# qg\_2172\_HW4\_Part\_123

November 25, 2019

### 1 ELEN 6885 Reinforcement Learning Coding Assignment (Part 1, 2, 3)

#### 1.1 Taxi Problem Overview

### 2 Playing with the environment

Run the cell below to get a feel for the environment by moving your agent(the taxi) by taking one of the actions at each step.

```
[7]: from gym.wrappers import Monitor
import gym
import random
import numpy as np
from google.colab import files

uploaded = files.upload()
```

<IPython.core.display.HTML object>

Saving utils.py to utils.py Saving evaluation\_utils.py to evaluation\_utils.py

```
[0]:

You can test your game now.

Input range from 0 to 5:

0 : South (Down)

1 : North (Up)

2 : East (Right)

3 : West (Left)

4: Pick up

5: Drop off

6: exit_game
```

```
n n n
GAME = "Taxi-v3"
env = gym.make(GAME)
env = Monitor(env, "taxi_simple", force=True)
s = env.reset()
steps = 100
for step in range(steps):
    env.render()
    action = int(input("Please type in the next action:"))
    if action==6:
        break
    s, r, done, info = env.step(action)
    print('state:',s)
    print('reward:',r)
    print('Is state terminal?:',done)
    print('info:',info)
# close environment and monitor
env.close()
+----+
|R: | : :G|
I : I : I
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|Y| : |B: |
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       KeyboardInterrupt
                                                  Traceback (most recent call_
 →last)
        /usr/local/lib/python3.6/dist-packages/ipykernel/kernelbase.py in_
 →_input_request(self, prompt, ident, parent, password)
        729
                       try:
   --> 730
                            ident, reply = self.session.recv(self.stdin_socket,_
 →0)
        731
                        except Exception:
        /usr/local/lib/python3.6/dist-packages/jupyter_client/session.py in_
 →recv(self, socket, mode, content, copy)
        802
                    try:
```

```
--> 803
                      msg_list = socket.recv_multipart(mode, copy=copy)
      804
                  except zmq.ZMQError as e:
       /usr/local/lib/python3.6/dist-packages/zmq/sugar/socket.py in_
→recv_multipart(self, flags, copy, track)
      465
  --> 466
                  parts = [self.recv(flags, copy=copy, track=track)]
      467
                  # have first part already, only loop while more to receive
       zmq/backend/cython/socket.pyx in zmq.backend.cython.socket.Socket.recv()
       zmq/backend/cython/socket.pyx in zmq.backend.cython.socket.Socket.recv()
      zmq/backend/cython/socket.pyx in zmq.backend.cython.socket._recv_copy()
       /usr/local/lib/python3.6/dist-packages/zmq/backend/cython/checkrc.pxd in_
→zmq.backend.cython.checkrc._check_rc()
      KeyboardInterrupt:
  During handling of the above exception, another exception occurred:
      KeyboardInterrupt
                                                 Traceback (most recent call
→last)
       <ipython-input-2-5951a1d297f9> in <module>()
       17 for step in range(steps):
               env.render()
       18
               action = int(input("Please type in the next action:"))
  ---> 19
       20
               if action==6:
                  break
       21
       /usr/local/lib/python3.6/dist-packages/ipykernel/kernelbase.py in_
→raw_input(self, prompt)
      703
                       self._parent_ident,
      704
                       self._parent_header,
  --> 705
                      password=False,
                  )
      706
```

```
/usr/local/lib/python3.6/dist-packages/ipykernel/kernelbase.py in⊔

→_input_request(self, prompt, ident, parent, password)

733 except KeyboardInterrupt:

734 # re-raise KeyboardInterrupt, to truncate traceback

--> 735 raise KeyboardInterrupt

736 else:

737 break
```

KeyboardInterrupt:

