## APPLIED REINFORCEMENT LEARNING METHODS FOR THE CAPACITATED VEHICLE ROUTING PROBLEM

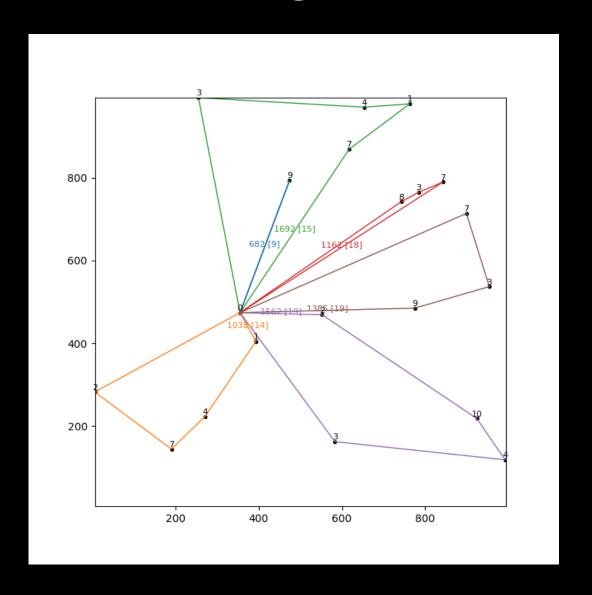
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#### **OVERVIEW**

This project reviews reinforcement learning (RL) approaches to optimization problems in general, then dive deeper for the Capacitated Vehicle Routing Problem (CVRP). The problem is formulated as a RL problem, then several RL methods are implemented as an endeavor to solve it, in comparison with the solutions provided by OR-Tools, namely:

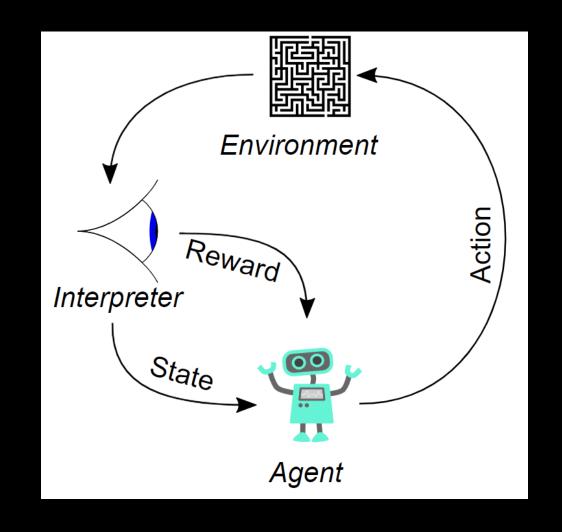
- Deep Q-Network (DQN)
- Advantage Actor-Critic (A2C)
- Proximal Policy Optimization (PPO)



# WHAT IS REINFORCEMENT LEARNING (RL)?

Reinforcement Learning (RL) is an area of machine learning, alongside supervised and unsupervised learning.

RL aims to maximize the cumulative reward when an intelligent agent takes actions in a dynamic environment.

