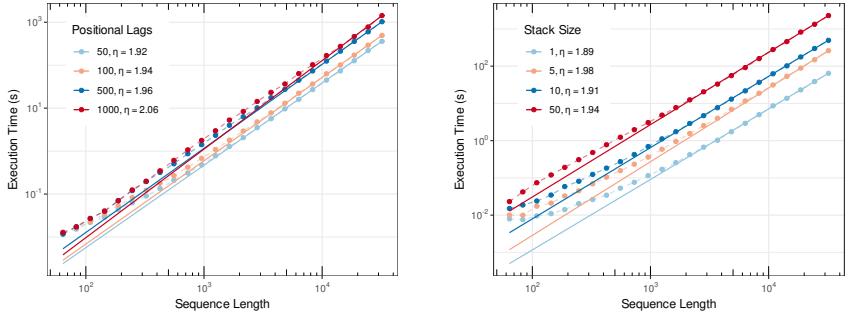


Figure 3.3: **Execution time comparisons.** For samples of 30 sequences per length, we averaged the execution times of five folding tools. The empirical time complexity $O(L^\eta)$ where η is obtained by non-linear regression. RAFFT denotes the naive algorithm (with only $N = 1$ structure saved per stack), whereas RAFFT(50) denotes the algorithm where 50 structures can be saved per stack.

(exactly one base-pair peer stems) can be formed. The approximate complexity therefore depends on

$$\sum_{i=0}^{L/2} (L - 2i) \log(L - 2i) = O(L^2 \log L). \quad (3.7)$$

We compared RAFFT’s execution time to the classical cubic-time algorithms represented by CONTRAfold (Version 2.02), RNAstructure (Version 2.0), RNAfold (Version 2.4.13) and the recent improved DP tool LinearFold (Version 1.0). Figure 3.3 shows the execution time of the RUST implementation of RAFFT and the four above-mentioned tools for 30 random generated sequences of various lengths. When comparing RAFFT implementation to the standard



(a) CPU times respect to the positional lags (n) (b) CPU times respect to the stack size (N)

Figure 3.4: Impact of the number of positional lags n and the stack size N on the runtime complexity. For a corresponding length, we generated 30 random sequences, and averaged their execution times. Solid lines indicate the estimated time complexity $O(L^\eta)$ where η is obtained with a non-linear regression on these average execution times for (A) Different number of positional lags n and (B) Different stack sizes N .

DP tools, the execution time of RAFFT scales slower (with an exponent ≈ 2) with the sequence length whereas the standard DP execution times are cubic. In contrast, the execution time of the improved DP implemented by LinearFold scales linearly with the sequence length. Only when considering a stack size of 1, that RAFFT execution time is lower than the one of LinearFold for sequence of lengths less than $L = 10^4$.

We also analyse the scalability of RAFFT computational time with respect to its critical parameters (the number of positional lag n and the stack size N). Figure 3.4 shows for both different stack sizes and number of positional lags, RAFFT execution time against the sequence length. For both stack size and number of positional lags, the execution time scales almost with the same exponent (≈ 2).

In sum, RAFFT's performance shows a significant improvement compared to three folding tools (RNAfold, RNAstructure, and ContraFold), and we can approximate its theoretical time complexity to $O(L^2 \log L)$, where L is the sequence length. However, its average CPU time scales with respect to the stack size and the number of positional lags considered. When $N = 1$ and $n = 100$, RAFFT CPU time is lower than all of the four tools except for sequences longer than 10^4 . But when considering $N = 50$ stacks, LinearFold showed better performance. Fitting the empirical CPU times of each tool to a non-linear regression showed that all

the methods scaled with respect to the sequence length whereas, `LinearFold` scales linearly (i.e. $L = 1$) followed by RAFFT with an exponent of $L \approx 2$, the `MFE` prediction methods scale cubically. Now, does the improvement in CPU time guarantee the quality of the predictions? The following section analyses the quality of the structure predictions.

3.2.2 Accuracy of the predicted structural ensemble

After comparing RAFFT's computational time to existing tools, it is also essential to assess the quality of the predicted secondary structures. The quality of each tool's predictions is measured using two statistical metrics: the `PPV` and the sensitivity. This section presents the quality comparison of RAFFT predictions to the four previously mentioned tools, i.e. `RNAfold`, `RNAstructure`, `LinearFold`, `Contrafold` and the `ML` method `Mfold2`.

We started by analyzing the prediction performances with respect to sequence lengths: we averaged the performances at fixed sequence length. Figure 3.5 shows the performance in `PPV` and sensitivity for the five methods. It shows that the `ML` method (`Mfold2`) consistently outperformed RAFFT and the other predictions. When comparing only the `MFE` predictions produced using the `DP` tools, `LinearFold` outperformed all other tools (`RNAfold` and `RNAstructure`) for both short and long sequences. The *t*-test between the `ML` and the most used `MFE` prediction tool (`RNAfold`) revealed not only a significant difference (p -value $\approx 10^{-12}$) but also a substantial improvement of 14.5% in `PPV`. RAFFT showed performances similar to `RNAfold`; but, RAFFT is significantly less accurate (p -value ≈ 0.0002), with a drastic loss of performance for sequences of length greater than 300 nucleotides (See also Table 3.1).

However, are there relevant structures in the ensemble predicted by our method? To address this question we retained the structure with the best score among the 50 recorded structures per sequence. We obtained an average `PPV` of 60.0% and an average sensitivity of 62.8% over all the dataset. The gain in terms of `PPV`/sensitivity is especially pronounced for sequences of length ≤ 200 nucleotides, indicating the presence of biologically more relevant structures in the predicted ensemble than the thermodynamically most stable one (`PPV` was =79.4%, and sensitivity=81.2%). The average scores are shown in Table 3.1. We also investigated the relation to the number of bases between

paired bases (base-pair spanning), but we found no striking effect, as already pointed out in one previous study [1].

Table 3.1: Average performance displayed in terms of PPV and sensitivity. The metrics were first averaged at fixed sequence length, limiting the over-representation of shorter sequences. The first two rows show the average performance for all the sequences for each method. The bottom two rows correspond to the performances for the sequences of length ≤ 200 nucleotides.

	RNAfold	LinearFold	RNAstructure	CONTRAfold	Mxfold2	RAFFT	RAFFT*
All sequences							
PPV	55.9	60.6	54.7	58.4	70.4	47.7	60.0
Sensitivity	63.3	58.9	61.5	65.2	77.1	52.8	62.8
Sequences with lengths ≤ 200							
PPV	59.5	63.2	58.2	60.5	76.7	57.9	79.4
Sensitivity	65.5	59.4	63.8	65.9	82.9	63.2	81.2

All methods performed poorly on two groups of sequences: one group of 80 nucleotides long RNAs, and the second group of around 200 nucleotides (three examples of such sequences are shown in the Appendix A3.1). Both groups have large unpaired regions, which for the first group lead to structures with average free energies 9.8 kcal/mol according to our dataset. The PCA analysis of the native structure space, shown in Figure 3.6, reveals a propensity for interior loops and the presence of large unpaired regions like hairpins or external loops. Figure 3.6 shows the structure space produced by Mxfold2, which seems close to the native structure space. In contrast, the structure spaces produced by RAFFT and RNAfold are similar and more diverse.

In summary, we performed the prediction quality comparison for different sequence lengths. The dataset was divided into two sets: one with lengths less than 200 nucleotides and the rest constituting the second. Because RAFFT predicts an ensemble of structures, which contrasts the other tools, we also distinguish the single prediction (RAFFT) comparison from the ensemble one (RAFFT*). Overall, on average, RAFFT performed qualitatively poorer than existing tools in terms of both PPV and sensitivity. The ML method, Mxfold2 outperformed all existing methods for different RNA sequence lengths but equalized RAFFT* performance for sequences of length less than 200 nucleotides. The later showed

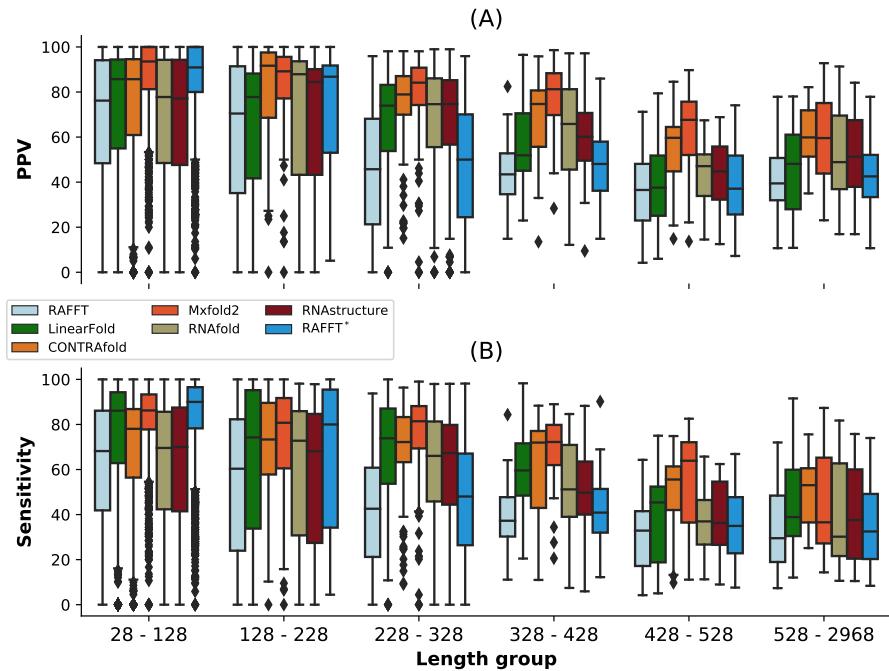


Figure 3.5: RAFFT’s performance on folding task. (A) PPV vs sequence length. In the top panel, RAFFT (in light blue) shows the PPV score distributions when for the structure (out of $N = 50$ predictions) with the lowest free energy, whereas RAFFT* (in blue) shows the best PPV score in that ensemble. (B) Sensitivity vs sequence length.

that RAFFT predicted ensemble contains sequences of biological interest. We further assess the quality of that ensemble with the proposed kinetics ansatz. The next section discusses two RNA kinetic test cases: the application of the kinetic ansatz on CFSE and a bistable RNA sequence.

3.2.3 Applications to the RNA kinetics

Furthermore, the ensemble of structures predicted by RAFFT is analyzed using a kinetics ansatz to extract information about the dynamic of RNA folding. This section analyses the kinetics of two RNA sequences using RAFFT predicted pathways.

We started with the CFSE, a natural RNA sequence of 82 nucleotides with a structure determined by sequence analysis and obtained from the RFAM database. This structure has a pseudo-knot which is not taken into account here.

[Figure 3.7A](#) and [Figure 3.7B](#) show respectively the fast-folding graph constructed using RAFFT, and the MFE and native structures

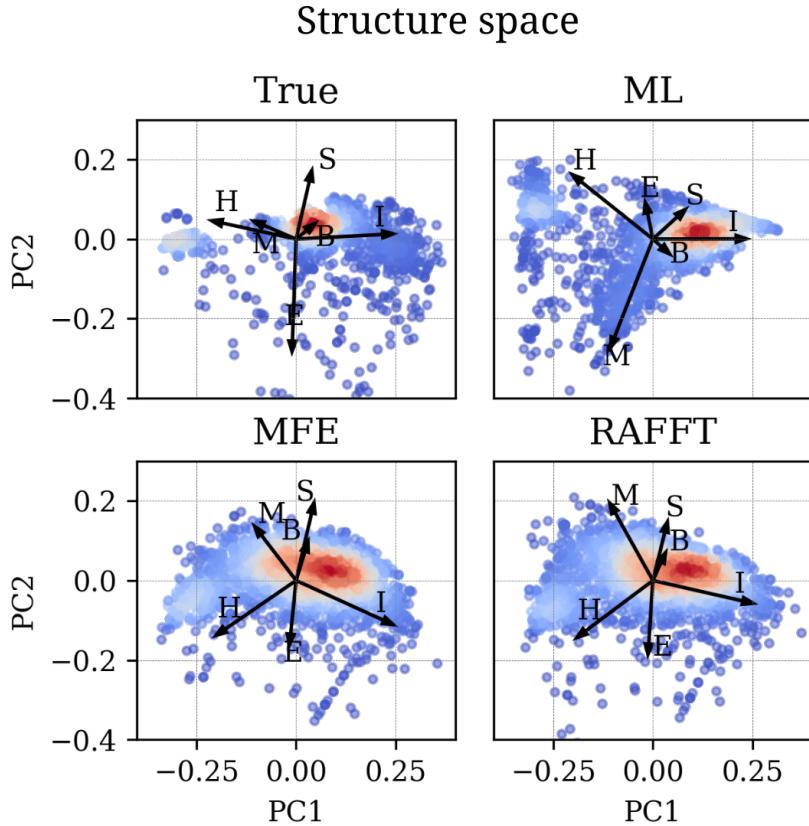


Figure 3.6: **Structure space analysis.** PCA for the predicted structures using RAFFT, RNAfold, MxFold2 compared to the known structures denoted “True”.

for the CFSE. The fast-folding graph is computed in four steps. At each step, stems are constructed by searching for $n = 100$ positional lags and, a set of $N = 20$ structures (selected according to their free energies) are stored in a stack. The resulting fast-folding graph consists of 68 distinct structures, each of which is labelled by a number. Among the structures in the graph, 6 were found similar to the native structure (16/19 base-pairs differences). The structure labelled “29” in the graph leading to the MFE structure “59” is the 9th in the second stack. When storing less than 9 structures in the stack at each step, we cannot obtain the MFE structure using RAFFT; this is a direct consequence of the greediness of the proposed method. To visualize the energy landscape drawn by RAFFT, we arranged the structures in the fast-folding graph onto a surface according to their base-pair distances; for this we used the multidimensional scaling algorithm implemented in the `scipy` package. Figure 3.7D shows the landscape interpolated with all the structures found; this landscape illustrates the bi-stability

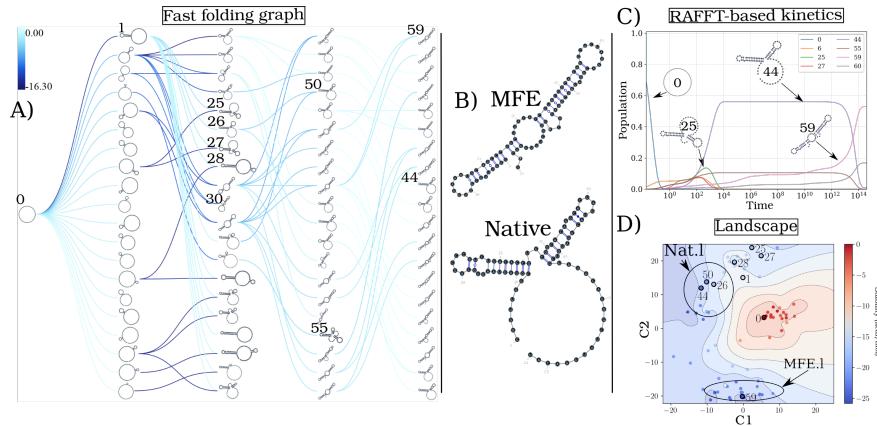


Figure 3.7: Application of the folding kinetic ansatz on CFSE. (A) Fast-folding graph in four steps and $N = 20$ structures stored in a stack at each step. The edges are coloured according to $\Delta\Delta G$. At each step, the structures are ordered by their free energy from top to bottom. The minimum free energy structure found is at the top left of the graph. A unique ID annotates visited structures in the kinetics. For example, “59” is the ID of the **MFE** structure. (B) **MFE** (computed with RNAfold) and the native **CFSE** structure. (C) The change in structure frequencies over time. The simulation starts with the whole population in the open-chain or unfolded structure (ID 0). The native structure (**Nat.I**) is trapped for a long time before the **MFE** structure (**MFE.I**) takes over the population. (D) Folding landscape derived from the 68 distinct structures predicted using RAFFT. The axes are the components optimized by the MDS algorithm, so the base-pair distances are mostly preserved. Observed structures are also annotated using the unique ID. **MFE**-like structures (**MFE.I**) are at the bottom of the figure, while native-like (**Nat.I**) are at the top.

of the **CFSE**, where the native and **MFE** structures are in distinct regions of the structure space.

From the fast-folding graph produced using RAFFT, the transition rates from one structure in the graph to another are computed using the formula given in [Equation 3.6](#). Starting from a population of unfolded structure and using the computed transition rates, the native of structures is calculated using [Equation 2.3](#). [Figure 3.7C](#) shows the frequency of each structure; as the frequency of the unfolded structure decreases to 0, the frequency of other structures increases. Gradually, the structure labelled “44”, which represents the **CFSE** native structure, takes over the population and gets trapped for a long time, before the **MFE** structure (labelled “59”) eventually becomes dominant. Even though the

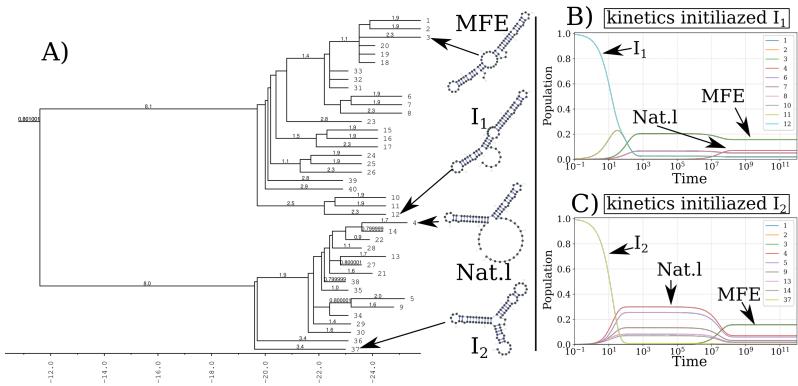


Figure 3.8: Folding kinetics of CFSE using Treekin. A) Barrier tree of the CFSE. From a set of 1.5×10^6 sub-optimal structures, 40 local minima were found, connected through saddle points. The tree shows two alternative structures separated by a high barrier with the global minimum (MFE structure) on the right side. (B) Folding kinetics with initial population I_1 . Starting from an initial population of I_1 , as the initial frequency decreases, the others increase, and gradually the MFE structure is the only one populated. (C) Folding kinetics with initial population I_2 . When starting with a population of I_2 , the native structure (labelled Nat.1) is observable, and gets kinetically trapped for a long time due to the high energy barrier separating it from the MFE structure.

fast-folding graph does not allow computing energy landscape properties (saddle, basin, etc.), the kinetics built on it reveals a high barrier separating the two meta-stable structures (MFE and native).

Our kinetic simulation was then compared to Treekin [54]. First, we generated 1.5×10^6 sub-optimal structures up to 15 kcal/mol above the MFE structure using RNAsubopt [110]. Since the MFE is $\Delta G_s = -25.8$ kcal/mol, the unfolded structure could not be sampled. Second, the ensemble of structures is coarse-grained into 40 competing basins using the tool barriers [54], with the connectivity between basins represented as a barrier tree (see Figure 3.8A). When using Treekin, the choice of the initial population is not straightforward. Therefore we resorted to two initial structures I_1 and I_2 (see Figure 3.8B and 3.8C, respectively). In Figure 3.8B, the trajectories show that only the kinetics initialized in the structure I_2 can capture the complete folding dynamics of CFSE, in which the two metastable structures are visible. Thus, in order to produce a folding kinetics in which the native and the MFE structures are visible, the kinetic simulation performed using

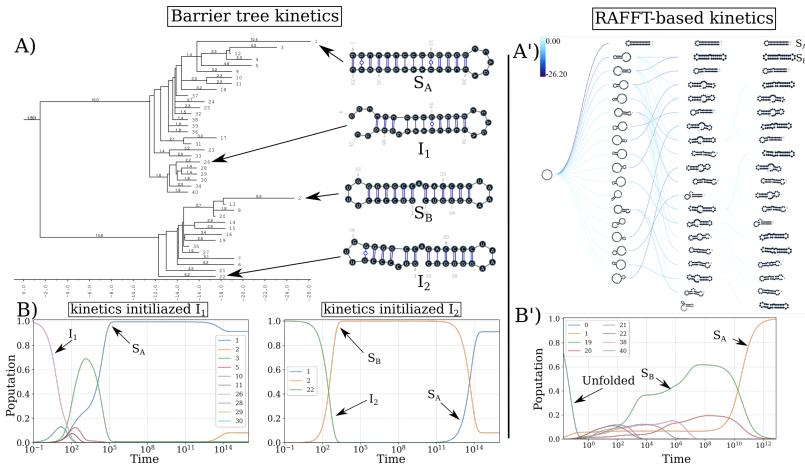


Figure 3.9: RAFFT vs Treekin: folding kinetics of a bi-stable RNA sequence. (A) Barrier tree for the bi-stable example sequence. The local minima and the corresponding barriers are computed from the complete enumeration of the structure space. The bi-stability is visible on the barrier tree through the two branches separated by a high barrier. (B) Folding kinetics trajectories. The left plot shows the folding dynamics starting from a population with I_1 , and the right size is the kinetics when the population is initialized in structure I_2 . When starting from I_1 , S_A is quickly populated; starting from I_2 , the bi-stability is more apparent. (A') Fast-folding graph using RAFFT. A maximum of $N = 20$ structures are stored in a stack at each step and overall 46 distinct structures are visited. (B') Folding kinetics trajectory obtained from the fast-folding graph (indices are different from the barrier tree indices). The dynamics starts with a population with only unfolded structure, and slowly, S_B is populated and gets trapped for a long time before the MFE structure S_A becomes populated.