#### 2.1 1.1 Incremental implementation of average

We've finished the incremental implementation of average for you. Please call the function to estimate with 1/step step size and fixed step size to compare the difference between these two on a simulated Bandit problem.

```
[0]: def estimate(OldEstimate, StepSize, Target):
    '''An incremental implementation of average.
    OldEstimate : float
    StepSize : float
    Target : float
    '''
    NewEstimate = OldEstimate + StepSize * (Target - OldEstimate)
    return NewEstimate
```

```
[0]: import random
    import numpy as np
    random.seed(6885)
    numTimeStep = 10000
    q_h = np.zeros(numTimeStep + 1) # Q Value estimate with 1/step step size
    q f = np.zeros(numTimeStep + 1) # Q value estimate with fixed step size
    FixedStepSize = 0.5 #A large number to exaggerate the difference
    for step in range(1, numTimeStep + 1):
        if step < numTimeStep / 2:</pre>
            r = random.gauss(mu = 1, sigma = 0.1)
        else:
            r = random.gauss(mu = 3, sigma = 0.1)
        #TIPS: Call function estimate defined in ./RLalqs/utils.py
        #############################
        # YOUR CODE STARTS HERE
        q_h[step]=estimate(q_h[step-1],1/step,r)
```

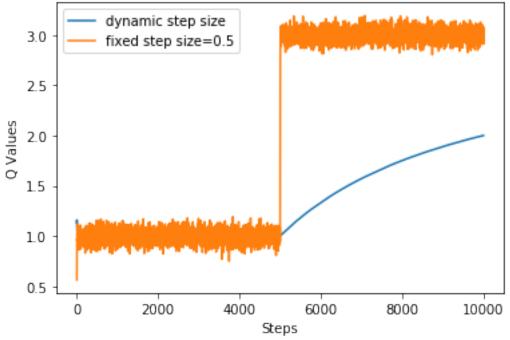
```
q_f[step]=estimate(q_f[step-1],FixedStepSize,r)

# YOUR CODE ENDS HERE
##############################

q_h = q_h[1:]
q_f = q_f[1:]
```

Plot the two Q value estimates. (Please include a title, labels on both axes, and legends)





### 2.2 1.2 $\epsilon$ -Greedy for Exploration

In Reinforcement Learning, we are always faced with the dilemma of exploration and exploitation.  $\epsilon$ -Greedy is a trade-off between them. You are supposed to implement Greedy and  $\epsilon$ -Greedy. We combine these two policies in one function by treating Greedy as  $\epsilon$ -Greedy where  $\epsilon=0$ . Edit the function epsilon\_greedy the following block.

```
assert 0 <= e <= 1
       if seed != None:
             np.random.seed(seed)
        # YOUR CODE STARTS HERE
       probability=np.full(value.shape,e/value.shape[0])
       max value index=np.argmax(value)
       probability[max_value_index]+=1-e
       action=np.random.choice(value.shape[0],1,p=probability)
        # YOUR CODE ENDS HERE
        ####################################
       return action
[0]: np.random.seed(6885) #Set the seed forreproducability
   q = np.random.normal(0, 1, size = 5)
   #############################
   # YOUR CODE STARTS HERE
   greedy_action=epsilon_greedy(q,0,None)
   e_greedy_action=epsilon_greedy(q,0.1,None)
   # YOUR CODE ENDS HERE
   ############################
   print('Values:')
   print(q)
   print('Greedy Choice =', greedy_action)
   print('Epsilon-Greedy Choice =', e_greedy_action)
   Values:
   [ 0.61264537  0.27923079  -0.84600857  0.05469574  -1.09990968]
   Greedy Choice = [0]
   Epsilon-Greedy Choice = [0]
```