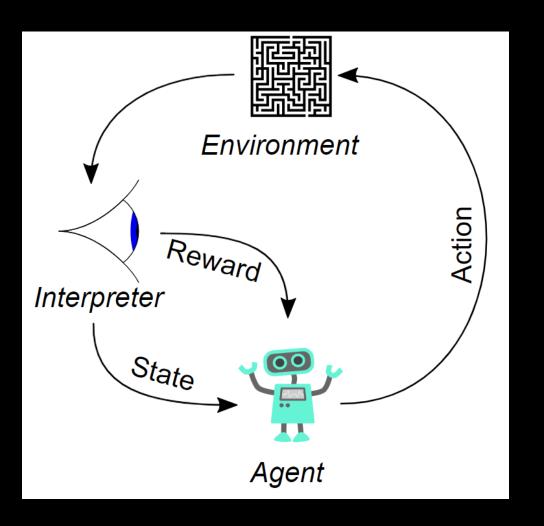


### WHY RL FOR OPTIMIZATION PROBLEMS?

#### First, it must be appliable:

- Environment
- (Long-term) Reward
- State
- Agent
- Action

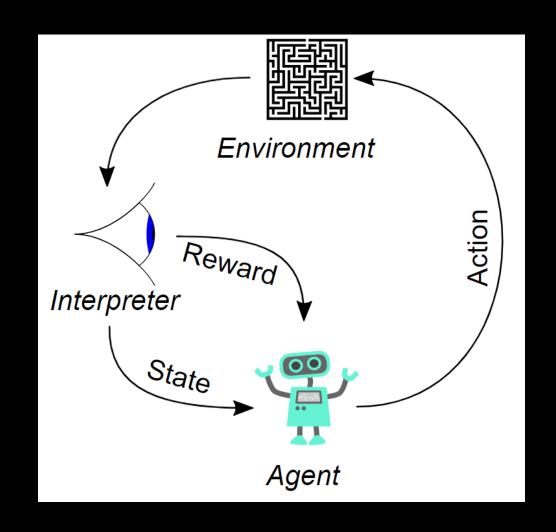
- = Problem
- = Objective
- = Configuration
- = Algorithm
- = Decision



### WHY RL FOR OPTIMIZATION PROBLEMS?

RL is well-fit for optimization problems...

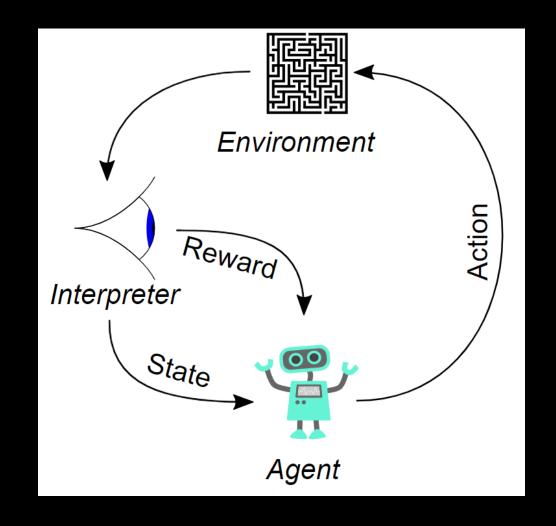
- Sequential decision making: RL can learn a series of sequential decisions to maximize a long-term objective.
- Exploration and Exploitation: RL can balance exploration and exploitation.
- Complex problems: RL can handle very complex problems provided enough resources.
- Delayed rewards: RL algorithms can use its experience to optimize the cumulative reward based on immediate rewards and their past experience.
- Transferability: Trained agent can be directly used on the same problem with different configurations.



## RL APPROACHES FOR OPTIMIZATION PROBLEMS

There are many ways to approach optimization problems using RL, the following three are used in this project:

- Deep Q-Network (DQN)
- Advantage Actor-Critic (A2C)
- Proximal Policy Optimization (PPO)



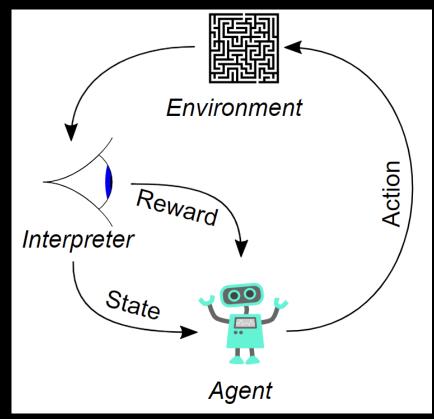
## TWO GENERAL TYPES OF RL ALGORITHMS

Value-based: Approximate the optimal value function...

- Which is one of the two mappings:
  - state → cumulative\_reward
  - (state, action) → cumulative\_reward
  - for all  $action \in action\_space$  in all  $state \in state\_space$
- If optimized: Higher cumulative reward = Better
- Example: Q-learning (learn the latter mapping)
  - The *cumulative\_reward* in this case is often denoted as Q-value: Q
- Advantages: Sample efficient, steady.

Policy-based: Approximate the optimal policy function...