Treekin required a particular initial condition and a barrier tree representation of the energy landscape built from a set of 1.5×10^6 structures. By contrast, using the fast-folding graph produced by RAFFT, which consists only of 68 distinct structures, our kinetic simulation produces complete folding dynamics starting from a population of unfolded structure.

As a second illustrative example, we applied both kinetic models to the classic bi-stable sequence. For Treekin, we first sampled the whole space of 20×10^3 sub-optimal structures from the unfolded state to the MFE structure, and from that set, 40 basins were also computed using barriers. The barrier tree in Figure 3.9 shows the bi-stable landscape, where the two deepest

minima are denoted S_A and S_B . As in the first application, we also chose two initializations with the structures denoted I_1 and I_2 in [Figure 3.9A](#) and [3.9B](#). Secondly, we simulate the kinetics starting from the two initial conditions (See [Figure 3.9B](#)). When starting from I_2 , the slow-folding dynamics is visible: S_B first gets kinetically trapped, and the **MFE** structure (S_A) only takes over later on. For our kinetic ansatz, we started by constructing the fast-folding graph using RAFFT, consisting of only 46 distinct structures. The resulting kinetics, shown in [Figure 3.9B'](#) was found qualitatively close to the barrier kinetics initialized with structure I_2 . Once again, with few as 48 structures, our proposed kinetic ansatz can produce complete folding dynamics starting from a population of unfolded structure.

In both examples, our kinetic ansatz derived from the fast folding graph predicted by RAFFT produces complete folding kinetic trajectories, using fewer structures than the existing methods that required the complete enumeration of the fitness landscape (i.e. all structures and their associated energies). Despite the poor validation procedure of our kinetic ansatz, we believe that the **RNA** pathways predicted by RAFFT could contain structures of biological pertinence. An analysis of the sample structures produced by RAFFT is provided in Appendix [Section A.2](#) and a discussion on some limitations in [Chapter 6](#).

3.3 CONCLUSION

We have proposed a method for **RNA** structure, and dynamics predictions called RAFFT. Our method is inspired by the experimental observation of parallel fast-folding pathways. To mimic this observation, we designed an algorithm that produces parallel folding pathways in which stems are formed sequentially. Taking advantage of the **FFT**, the time complexity of our method was slowed down to $O(L^2 \log L)$, thus improving the cubic time complexity of classic **DP** methods. Then, we proposed a kinetic ansatz that exploits the parallel fast-folding pathways predicted to model how different conformations are populated over time. Our kinetic ansatz produced complete folding dynamics without sampling the entire conformation space. However, our method also presents some limitations that will be discussed in [Chapter 7](#).

Part II

RNA DESIGN

This second part of our thesis focuses only on the inverse folding of RNA secondary structures. It contains figures and ideas that have previously appeared in our publications:

- [126] **Nono SC Merleau** and Matteo Smerlak (2021). *A simple evolutionary algorithm guided by local mutations for an efficient RNA design.* In: Proceedings of the Genetic and Evolutionary Computation Conference. pp. 1027-1034. ([Published](#))
- [127] **Nono SC Merleau** and Matteo Smerlak (2022). *An evolutionary algorithm for inverse RNA folding inspired by Lévy flights* In: *BMC Bioinformatics*, 23. 1 ([Published](#)).

4

INTRODUCTION TO RNA DESIGN

The previous chapters demonstrated the implications of ncRNAs molecules in varying levels of cellular processes, from gene expression regulation (miRNAs, piRNAs, lncRNAs) to RNA maturation (snRNAs, snoRNAs) and protein synthesis (rRNAs, tRNAs). Knowing that these biological functions are performed by high dimensional RNA structures, which strongly depend on their secondary structures, we also provided a comprehensive review of computation methods for predicting secondary structures. Now that we have computational folding tools that are accurate enough, is it possible to design an RNA molecule that can accomplish a desired biological function for a given secondary structure? Answering this question may demand both experimental and computational efforts. For artificial ncRNAs for which the native RNA sequence is unknown, the essential prerequisite for experimentalists is often a computational solution to the inverse folding problem. Unlike the folding situation, the inverse folding problem begins from a given secondary structure, and the goal is to find one or many RNA sequences that fold into that secondary structure. This chapter aims to provide the formal background and biotechnological implications of addressing this problem. Then, it gives a brief literature review of the existing computational methods.

4.1 RNA INVERSE FOLDING AND BIOTECHNOLOGICAL IMPLICATIONS

In modern biotechnology, we often seek to reproduce the natural ability of the cells to control gene expressions using a variety of nucleic acids and proteins. These natural cellular abilities result from networks of regulatory molecules such as ncRNAs that dynamically regulate the expression of specific genes in response to environmental signals. Therefore, the ability to engineer biological systems is directly related to controlling gene expression. The increasing number of examples of natural regulator ncRNAs has opened doors to many emerging subfields such as RNA synthetic biology [21, 85] and RNA nanostructure [67, 88]. Researchers have engineered RNA molecules with new biological functions, inspired by this natural versatility. Synthetic biology has also made

significant progress in developing versatile and programmable genetic regulators that precisely control gene expressions in the last decades. Three general approaches are taken to engineer new functional RNAs: harvesting from nature, computational design and molecular evolution. We are interested here in computational RNA design methods.

In most cases, designing a functional RNA goes beyond computationally generating a set of RNA sequences that fold into a given secondary structure. Successful design methods include computational and experimental, predictive and analytical techniques. However, computational tools addressing the inverse folding problem often provide some guidance and rationalities through the design process. For example, Steffen Mueller and his collaborators [132] suggested a systematic, rational approach, synthetic attenuated virus engineering (SAVE), to develop new, productive live attenuated influenza virus vaccine candidates using computer-aided rational design. In addition, Eckart Binnewald et al. [13] used computational tools for solving inverse RNA folding in the design of nanostructures, including pseudoknots. And in designing several ncRNAs with a successful synthetic such as ribozymes [40], riboswitches [51, 201].

Depending on the specificities of the RNA design task, finding the underlying mathematical model that maps each designed RNA sequence solution to a set of properties that includes most of the specifications or constraints can be a challenging task. When it exists, it allows to address the RNA design problem computationally, and we call this mathematical model the objective function of the RNA design problem. The complexity of the objective function used gives rise to two RNA design problems: the negative and the positive design. The following section describes both RNA design problems and their computational complexities.

4.2 THE POSITIVE AND NEGATIVE DESIGN

We often find two types of RNA design problems in the literature: negative and positive design. The negative structural design of RNAs, also called the inverse RNA folding problem, aims to find one or many RNA sequences that fold into a given target RNA secondary structure while avoiding alternative folds of similar quality for the chosen energy model ΔG . In other terms, it is an optimization problem where a target RNA secondary structure \mathcal{S}^* of length L is given, and the goal is to determine an RNA sequence ϕ of length L such that $\forall \mathcal{S} \neq \mathcal{S}^* \in \Sigma_\phi, \Delta G(\phi, \mathcal{S}) > \Delta G(\phi, \mathcal{S}^*)$.

This problem is NP-hard even in a simple energy model [14], and we cannot provide a parameterized algorithm that solves it in a polynomial time.

In contrast, a positive design problem consists of optimizing affinity towards a given target secondary structure. In other terms, the objective is to find a sequence $\phi \in \{A, U, C, G\}^L$ such that $\mathcal{S}^* = \mathcal{S}^{MFE}(\phi) = \arg \min_{\mathcal{S} \in \Sigma_\phi} \Delta G(\phi, \mathcal{S})$ (i.e. the sequence ϕ should have as MFEs structure of its ensemble Σ_ϕ the target structure \mathcal{S}^*). The positive design is computationally solvable exactly in polynomial time [53].

Both negative and positive designs are considered in this work, and the main difference often depends on the objective function used. In addition, it has been recently shown that the proportion of designable secondary structures decreases exponentially with L for various popular combinations of energy models and design objectives [214]. The following section presents an overview of previously used objective functions for the RNA design problem.

4.3 OBJECTIVE FUNCTIONS PREVIOUSLY USED IN THE CONTEXT OF INVERSE RNA FOLDING

For a given target secondary structure \mathcal{S}^* of length L , a brute force approach to the inverse RNA folding problem that enumerates all possible RNA sequences is not viable due to the exponential growth of the search space with increasing length (i.e. 4^L). For the space of compatibles sequences to the target \mathcal{S}^* , an upper bound can be defined by restricting the paired position to the base-pairs: G-C, G-U, and A-U. This results in $6^{(L-u)/2} \times 4^u$ sequences compatible with \mathcal{S}^* where u is the number of unpaired nucleotides. The most common way to efficiently handle the huge set of possible solutions is to solve an optimization problem subjected to a formulated objective function. There exists a variety of well-established optimization methods helping to perform this task. However, finding the right objective function to evaluate the solutions can be quite challenging. This section of our work provides an overview of an objective function and an essential description of the most previously used objective functions in designing RNA molecules.

The objective function defines a mathematical model that maps each RNA sequence solution to its essential properties or functions. In biological terms, this relation between fitness and sequence can be seen as assigning a phenotype (score) to a genotype

(sequence). Selection pressure due to the optimization method ensures that better phenotypes are advantageous and thus preferred, which optimizes the sequence to fall into fitness optima. This section defines the previously used objective functions in the RNA design problems and highlights some interesting properties.

- A simple distance from the target structure: in the simplest setting, the objective function of an RNA sequence ϕ defines the distance between S^* and the current MFE structure $S^{MFE}(\phi)$. It often requires only the MFE structure's computation, hence being computationally fast. There are many variants of this distance measure: base-pair distance, hamming or string edit distance, tree-edit distance and energy distance. For a formal definition of each of those distances, see [Section 1.4](#). This objective function was used in the earliest tools such as RNAinverse [79] but also in many others since then [5, 18, 58].
- A negative design objective function: in contrast to the above mentioned objective functions (often considered when performing a positive design), we consider the whole structural ensemble when computing the fitness of an RNA sequence ϕ . In most cases, it is preferable also to consider negative design goals, which allows for avoiding alternative structures of similar quality to the target structure. Negative RNA design methods usually consider one of the three following defects: (1) the *suboptimal defect* [37, 53, 79, 216] which defines the energy distance to the first suboptimal (2) the *probability defect* [79, 216] which defines the probability that the sequence ϕ folds into any other structure than the target structure S^* and (3) the *ensemble defect* [216] which corresponds to the average number of incorrectly paired nucleotides at equilibrium calculated over the structure ensemble of ϕ , Σ_ϕ .
- Multi-objective optimization: in some designing cases where more than one goal is specified, it is necessary to formulate an objective function for each goal. That results in a multi-objective optimization problem. The solutions to such a problem are all optimal for at least one objective function and thus arranged on the so-called Pareto optimal front. This approach has already been used in several RNA design tools such as Modena [187, 188] and in [141].

- Bistable and multi-stable riboswitches objective functions:
In some designing cases, especially for riboswitches, it is possible to specify more than one desired target structure, including the energy differences between them, the barrier heights and the kinetic properties. Following the same idea, Flamm et al. introduced an objective function that enables designing [RNA](#) molecules to adopt two distinct structures [53]. This bistable objective function contains two terms. The first term increases the probability of both structures in the ensemble, and the second specifies the desired energy difference between both states. It is also possible to vary the states' temperature to gain a bistable thermoswitch. The same idea has therefore been expanded to an objective function for designing [RNA](#) molecules that can adopt more than two structures, including extension for multi-structure energy barrier calculations [141, 171]. Frnakenstein [115] also utilises such objective function for multi-target design.
- Mutational robustness and neutrality: In addition to the above-mentioned objective functions, objective functions aim to measure the mutual neutrality of the sequence concerning the target structure [171]. When using such an objective function, the sequences are optimized so that the fraction of one-mutant neighbours to the original structure is as significant as possible. This allows for perfectly preserving the structure when mutations are introduced. We often talk of a mutational robustness optimization [6].

These objective functions suggest that the inverse folding problem is a major challenge with no single solution yet, and many possible ways of setting the goal. This thesis relies on three objective functions: the simple distance to the target, the ensemble defect, and the mutational robustness. In addition to the many objective functions, there are also several methods. The following section will review the existing methods independently of the objective function and provide some limitations.

4.4 A REVIEW ON EXISTING INVERSE RNA FOLDING TOOLS.

Several methods or algorithms addressing this problem have been proposed in the literature. The existing techniques can be classified into two categories: one for the pseudoknot-free structure design and another for the pseudoknotted [RNA](#) structure

design. This section gives a short description of some of the existing tools, especially those used in the benchmark results of the thesis.

4.4.1 *Pseudoknot-free RNA inverse folding tools*

Due to the complexity of the [RNA](#) design, most of the existing tools perform a stochastic search optimization where initial potential solutions are generated and refined over a finite number of iterations or generations [42, 46, 47, 139, 186]. Some stochastic search techniques may involve several candidate solutions at each generation or not. The ones that do are population-based algorithms, which means they maintain a set of candidate solutions at each generation, with each solution corresponding to a unique point in the problem's search space. We are interested in this work in [EA](#), a particular class of population-based algorithms. This section presents an overview of [EA](#) when applied to the inverse folding of [RNA](#) molecules. In addition, it reviews the existing tools implementing similar and different techniques.

4.4.1.1 *Evolutionary algorithms and [RNA](#) inverse problems*

Among the existing tools dealing with the [RNA](#) inverse problem, both [ERD](#) [46, 47] and [MODENA](#) [187] are [EAs](#) but implementing different strategies. In general, an evolutionary search algorithm on any fitness landscape consists of three main parts, which in the context of [RNA](#) inverse folding are as follows:

- Initialization: generating a random initial population of [RNA](#) sequences compatible with the given target secondary structure.
- Evaluation and selection: evaluating a population of [RNA](#) sequences consists of two steps: 1) fold each sequence into a secondary structure and assign it a weight based on its similarity to the target structure. 2) select a weighted random sample with replacement from the current population to generate a new population. A detailed description of the objective function used in our proposed tool [aRNAque](#) is provided in the next chapter.
- Mutation (or move) operation: define a set of rules or steps used to produce new sequences from the selected or initial ones. This component is elaborated further in the next chapter.

MODENA uses a multi-objective function that measures the stability of the folded sequence and its similarities to the target. It starts from a population of randomly generated sequences, and the objective is optimized through tournament selection and random mutation at non-closing loop positions.

In contrast, ERD starts by decomposing the target structure into loops and independently uses an evolutionary algorithm to minimize each constituent's energy. It was first developed in 2014 [47], and one year after, an updated version was released [46]. The main lines of ERD are:

1. Pool reconstruction: using a collection of **RNA** sequences (STRAN database) similar to the natural ones, a pool of sequences is constructed for their length by successively finding the corresponding structure using **RNAfold**, decomposing the structure in sub-components, and finally, the corresponding sub-sequences of the same size are gathered to form a pool.
2. Hierarchical decomposition of the target structure into loops: using the idea that any secondary structure can be uniquely decomposed into its structural components (stems, hairpin loops, internal loops, bulge and multi-loops), ERD decomposes the target in the positions where multi-loops occur.
3. Sequence initialization: after decomposing the target structure into sub-components, for each sub-component, a random sub-sequence is chosen from the pool, and the initial sequence is a combination of those sub-sequences;
4. Evolutionary optimization of the sub-sequences: an EA algorithm is performed on each sub-component to improve the initial sequence. The outcome sub-sequences are combined to form a newer sequence that will replace the initial one. Iteratively the evolutionary algorithm is performed on the updated sequence until the combined sequence folds into the target or in a failure case when the stopping condition is satisfied. Two evolutionary operators are implemented here, a mutation that consists of replacing a sub-sequence corresponding to a sub-component with a new random one from the pool for the same length, and a selection which consists of choosing from a population of 15 **RNA** sequences or sub-sequences, three best sequences with respect to their free energy and adding them to the best from the previous generation, three best ones with respect

to the Hamming distance from the target are therefore chosen. The next-generation population is then obtained by generating five new sequences for each of the three best sequences.

In the different EA methods presented above, the mutation operation is essential for good performance because it provides the rules that allow for navigating the solution space. ERD implements a non-local mutation, which consists of randomly changing a subsequence in the candidate solution with a new one taken from a set of possible moves. In contrast, Modena uses both local mutation and crossover operation to improve its search. However, both EAs present difficulties in finding RNA sequences that fold into some secondary structures of the Eterna100 data set. That limitation could be due to the local search (for Modena) or the finite set of move data used in the non-local search implemented in ERD. In mathematical optimization, local searches are known for their quick convergence to a local minimum. This could be the same case for EAs implementing local mutations. To avoid early convergence EA practitioners often implement non-local mutation methods, e.g. Lévy search, inspired by the Lévy flights. The following section describes the Lévy flight and reviews some applications of Lévy search in the context of EAs.

4.4.1.2 Lévy flights and evolutionary algorithms

In this section, we define concepts such as Lévy flights and provide a brief review of its implications and applications to optimization techniques such as evolutionary algorithms.

In its classical setting, evolutionary algorithms are guided by local (or one-point mutations) mutations. Although a local search can efficiently discover optima in a simple landscape, more complex landscapes pose challenges to designing evolutionary algorithms that rely solely on local search. This is especially true on a landscape with high neutrality where local search may be inefficient or risk getting stuck on a plateau (or local optimum). To avoid this pitfall, many practitioners suggested EA that implements a mutation scheme inspired by Lévy flights (called Lévy mutation).

Lévy flights are random walks with a Lévy (or any heavy-tailed) step size distribution. The concept originates in the work of Mandelbrot on the fluctuation of commodities prices in the 1960s [118] but has since found many more physical applications [170]. The term "Lévy flight" was also coined by Mandelbrot, who

used one specific distribution of step sizes (the Lévy distribution, named after the French mathematician Paul Lévy). Lévy flights also play a key role in animal foraging, perhaps because they provide an optimal balance between exploration and exploitation [92, 199]. For a recent review of applications of Lévy flights in biology from the molecular to the ecological scale, [147].

Similar to a Lévy flight, a Lévy mutation scheme allows simultaneous search at all scales over the landscape. New mutations most often produce nearby sequences (one-point mutations), but occasionally generate mutant sequences which are far away in genotype space (macro-mutations). In this work, the distribution of the number of point mutations at every step is taken to follow a Zipf distribution [133].

Earlier works have applied similar ideas in genetic programming [30], and in differential evolutionary algorithms [168]. This motivated us to investigate a possible benefit of a Lévy flight in the design of RNA sequences in Chapter 5. In addition to EA methods, there exists several computational RNA design tools implementing different techniques such as, ML, nested monte carlo search (NMCS) etc... The following section provides a short description of such tools.