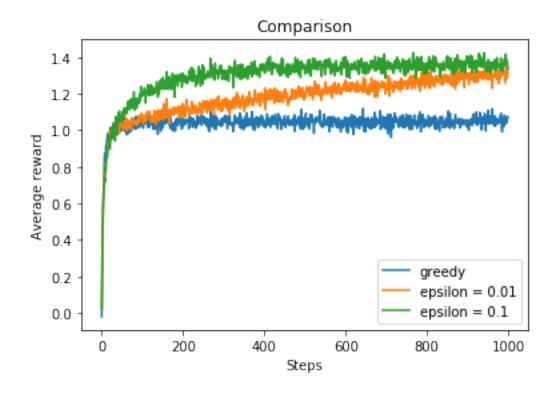
You should get the following results: Values: [  $0.61264537\ 0.27923079\ -0.84600857\ 0.05469574\ -1.09990968$ ] Greedy Choice = 0 Epsilon-Greedy Choice = 0

#### 2.3 1.3 Exploration VS. Exploitation

Try to reproduce Figure 2.2 (the upper one is enough) of the Sutton's book based on the experiment described in Chapter 2.3.

```
# Returns the action-value for each action at the current time step
def Q_cal(actions):
  array_size=len(actions)
  Q=[] # used to store Q value for every state
  # action[i][0] represents total reward of action i
  # action[i][1] represents number of actions taken of action i
  # for example action[3][10,5] means for action 5, it has been taken 5 times,
 \rightarrow with a total reward of 10
  # update Q
 for i in range(array_size):
    if actions[i][1]==0:
      Q.append(0) # If this action hasn't been taken yet, return 0
      Q.append(actions[i][0]/float(actions[i][1]))# total reward/ number of [
 \rightarrowaction
  return Q
def epsilon_greedy_iteration(values,e,iteration_num):
  array_size=len(values)
  actions=[]
 rewards=[]
  # initialize every action's Q value
  for i in range(array size):
    actions.append([0.0,0])#( [0,0.0],[0,0.0],[0.0.0]...)
  for j in range(iteration_num):
    r=np.random.rand(1) # random reward
    # greedy policy: epsilon=e
    if r>e:
      action_to_take=np.argmax(Q_cal(actions)) # greedy
      action_to_take=np.random.randint(0,array_size) # equal probability for_
 →evey action
    reward=np.random.normal(values[action_to_take],scale=1.0,size=1)[0] #_
 \rightarrow arbitry reward~(value, 1)
    actions[action_to_take][0]+=reward # uodate Q value of this action
    actions[action_to_take][1]+=1
    # record each action's average reward for each step
    rewards.append(reward)
 return rewards # return a 1*n convex that store reward for each step (with
 \rightarrow different actions)
```

```
def run(e,steps):
     reward_total=0
     rewards=[]
     for i in range(2000): # to obtain a stable value
       values=np.random.normal(0,1,size=10)
       reward=epsilon_greedy_iteration(values,e,steps)
       rewards.append(reward)
     means=np.mean(rewards,axis=0) # return a 1*n convex that stores mean reward_
    \rightarrow from step 1 to step n after trying 2000 times
     return means
    # # YOUR CODE ENDS HERE
    [0]: # Plot the average reward
   #############################
    # YOUR CODE STARTS HERE
   import matplotlib.pyplot as plt
   %matplotlib inline
   greedy=run(0.0,1000)
   epsilon_001 = run(0.01, 1000)
   epsilon 010 = run(0.1, 1000)
   plt.plot(range(0, 1000), greedy,label='greedy')
   plt.plot(range(0, 1000), epsilon_001, label='epsilon = 0.01')
   plt.plot(range(0, 1000), epsilon_010, label='epsilon = 0.1')
   plt.xlabel('Steps')
   plt.ylabel('Average reward')
   plt.title('Comparison')
   plt.legend()
   plt.show()
   # YOUR CODE ENDS HERE
    ####################################
```



### 3 Question 2

In this question, you will implement the value iteration and policy iteration algorithms to solve the Taxi game problem