- Which is the mapping:
  - $state \rightarrow P(action \mid state)$
  - $P(action \mid state)$  is often denoted as  $\pi$
  - for all  $action \in action\_space$  in current state
- If optimized: Higher action probability = (Probably) better action
- Example: REINFORCE
- Advantages: Better for continuous spaces, converges faster.



#### Q-LEARNING

Value-based: (state, action)  $\rightarrow Q$ 

• for all  $action \in action\_space$  in all  $state \in state\_space$ 

```
Pseudocode:
Q table = random values(Q table.shape);  // Initialize random values
state = initial state;
                                       // Initialize state
while true {
      action = choose(Q table, state, action space);
                                       // Choose an action based on a kind of policy
      next_state, reward = execute(state, action);
      Q table[state, action] = Q table[state, action] + alpha * (
             reward + gamma * max(Q[next_state, action_space]) - Q_table[state, action]
      );
                                       // Update Q-table
      if final(state) {state = initial_state}
             else {state = next state}; // Continue to the next state
```

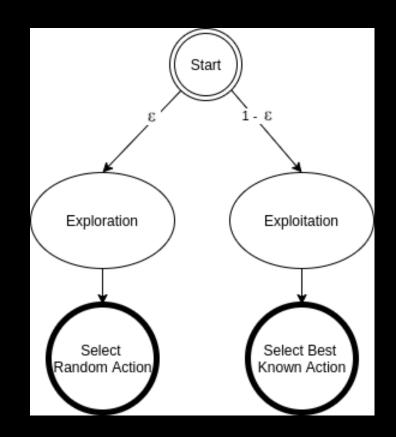
### EPSILON-GREEDY "POLICY"

This "policy" is simple enough for Q-learning to still be considered a policy-free algorithm.

```
action = choose(Q_table, state, action_space);
```

At state s, for a constant  $\varepsilon \in [0,1]$ 

- $\varepsilon$  chance: Select a completely random action
- 1  $\varepsilon$  chance: Select the best known action
  - Or, the action  $a = \underset{a}{\operatorname{argmax}} Q(s, a)$



## UPDATE Q-TABLE USING BELLMAN EQUATION

#### Update Q-table:

#### Bellman equation:

$$Q(s,a) \leftarrow Q(s,a) + \alpha(r + \gamma \max(Q(s',a')) - Q(s,a))$$

- Q(s,a) : Q-table value at state s and action a
- $\alpha$  : learning rate
- r: immediate reward (after executing action a on state s)
- $\gamma \in [0,1]$  : discount factor
- $\max(Q(s',a'))$ : maximum Q-value of the next state s' (after executing all actions available in  $a'=action\_space$ )

### DISCOUNT FACTOR

$$Q(s,a) \leftarrow Q(s,a) + \alpha(r + \gamma \max(Q(s',a')) - Q(s,a))$$
 
$$Q(s,a) \text{ converges to } r + \gamma \max(Q(s',a'))$$

The discount factor  $\gamma \in [0,1]$  is the importance of future reward:

- $\gamma = 0$  means
  - Q(s,a) converges to r
  - Future reward is not considered
- $\gamma = 1$  means
  - Q(s,a) converges to  $r + \max(Q(s',a'))$
  - The future reward is as important as the immediate reward
- Why typically  $0 < \gamma < 1$ : This help many algorithms, including Q-learning, to converge properly and faster.

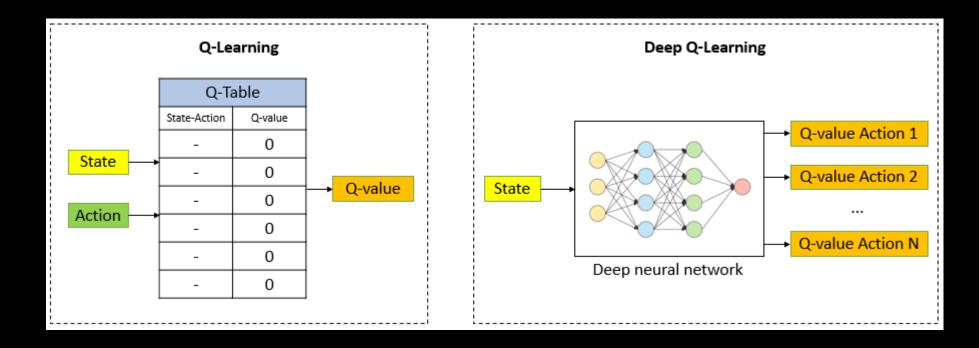
#### DEEP Q-NETWORK

What if state space and/or the action space grow larger?