4.4.1.3 Tools implementing non-EA strategies.

Several tools dealing with the RNA folding problem implement different strategies from the population-based, or evolutionary algorithm approaches. This section describes couple of them, emphasising on those that are used in the benchmark results in Chapter 5, which are NEMO, RNAinverse, antaRNA and sentRNA.

sentRNA [169] is a computational agent that uses a set of information and strategies collected from the EteRNA game players to train a neural network model. The neural network assigns an identity of A, U, C, or G to each position in the given target, a featured representation of its local environment. The featured representation combines information about its bonding partner, nearest neighbours, and long-range features. While the bonding partner and nearest neighbour information are provided to the agent by default, long-range features are learned through the training data. For each target structure, the long-range features refer to the important position j relative to i that the agent should know about when deciding what nucleotide to assign to i . These are defined by two values: the Cartesian distance and the angle in radians. Those two values are computed for each position (i, j) us-

ing a mutual information metric over the player solution dataset. Therefore, the result is a list of long-range features for a given target structure. A subset of long features is selected from this list and used to define a model for the neural network model's training, validation, and testing. In addition to the neural network model, sentRNA also implements a refinement algorithm on the unsuccessful design. The refinement algorithm is an adaptive walk that starts from the predicted sequence and uses a set of random mutations that allow improving the neural network solution. Alternatively, EternaBrain [103] implement a convolutional network model trained on a huge EteRNA moves-select repository of 30,477 moves from the top 72 players; and LeaRNA [153] uses deep reinforcement learning to train a policy network to sequentially design an entire RNA sequence given a specified target structure.

NEMO [139] is a recently developed tool combining a NMCS technique with domain-specific knowledge to create a novel algorithm. The underlying idea is to start with an input pattern sequence of N's of the same length as the targeted structure. First, it uses the standard NMCSs to sample sequence solutions acting on N's only. A sequence candidate is selected from the sample; then folded into an MFE structure. When the MFE structure does not match the target, some subset mutations are performed, and a set of random mutated positions are picked to generate a new input pattern sequence. The new input pattern will allow sampling acting on N's only using the same standard NMCSs. This procedure is then repeated several times until the MFE structure matches the targeted structure or not in the unsuccessful cases. The statistical results show that NEMO surpasses all the existing tools on the EteRNA100 benchmark datasets by solving $\approx 95\%$ of the targets using the Turner1999 energy parameter sets. Using a similar technique, RNAinverse[111], one of the oldest inverse folding tools included in the ViennaRNA package, uses an adaptive random walk to minimize base-pair distance. The distance is computed by comparing the MFE structure of the mutated sequence with the target structure. In addition, RNAinverse allows for designing more probable sequences using the partition function optimization. The latter allows for more stable designed sequences that mostly fold into MFE structures different from the target structure. On an attempt to improve RNAinverse, many other tools have been suggested INFO-RNA [18], RNA-SSD [5] and DSS-Opt [124]. The most recent tools also include RNAPOND [215] and MaiRNAiFold [128].

antaRNA [99] is also a recent program available since 2015, and it provides a web server for friendly usability. It utilizes an *ant-colony* optimization, in which an initial sequence is generated via a weighted random search, and the *fitness* of that sequence is then used to refine the weights and improve subsequences over generations. It provides many other interesting features, such as the sequence and target GC-content constraints. It also provides a fast python script that includes the options from the web server presented through a command line. Other tools also provide this dual advantage but implement different optimization techniques. NUPACK:design [217] uses a tree decomposition technique and the ensemble defect as objective function to design qualitatively good sequences. incaRNAbinv [43] is a program for fragment-based RNA design. incaRNAbinv's web server combines two complementary methodologies: IncaRNAtion [144] and RNAbinv [207]. IncaRNAtion generates a GC-weighted partition function for the target structure, and then adaptively samples sequences from it to match the desired GC-content. RNAiFold [59] employs constraint programming that exhaustively searches over all possible sequences compatible with a given target. RNAiFold [59] has the particularity of designing synthetic functional RNA molecules.

So far, except for Modena and antaRNA, most of the computation tools presented in previous sections do not account for pseudoknotted RNA target structures, which represents a disadvantage, knowing their implications in realizing ncRNA biological functions. The following section reviews existing RNA design tools that support pseudoknotted secondary structures.

4.4.2 Pseudoknotted RNA inverse folding tools

Designing RNA sequences for pseudoknotted targets is computationally more expensive than pseudoknot-free targets. For that reason, many of the studies addressing the inverse folding of RNA considered only pseudoknot-free secondary structures. There are, however, some exceptions: MCTS-RNA [213], antaRNA[99], Modena and Inv[58]. The computation tool presented in Chapter 5 of our work also considers pseudoknots. This section gives an overview of each of these tools.

Inv was one of the first inverse folding tools handling pseudoknotted RNA target structures, but it was restricted to a specific type of pseudoknot pattern called 3-crossing nonplanar pseudoknots.

More recently, MCTS-RNA’s authors suggested a new technique that deals with a broader type of pseudoknots. It uses a monte carlo tree search ([MCTS](#)) technique which has recently shown exceptional performance in Computer Go. The [MCTS](#) allows initialising a set of [RNA](#) sequence solutions in MCTS-RNA and the solutions are further improved through local updates at the nucleotide positions.

Another approaches (Modena, antaRNA) implements different strategies one which is a multi-objective ant-colony optimisation and the another one which is a multi-objective evolutionary algorithm. Although the first versions were implemented for pseudoknot-free structure [99, 186], they have since been extended to support pseudoknotted [RNAs](#) [98, 187].

Each of the tools mentioned above rely on a folding tools that predicts pseudoknotted secondary structure: MCTS-RNA uses pkiss whereas the other tools (antaRNA and Modena) support two folding tools such as HotKnots and IPKnot. In the context of this work, two folding tools are used HotKnots and IPKnot, and they support the two main types of pseudoknot patterns (i.e. H-type and K-type) contained in the benchmark data used to evaluate our result in [Chapter 5](#). Both pseudoknotted and pseudoknot-free benchmark data sets are considered in this work. The following section describes the benchmark data used to evaluate our proposed EA tool.

4.5 BENCHMARKING THE INVERSE FOLDING TOOLS

The validation of the designed [RNA](#) sequences using computational methods often requires biological experiments. Because of the high cost of experimental techniques, most investigators limit their guarantee to using benchmark datasets [23] in general. For pseudoknot-free design tools, two benchmark datasets are mostly used in the literature—(i) RFAM¹: a collection of [RNA](#) families, each represented by multiple sequence alignments, consensus secondary structures and covariance models—(ii) Eterna100 [3]: a collection of hundred [RNA](#) secondary structures extracted from the EteRNA Puzzle game². For [RNA](#) inverse tools that support pseudoknots, the PseudoBase++[189] dataset is often considered. This section provides references, descriptions and the cleanup procedure applied for the three data sets mentioned above.

¹ The Rfam database <https://rfam.xfam.org/>

² The EteRNA game <https://eternagame.org/>

The Eterna100 dataset [104] is available in two versions and both contain a set of 100 target structures extracted from the EteRNA puzzle game and classified by their degree of difficulty. The Eterna100-V1 was initially designed using ViennaRNA 1.8.5, which relies on Turner1999 energy parameters [195]. Out of the 100 target secondary structures, 19 turned out to be unsolvable using the version of ViennaRNA 2.4.14 (which relays on the Turner2004 [121]). Subsequently, an Eterna100-V2 [104] was released in which the 19 targets were slightly modified to be solvable using ViennaRNA 2.4.14 and any version that supports the Turner2004 energy parameters. The main difference between the two dataset relay on the energy parameters used to generate the data.

The non-EteRNA (a subset of the RFAM) dataset in a set of 63 experimentally synthesized targets that Garcia-Martin et al. [59] recently used to benchmark a set of ten inverse folding algorithms, which from our knowledge, is the most recent and comprehensive benchmark of current state-of-the-art methods. The dataset is collected from 3 sources: the first dataset called **dataset A** which contains 29 targets collected from RFAM and also used in [46, 186] and the second called **dataset B** is a collection of 24 targets used in [46] and added to that the 10 structures used in [169].

The PseudoBase++ is a set of 266 pseudoknotted RNA structures used to benchmark Modena. It was initially 342 RNA secondary structures, but because of the redundancy and the non-canonical base-pairs 76 structures were excluded. To group the dataset with respect to the pseudoknot motifs, we used the test data from antaRNA's paper. The test data contains 249 grouped into four categories: 209 hairpin pseudoknots (H), 29 bulge pseudoknots (B), 8 complex hairpin pseudoknots (cH) and 3 kissing hairpin pseudoknots (K). Out of the 266 structures, only 185 (with 150 H-type, 3 K-type, 25 B-type and 7 cH-type) structures were included in the test data. So for that reason, we have used only 185 target structures for the pseudoknot motif performance comparison and the 266 structures for the different target lengths performance comparison.

When the benchmark datasets rely on a particular energy parameter set, the performance of a given inverse RNA folding tool evaluated on these datasets will also be related to the choice of the RNA folding tool's energy parameter set. If the benchmark datasets do not rely on a particular energy parameter set, the robustness of the inverse RNA tool will be its capability to perform well on different energy parameter sets.

4.6 CONCLUSION

In summary, the [RNA](#) inverse folding problem is still computationally challenging because there are many objective functions and different ways of evaluating computational tools. Solving this problem is particularly interesting in [RNA](#) synthetics, [RNA](#) nanosstructure design, and emerging fields such as bioengineering. We presented a comprehensive literature review of existing computational methods that addressed this problem in this chapter. The existing approaches have some advantages and disadvantages, depending on the techniques implemented. NUPACK for example—despite its well-defined objective function—still has difficulty designing sequences for large targets and most of the EteRNA100 targets. In contrast, ERD because of its powerful decomposition method, which allows dealing quickly with large targets (On RFAM 1.0 with target's length between 400 – 1400) but is still a big challenge to solve more than 65% of the EteRNA100-V2 using the Turner2004 energy parameter sets. On another side, NEMO, one of the most recent tools, can solve more than 90% of the EteRNA100-V1 dataset using an old version of ViennaRNA package, which is based on Turner1999 energy parameter sets [195]. The sentRNA's machine learning model also relied on the same old version of ViennaRNA package and, by adding a refinement on the machine learning model, sentRNA solves 78% of EteRNA100. Without this refinement, sentRNA can only solve 48% of EteRNA100's targets, which can represents another limitation. For the EAs ERD and MODENA, none of them can solve more than 65% of EteRNA100 using the Turner2004 energy parameter sets.

In the next chapter, we will introduce a simple evolutionary algorithm called aRNAque that implements a Lévy mutation and allows significant improvements to the existing tools.

5

AN EVOLUTIONARY ALGORITHM FOR INVERSE FOLDING INSPIRED BY LÉVY FLIGHTS.

In the previous chapter of our work, we presented the [RNA](#) design as an optimization problem and provided a significant literature review on the existing tools addressing that problem. We highlighted some limitations of the existing tools, particularly those implementing evolutionary algorithms. One of the main challenges of evolutionary algorithms is to avoid deception, which is the fast convergence to a local optimum. Most [EAs](#)' early convergence to a local optimum is due to the local search implementation, which is the consequence of the local mutation scheme.

To avoid this pitfall, an alternative mutation scheme to the classical local search is the Lévy mutation. We propose an evolutionary algorithm that implements a similar Lévy mutation in this chapter but adjusts to the [RNA](#) design problem. This mutation scheme is focused on local search but also searches at all other scales to avoid becoming trapped. its long-range search permits designing [RNA](#) sequences of higher positional entropy. Our implementation, called [aRNAque](#) is available on GitHub as a python script. Compared to existing inverse folding tools, the benchmark results show improved performance on both pseudoknot-free and pseudoknotted datasets. Much of materials in this chapter has been previously published in [[126](#), [127](#)].

5.1 MATERIAL AND METHODS

This section provides a detailed description of [aRNAque](#) algorithm in general and in particular the Lévy mutation scheme implemented.

5.1.1 *aRNAque's mutation operator*

The previous chapters provided an overview of [EA](#), emphasizing its application to the [RNA](#) inverse folding problem. One of the essential components of [EAs](#) is the mutation operator. Our tool, [aRNAque](#), implements a simple [EA](#) that uses a Lévy muta-

tion to explore at different scales the solution space. In addition, our mutation allows explicitly controlling the GC-content of the designed RNA sequences. This section presents in detail our proposed mutation operator.

For a given target RNA secondary structure in its string representation σ^* of length L , the space of potential solutions to the inverse folding problem is $\{A, C, G, U\}^L$. An evolutionary algorithm explores the space of solutions through its move (or mutation) operator. To explore the search space of compatible sequences (sequences with canonical base-pairs at the corresponding open and closed bracket positions) with σ^* exclusively, we propose a mutation step that depends on the nucleotide canonical base-pair probability distribution.

Let $\mathcal{N} = \{A, C, G, U\}$ be the set of nucleotides weighted respectively by the probabilities

$$P_{\mathcal{N}} = \{w_A, w_C, w_U, w_G\}$$

and, $\mathcal{C} = \{AU, UA, CG, GC, UG, GU\}$ be the set of canonical base-pairs weighted respectively by the probabilities

$$P_{\mathcal{C}} = \{w_{AU}, w_{UA}, w_{CG}, w_{GC}, w_{UG}, w_{GU}\}$$

where

$$\sum P_{\mathcal{N}} = 1, \sum P_{\mathcal{C}} = 1.$$

Our evolutionary algorithm relies on the flexibility of the mutation parameters $P_{\mathcal{N}}, P_{\mathcal{C}}$. These parameters allow explicit control of the GC-content of the RNA sequences during the designing procedure.

We examined the binomial and Zipf distributions:

- Binomial mutation: here U has a binomial distribution given by

$$P(U = n) = \binom{L}{n} \mu^n (1 - \mu)^{L-n}$$

for some $0 \leq \mu \leq 1$, such that $u = \mu \cdot L$. We can think of this mutation mode arising from each nucleotide of an RNA sequence independently undergoing a point mutation with probability μ , i.e. μ is the per-nucleotide or point mutation rate.

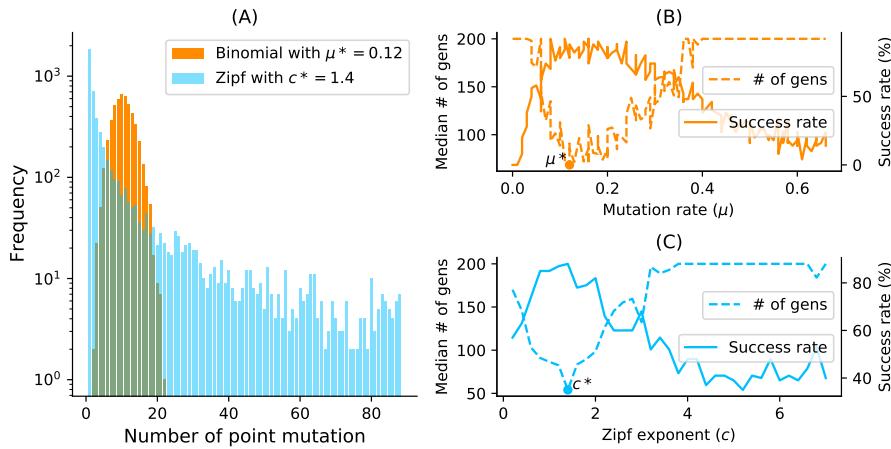
- Lévy mutation: U has a Zipf distribution given by

$$P(U = n) = \frac{1/n^c}{\sum_{k=1}^L 1/k^c}$$

where $c > 0$ is the value of the exponent characterizing the distribution.

[Figure 5.1](#) shows the distribution of the number of point mutations on a sequence of length 88 nucleotides for both mutation schemes. Both distributions have the same mean, and the difference between the two distributions is more perceptible on their tails.

In the rest of this work, a local mutation will refer to a binomial mutation with parameter $\mu \approx 1/L$.



[Figure 5.1: Binomial vs. Zipf distributions.](#) (A) Samplings Binomial and Zipf distributions for the best binomial mutation rate μ^* (respectively c^* for the best Zipf exponent parameter). Both distributions have a mean of 8.7 point mutations for a sequence of length 88 nucleotides. (B) Tuning of binomial mutation rate parameter. For each $\mu \in [0, 1]$ with a step size of 0.005 and the pseudoknotted target PKB00342 of length 88, 50 sequences were designed using aRNAque. (B) shows the median generations and the success percentage *vs.* the mutation rate (μ). The best mutation rate is $\mu^* = 0.085$ (with a median number of generation 93.5 and a success rate of 92%). (C) Tuning of Lévy exponent. Similar to (B), for each $c \in [0, 7]$ with a step size of 0.1 and for the same pseudoknotted target structure, 100 sequences were designed using aRNAque. It shows the median generations and the percentage of success *vs.* the exponent parameter (c). The Zipf exponent distribution that produced the highest success rate and the minimum number of generations is $c^* = 1.4$.

We present the mutation algorithm in [algorithm 1](#). This mutation algorithm is intergraded in a unified EA framework, allowing

to update RNA sequence solution at each iteration or generation. After we apply the mutation operation to the population of RNA sequences, we evaluate the newly generated population; this is usually done using an objective or fitness function. In the following section, we describe the different objective functions taken into account in our implemented EA.

5.1.2 *aRNAque's objection functions*

Our EA reaches its performance through the minimization of three objective functions:

- Hamming distance from the target structure: Since the main goal of the inverse folding problem is to find sequences that fold into a given target secondary structure σ^* , the simple fitness measurement f of an RNA sequence ϕ can be defined as follows:

$$f(\phi, \sigma^*) = \frac{1}{1 + d_h(\sigma^{MFE}(\phi), \sigma^*)} \quad (5.1)$$

where $d_h(\cdot, \cdot)$ is the hamming distance on the structure space (structures are in dot and bracket representation) defined in Equation 1.12.

- **NED**: It is used to minimize the free energy of the designed sequences. (See Equation 1.14)
- **ED**: Here, we use the ED as a second objective function for refinement after having at least one sequence that folds into the target in the current population. It is defined in Equation 1.13.

To minimize the NED and the hamming distance of a population of RNA sequences, instead of combining both measurements to form a multi-objective function, we use them separately at a different level of our EA. We use the NED as a selection weight for the sequences that will be mutated, and the hamming distance is used as a weight to elite ten best sequences that will always move to the next generation. Therefore the selection method we use is the *fitness proportionate selection*, also known as roulette wheel selection [108]. Once we have at least one sequence that folds into the given target in the current population (for the successful case), we start a random walk in its neutral network by minimizing the ensemble defect function (Equation 1.13). The next section

Algorithm 1: aRNAque's mutation algorithm

```

/*  $P' = \{\phi'_1 \dots \phi'_n\}$ : the mutated population;
 $P = \{\phi_1 \dots \phi_n\}$ : a list of  $n$  RNA sequences to mutate;
 $P_C = \{w_{AU}, w_{UA}, w_{CG}, w_{GC}, w_{UG}, w_{GU}\}$ : a vector containing the
weights associated with each canonical base-pairs;
 $P_N = \{w_A, w_U, w_C, w_G\}$ : a vector containing the weights
associated with each nucleotide;
 $\mathcal{D}$ : a given probability distribution (Lévy or Binomial) with
parameter  $p$  and  $L$ . Where  $L$  is the length of the target
RNA structure */
```

Input: $P, \mathcal{D}(p, L), P_C, P_N$

Output: P'

- 1 $\{B_i\} \sim \mathcal{D}(p, L)$, where $i \in \{1, 2, \dots, n\}$; // Draw n random numbers that follows a given distribution $\mathcal{D}(p, L)$ (Lévy or Binomial). B_i is the number base-pairs to mutate
- 2 $\{U_i\} \sim \mathcal{D}(p, L)$, where $i \in \{1, 2, \dots, n\}$; // Draw n random numbers that follows the same distribution as B_i (Lévy or Binomial). U_i is the number non base-pair positions to mutate
- 3 **for** $i \in \{1, 2, \dots, n\}$ **do**
 - 4 $\phi' \leftarrow P_i$; // Assign the sequence $\phi_i \in P$ to ϕ'
 - 5 **for** $j \in \{1, 2, \dots, U_i\}$ **do**
 - 6 $r \in \{1, 2, \dots, L\} \sim \mathcal{U}$; // select uniformly a random position in the RNA sequence ϕ'
 - 7 $n_j \in \{A, U, C, G\} \sim P_N$; // select a random nucleotide n_j with respect to P_N
 - 8 $\phi'_r \leftarrow n_j$; // replace the nucleotide at position j in the RNA sequence ϕ' with n_j
 - 9 **for** $j \in \{1, 2, \dots, B_i\}$ **do**
 - 10 $k_j \in \{AU, UA, CG, GC, UG, GU\} \sim P_C$; // select a random base-pair k_j with respect to P_C
 - 11 $b \in \{(b_1, b_2)_i\} \sim \mathcal{U}$; // select uniformly a random pair of base-pair positions
 - 12 $\phi'_b \leftarrow k_j$; // replace respectively the nucleotides at the base-pair position $b_i \in b$ by $k \in k_j$
 - 13 $P' \leftarrow P' \cup \phi'$; // Add ϕ' to the list P'

provides more detailed information about the core of our EA and the full pseudo-code.