#### 3.1 2.1 Model-based RL: value iteration

For this part, you need to implement the helper functions action\_evaluation(env, gamma, v), and extract\_policy(env, v, gamma) in utils.py. Understand action\_selection(q) which we have implemented. Use these helper functions to implement the value\_iteration algorithm below.

```
[O]: import numpy as np
import utils
def value_iteration(env, gamma, max_iteration, theta):
    """
    Implement value iteration algorithm. You should use extract_policy to for
    ⇔extracting the policy.

Parameters
-----
env: OpenAI env.
env.P: dictionary
the transition probabilities of the environment
```

```
P[state][action] is tuples with (probability, nextstate, ___
\rightarrow reward, terminal)
           env.nS: int
                   number of states
           env.nA: int
                   number of actions
  gamma: float
           Discount factor.
  max_iteration: int
           The maximum number of iterations to run before stopping.
   theta: float
           Determines when value function has converged.
  Returns:
  value function: np.ndarray
  policy: np.ndarray
  V = np.zeros(env.nS,dtype=float)
  # YOUR CODE STARTS HERE
  policy=np.zeros(env.nS,dtype=int)
  for i in range(max_iteration):
       Vprime=np.zeros(env.nS,dtype=float)
      for state in range(env.nS):
           for action in range(env.nA):
               V_tmp=0
               for probability, next state, reward, terminal in env.
→P[state][action]: # directly find the maximum V value for each state
                   V_tmp=V_tmp+probability*(reward+gamma*V[nextstate])
               if (Vprime[state] < V_tmp):</pre>
                   Vprime[state]=V_tmp # update real-time maximum V value for_
\rightarrow each state
       if np.all(np.abs(V-Vprime)<theta): # judge when to converge and break_
\hookrightarrow if so
           break
      V=Vprime.copy() # update V
  # Find optimal policy by given optimal V
  new_policy=np.zeros(env.nS,dtype=int)
  for state in range(env.nS):
      current_max_v=-999999
       tmp=np.zeros(env.nA,dtype=float) # save real-time V value for one state_
→according to different actions
      for action in range(env.nA):
         for probability, next state, reward, terminal in env. P[state] [action]:
```

After implementing the above function, read and understand the functions implemented in evaluation\_utils.py, which we will use to evaluate our value iteration policy

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| Y| : |B: |

+-----+

(Dropoff)

Episode reward: 6.000000
```

```
[0]: # evaluate the performance of value iteration over 100 episodes evaluation_utils.avg_performance(env, policy_vi)
```

[0]: 8.282828282828282

#### 3.2 2.2 Model-based RL: policy iteration

In this part, you are supposed to implement policy iteration to solve the Taxi game problem.

```
[0]: import utils
    def policy_iteration(env, gamma, max_iteration, theta):
        """Implement Policy iteration algorithm.
        You should use the policy evaluation and policy improvement methods to
        implement this method.
        Parameters
        _____
        env: OpenAI env.
                env.P: dictionary
                         the transition probabilities of the environment
                        P[state][action] is tuples with (probability, nextstate,
     \rightarrow reward, terminal)
                env.nS: int
                        number of states
                env.nA: int
                        number of actions
        gamma: float
                Discount factor.
        max_iteration: int
                The maximum number of iterations to run before stopping.
        theta: float
                Determines when value function has converged.
```

```
Returns:
    _____
    value function: np.ndarray
   policy: np.ndarray
    n n n
   V = np.zeros(env.nS,dtype=int)
   policy = np.zeros(env.nS, dtype=int)
   for state in range(env.nS):
       policy[state]=1 # intial policy for every state
    ###################################
    # YOUR CODE STARTS HERE
   for i in range(max_iteration):
       Vprime=policy_evaluation(env,policy,gamma,theta) # policy_evaluation
       policy_improved,flag=policy_improvement(env,Vprime,policy,gamma) #_u
 →policy improvement
        if np.all(np.abs(V-Vprime)<theta): # judge when to converge and break_
 \rightarrow if so
            break
       V=Vprime.copy() # update V value for each state
       policy=policy_improved.copy() # update policy for each state
    # YOUR CODE ENDS HERE
    return V, policy
def policy_evaluation(env, policy, gamma, theta):
    """Evaluate the value function from a given policy.
   Parameters
    _____
    env: OpenAI env.
            env.P: dictionary
                    the transition probabilities of the environment
                    P[state][action] is tuples with (probability, nextstate,
 \rightarrow reward, terminal)
            env.nS: int
                    number of states
            env.nA: int
                    number of actions
   qamma: float
            Discount factor.
```