The size of Q-table grows exponentially with them

Storing the Q-values Q(s,a) as a table has a main drawback: It is infeasible for almost any non-trivial problems.

Deep Q-Network: the table instead will be "stored" as a deep neural network:



#### DEEP Q-LEARNING

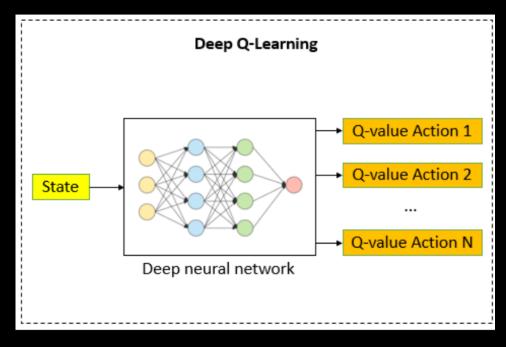
Deep Q-Learning refers to a Q-Learning implementation using a Deep Q-Network.

- Replay memory: Each "experience" will be stored as a tuple
  - (state, action, reward, next state)
  - This dataset of many tuples will be sampled during the training process of networks

• Deep Q-Network: Learn the mapping  $state \rightarrow Q(action \mid state)$  for each action in

the action space (using the dataset)

- Target Network: Another network to estimate the target Q-values
  - A copy of the main network
  - But updated periodically to...
    - prevent overfitting
    - mitigate the effect of delayed reward
- Everything else is the same



#### ACTOR-CRITIC

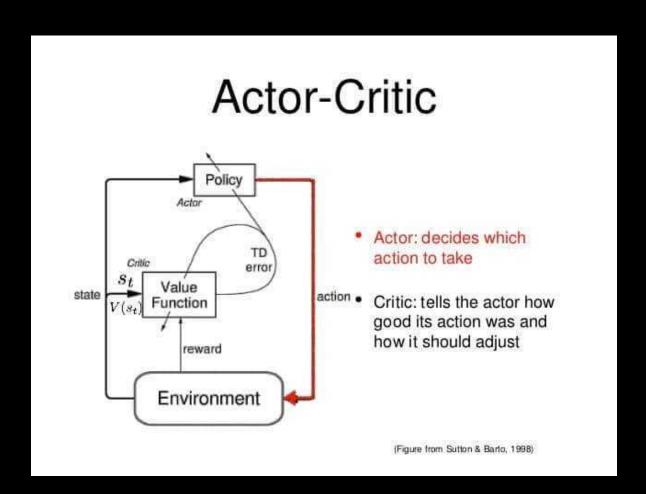
#### Combines the two types:

#### Actor: The policy-based part

- $state \rightarrow \pi$
- While running deterministically, it output the action with highest probability: Probably the best action

#### Critic: The value-based part

- state → cumulative\_reward
  - Same idea as Q-value, but it does not consider any action
  - The cumulative\_reward in this case is often denoted as just value: V
- Update the actor accordingly using policy gradient: Same idea as gradient descent



## ADVANTAGE ACTOR-CRITIC (A2C)

Critic in Actor-Critic learns the mapping  $state \rightarrow V$ 

Advantage Actor-Critic (A2C) splits the Q-value into two parts, based on action a:

- State value V(s)
- Advantage value A(s, a)

$$Q(s,a) = V(s) + A(s,a)$$
  

$$\Rightarrow A(s,a) = Q(s,a) - V(s)$$

## ADVANTAGE ACTOR-CRITIC (A2C)

#### Actor-Critic:

• Actor:  $state \rightarrow P(action \mid state)$ 

• Critic:  $state \rightarrow V$ 

#### Advantage Actor-Critic:

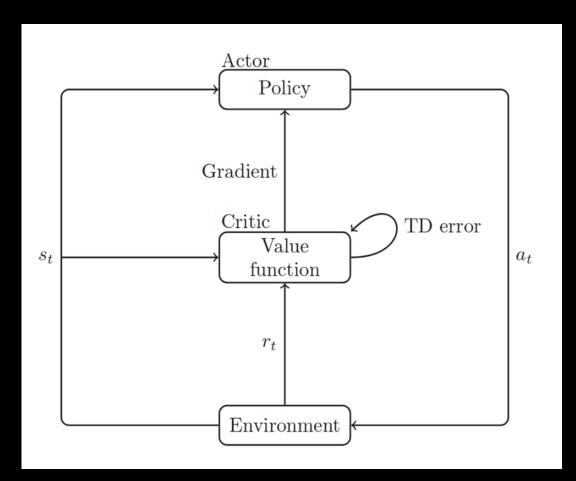
• Actor:  $state \rightarrow P(action \mid state)$ 

• Critic:  $(state, action) \rightarrow A$ 

#### Why Advantage value?

Instead of learning how "good" is a *state*, the critic instead learn how much *advantage* it will gain if the *action* is executed on that *state*.

- Generalize better, especially on complex problems
- But obviously also cost more memory

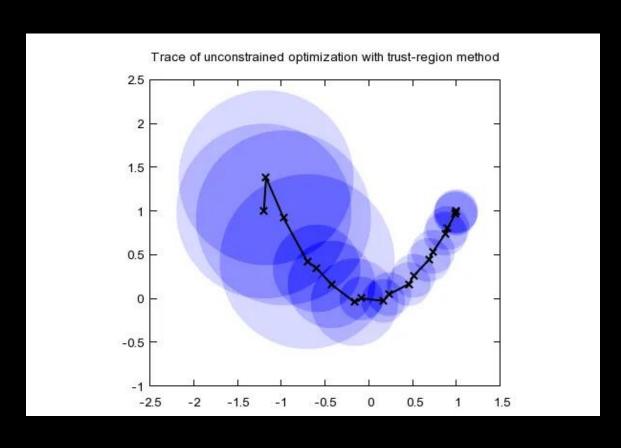


## PROXIMAL POLICY OPTIMIZATION (PPO)

Proximal Policy Optimization improves the learning progress of the actor in A2C using Trust Region Policy Optimization (TRPO)

TRPO is a technique to limit how large can the actor update its policy  $\pi$ 

- Or clipping
- Avoid too large updates



## PROXIMAL POLICY OPTIMIZATION (PPO)

Since many of the mathematical details of TRPO are out of the scope of this project, here are some quick explanations:

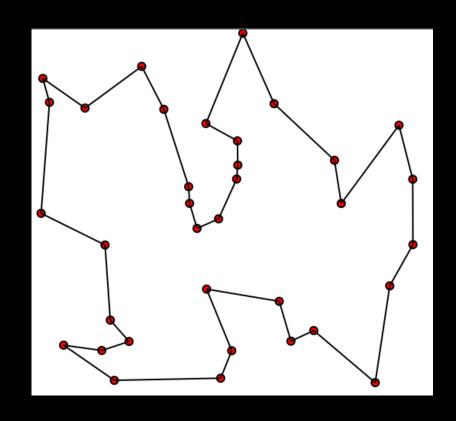
- The constraint is expressed in terms of Kullback–Leibler divergence
  - Kullback-Leibler divergence: the "distance" between two probability distributions
  - In this case, the old policy and the new policy
- The theoretical TRPO update is impractical, so an approximation is used using the Taylor expansion of the objective function around the parameters of current  $\pi$ 
  - The problem is then solved by Lagrangian duality to give the Natural Policy Gradient
  - Since the approximation will naturally have an error, sometimes really large...
- The Natural Policy Gradient is then tweaked by using a backtracking coefficient to mitigate the impact of the approximation error
  - Backtracking coefficient: how much the approximation should "relies" on some of its previous ones

## TRAVELLING SALESMAN PROBLEM (TSP)

"What is the shortest possible route that visits each city exactly once and return to the origin city?"