Now that we have defined the mutation and selection operators implemented in our EA, we will describe the general algorithm in the following section.

5.1.3 aRNAque's EA

As described in the introductory chapter, an EA starts with an initial population of solutions and sequentially applies the mutation and selection operators on the solutions through generation until a termination criterion is satisfied. How does aRNAque generate the initial population of RNA sequences? This section describes how the initial population is generated and then provides the core pseudocode of our EA.

For a given population size n and a target structure \mathcal{S}^* of length L , an initial population P is generated randomly as follows:

1. Select randomly L nucleotides in \mathcal{N}
2. Identify the base-pair position (i, j) in the random sequence, select randomly a base-pair in the set of canonical base-pairs \mathcal{C} and fix the first nucleotide of the selected canonical base-pair at the position i and the second at position j .
3. Repeat 2. for all base-pair positions in the target structure
4. Repeat 1. 2. and 3. n -times.

Let T be the maximum number of generations and F_t the set of all sequences found at a given time t . After the initial population of RNA sequences is generated, our algorithm is described in [algorithm 2](#). The stopping criteria are two: 1) the number of generations (t) is equal to the max number of generations (T) or 2) the minimum hamming (or base-pair) distance of the best RNA sequence solution to the target is 0 (i.e the maximum fitness value is 1).

In sum, our EA relies on three objective functions and implements a Lévy flight mutation scheme. We assess the performance of our EA and the existing tools using three benchmark data sets presented in the previous chapter ([Section 4.5](#)). The following section describes the benchmark protocols applied for each data set and different RNA inverse folding tools considered in the context of this work. Furthermore, it provides an overview of

Algorithm 2: aRNAque' EA

```

/*  $P' = \{\phi'_1 \dots \phi'_n\}$ : the best population;
 $P = \{\phi_1 \dots \phi_n\}$ : the initial population of  $n$  RNA sequences;
 $P_C = \{w_{AU}, w_{GU}, w_{GC}\}$ : a vector containing the weights
associated with each base-pair;
 $P_N = \{w_A, w_U, w_C, w_G\}$ : a vector containing the weights
associated with each nucleotide;
 $\mathcal{D}$ : a given probability distribution (Lévy or Binomial) with
parameter  $p$  and  $L$ , where  $L$  is the length of the target RNA
structure;
 $T$ : the maximum number of generations;
 $n$ : the population size ;
 $f(\cdot)$ : the fitness function used. It can be the hamming,
base-pair or energy distance;
 $\sigma^*$ : the target structure in its string representation;
 $\mathcal{P}$ : the energy parameters used for the folding */
```

Input: $n, T, P_N, P_C, P, \mathcal{D}(p, L), f(\cdot), \sigma^*, \mathcal{P}$

Output: Best population P'

```

1  $P' \leftarrow P$ ; // Assign the initial population to the best
population
2  $t \leftarrow 0$ ; // Initialize the number of generations to 0
3 while  $t \leq T$  &  $f(\sigma^{MFE}(\phi_b), \sigma^*) \neq 1$  do
4    $\Sigma \leftarrow \{\arg \min_{\sigma \in \Sigma} \Delta G(\phi_i, \sigma, \mathcal{P})\};$  // Fold each sequence
     $\phi_i \in P'$  and store them in  $\Sigma$ . Where  $i \in \{1, 2, \dots, n\}$ ,  $\Gamma$ 
    the structural ensemble and  $\Delta G(\phi_i, \sigma)$  the free energy
    computed using the parameters  $\mathcal{P}$ 
5    $\kappa = \lfloor (n \times 0.1) \rfloor$ ; // The number of RNA sequences to copy
    in the next generation without mutating them.
6    $F \leftarrow \{f(\sigma, \sigma^*) | \forall \sigma \in \Sigma\}$ ; // Evaluate the fitnesses of
    the folded population to the target strucre  $\sigma^*$  and
    store them in a list  $F$ 
7    $E_\kappa \leftarrow \{\phi_1 \dots \phi_\kappa\} \sim F$ ; // copy of the 10% best sequence
    based on their fitnesses  $F$ .
8    $P_S \leftarrow \{\phi_i\} \sim F$ , where  $i \in \{1, 2, \dots, n - \kappa\}$ ; // Randomly
    sample  $(n - \kappa)$  RNA sequences from  $P'$  with respect to
    their fitnesses  $F$ .
9    $M \leftarrow \text{mutate}(P_S, \mathcal{D}(p, L), P_C, P_N)$ ; // Mutated the
    selected sequences using the mutation algorithm
    presented in the main text in out paper.
10   $P_b \leftarrow M \cup E_\kappa$ ; // Combine the mutated population and the
    best solutions to form the new population that will be
    evolved in the next generation
11   $\phi_b \leftarrow \arg \max_{\sigma \in \Sigma} f(\sigma, \sigma^*)$ ;
12   $t \leftarrow t + 1$ ; // Increment the time step (the number of
generations)

```

various folding tools and the configuration parameters used for the benchmark.

5.1.4 Benchmark parameters and protocols

For the benchmark results presented in this work, we use three datasets: the Eterna100 dataset, RFAM dataset and PseudoBase++ dataset. Depending on the datasets, a specific [RNA](#) folding tool is used. This section gives more details about aRNAque's parameters, energy parameters and other tools parameters used for the benchmark results presented in this chapter.

Folding tools

Two tools for pseudoknotted [RNA](#) folding are considered in this work: HotKnots and IPknot. For pseudoknot-free [RNA](#) folding, we used RNAfold. For the mutation parameter and GC-content analysis presented in our work, we used IPknot, and both HotKnots and IPknot for PseudobBse++ benchmarks. To be able to use HotKnots in aRNAque without copying aRNAque in the bin directory of Hotknots, we have performed some modifications on Hotknots source code. Details on the modifications are provided in the [Section B.5](#). Furthermore, we considered pkiss, a well known tool for K-type pseudoknot prediction, but since the PseudoBase++ dataset contains just 4 K-type pseudoknotted structures and pKiss has higher time complexity ($O(n^6)$), we did not find it efficient for the benchmark we performed.

Mutation parameters tuning

The main challenge for an evolutionary algorithm is to find optimum parameters such as mutation rate, population size and selection function. We used 80 pseudoknotted targets with lengths from 25 to 181 nucleotides for the mutation parameter analysis. We set the maximum number of generations T to 200 and the population size n to 100. The stopping criteria are two: 1) the number of generations (t) is equal to the max number of generations (T) or 2) the minimum hamming (or base-pair) distance of the best [RNA](#) sequence solution to the target is 0. The best mutation parameters (c^* for Lévy and μ^* for Binomial) are those that have the lowest median number of generations. The best mutation parameters obtained for both binomial and Lévy mutation

modes are used to benchmark and compare the results on the entire datasets of RNA structures.

Benchmark on the PseudoBase++ dataset

Four benchmarks are performed on the pseudoknotted dataset: 1) mutation parameter analysis, 2) the GC-content and diversity analysis, 3) Local search versus Lévy search, 4) aRNAque (Lévy search) versus antaRNA. For the aRNAque (Binomial and Lévy) case, the four benchmarks share the same number maximum number of generations ($T = 200$), population size ($n = 100$), stopping criteria ($t = T$ or min fitness equals 0). For the antaRNA benchmark, the maximum number of iterations was set to 1200, and a slight modification was made to allow the support of the folding tool HotKnots (See [Section B.5](#)). For booth tools and each benchmark, 20 runs were launched independently in parallel on a computer with the same resources, resulting in 20 designed sequences per pseudoknotted target structure. To measure the performance of each tool, each designed sequence s is folded into a secondary structure \mathcal{S} and the similarities between \mathcal{S} and \mathcal{S}^* are computed using the base-pair distance. For the GC-content benchmark, four GC-content values are considered, $\{0.25, 0.5, 0.75, 1\}$ and the setting of each tool remains the same.

Benchmark on the Eterna100 dataset

We performed two benchmarks are one the Eterna100 dataset: 1) a benchmark on the Eterna100-V1 dataset using the Turner1999 energy parameter and the both versions of aRNAque (one point and Lévy mutation), 2) a benchmark on the Eterna100-V2 dataset using the Turner2004 energy parameter and both versions of aRNAque (one point and Lévy mutation). For each of the Eterna100 benchmark we used the same evolutionary algorithm parameters; a maximum of $T = 5000$ generations (i.e. a maximum of 500,000 evaluations), a population size of $n = 100$ and the same stopping criteria (the number of generation $t = T$ or min fitness equals 0). For both local and Lévy search, 5 runs were launched independently, which results in 5 designed sequences per target. We define success rate simply as the number of successfully designed targets. A target is considered successfully designed when at least one of the designed sequences folds into the target structure.

For the benchmarks peformed on ERD, NUPACK, and SentRNA the default parameters were used. For NEMO, the number of iteration

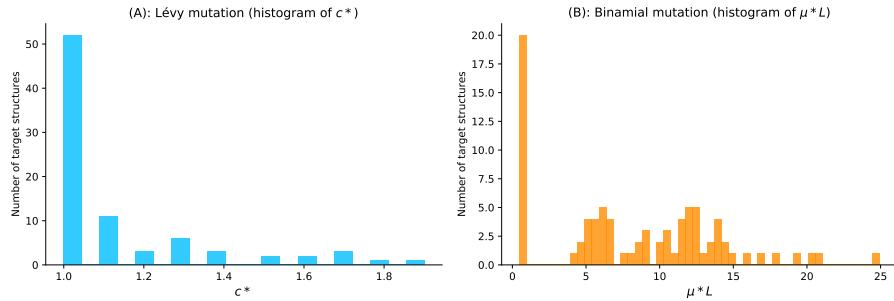


Figure 5.2: Parameter tuning for both binomial and Lévy mutation schemes. (A) Lévy mutation parameter tuning. Histogram of best exponent parameter (c^*) for a set of 81 target structures with different pseudoknot patterns and various lengths. The most frequent best exponent value is 1. (B) Binomial parameter tuning. Histogram of best mutation rate (μ^*) for the same set of 81 target structures with different pseudoknots and various lengths. The most frequent best parameter is the low mutation rate ($\approx 1/L$). For some structures, the best mutation rate is the high one for different lengths as well.

was set to 2500 and for RNAinverse the objective function was set to be the partition function and the number of iteration at 1200.

Benchmark on the non-Eterna100 dataset

For the non-EteRNA dataset, only the Turner2004 energy parameters were used. The maximum number of generations was set to be 5000. The mutation parameters (P_C and P_N) were chosen to be close to the nucleotide distribution of the RNA sequence in nature [46].

5.2 EXPERIMENTAL RESULTS

As mentioned in Chapter 4, the validation of computational tools for RNA inverse folding can include in vivo or in vitro experiments. In the context of this work, only in silico experiments are used to evaluate the performance of the existing tools, including aRNAque. This is done through a benchmark protocol described in the previous section. This work's computational tools require an RNA secondary structure as an input target. Two RNA secondary structures are considered: the pseudoknot-free and the pseudoknotted target structures, and both are supported in aRNAque. Therefore, we evaluate aRNAque performance for different target secondary

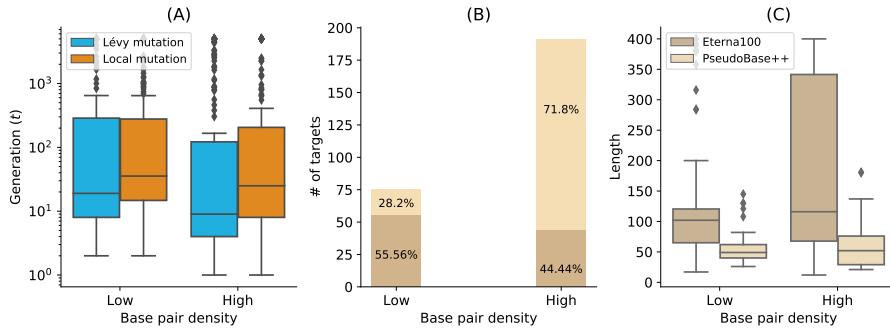


Figure 5.3: Lévy mutation vs. Local mutation: performance analysis with respect to the base-pair density. The higher the base-pair density is, the more useful the Lévy mutation scheme to speed up the optimization EA. (A) Distributions of number of generations for the low and high base-pair density targets of the Eterna100 dataset. (B) Percentages of targets with low and high base-pair density for the Eterna100 and PseudBase++. (C) The length distributions of the low and high base-pair density pseudoknot-free and pseudoknotted targets.

structures separately. Three data sets of secondary structure targets are used: the Eterna100 and non-Eterna100 that contain pseudoknot-free targets, and the PseudoBase++ which contains only pseudoknotted targets. Using the three data sets, this section presents the experimental results concerning the quality of the designed RNA sequences (i.e. the GC-content and diversity or positional entropy), the CPU required and the success rate of each tool considered when benchmarked using a specific data set.

5.2.1 aRNAque's performance on pseudoknot-free target structures

We compared the performance of aRNAque for pseudoknot-free target using the benchmark datasets: the non-Eterna100 and the Eterna100. This subsection presents the statistical results obtained compared to benchmarked existing tools and the results found in the literature. In addition, we compared the performance of aRNAque (Lévy mutation) to the one of Ivry et al. [87] on a tripod pseudoknot-free RNA secondary structure.

5.2.1.1 Performance on Eterna100 dataset

A first benchmark was performed on the Eterna100 datasets. First, on the Eterna100-V1 dataset, the Lévy flight version of aRNAque

Table 5.1: Summary of performance of aRNAque vs the 7 other algorithms benchmarked on EteRNA100-V1 by Anderson-Lee et al. [3] (using the recent energy parameter sets, the Turner2004)

Methods	Number of puzzles solved
aRNAque	72/100
RNAinverse	66/100
Learna	66/100
ERD	65/100
SentRNA, NN + full moveset	60/100
MODENA	54/100
NEMO	50/100
INFO-RNA	50/100
NUPACK	48/100
DSS-Opt	47/100
RNA-SSD	27/100

successfully designed 89% of the targets and the one-point mutation (local mutation) version achieved 91% of success, suggesting that for some target structures, local mutation can outperform the Lévy mutation scheme. Combining the two solutions, aRNAque solved in total 92% of the targets of Eterna100-V1.

When analysing the performance of Lévy flight for low and high base-pair densities separately, the median number of generations of high base-pair density targets was lower than the one with low base-pair density (8 generations for high density and 18 for the low base-pairs density targets). The same observation was drawn for the success rate. For the low base-pair density targets, the Lévy flight achieved 87% (49/56) success whereas, for the high base-pair density, it achieved 91% (40/44). The same analysis can be done when comparing the one-point mutation results for the high-density targets to the Lévy flight mutation. The median number of generations for the low-density targets when using a one-point mutation operator was 34 (respectively 24 for the high base-pair density targets) (see Figure 5.3A).

Another benchmark was performed on Eterna100-V2 with aRNAque achieving a 93% success rate when combining the designed solutions for both mutation schemes. Compared to recently reported

Table 5.2: **Summary of performance of aRNAque vs the 10 other algorithms benchmarked on the non-EteRNA100** by Anderson-Lee et al. [3]

Methods	Number of puzzles solved
SentRNA, NN + full moveset	57/63
ERD	54/63
SentRNA, NN + GC pairing	53/63
SentRNA, NN + All pairing	53/63
aRNAque	52/63
RNA-SSD	47/63
SentRNA, NN only	46/63
INFO-RNA	45/63
MODENA	32/63
NUPACK	29/63
IncaRNAtion	28/63
Frnakenstein	27/63
RNAinverse	20/63
RNAfbinv	0/63

benchmark results [104], aRNAque achieved almost similar performance to NEMO on Eterna-V2: one target was unsolved by all existing tools and one target solved only by NEMO remained unsolved by aRNAque, outperforming all existing EA methods.

For the robustness analysis, Table 5.1 presents the benchmark results on Eterna100-V1 using the Turner2004 energy parameters sets. It shows that the evolution algorithm we propose can solve $\approx 72\%$ of the dataset, and it surpasses the 4 methods we benchmarked and all the tools already benchmarked in [169]. We can also solve approximately 23 targets more than NUPACK, which is also minimizing the ensemble defect and that shows the importance of a population-based algorithm. Compared to the existing EA-based algorithms, our EA can solve approximately 18 targets more than MODENA and 7 targets more than ERD.

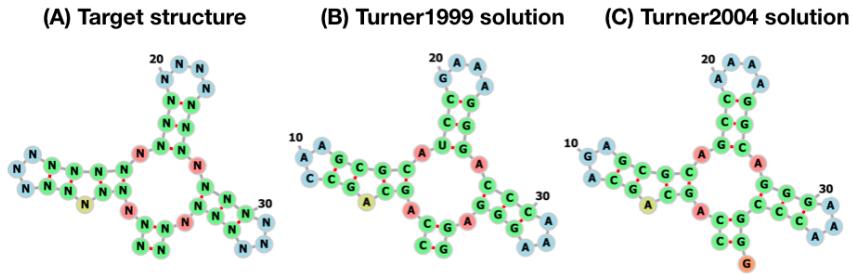


Figure 5.4: **aRNAque’s performance on a TRIPOD secondary structure.**

(A) The tripod target structure. (B) aRNAque’s solution using the Turner1999 energy parameter sets. (C) aRNAque’s solution using the Turner2004 energy parameter sets.

5.2.1.2 *Perfomance on non-Eterna100*

Additionally to the Eterna100 dataset, we also used the non-EteRNA dataset collected from the RFAM database to assess the aRNAque’s performance on pseudoknot-free target secondary structure. Compared to other tools, the statistical results are presented in [Table 5.2](#).

The results show that our method surpasses 8/10 of other tools. ERD solved 2 more targets than our method because of its strong decomposition capacity, which allows it to solve the entire **dataset B**. With the advantage that our evolutionary algorithm also allows us to fit the nucleotide distribution parameters taken from natural [RNA](#) directly in the mutation parameters, we can solve 21/24 targets from the **dataset B**. For the **dataset A** aRNAque solves 24/29 targets which means 2 more than the existing tools and for the 10 last targets, it solves 7 targets. Adding all these solved targets together, we obtain a result of 52/63 as presented in [Table 5.2](#).

5.2.1.3 *aRNAque performance on a tripod secondary structure*

Finally, we performed a benchmark on a tripod target secondary structure. The tripod secondary structure was used as a third test case in the work of Ivry et al. [87], and it does not contain any pseudoknot interactions. It comprises four stems, three of which with terminal hairpins, surrounding a multibranch loop (See [Figure 5.4A](#)). The tripod target structure was proved to be very challenging, especially because of its multiloop component, which is also found in some of the unsolved Eterna100 target structures. We perform here, for both energy parameters Turner1999

and Turner2004, 100 independent designs, using a population size of 100 RNA sequences and a maximum of 5000 generations. The mutation parameters used are: $P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$, $P_N = \{0.7, 0.1, 0.1, 0.1\}$ and $c = 1.5$. When using the Turner2004 energy parameter set, none of the 100 designed RNA sequences was successful (i.e, 0 sequence folds exactly into the target structure after 5000 generations). Figure 5.4B shows one of the best solutions obtained out of 100 designed sequences when using the Turner2004, the designed sequence folds into a structure at one error base-pair distance from the target structure. In contrast, when using the Turner1999 energy parameters, we successfully designed the tripod secondary structure (See Figure 5.4C). The 100 sequences designed folded exactly into the target structure with an average median number of generations 20. When comparing both solutions to the one obtained in [87], aRNAque (with no need of changing the RNA structure distance) can successfully design the multibranch loop component with one base-pair error using the Turner2004 energy parameter whereas RNAinverse (with the DoPloCompare distance) failed to design the multi-branch loop, and the solution was at 2 base-pair distance error.