```
policy: np.array
            The policy to evaluate. Maps states to actions.
    max_iteration: int
            The maximum number of iterations to run before stopping.
    theta: float
           Determines when value function has converged.
    Returns
    value function: np.ndarray
            The value function from the given policy.
    11 11 11
   V = np.zeros(env.nS)
    # YOUR CODE STARTS HERE
   Vprime=np.zeros(env.nS) # value of next state
   while True:
       Vprime=np.zeros(env.nS,dtype=float)
       for state in range(env.nS):
            action=policy[state] # choose action according to policy
            for probability, nextstate, reward, terminal in env.
 →P[state][action]:
 \hookrightarrow Vprime[state]=Vprime[state]+probability*(reward+gamma*V[nextstate]) # update_\( \)
 \rightarrow V value for each state
       if np.all(np.abs(V-Vprime)<theta): # judge when to converge and break,
 \rightarrow if so
            break
       V=Vprime.copy() # update current V
    # YOUR CODE ENDS HERE
    return V
def policy_improvement(env, value_from_policy, policy, gamma):
    """Given the value function from policy, improve the policy.
   Parameters
    _____
    env: OpenAI env
            env.P: dictionary
                    the transition probabilities of the environment
```

```
P[state][action] is tuples with (probability, nextstate, ___
\rightarrow reward, terminal)
           env.nS: int
                   number of states
           env.nA: int
                   number of actions
  value_from_policy: np.ndarray
           The value calculated from the policy
  policy: np.array
           The previous policy.
   gamma: float
          Discount factor.
   Returns
   _____
   new policy: np.ndarray
           An array of integers. Each integer is the optimal action to take
           in that state according to the environment dynamics and the
           given value function.
   stable policy: bool
           True if the optimal policy is found, otherwise false
   # YOUR CODE STARTS HERE
  new_policy=np.zeros(env.nS,dtype=int)
  policy_stable=True
  for state in range(env.nS):
       current_max_v=-999999
      tmp=np.zeros(env.nA,dtype=float) # save real-time V value for one state_
→according to different actions
      for action in range(env.nA):
         for probability, next state, reward, terminal in env. P[state] [action]:
→tmp[action]=tmp[action]+probability*(reward+gamma*value_from_policy[nextstate])
→# calculate current V for current action
         if(tmp[action]>current_max_v):# judge whether it is the maximum V_
→value for this state until now
             current_max_v=tmp[action] # If so, update ir
             new_policy[state] = action # If so, update policy
  for i in new policy: # If there exists one state that has no optimal policy_
→ then break and return False!
       if new_policy[i] ==0:
           policy_stable=False
```

```
break
        # YOUR CODE ENDS HERE
        #############################
        return new_policy, policy_stable
[0]: ## Testing out policy iteration policy for one episode
    GAME = "Taxi-v3"
    evaluation_utils.render_episode(env, policy_vi)
    env = gym.make("Taxi-v3")
    V_pi, policy_pi = policy_iteration(env, gamma=0.95, max_iteration=6000,__
     \rightarrowtheta=1e-5)
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| Y| : |B: |

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(Dropoff)