5.2.2 aRNAque's performance on pseudoknotted target structures

Secondly, we assessed the performance of aRNAque in designing pseudoknotted target secondary structures through intensive benchmark on PseudoBase++ dataset. We then compared the results obtained to the one of antaRNA, using both folding tools Hotknots and IPknot. Furthermore, a comparison between local and Lévy mutations is provided.

5.2.2.1 Best mutation parameter analysis on PseudoBase++: Lévy mutation vs. local mutation

The advantage of using a Lévy mutation is its capacity to allow simultaneous search at all scales over the landscape. The search at different scale is often dictated by the exponent parameter of the heavy-tailed distribution. In this first subsection, we analyse for 80 pseudoknotted target structures and for both mutation schemes the distributions of the best mutation parameters.

- Binomial mutation: From Figure 5.1B, the critical range was identified to be from 0 to 0.2 and as μ becomes greater than 0.1, the success rate decreases and the average number

of generations increases. For each of the 80 target structures with pseudoknots, 20 sequences were designed for $\mu \in [0, 0.2]$ with a step size of $1/L$. [Figure 5.2B](#) shows the histogram of the best mutation rate found for each target structure. Two main regimes are apparent: one where the best mutation rate is very low mutation rate ($\approx 1/L$) and another where the high mutation rate is optimal.

- Lévy mutation: From [Figure 5.1C](#), the critical range of c was identified to be $[1, 2]$. For $c \in [1, 2]$ and a step size of 0.1, an optimum exponent parameter c^* was investigated for all the 80 target structures. [Figure 5.2A](#) shows the histogram of c^* . Contrary to binomial mutation, the optimum exponent parameter does not vary too much ($\forall \mathcal{S}, c^* \approx 1$).

[Figure 5.2](#) shows that when using a Lévy mutation, the optimal mutation rate is the same for most target structures. In contrast, the optimum binomial mutation rate parameter μ^* mostly varies with different targets. Although both mutation schemes (for the best mutation parameters) have approximately the same success rates, the Lévy flight mutation scheme is more robust to different targets.

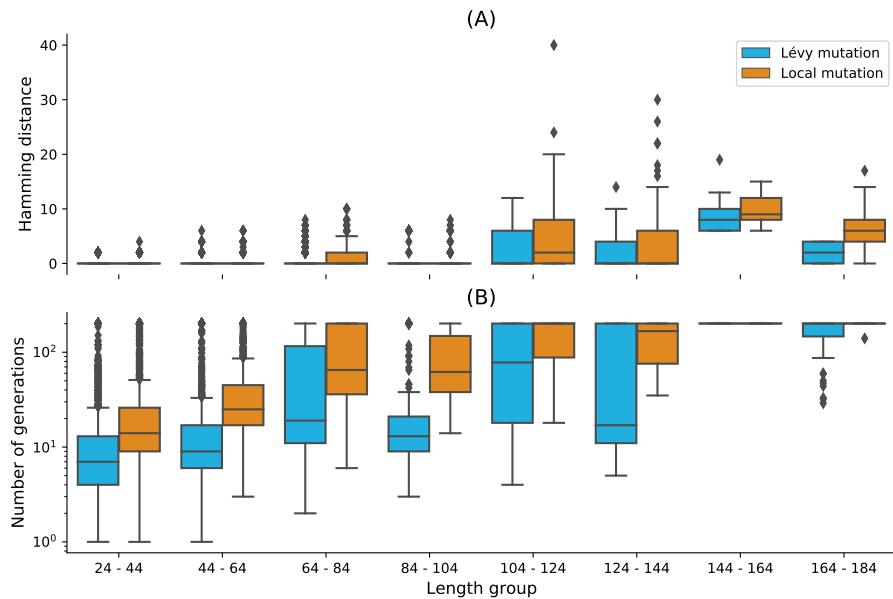


Figure 5.5: Lévy mutation mode vs local mutation (one-point mutation). (A) Hamming distance distributions vs. target structure lengths. (B) Number of generations distributions for different length groups. In both (A) and (B), lower values indicate better performance. The target structures are solvable in less than 100 generations for both mutation schemes and most length groups. Still, the difference in the number of generations gets more significant as the target lengths increase, except for the two last length groups for which both mutation schemes mostly failed. The highest difference in terms of median number of generations is 150 for target lengths in the range [124 – 144] (respectively 123, 49, 46, 16, 7, 0, 0 for the length ranges [84 – 104], [64 – 84], [104 – 124], [44 – 64], [24 – 44], [144 – 164], [164 – 184]). Averaging over all length groups, the median number of generations difference between the Lévy mutation and the one point mutation is 48 generations.

5.2.2.2 Performance on PseudoBase++: Lévy mutation vs. local mutation

Figure 5.5 shows box plots for the base-pair distance (Hamming distance) and the number of generations for increasing target lengths under our two mutation schemes: binomial at low mutation rate (or one point mutation) and the Lévy mutation. For each pseudoknotted RNA target structure in the PseudoBase++ dataset, we designed 20 sequences. The results show that using the Lévy mutation instead of a local mutation scheme can significantly increase the performance of aRNAque. The gain was less significant

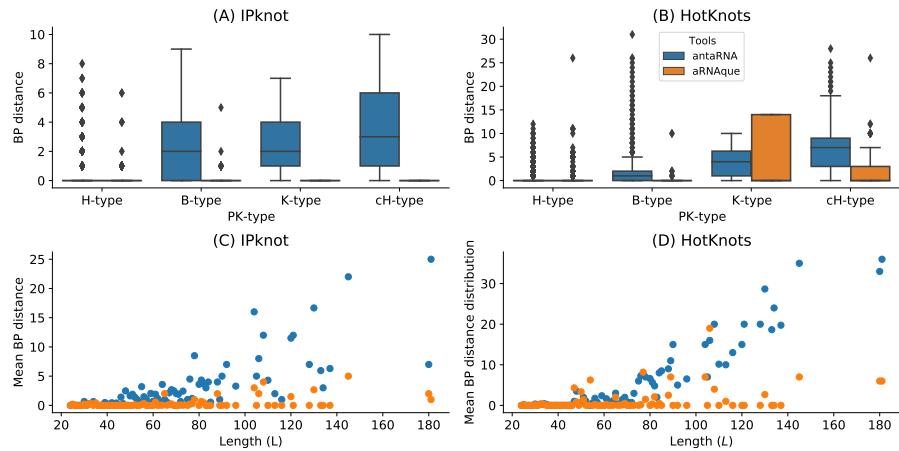


Figure 5.6: aRNAque vs antaRNA on PseudoBase++ dataset using both IPknot and HotKnots. Lower values imply better performance. (A, B) base-pair distance distributions of the designed sequences to the target structure for different pseudoknot types. (C,D) Mean base-pair distance against target lengths.

in terms of designed sequences quality (base-pair distance distributions, with a t -value ≈ -1.04 and p -value ≈ 0.16) but more significant in terms of the average number of generations needed for successful matches to target structures (with a t -value ≈ -3.6 and p -value ≈ 0.0004). This result demonstrates a substantial gain in computational time when using a Lévy mutation scheme instead of a purely local mutation.

5.2.2.3 Performance on PseudoBase++: aRNAque vs. antaRNA

We also compared the sequences designed using aRNAque (with the Lévy mutation scheme) to those produced by antaRNA. [Figure 5.6A](#) and [Figure 5.6C](#) show the base-pair distance distribution for each category of pseudoknotted target structure and the mean of the base-pair distance plotted against the length of the target secondary structures. For antaRNA, and when using IPknot as a folding tool, finding sequences that fold into the target becomes increasingly difficult with pseudoknot complexity (median base-pair distance distribution increases). On the other hand, aRNAque's performance improves as pseudoknot complexity increases (e.g. the mean base-distance decreases with the pseudoknot complexity).

A second benchmark using HotKnots as a folding tool was performed on the same dataset. For both aRNAque and antaRNA, the

more complex the pseudoknot motifs, the worse is the tool performance (median of the base-pair distance distribution increases). [Figure 5.6B](#) and [Figure 5.6D](#) show the base-pair distance distributions with respect to the pseudoknot motifs for both aRNAque and antaRNA. Even though both performances degrade as target length increases, aRNAque (Lévy flight evolutionary search) performance remains almost constant for all the target lengths greater than 60.

5.2.3 Quality of the designed RNA sequences

In addition to the successful rate analysis, we assessed the quality of the designed RNA sequences by analysing both GC-content and diversity of the pseudoknotted dataset using IPknot. This section presents the results obtained and a comparison to antaRNA designed sequences.

5.2.3.1 GC-content analysis of the designed sequences using IPknot

The GC-content of an RNA sequence S measures the concentration of G-C nucleotide in S and influences its stability and biological function. Therefore, the ability of an inverse folding tool to control the GC-content is of vital importance for designing functional RNA sequences. Both antaRNA and aRNAque allow to control the GC-content at different levels of the optimization process: aRNAque through the mutation parameters P_C and P_N ; antaRNA with the parameter $tGC \in [0, 1]$. In this section, we compare the performance of each tool for fixed GC-content values and analyse each tool's ability to control the GC-content. For each pseudoknotted target structure in the PseudoBase++ dataset, four different GC-content values {0.25, 0.5, 0.75, 1}, a poll of 20 sequences is designed using IPknot as folding tool. That results in 5320 designed sequences for each GC-content value and tool. The number of successes is the total number of sequences that fold exactly into the given target structure (i.e. the designed sequence folds into a structure at base-pair distance 0 from the target structure). [Figure 5.7](#) shows respectively the base-pair distance distributions, the GC distance distributions and the number of successes for both aRNAque and antaRNA. The results show that the performance (in terms of success number) varies considerably with the GC-content values for both tools, and the best performance is obtained for both tools with a GC-content value of 0.5. When comparing the GC-content distance (i.e absolute

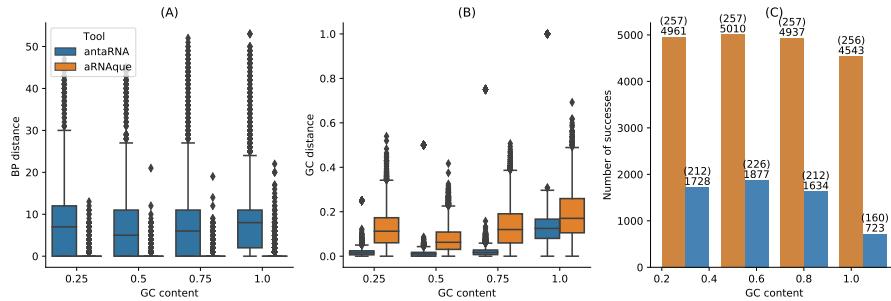


Figure 5.7: aRNAque vs antaRNA on PseudoBase++ dataset using IPknot: GC-content analysis. (A) Base-pair distance distributions. (B) GC-content distance distributions. The difference between the targeted GC-content and the actual GC-content values. In (A,B), lower values imply better performance. (C) Number of successes realised by both inverse folding tools. Two values are considered: the up value represent the number targets successfully solved for each GC-content value out of the 266 targets benchmarked; the down values represent the number sequences folding into the targeted secondary structure.

value of the difference between the targeted GC–content and the actual GC–content values of the designed sequences) distributions, both GC–content distance median distributions increase, whereas antaRNA controls significantly better the GC–content (See Figure 5.7B). On average, for the respective GC–content values {0.25, 0.5, 0.75, 1}, antaRNA’s sequences have respectively 0.2569, 0.4952, 0.7314, 0.8684 whereas aRNAque’s sequences have respectively 0.3649, 0.4910, 0.6231, 0.811; the main difference is at fixed GC–content values 0.25 and 0.75. Even though antaRNA designs sequences with better control of the GC–content, the gap in success rate still remains remarkable compared to aRNAque (See Figure 5.7A and Figure 5.7C).

5.2.3.2 Diversity of the designed sequences

Another advantage of using a Lévy mutation when designing RNA sequences is to increase the chance of designing sequences with high diversity. Here, we use the positional entropy of each pool of 20 sequences previously designed for each pseudoknotted target structure to compare the diversity of RNA of both tools antaRNA and aRNAque (Lévy search). We also compare it to the diversity of the designed sequences using the old version of aRNAque (Local search). The results show that the sequence diversity of

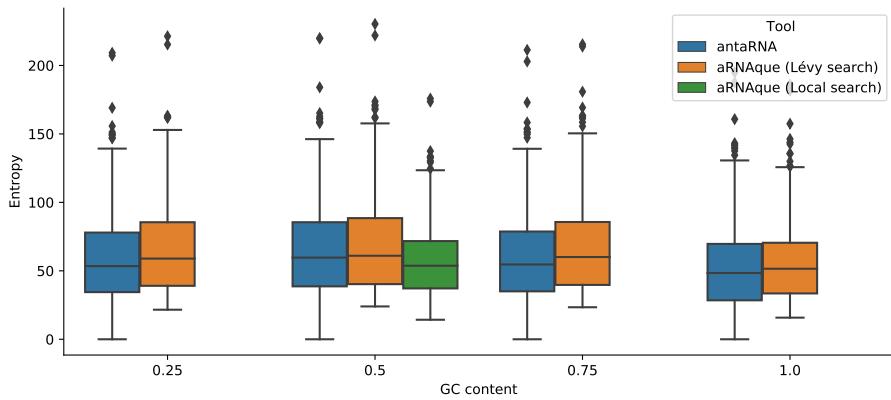


Figure 5.8: aRNAque vs antaRNA on PseudoBase++ dataset using IPknot: Diversity analysis. The positional entropy distributions plotted against the targeted GC-content values. Higher values imply better performance.

both antaRNA and aRNAque (Lévy search) varies with the GC-content values, where the more diversified pool of sequence is achieved with a GC-content value of 0.5. When comparing the pool of designed sequences with highest entropy (i.e. with a fixed GC-content of 0.5) to the one of the old version of aRNAque (Local search), the aRNAque (Lévy search) and antaRNA produce sequences with similar entropy (i.e. with a median entropy of 61.01 for Lévy search respectively 59.65 for antaRNA (see Figure 5.8), whereas the entropy of the sequences designed using the Local search is lower. For the three others fixed GC-content values (i.e. {0.25, 0.75, 1}, aRNAque (Lévy search) produces sequences with the highest entropy (respectively a median entropy of 58.9, 60.08, 51.52 against 53.42, 54.63, 48.38 for antaRNA).

5.2.4 Complexity and CPU time comparison

We finally analysed the design performance of aRNAque relatively to the CPU time needed. This section presents aRNAque statistical results compared to two main tools: RNAinverse for the pseudoknot-free targets and antaRNA for the pseudoknotted targets.

5.2.4.1 CPU time vs. success rate using RNAfold: RNAinverse vs. aRNAque on EteRNA100-V1.

Since our previous benchmarks on EteRNA100-V1 using the Turner2004 energy's parameters reveal that RNAinverse, one of the oldest in-

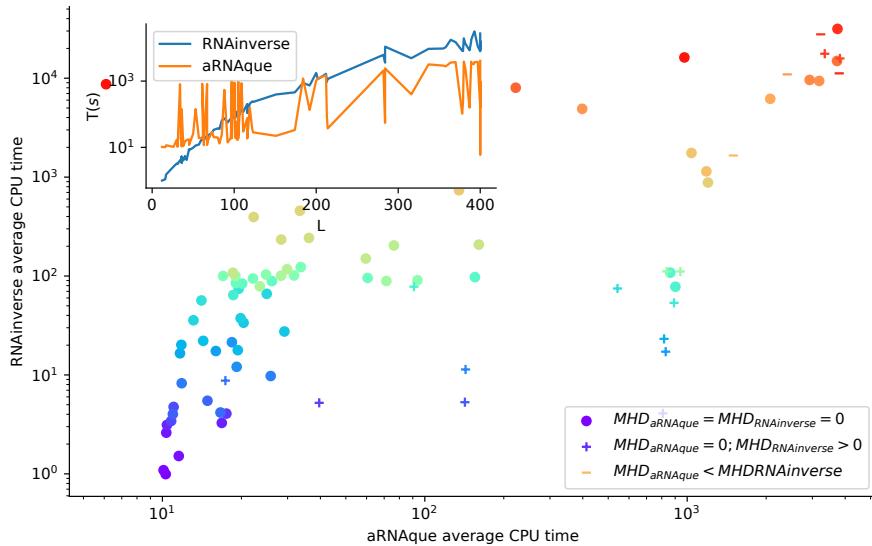


Figure 5.9: CPU time: RNAinverse vs. aRNAque. Each bubble corresponds to a target structure in EteRNA100 dataset and, their colours are proportional to the length of the targets. In the legend, MHD stands for Median Hamming distance, and the different markers represent—('o') 100% success for both tools—('+') 100% success for aRNAque and not for RNAinverse—('−') for the case both tools fail to find at least one sequence that folds into the target. Underlying the CPU time difference is the inside plot that shows the CPU time (in seconds) as a target length function.

verse folding tools, stands behind aRNAque solving 66% of the dataset; we have chosen to compare its computational time to our implementation (See [Table 5.1](#)). The inset of [Figure 5.9](#) shows the CPU time in seconds needed to design for each target in the EteRNA100-V1, 5 sequences. As the RNAinverse time increases exponentially with the length of the target, the aRNAque one does not.

When comparing the ratio between the success rate and CPU time, aRNAque mostly succeeded in finding at least one sequence that folds to the target with lower CPU time costs for average target lengths. In contrast, RNAinverse accuracy is lower, and the CPU time is expensive. The increase in CPU time may be because of the use of the partition function as the objective function.

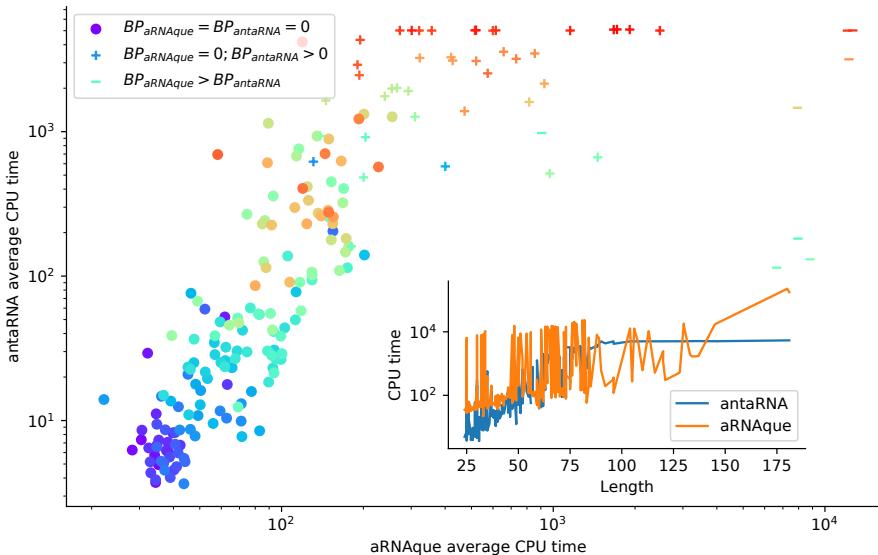


Figure 5.10: **CPU time analysis using Hotknots: antaRNA vs. aRNAque.**

Each bubble corresponds to a target structure in PseudoBase++ dataset and, their colours are proportional to the length of the targets. In the legend, BP stands for Median base-pair distance, and the different markers represent—('o') 100% success for both tools—('+') 100% success for aRNAque and not for antaRNA—('−') for the case aRNAque’s desinged sequences are of median base-pair distances greater than the one of antaRNA. Underlying the CPU time difference is the inside plot that shows the CPU time (in seconds) with respect to the target length.

5.2.4.2 CPU time vs. success rate using Hotknots: antaRNA vs. aRNAque on PseudoBase++

We also compare aRNAque’s computational time to the one of antaRNA. For both tools, 20 sequences were designed for each target structure of the PseudoBase++ dataset. The GC-content value used for both tools is 0.5, and the maximum number of interactions for antaRNA is 5000. Figure 5.10 shows the median CPU time of the 20 runs in seconds for both tools plotted against each other. We analysed the CPU time by partitioning the data into three groups: 1) a set for which both tools have a median base-pair distance of 0 (158 entries marked with o); 2) another set for which aRNAque has a median base-pair distance is 0 and antaRNA (41 entries marked with +); 3) the last set for which antaRNA designs are of better quality (9 entries mark as −). For the first group, we can notice that for most targets of short length antaRNA is faster than aRNAque. For the second group, although

antaRNA average CPU time remains smaller, aRNAque's success rate outperformed antaRNA. On the one hand, aRNAque average CPU time is higher than the one of antaRNA, but this could be due to its population-based algorithm, which often allows for designing more successful sequences. On the other hand, antaRNA is faster but less successful. Increasing antaRNA's number of iterations will indeed increase the CPU time, but it may improve the quality of the designed sequences.

5.3 CONCLUSION

In this work, we investigated an evolutionary approach to improve the existing solutions to the RNA inverse folding problem. As a result, we proposed a new EA python tool called aRNAque. aRNAque implements a Lévy flight mutation scheme and supports pseudoknotted RNA secondary structures. The benefit of a Lévy flight over a purely local mutation search allowed us to explore RNA sequence space at all scales. Such a heavy-tailed distribution in the number of point mutations permitted the design of more diversified sequences, avoiding the pitfalls of getting trapped in a local optimum.

Our results show general and significant improvements in the design of RNA secondary structures compared to the standard evolutionary algorithm mutation scheme with a mutation parameter $\approx 1/L$, where L is the sequence solution length. Lévy flight mutations lead to a greater diversity of RNA sequence solutions and, in many cases, reduce the evolutionary algorithm's number of evaluations, thus improving computing time.

Part III

GENERAL CONCLUSION AND
DISCUSSIONS

6

ADVANTAGES AND LIMITATIONS OF THE PROPOSED METHODS

In the presented thesis, we have summarized some molecular background and biological functions of nucleic acids, especially ncRNAs. Because of the implication of the secondary structure of ncRNAs in performing biological functions and the separation of the folding time scale, our study focuses on the secondary structure of ncRNAs. Therefore, we have introduced the concepts of RNA bioinformatics and the essential computational problems related to the secondary structure of ncRNAs, such as RNA folding and the inverse folding. We presented a comprehensive literature review on existing tools that deal with both problems and some limitations for each tool. Despite advanced field results, we have introduced two new computation tools: RAFFT and aRNAque. What are the advantages and limitations of those tools? Is there any room for further improvements? How do these tools relate to evolutionary dynamics? In this concluding chapter, we will try to provide an answer to these questions by first discussing the advantages and the limitations of the tools previously introduced.

6.1 rafft: LIMITATIONS AND FUTURE WORKS

We presented in Chapter 3, RAFFT, a computational tool that efficiently predicts RNA folding pathways. RAFFT takes advantage of the FFT to reduce its mean computational time to $O(N^2)$, especially for long RNA sequences (length $\geq 10^3$). We assessed RAFFT performance for both the secondary structure prediction task and the RNA kinetics. In both cases, RAFFT shows important improvements. However, RAFFT also presents some limitations that will be addressed in the following section. We also discuss in this section some further improvements and applications.

To first assess RAFFT performance for the folding task, two structure estimates were compared with our method: the thermodynamic-based tools computed using RNAfold, LinearFold, RNAstructure and the ML estimate using MxFold2 and CONTRAfold. When we considered the lowest energy structure, the comparison of RAFFT to existing tools confirmed the overall validity of our approach. In more detail, a comparison with thermodynamic/ML models

yielded the following results. First, the [ML](#) predictions performed consistently better than both RAFFT and other approaches, where the [PPV](#) = 70.4% and sensitivity = 77.1% on average. Second, the [ML](#) methods produced loops, such as long hairpins or external loops. We argue that the density of those loops correlates with the ones in the benchmark dataset, which a [PCA](#) analysis revealed too.

In contrast, the density of similar loops was lower in the structure spaces produced by RAFFT and other thermodynamic-based methods, implying some over-fitting in the [ML](#) model. Finally, known structures obtained through covariation analysis reflect *in vivo* structure conditions. Therefore, the structures predicted by [ML](#) methods may result from their sequences alone and their molecular environment, e.g. chaperones. We expect the thermodynamic methods to provide a more robust framework for studying sequence-to-structure relations. Concerning thermodynamic-based tools, we obtained a substantial gain of performance when analyzing $N = 50$ predicted structures per sequence, not only the lowest energy one. This gain was even more remarkable for sequences with fewer than 200 nucleotides, reaching the accuracy of [ML](#) predictions.

So how does RAFFT predictions contain structures that are more relevant than the [MFE](#), although these structures are less thermodynamically stable? The interplay of three effects may explain this finding. First, the [MFE](#) structure may not be relevant because active structures can be in kinetic traps. Second, RAFFT forms a set of pathways that cover the free energy landscape until they reach local minima, yielding multiple long-lived structures accessible from the unfolded state. Third, the energy function is not perfect, so that the [MFE](#) structures computed by minimizing it may not in fact be the most stable.

We also showed that the fast-folding graph produced by RAFFT can be used to reproduce state-of-the-art kinetics, at least qualitatively. Our method demonstrated three main benefits. First, the kinetics can be drawn from as few as 68 structures, whereas the barrier tree may require millions. Second, the kinetics ansatz describes the complete folding mechanism starting from the unfolded state. Third, for the length range tested here, the procedure did not require any additional coarse-graining into basins. (Longer [RNAs](#) might require such a coarse-graining step, in which structures connected in the fast-folding graph are merged together).

Based on our results, we believe that the proposed method is a robust heuristic for structure prediction and folding dynamics. The folding landscape depicted by RAFFT was designed to follow the kinetic partitioning mechanism, where multiple folding pathways span the folding landscape. This approach has shown good predictive potential. Furthermore, we derived a kinetic ansatz from the fast-folding graph to model the slow part of the folding dynamics. It was shown to approximate the usual kinetics framework qualitatively, although using significantly fewer structures.

However, further improvements and extensions of the algorithm may be investigated. First, the choice of stems is limited to the largest in each positional lag, a greedy choice which may not be optimal. Second, we have constructed parallel pathways leading to diverse, accessible structures. Still, we have not given any thermodynamic-based criterion to identify which are more likely to resemble the native structure. We suggest using an **ML**-optimized score to this effect.

Our method can also find applications in **RNA** design, where the design procedure could start with identifying long-lived intermediates and using them as target structures. We also believe that mirror encoding can be helpful in phylogenetic analysis. Indeed, the correlation spectra $\text{cor}(k)$ computed here contained global information of base-pairing that can be used as a similarity measure.

Finally, the versatile method implemented in RAFFT gives possibilities for an alternative application of the **FFT** in **RNA-RNA** interaction. The underlying idea is that instead of encoding a sequence X and its mirror sequence \bar{X} , one can consider two encoded sequences X and Y , and the correlation between them will allow identifying the fraction of high interaction between two **RNA** sequences quickly. In general, **RNA-RNA** interaction prediction methods are divided into three groups: alignment like methods, **MFE** methods and comparative methods. **MFE** methods constitute the majority of the **RNA-RNA** interaction tools, with the only difference often based on whether the method considers intramolecular interactions. Some methods measure the accessibility of binding region (Intra and inter interactions) [7, 33, 197]. We suggest neglecting intramolecular interactions and intermolecular binding pairs for a preliminary implementation.

In sum, RAFFT provides a versatile framework in which the kinetic partitioning mechanism can be simulated. Therefore, it allows for predicting an ensemble of concurrent **RNA** folding pathways ending in different metastable conformations. This

result contrasts traditional thermodynamics techniques that find a single MFE structure. However, further improvements of RAFFT could be investigated:

- The limitation of the choice of stems to the largest one in each positional lag is a greedy choice that may not be optimal. We propose to add stochastic noises in the choice of positional lag, such that running multiple times RAFFT, one can overcome some greediness bottlenecks.
- Our method constructs parallel pathways leading to a diverse set of accessible structures. Still, we have not given any thermodynamic-based criterion to identify which are more likely to resemble the native structure. We suggest using an ML-optimized score to investigate the restrained ensemble of structures predicted by RAFFT.
- Structures connected in the parallel pathways are separated by the formation or unfolding of a single stem. As mentioned above, RAFFT does not account for barriers between structures that stem formation could involve. Therefore, we propose to apply a post-treatment on the folding graph, where the folding path between structures is investigated using the set of valid atomic folding moves (*e.g.* individual base-pair formation).

In addition to these possible improvements, we presented two possible applications: RNA design and RNA-RNA interactions. In [Section 6.3](#), we discuss another application in the study of evolutionary dynamics.

6.2 arnaque: LIMITATIONS AND PERSPECTIVES

We have provided in [Chapter 5](#), a new tool aRNAque, implementing an EA with a Lévy flight mutation scheme that supports pseudo-knotted RNA secondary structures. We discuss in this section the advantages of using aRNAque for RNA design and some limitations that could be addressed for further improvements.

The Lévy mutation scheme offered exploration at different scales (mostly local search combined with rare big jumps). Such a scheme significantly improved the number of evaluations needed to hit the target structure, while better avoiding getting trapped in local optima. The benefit of a Lévy flight over a purely local mutation search allowed us to explore RNA sequence space at all

scales. Such a heavy tailed distribution in the number of point mutations permitted the design of more diversified sequences. The main advantage of using a Lévy flight over local search was more remarkable for the pseudoknotted RNA targets, which is a reduction in the number of generations required to reach a target (see [Figure 5.5](#)). This is because the infrequent occurrence of a high number of mutations allow a diverse set of sequences among early generations, without the loss of robust local search. One consequence is a rapid increase in the population mean fitness over time and a rapid convergence to the target of the maximally fit sequence. To illustrate that advantage, we ran aRNAque starting from an initial population of unfolded sequences, both for a "one point mutation" and "Lévy mutation".

[Figure 6.1A](#) and [Figure 6.1B](#) show respectively the max/mean fitness over time and the number of distinct structures discovered over time plotted against the number of distinct sequences. When using a Lévy mutation scheme, the mean fitness increases faster in the beginning but stays lower than that using local mutations. Later in the optimisation, a big jump or high mutation on the RNA sequences produces structures with fewer similarities and, by consequence, worse fitness. In the (5–10)th generation, sequences folding into the target are already present in the Lévy flight population, but only at the 30th generation are similar sequences present in the local search population. The Lévy flight also allows exploration of both the structure and sequence spaces, providing a higher diversity of structures for any given set of sequences ([Figure 6.1B](#)). Using the mean entropy of structures as an alternate measure of diversity, we see in [Figure 6.1C](#) and [Figure 6.1D](#) how a Lévy flight achieves high diversity early in implementation, and maintains a higher diversity over all generations than a local search algorithm. Although the mutation parameters P_C and P_N influence the absolute diversity of the designed sequences, the Lévy flight always tends to achieve a higher relative diversity than local search, all else being equal.

We argue that the improved performance of the Lévy mutation over local search in target RNA structures is due to the high base-pair density of pseudoknotted structures. Given that pseudoknotted RNA structures present a higher density of interactions, there are dramatic increases in possible incorrect folds and thus increasing risk of becoming trapped near local optima [73]. Large numbers of mutations in paired positions, as implied by a heavy tailed distribution, are necessary to explore radically different solutions.

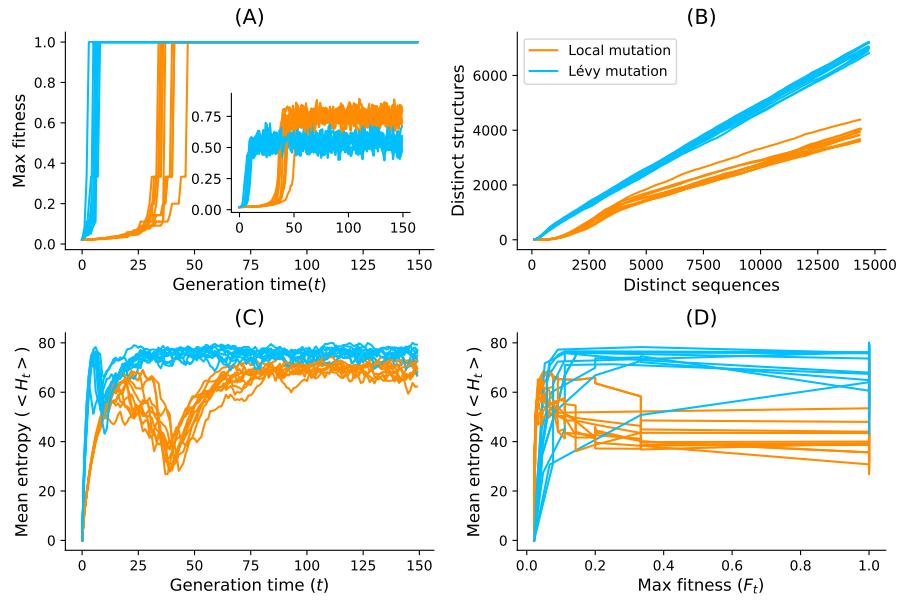


Figure 6.1: Lévy mutation vs one-point mutation. For the Eterna100 target structure [CloudBeta] 5 Adjacent Stack Multi-Branch Loop, ten independent runs were performed in which a minimum of 10 sequences were designed per run. (A) Max fitness and mean fitness (inset) over time. (B) Distinct sequences vs. Distinct structures over time. (C) Mean Shannon entropy of the population sequences over time for both binomial and Lévy mutation. (D) The max fitness plotted against the entropy over time.

To illustrate that Lévy flight performance could be due to base-pair density, we clustered the benchmark datasets into two classes: one cluster for target structures with low base-pair density (density ≤ 0.5) and a second cluster for structures with high base-pair density (density > 0.5). Figure 5.3B showed the number of target sequences available in each low and high density category. The number of targets available in each category are colored according to the percentage of pseudoknot-free targets (Eterna100-V1) vs. targets with pseudoknots (Pseudobase++), showing that pseudoknots are strongly associated with high base-pair densities: 71% of the pseudoknotted target structures have a high base-pair density. In contrast, the Eterna100 dataset without pseudoknots has somewhat higher representation at low base-pair density. If it is true that improved Lévy flight performance is indeed tied to base-pair density, it is possible that similar heavy-tailed mutation schemes could offer a scalable solution to even more complex inverse folding problems. Another measure of difficulty is the length of the target RNA secondary structure. When analysing the

mean length of the pseudoknot-free targets, the high base-pair density targets are on average 181 nucleotides longer, and the low-density base-pair targets are 139 nucleotides (See [Figure 5.3C](#)). We have 49 nucleotides for low-density targets for the pseudoknotted targets and 52 nucleotides for the high-density targets. That suggests that the Lévy mutation may be a good standard for designing more challenging target structures.

A further effort have been made to understand the cases in which the Levy flight mutation can outperform the Binomial with low mutation rate or a constant one-point mutation rate. The key point of a Lévy mutation for the Inverse folding problem partially may rely on the base-pair density and the stability of stems with budge.

Although we believe that Lévy flight-type search algorithms offer a valuable alternative to local search, we emphasise that its enhanced performance over say antaRNA is partially influenced by the specific capabilities of existing folding tools. Their limitations may account for the degradation of these tools as the pseudoknot motifs get increasingly complex (i.e. the incapacity of existing folding tools to predict some pseudoknot motifs influences the performance of both aRNAque and antaRNA). The Lévy mutation has also shown less potential in controlling the GC-content of the designed sequence when compared to antaRNA on pseudoknotted target structures. antaRNA's parameters used in this work were tuned using pKiss; therefore, it could be possible room for improving the benchmark presented here by retuning them using IPKnot or HotKnots. Another possible limitation is the fact that most target structures were relatively easy to solve (in less than 100 generations), which possibly allowed local search to perform better than Lévy search in some cases. Further research on more challenging target structures will improve our understanding of which conditions favour local *vs.* Lévy search.

6.3 rafft, arnaque AND EVOLUTIONARY DYNAMICS PERSPECTIVES

The [RNA](#) inverse folding has deep connections with theoretical evolutionary dynamics studies, where the sequence-secondary structure relationship is a popular model for studying the genotype/phenotype maps [[65](#), [88](#)]. The folding tool usually maps each sequence to a secondary structure, e.g. RAFFT pathways could be used to compute developmental paths from sequence to secondary structure and then use the most dominant struc-

ture as the phenotype realization of a genotype [RNA](#) sequence. Therefore, the two tools we previously introduced have a direct connection with the evolutionary dynamic, where [aRNAque](#) simulates the dynamic evolutionary process and [RAFFT](#) computes the genotype/phenotype mapping. This section presents some evolutionary dynamics concepts that could be further studied using [RAFFT](#) and [aRNAque](#).

Similar to [EAs](#), implemented in [aRNAque](#), simulating a dynamic evolutionary process using [RNA](#) sequence-secondary structure relationship as a model often involves a population of [RNA](#) sequences to a given target secondary structure. In such a simulation, we need three main ingredients: replication, selection and mutation. These are the fundamental and defining principles of biological systems. The underlying idea is that the genomic material (the blueprint that determines the corresponding secondary structure) in the form of [RNAs](#) is replicated and passed on to the new offspring from generation to generation. An [RNA](#) individual is then folded into its corresponding secondary structure at each generation. Fitness is then a function that measures how close the realized structure to the target structure is. Therefore, selection results from different types of [RNA](#) individuals competing with each other. One [RNA](#) may reproduce faster and out-compete the others. Occasionally, reproduction involves mistakes; these mistakes are termed mutations. Mutations are responsible for generating different [RNAs](#) that can be evaluated in the selection process, thus resulting in biological novelty and diversity.

Such a simple model gives a unified framework to precisely define and statistically measure evolutionary dynamics concepts such as plasticity, evolvability, epistasis, neutrality, continuity, and modularity. At the molecular level, plasticity is viewed as the capacity of an [RNA](#) sequence to assume a variety of energetically favourable secondary structures by equilibrating among them at a constant temperature [2]. Such concepts have been extensively studied using the [RNA](#) inverse folding as a toy model. These studies revealed that selection leads to the reduction of plasticity and, therefore, to extreme modularity [2]. Another well-studied property of evolution is neutrality which was first introduced by Kimura [96], and it suggested that the majority of genotypic changes (or mutations) in evolution are selectively neutral. The attention to Kimura's contention has led to the discovery of neutral networks in the context of genotype-phenotype models for [RNA](#) secondary structure [143, 163]. Many recent studies [176, 177] use the sequence-secondary structure relationship as a toy

model for studying neutral evolution. The neutral property of the RNA sequence-structure map contributes to a certain extent to the difficulty of the RNA design problem (e.g. when the neutral network is dense, this may quickly increase the chance of getting trapped and thus not improving the fitness). This problem is central to many optimization techniques and has already been mentioned in Chapter 4. Trying to avoid such a situation has motivated the choice of the mutation scheme implemented in aRNAque, which is the Lévy mutation.

Another important issue in evolutionary biology concerns the extent to which the history of life has proceeded gradually or has been punctuated by discontinuous transitions at the level of phenotypes. Distinguishing the notion of continuous from discontinuous changes at the level of phenotypes requires a notion of nearness between phenotypes. This notion was previously introduced by Fontana and Peter [56], and it is based on the probability of one phenotype being accessible from another through changes in the genotype. The RNA sequence-secondary structure relationship provides a framework where the notion of discontinuity transition is more precise. It allows understanding of how it arises in the model of evolutionary adaptation. This is done by simulating an RNA population that evolves toward a tRNA target secondary structure in a flow reactor logically constrained to a capacity of 1000 sequences. Once the secondary target structure is found, the evolutionary trajectory is backtracked to identify all the distinct structures involved and the transitions between them. An example of a continuous transition in Appendix (see Figure B.2) is the transition $18 \rightarrow 10$ whereas the transition $15 \rightarrow 22$ is said to be discontinuous.