Episode reward: 4.000000
```

[0]: # visualize how the agent performs with the policy generated from policy → iteration
evaluation\_utils.render\_episode(env, policy\_pi)

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[0]: # evaluate the performance of policy iteration over 100 episodes print(evaluation\_utils.avg\_performance(env, policy\_pi))

8.2727272727273

## 4 Part 3: Q-learning and SARSA

### 4.1 3.1 Model-free RL: Q-learning

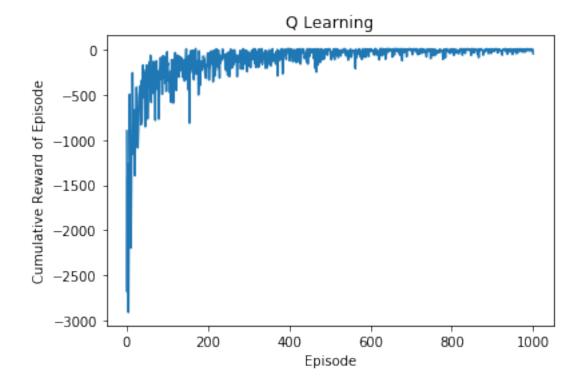
In this part, you will implement Q-learning.

```
[0]: def QLearning(env, num_episodes, gamma, lr, e):
        """Implement the Q-learning algorithm following the epsilon-greedy_{\sqcup}
     \hookrightarrow exploration.
        Update Q at the end of every episode.
        Parameters
        env: gym.core.Environment
          Environment to compute Q function
        num_episodes: int
          Number of episodes of training.
        gamma: float
          Discount factor.
        learning_rate: float
          Learning rate.
        e: float
          Epsilon value used in the epsilon-greedy method.
        Returns
        _____
        np.array
```

```
An array of shape [env.nS x env.nA] representing state, action values
         # YOUR CODE STARTS HERE
         Q=np.zeros((env.nS,env.nA)) # intializee every state's Q value to 0
         Q_rewards=[] # store cumulative reward for each step
         for i in range(num episodes):
           state=env.reset() # reset the environment
           reward for this=0
           while True:
             random_value=np.random.random()
             # epsilon-greedy policy
             if random_value>e:
               action=np.argmax(Q[state]) # choose the maximum value
             else:
               action=np.random.randint(env.nA)
             state_n, reward, done, _ = env.step(action)
             {\tt reward\_for\_this} + = {\tt reward}
             # for q learning, direct choose the action that has the maximum reward
             Q[state] [action] = Q[state] [action] + lr*(reward+gamma*np.
      →max(Q[state_n])-Q[state][action])
             state=state_n # update current state
             if done: # exit if one episode ends, break!!!!!
               break
           Q_rewards.append(reward_for_this)
         # YOUR CODE ENDS HERE
         #############################
         #return np.zeros((env.nS, env.nA))
         return Q,Q_rewards
[11]: | env = gym.make("Taxi-v3")
     Q,Q_rewards = QLearning(env = env.env, num_episodes = 1000, gamma = 1, lr = 0.
     -1, e = 0.1)
     print('Action values:')
     print(Q)
     import matplotlib.pyplot as plt
     %matplotlib inline
     plt.title('Q Learning')
     plt.xlabel('Episode')
     plt.ylabel('Cumulative Reward of Episode')
     plt.plot(range(1,1001),Q_rewards)
    Action values:
    [[ 0.
                  0.
                               0.
                                           0.
                                                       0.
                                                                  0.
                                                                              1
```

```
[-1.47958384 -3.89193768 -4.20760934 -3.35222425 9.72012492 -4.4645559 ]
[-1.9794029 -0.4017635 -1.84399352 -1.7998 14.2203126 -2.97189524]
...
[-1.1 -1.00877608 -1.1 0.44346311 -1.93 -2. ]
[-2.88024057 -2.85582085 -2.8924057 -2.26924164 -3.91231215 -6.03047715]
[ 0.37397956 -0.2 -0.2 7.78581602 -1.70920151 -1. ]
```

[11]: [<matplotlib.lines.Line2D at 0x7fce1858c160>]



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Episode reward: 11.000000
```