The simulation illustrated in Section B.8 was performed using RNAfold, the folding tool included in the ViennaRNA package. When using ViennaRNA, the plastic ensemble of an RNA sequence ϕ is often considered to be the suboptimal ensemble structure Σ_ϕ within a user-defined energy range above the MFE at a constant temperature T . The ViennaRNA package provides an efficient tool RNAsubopt allowing to compute Σ_ϕ . In a more rigorous implementation of plasticity, each of those structures in the ensemble Σ_ϕ should result from a developmental pathway. Therefore, the environmental changes may induce a change in the developmental path, allowing switching from one structure in the structural ensemble to another. When considering the set of structures produced using RAFFT, each meta-stable structure represents an RNA pathway; therefore, this ensemble can be considered a develop-

mental plastic ensemble. Using RAFFT to simulate the evolutionary dynamic model may provide an alternative framework to study evolutionary concepts such as continuity and plasticity. Perhaps, another way of defining a continuous transition ($S_1 \rightarrow S_2$) from structure S_1 to S_2 will be to check if the structure S_2 is in the RAFFT's structure ensemble of the sequence with **MFE** S_1 . In that wise, we suggest utilizing RAFFT to study and draw a different interpretation of continuous evolutionary transition.

6.4 CONCLUSION

In sum, the two computational tools introduced in [Chapter 3](#) and [Chapter 5](#) have been further examined. Both tools present advantages and limitations, opening doors to further improvements and applications.

On the one hand, RAFFT predicts fast **RNA** pathways resulting in an ensemble of metastable structures instead of a single **MFE** structure implemented by most traditional methods. The ensemble structures have the advantages of containing some structures of biological relevance and reproducing complete kinetic simulations of known **RNAs**. However, the RAFFT method presents some greediness in the choice of stems, does not provide any criterion allowing to choose biological relevant structures from the ensemble produced and does not account for barriers between structures. Despite these limitations, RAFFT offers improvements to the computational times and **RNA** kinetics, and its versatility opens the door to several applications from **RNA** design to **RNA-RNA** interaction.

On the other hand, aRNAque allowed designing **RNA** sequences with higher diversity at a reduced number of evaluations for pseudoknotted target structures. Except for **CPU** time performance on pseudoknotted targets, the success rate performance on both pseudoknot-free and pseudoknotted target structures showed improvements. Despite this, some Eterna100 targets remain unsolvable, opening the door to further investigations. We also discussed some aRNAque limitations, such as the influence of the pseudoknot prediction capacities of existing folding tools in the design process and aRNAque potential to control the GC-content. In addition to these two limitations, most pseudoknotted targets were solvable in less than 100 generations. These limitations contributed to the description of further research directions.

Our results go beyond the computational **RNA** folding and inverse folding; they can be used to study evolutionary dynamics

concepts such as continuity and plasticity. Some perspectives have also been discussed.

GENERAL CONCLUSION

This thesis has explored computational methods for studying RNA folding. In particular, it focused on the secondary structure level. It examined the energetic and thermodynamic stability characteristics in predicting folding pathways and designing RNA target structures through inverse folding. The principal output of the thesis is the development of computational tools to efficiently predict RNA folding pathways using the FFT (RAFFT) and an evolutionary algorithm allowing search at both local and long-range scales in the design of target RNA structures (aRNAque). On the one hand, our first contribution in RNA folding, RAFFT, offers an alternative computational framework to predict and study the RNA kinetics for long RNA molecules at lower computation costs than classical DP methods. The versatility of our methods opens doors to different ranges of applications, such as RNA-RNA interactions and evolutionary dynamics.

On the other hand, our RNA inverse folding tool, aRNAque, offers a unified framework that combines the negative and positive RNA design with an EA that implements a Lévy flight mutation scheme. Our results show general and significant improvements in the design of RNA secondary structures (especially on the pseudoknotted targets) compared to the standard evolutionary algorithm mutation scheme with a mutation parameter $\approx 1/L$, where L is the sequence solution length. Introducing the Lévy flight mutation led to a greater diversity of RNA sequence solutions and reduced the evolutionary algorithm's number of evaluations, thus improving computing time compared to the local search. Although antaRNA average CPU time remains smaller, aRNAque's success rate outperforms antaRNA. To further improve our program, we suggest using a more powerful computational architecture such as massively parallel genetic algorithm (MPGA). This type of architecture may allow solving more challenging target secondary structures.

Finally, we outlined these tools' limitations and prospects more generally in furthering our understanding of RNA structure, function and design. We have put them into the context of evolutionary dynamics and highlighted potential applications in studying continuous transitions and plasticity in that context. We believe

that our contributions can enhance our understanding of RNA folding and find applications in the real world.

Part IV
APPENDIX

A

RAFFT APPENDICES

A.1 rafft EXAMPLE CALLS

RAFFT computes the fast-folding paths for a given sequence. Starting from the wholly unfolded structure, it quickly identifies stems using the FFT-based technique.

For example, we can use the following commands on the Coronaviruses frameshifting stimulation element obtained from RFAM: to display only the final structures

Listing A.1: Command line to run RAFFT executable after installation

```
$ rafft -s GGGUUUGCGGUGUAAGUGCAGCCCUCUUACACCGUGCGGCACAGGCA  
-ms 5
```

to display the visited/saved intermediates

Listing A.2: Command line to run RAFFT executable after installation

```
$ rafft -s GGGUUUGC GGUGUAAGUGCAGCCC GUCUUACACCGUGCGGCACAGGCA  
-ms 5  
--traj
```

The result to this call could look like this:

Listing A.3: RAFFT's output results

```
GGGUUUGCGGUGUAAGUGCAGCCGUCUUACACCGUGCGGCACAGGCA
# ----- 0 -----
....(((((((((.....)))))))).... 0.0
# ----- 1 -----
.....((((((.....)))).... -14.0
(((((.....)))).... -4.6
..... (((((.....)))).... -3.4
..... (((((.....)))).... -2.8
..... (((((.....)))).... -2.5
# ----- 2 -----

```

```

.....(((((((((.....))))))))....).... -15.8
.....(((((((((.....))))))))....).... -15.5
.....(((((((((.....))))))))....).... -14.0
(((((.(((.....)))))))....).... -11.2
(((((.(((.....)))))))((((.....))))....).... -10.4
# -----3-----
.....(((((((((.....))))))))....).... -15.8
.....(((((((((.....))))))))....).... -15.5
.....(((((((((.....))))))))....).... -14.0
(((((.(((.....)))))))((((.....))))....).... -13.0
(((((.(((.....)))))))((((.....))))....).... -11.2

```

where the columns shows respectively the predicted structures and their free energies.

A.2 KINETIC COMPARISON

According to the RNA structure thermodynamics, one RNA molecule can adopt a structure \mathcal{S} with probability $p(\mathcal{S}) \propto \exp(-\beta\Delta G(\mathcal{S}))$, where β is the inverse thermal energy (mol/kcal). To measure the quality of the ensemble of structures proposed by our method, we measured: (1) the average probability of each structures in the ensemble, then (2) the diversity of these structures.

The probability coverage PC given by $PC(\mathcal{S}) = \frac{1}{|\Omega|} \sum_{\mathcal{S} \in \Sigma} p(\mathcal{S})$. Ω is the ensemble of structures sampled by a given method. We compared, for various random sequences, the probability coverage to methods based on Boltzmann sampling [45, 77]. We generated ensembles of 10^2 , 10^3 , and 10^4 structures per sequence denoted respectively SB100, SB1K, and SB10K. In addition, we also compared to RNAXplorer, a tool also based on a biased Boltzmann sampling.

All structures are represented in the dot-bracket notation. In the dot-bracket notation, one structure has $\Delta_\sigma = \{(.,)\}$ symbols at each position. Given these three symbols, we propose the following positional entropy measure $\Delta S = \frac{1}{L} \sum_i f_i(\Delta_\sigma) \times \log(f_i(\Delta_\sigma))$, where $f_i(\Delta_\sigma)$ is the frequency of a symbol δ_σ at position i in the ensemble of structure proposed.

Figure A.1 shows the probability coverage and the positional entropy measure per method. It shows comparable sampling performances for fairly size sequences ($\approx 10^2$ nucleotides); and a comparable diversity.

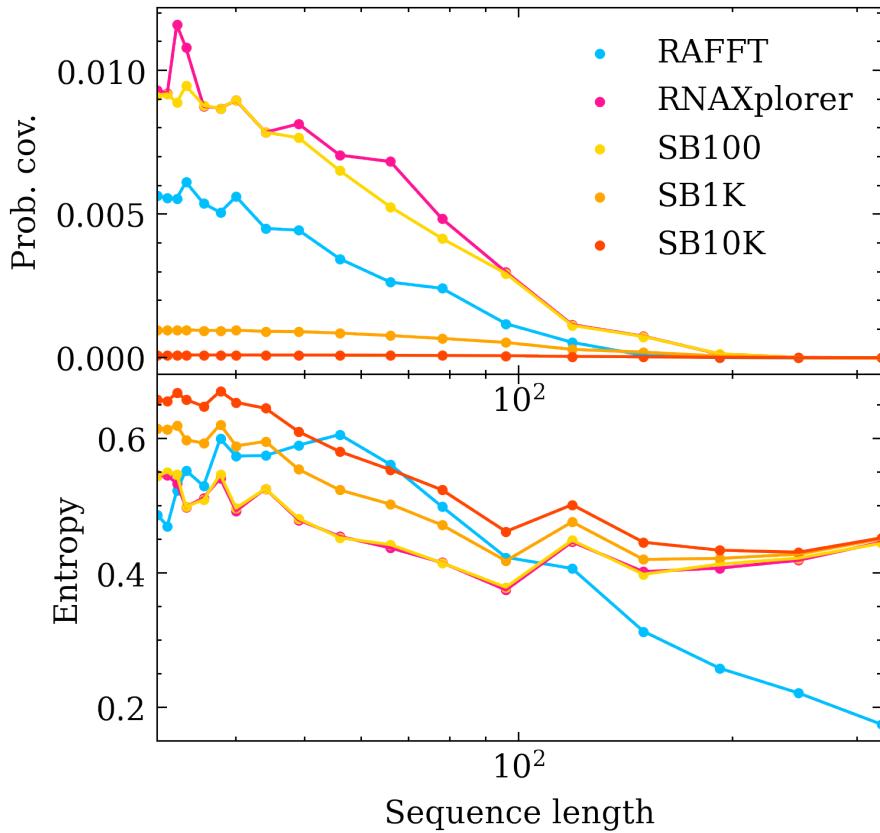


Figure A.1: Structure ensemble characterization. The upper part shows the average probability summed over the ensembles of structures predicted per sequence with different methods. The bottom part shows the average positional entropy of structures using the dot-bracket notation.

A.3 rafft PERFORMANCE ANALYSIS FOR A STACKING SIZE OF 200

The heuristic method implemented in RAFFT relies on two critical parameters: the stacking size and the number of positional lag. In this section, we analyse the performance of RAFFT for 100 positional lags and 200 secondary structures stored in the stack. Figure A.2 shows the performance of RAFFT compared to both [ML](#) (`Mfold2`) and [MFE](#) (`RNAfold`) methods. When choosing the best of the 200 predictions, RAFF performance is similar to `RNAfold` whereas, `Mfold` outperformed both RAFFT and `RNAfold`.

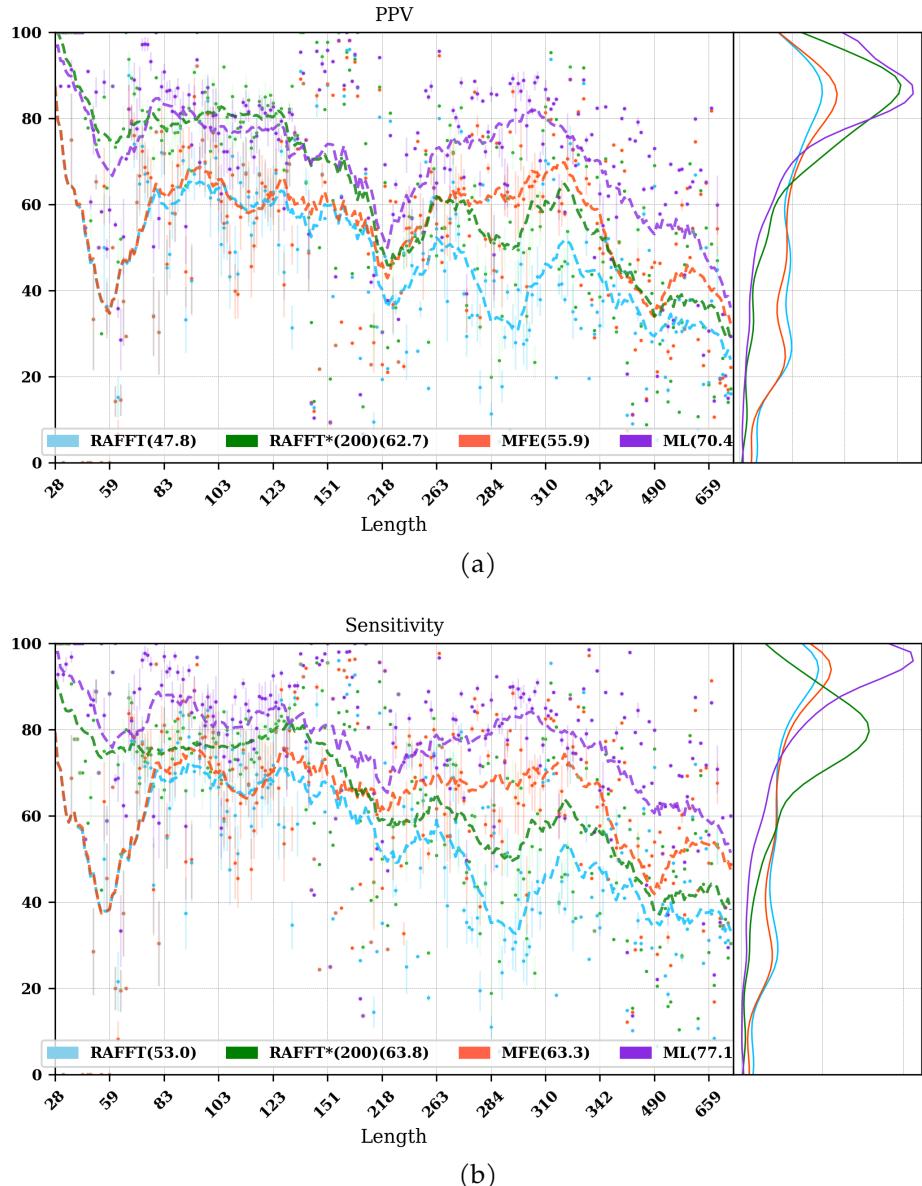


Figure A.2: Positive predictive values and sensitivity results. RAFFT (blue) displayed the best energy found. RAFFT*(200) shows the best score found among 200 saved structures. Left pans show the density (sequence-wise) of the accuracy measures.

A.4 rafft PERFORMANCE ANALYSIS WITH VARIOUS VALUES OF LOOP MINIMUM ENERGY CONTRIBUTION

Structures are added to the stacks by searching for a consecutive number of base-pairs for each selected positional lag. In the best case, it forms a stem, but in some cases, when the base-pairs are not consecutive, different loops are formed, i.e. bulges or hairpins.

Therefore, adding a loop to the existing structure depends on its energy contribution. For a loop to be added to the current secondary structure, its energy should be less than a threshold value. In this section, we analyse the influence of this parameter on RAFFT performance. Figure A.3 show the PPV and sensitivity performances with respect to the sequence lengths. The results show similar performance for loop energy parameters taken from 0 to 5.

A.5 PERCENTAGE OF CORRECT BASE-PAIRS WELL PREDICTED

We analyse in this section the performance of RAFFT compared to both MFE (RNAfold) and ML (Mfold2) predictions in terms of percentage of correct base-pairs predicted.

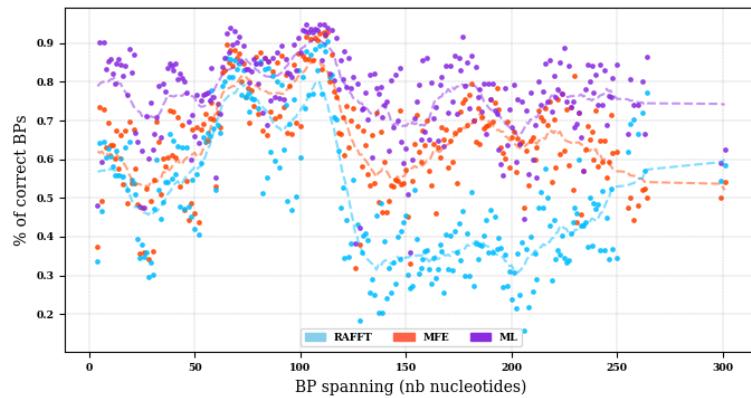


Figure A.4: **Base pair spanning.** It shows the percent of base pairs predicted found in the known structures per number of nucleotides between them.

A.6 SOME SECONDARY STRUCTURES WITH LONG UNPAIRED REGIONS

To investigate the region of the structure space where the thermodynamic model tends to fail, we computed the composition of the known structures. Loop type lengths were computed in percentages. Figure 3.6 shows those compositions' PCA. From the PCA, we observed that the known structures are distributed in the structure space toward interior loops. Also, some natural structures, as shown in figure A.5, have large unpaired loops. The centre of mass in the principal component space is located in

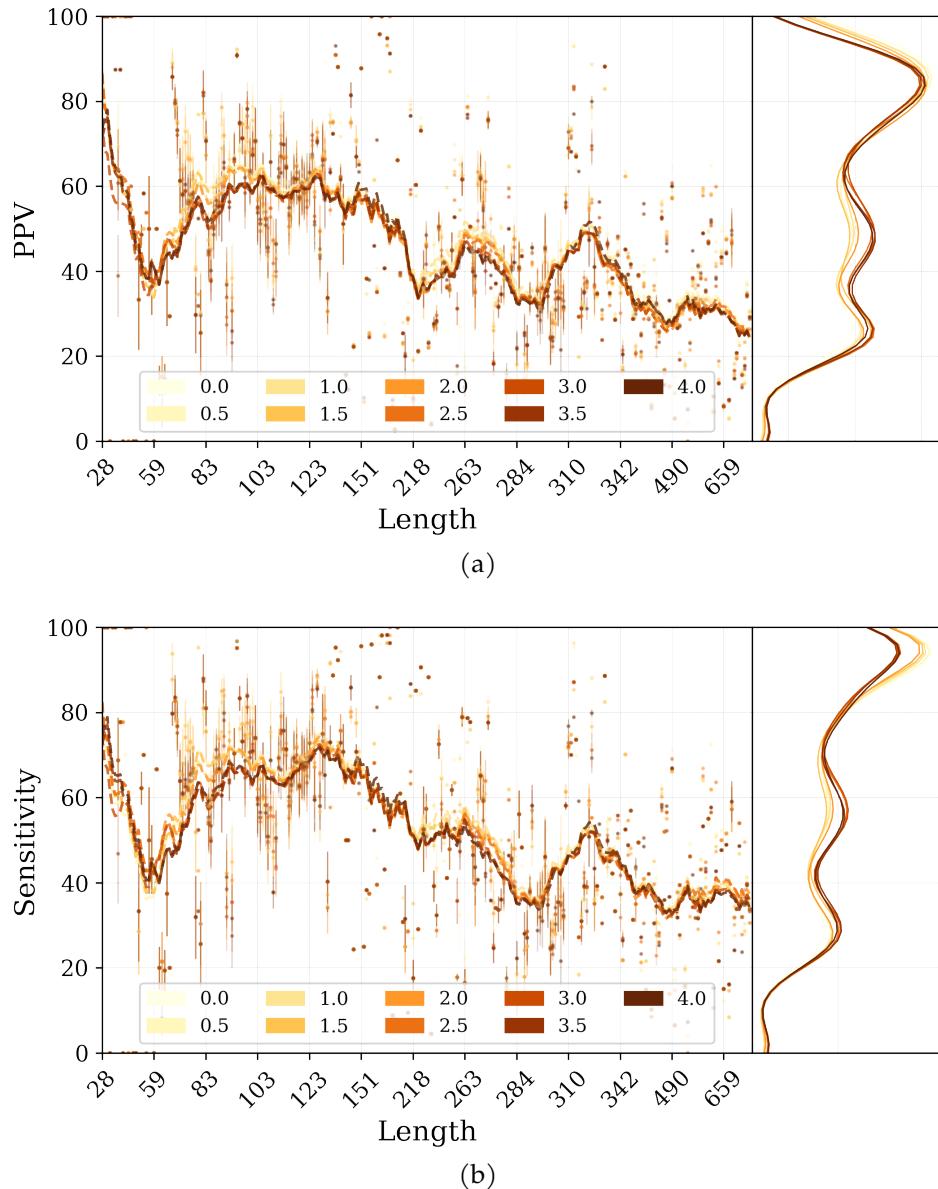


Figure A.3: Predictive performance of RAFFT with various values of minimum energy contribution required for loop formation. Positive values for this parameter causes RAFFT to accept destabilizing loops, therefore being less greedy than per default. The performance of RAFFT was not observed to be positively affected by allowing sub-optimal loop formation.

between the high-density stacking and interior loops. This shows that the dataset contains many elongated structures.

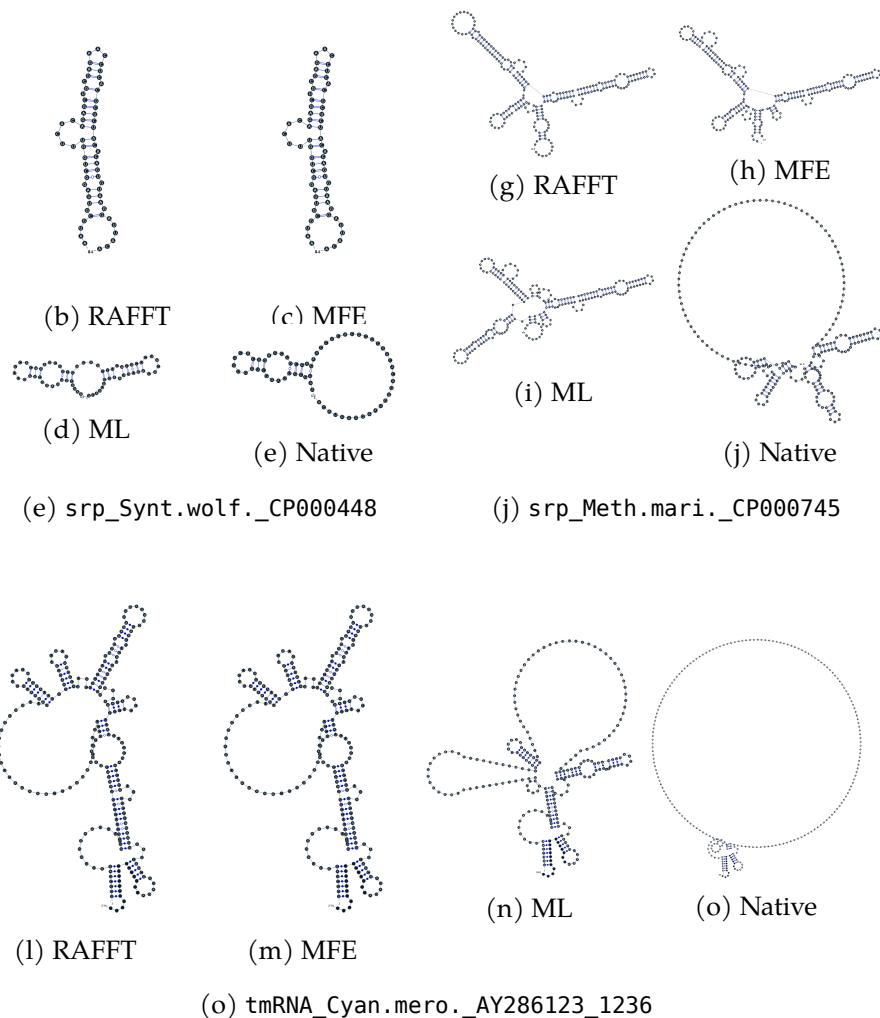


Figure A.5: **Structures found to be difficult to predict with the thermodynamic model.** The sequence name where extracted directly from the dataset. Native is the known structure.

B

ARNAQUE APPENDICES

B.1 arnaque's gc-content parameters

The GC-content is controlled in aRNAque using the mutation parameters P_C and P_N . The following table gives the corresponding mutation parameters to the four regimes of GC-content values used for our benchmark.

Table B.1: Mutation parameters used in aRNAque to control the GC-content values.

GC-content values	P_C	P_N	aRNAque's key
0.25	{0.125, 0.125, 0.3, 0.3, 0.075, 0.075}	{0.125, 0.125, 0.375, 0.375}	GC25
0.25	{0.25, 0.25, 0.2, 0.2, 0.05, 0.05}	{0.25, 0.25, 0.25, 0.5}	GC50
0.75	{0.375, 0.375, 0.1, 0.1, 0.025, 0.025}	{0.375, 0.375, 0.125, 0.125}	GC75
1.0	{0.5, 0.5, 0.0, 0.0, 0.0, 0.0}	{0.5, 0.5, 0., 0.}	GC

B.2 BENCHMARK ON eterna100 DATASET

For each of the benchmarks on the Eterna100 datasets, We ran the first benchmark using the default aRNAque's parameter configuration. And then, the unsolved structures are sorted out to run a second benchmark with a maximum number of generations set at 5000. aRNAque's performance presented in the paper is a combination of all the designed sequences for each realisation.

B.3 GENERAL EA BENCHMARK PARAMETERS

The same hardware resources and the same computer are used for all the benchmarks listed in the following table. A supercomputer with 40-Core Intel Xeon E5-2698 v4 at 2.2 GHz and 512 GB of RAM with a Debian OS.

Table B.2: Evolutionary algorithm parameter for each benchmarks.

Benchmark	Population size	# of generations (T)	Stopping criterion	Mutation parameter	# of runs per target
PseudoBase++ (IPknot)	100	200	$t = T$ $\max(f) = 0$	$c = 1.5$ $P_N = \{0.7, 0.1, 0.1, .1\}$ $P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$	20
PseudoBase++ (Hotknots)	100	200	$t = T$ $\max(f) = 0$	$c = 1.5$ $P_N = \{0.7, 0.1, 0.1, .1\}$ $P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$	20
PseudoBase++ GC-content (IPknot)	100	200	$t = T$ $\max(f) = 0$	$c = 1.5$ $P_N = \{0.7, 0.1, 0.1, .1\}$ $P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$	20
Tuning Parameter (Binomial, IPknot)	100	200	$t = T$ $\max(f) = 0$	$\mu \in [0, 0.2]; c = None$ $P_N = \{0.7, 0.1, 0.1, .1\}$ $P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$	20
Tuning Parameter (Lévy, IPknot)	100	200	$t = T$ $\max(f) = 0$	$c \in [1, 2]; \mu = None$ $P_N = \{0.7, 0.1, 0.1, .1\}$ $P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$	20
Eterna100-V1 (OP, RNAfold)	100	5000	$t = T$ $\max(f) = 0$	$c = 7$ $P_N = \{0.7, 0.1, 0.1, .1\}$ $P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$	5
Eterna100-V1 (Lévy, RNAfold)	100	5000	$t = T$ $\max(f) = 0$	$c = 1$ $P_N = \{0.7, 0.1, 0.1, 0.1\}$ $P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$	5
Eterna100-V2 (OP, RNAfold)	100	5000	$t = T$ $\max(f) = 0$	$c = 7$ $P_N = \{0.7, 0.1, 0.1, .1\}$ $P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$	5
Eterna100-V2 (Lévy, RNAfold)	100	5000	$t = T$ $\max(f) = 0$	$c = 1.5$ $P_N = \{0.7, 0.1, 0.1, .1\}$ $P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$	5

Table B.3: Different parameters for the base pair distributions

Key	$P_N = \{p_A, p_G, p_U, p_C\}$	$P_C = \{p_{GC}, p_{CG}, p_{AU}, p_{UA}, p_{GU}, p_{UG}\}$
<i>ALL</i>	$P_N = \{0.25, 0.25, 0.25, 0.25\}$	$P_C = \{0.2, 0.2, 0.1, 0.1, 0.2, 0.2\}$
<i>GC</i>	$P_N = \{0.25, 0.25, 0.25, 0.25\}$	$P_C = \{0.5, 0.5, 0, 0, 0, 0\}$
<i>GC₁</i>	$P_N = \{0.25, 0.65, 0.05, 0.05\}$	$P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$
<i>GC₂</i>	$P_N = \{0.7, 0.1, 0.1, 0.1\}$	$P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$
<i>GC₃</i>	$P_N = \{0.75, 0.1, 0.1, 0.05\}$	$P_C = \{0.4, 0.5, 0.1, 0, 0, 0\}$
<i>GC₄</i>	$P_N = \{0.95, 0, 0.05, 0\}$	$P_C = \{0.4, 0.4, 0.2, 0, 0, 0\}$
<i>GC₅</i>	$P_N = \{0.7, 0.1, 0.1, 0.1\}$	$P_C = \{0.3, 0.2, 0.2, 0.1, 0.1, 0.1\}$

B.4 OTHER BENCHMARK ON `eternal100-v1`

The results on Eterna100-V1 presented in the paper are the best of all the benchmarks we have performed. Since our mutation scheme relies on the nucleotide distributions which implicitly control the GC-content of the designed sequences, to obtain our results, we first selected an arbitrary set of pairs $\{P_N, P_C\}$ and benchmark aRNAque on Eterna100-V1 for each of them. The success rate measures the fraction of sequences successfully folding into the target structure. Table B.3 shows the different parameters we considered and the corresponded input key parameter using the call of aRNAque script. Summary of the benchmark presented in Table B.4 is obtained by launching for each target structure 5 independent runs, with a population size of 100 and a maximum number of generations of 5000. The energy parameter used here was the Turner1999. The dashes in the table mean the benchmarks have not been performed for the parameters.

B.5 TOOLS PATCHING

To be able to perform our benchmarks, some slight modifications was made on HotKnots and antaRNA. Details about the modifications are provided in this section.

- antaRNA: The change was made at the line 1178 column 7, where the line `args = 'HotKnots -m CC -s' + sequence` was replaced by to `args = './HotKnots -m CC -s' + sequence`. The version of antaRNA we used is v2.0.1, and it can be found on the Github link: <https://github.com/RobertKleinkauf/antarna>.

Table B.4: Success percentage on Eterna100 datasets for each set of mutation parameters.

Tools	BP param	Mutation param	Percentage of success	$\#(Med(gen_{Zipf}) < Med(gen_{op}))$	$\#(Med(gen_{Zipf}) > Med(gen_{op}))$
aRNAque	ALL	Zipf ($c = 1$)	67%	7(#4)	
		One point	81%	64(#4)	
aRNAque	GC	Zipf ($c = 1$)	80%	43(#10)	
		One point	90%	30(#474)	
aRNAque	GC_1	Zipf ($c = 1$)	84%	29(#4)	
		One point	90%	33(#7)	
aRNAque	GC_2	Zipf ($c = 1$)	89%	61(#10)	
		One point	91%	19(#1920)	
aRNAque	GC_3	Zipf ($c = 1$)	88%	--	
		One point	--	--	
aRNAque	GC_4	Zipf ($c = 1$)	--	--	
		One point	--	--	
aRNAque	GC_5	Zipf ($c = 1$)	82%	44(#9)	
		One point	83%	30(#145)	
Total	–	Zipf ($c = 1$)	90%		
		One point	92%		
		RNAinverse	87%		

- **HotKnots:** to run HotKnots, we have to move aRNAque to the bin directory. To avoid that, we updated the source code and recompiled a new bin that does not require to move aRNAque to the bin directory of HotKnots. We have uploaded the patched version of HotKnots in a third-part folder in aRNAque’s repository for benchmark reproduction.

NB: The patches do not affect the folding algorithm. It consisted of avoiding the use of relative paths in HotKnots.

B.6 arnaque EXAMPLE CALLS

aRNAque computes the RNA inverse folding problem for different classes of structure complexities.

For a pseudo-knot free target secondary structure:

Listing B.1: Command line to run aRNAque python script

```
$ python aRNAque.py -t "((....)).((....))" -bp "GC2" -sm "NED" -ft "v" --job 5
```

Here,

A result to this call could look like this:

Listing B.2: aRNAque's output results

GCUACGGCACCGUCAGG		((....)).((....))		-2.8		1.0
GGGGGACCACCGGUGGG		((....)).((....))		-2.5		1.0
GGGCCACCAGCGAAAGC		((....)).((....))		-2.2		1.0
GGAAAUCCACCGGAAGG		((....)).((....))		-1.4		1.0
GCAAGAGCGCCGCAAGG		((....)).((....))		-1.2		1.0

Where the columns shows respectively the designed sequences, the MFE structures, their free energy and the fitness to the target (See Equation 5.1)

B.7 LÉVY FLIGHT VS LOCAL SEARCH: DESIGNING THE STRUCTURE WITH THE SMALLEST NEUTRAL SET IN THE SPACE OF ALL RNA SEQUENCES OF LENGTH 12

To further illustrate that advantage, we considered the space of all RNA sequences of length 12 and with only G,C nucleotides. The structures with the lowest neutral set are:

1. $T_1 = (((...)))$: only 2 sequences fold into the secondary structure T_1
2. $T_2 = ((.((...))))$: only 1 sequence folds into the secondary structure T_2

When having a close look at those two structures the base pair density is maximal and there is an unpaired position on both that allows the formation of a bulge.

What that means naively is that any compatible sequence to T_1 (or T_2) will likely fold into a stem with four or three base pairs((((....))). Or ((....))..), and these particular structures have respectively 243 and 249 sequences in their neutral sets.

We claim that, when having such kind of structure (T_1 or T_2), the levy mutation is of an important role to get out of the huge

neutral network of more stable stems. A simple test case was to run aRNAque for a target secondary structure T_1 . For both one point and Lévy mutations, the distribution of the number of generations needed to find sequences that fold into T_1 for both mutation schemes is plotted in [Figure B.1](#).

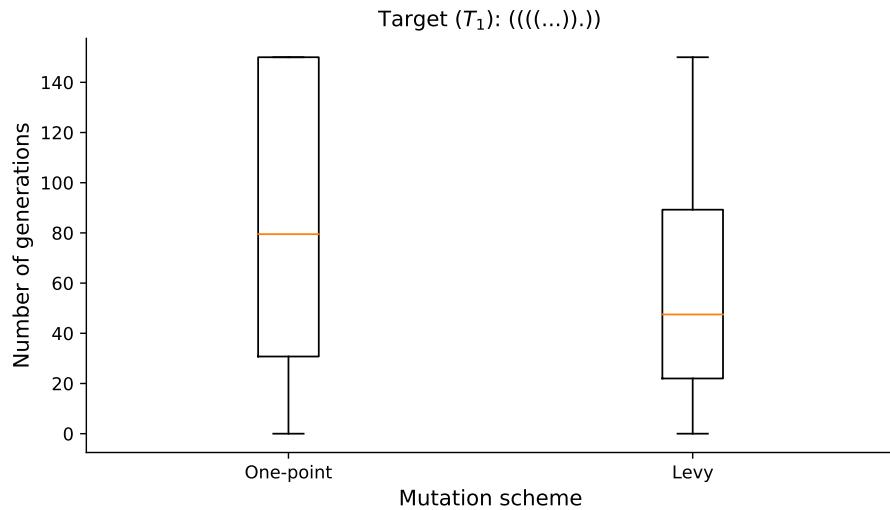
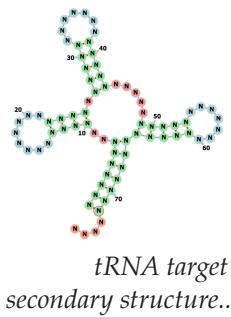


Figure B.1: Distribution of number of generations need to solve the target T_1 , for both Lévy and Local mutation schemes.

B.8 CONTINUOUS AND DISCONTINUOUS TRANSITIONS IN EVOLUTION



[Figure B.2](#) shows the evolution of the average distance to the tRNA target structure, the intervals of time for which a particular structure is present in the population, and a transition between distinct structures present in the evolutionary path. In Fontana's suggestions, a transition ($S_1 \rightarrow S_2$) between two structures S_1 and S_2 is considered to be continuous if the structure S_1 is 'near' S_2 . In other terms, S_2 is likely to be accessible through the neighbour neutral sequences of S_1 .

So if S_2 appears in the evolutionary path at time t , there exists a time $t' < t$ where S_2 was already present in the population. In contrast, the transition is discontinuous otherwise (i.e. the time the structure S_2 appears in the evolutionary path exactly at the same time it was present in the population). An example of continuous transition in [Figure B.2](#) is the transition 18 → 10 whereas the transition 15 → 22 is said to be discontinuous.

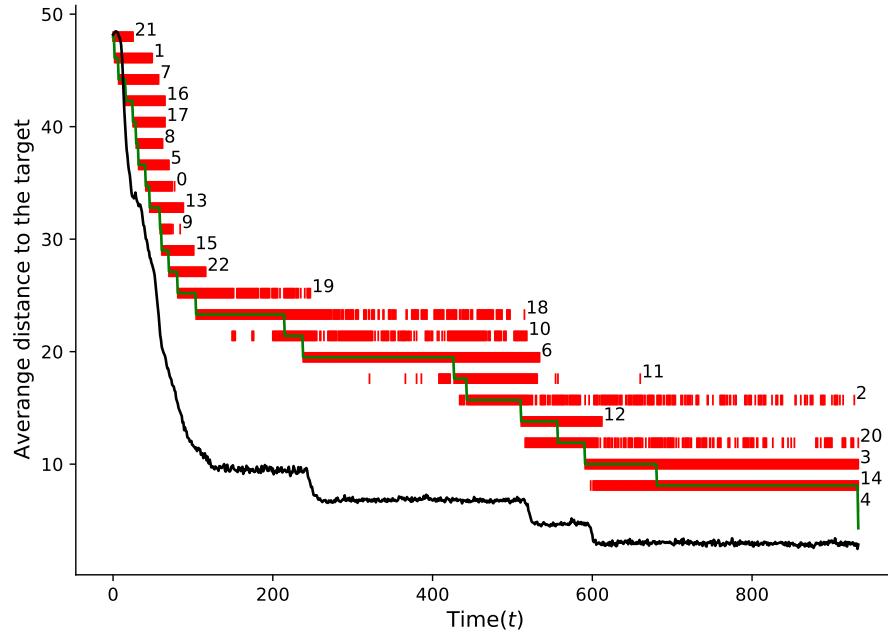


Figure B.2: Simulation of an RNA population evolving toward a tRNA (See the figure on the right side) target secondary structure. The target was reached after 933 generations (i.e. $\approx 10^5$ replications). The black line shows the average structure distance of the structures in the population to the target structure. The evolutionary history linking the initial structure to the target structure comprises 23. Each structure is labelled by an integer taken from 0 to 22. To each of them corresponds one horizontal line (in red). The top-level corresponds to the initial structure and the bottom the target structure. At each level, a series of red intervals correspond to the periods when the structure was present in the population, and the green curve represents the transition between structures. Only the time axis has a meaning for the red and green curves.

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From RNA folding to inverse folding; a computational study
(Von der RNA-Faltung zur inversen Faltung: eine computergestützte
Studie)

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Universität Leipzig, Dissertation, 2022

Erklärungen

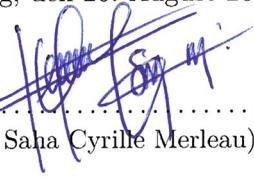
- Ich erkenne die Promotionsordnung der Fakultät für Mathematik und Informatik der Universität Leipzig vom 2. Mai 2013 in der Fassung der Ersten Änderungssatzung vom 16. Oktober 2017 an.
- Die eingereichte Arbeit wurde nicht in gleicher oder ähnlicher Form einer anderen Prüfungsbehörde zum Zwecke einer Promotion oder eines anderen Prüfungsverfahrens vorgelegt.
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Selbstständigkeitserklärung

Hiermit erkläre ich, die vorliegende Dissertation selbstständig und ohne unzulässige fremde Hilfe angefertigt zu haben. Ich habe keine anderen als die angeführten Quellen und Hilfsmittel benutzt und sämtliche Textstellen, die wörtlich oder sinngemäß aus veröffentlichten oder unveröffentlichten Schriften entnommen wurden, und alle Angaben, die auf mündlichen Auskünften beruhen, als solche kenntlich gemacht. Ebenfalls sind alle von anderen Personen bereitgestellten Materialien oder erbrachten Dienstleistungen als solche gekennzeichnet.

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