#### 4.2 3.2 Model-free RL: SARSA

In this part, you will implement Sarsa.

```
[0]: def SARSA(env, num_episodes, gamma, lr, e):
    """Implement the SARSA algorithm following epsilon-greedy exploration.
    Update Q at the end of every episode.

Parameters
-----
env: gym.core.Environment
Environment to compute Q function
```

```
num_episodes: int
     Number of episodes of training
  qamma: float
    Discount factor.
   learning_rate: float
    Learning rate.
   e: float
    Epsilon value used in the epsilon-greedy method.
  Returns
   _____
  np.array
    An array of shape [env.nS x env.nA] representing state-action values
  #############################
  # YOUR CODE STARTS HERE
  Q=np.zeros((env.nS,env.nA)) # initialize every state's Q value for each_
\rightarrowaction
  Q rewards=[]
  for i in range(num episodes):
     state=env.reset() # reset the environment
     # epsilon-greedy policy
     if np.random.random()>e:
      action=np.argmax(Q[state])
     else:
       action=np.random.randint(env.nA)
    reward_for_this=0
     # for SARSA, when choosing next step's action, following the policy of \Box
\rightarrow current action
     # eplison-greedy policy
     while True:
      state_n,reward,done,_=env.step(action)
       if np.random.random()>e:
         action_n=np.argmax(Q[state_n])
      else:
         action_n=np.random.randint(env.nA)
       # update Q[state][action]
→Q[state][action]=Q[state][action]+lr*(reward+gamma*Q[state_n][action_n]-Q[state][action])
      reward for this+=reward
      state=state_n # update state
      action=action_n # update action
       if done:
         break
     Q_rewards.append(reward_for_this)
```

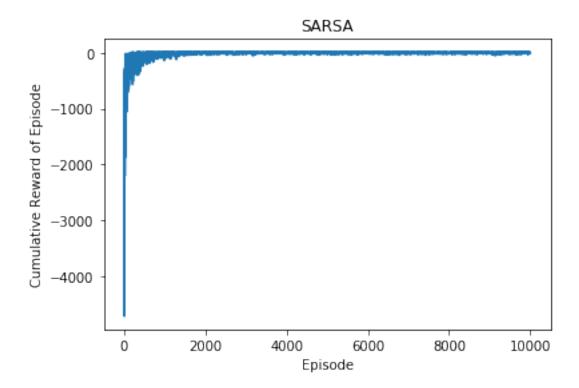
```
# YOUR CODE ENDS HERE
         ####################################
         #return np.ones((env.nS, env.nA))
         return Q, Q_rewards
 [0]: import time
     def render_episode_Q(env, Q):
         """Renders one episode for Q functionon environment.
           Parameters
           env: gym.core.Environment
             Environment to play Q function on.
           Q: np.array of shape [env.nS x env.nA]
             state-action values.
         episode_reward = 0
         state = env.reset()
         done = False
         while not done:
             env.render()
             time.sleep(0.5)
             action = np.argmax(Q[state])
             state, reward, done, _ = env.step(action)
             episode_reward += reward
         print ("Episode reward: %f" %episode_reward)
[25]: Q,Q_rewards = SARSA(env = env.env, num_episodes = 10000, gamma = 1, lr = 0.1, e_
     \Rightarrow = 0.1
     print('Action values:')
     print(Q)
     import matplotlib.pyplot as plt
     %matplotlib inline
     plt.title('SARSA')
     plt.xlabel('Episode')
     plt.ylabel('Cumulative Reward of Episode')
     plt.plot(range(1,10001),Q_rewards)
    Action values:
    [[ 0.
                                                         0.
                    0.
                                0.
                                             0.
     [ 0.57748287  0.96270149 -1.91369218  2.19509429  6.68944349 -7.37264556]
     [ 4.39720668  7.42154763  5.98620518  6.67607814  12.72281144  0.07580237]
     . . .
```

```
[10.02880443 14.29725852 9.05688499 4.85573763 0.64193794 -0.12591817]

[-3.3763171 2.85969628 -3.25709774 -3.66525514 -5.44813421 -6.00780589]

[-0.361 3.96131186 4.44763346 18.73542553 -1.9 -2.57087522]]
```

[25]: [<matplotlib.lines.Line2D at 0x7fce17bcd080>]



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  (East)
Episode reward: 11.000000
```