Travelling Salesman Problem (TSP) is an optimization problem, and is classified as

- A combinatorial optimization problem
- An integer programming problem



## CODE REVIEW OF A REINFORCEMENT LEARNING IMPLEMENTATION FOR TSP

```
import pandas as pd
import numpy as np
import matplotlib.pyplot as plt
import os
import time
from tqdm import tqdm_notebook
from scipy.spatial.distance import cdist
import imageio
from matplotlib.patches import Rectangle
from matplotlib.collections import PatchCollection
plt.style.use("seaborn-dark")
import sys
sys.path.append("../")
from rl.agents.q_agent import QAgent
```

Some regular imports.

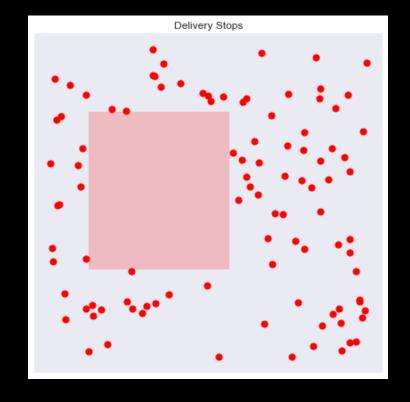
```
class DeliveryEnvironment(object):
   def init (self,n stops = 10,max box = 10,method = "distance",**kwargs):
        print(f"Initialized Delivery Environment with {n stops} random stops")
        print(f"Target metric for optimization is {method}")
        # Initialization
        self.n_stops = n_stops
        self.action space = self.n stops
        self.observation space = self.n stops
        self.max box = max box
        self.stops = []
        self.method = method
        # Generate stops
        self. generate constraints(**kwargs)
        self._generate_stops()
        self._generate_q_values()
        self.render()
        # Initialize first point
        self.reset()
```

#### Initialize the environment with

- n\_stops: number of cities (or stops)
- max\_box: maximum coordinate value of a city
- method: accepts three values
  - "distance": regular 2D problem
  - "traffic\_box": add a random box of high traffic inside the environment, in which the salesman is slowed down
  - "time": regular 2D problem but the reward is added by a random number

Add a random box of high traffic inside the environment, in which the salesman is slowed down, with

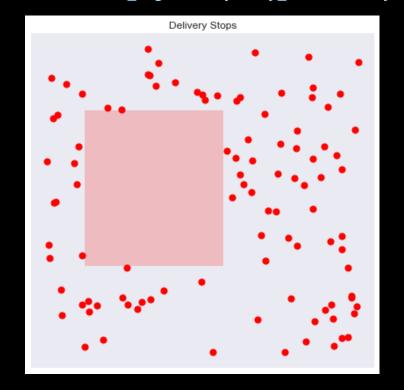
- box\_size: how large the box is
  (approximately)
- traffic\_intensity: how much slower the salesman is when moving through it (approximately)



Randomly generate placement of cities.

```
def _generate_stops(self):
                                             If a traffic box is used, all cities are strictly outside of it.
    if self.method == "traffic_box":
        points = []
        while len(points) < self.n_stops:</pre>
                                                         return x >= x left and x <= x right and y >= y bottom and y <= y top
            x,y = np.random.rand(2)*self.max box
            if not self._is_in_box(x,y,self.box):
                points.append((x,y))
        xy = np.array(points)
    else:
        # Generate geographical coordinates
        xy = np.random.rand(self.n stops,2)*self.max box
    self.x = xy[:,0]
    self.y = xy[:,1]
```

def \_is\_in\_box(self,x,y,box): # Get box coordinates x left,x right,y bottom,y top = box



```
def _generate_q_values(self,box_size = 0.2):
    # Generate actual Q Values corresponding to time elapsed between two points
    if self.method in ["distance","traffic_box"]:
        xy = np.column_stack([self.x,self.y])
        self.q_stops = cdist(xy,xy)
    elif self.method=="time":
        self.q_stops = np.random.rand(self.n_stops,self.n_stops)*self.max_box
        np.fill_diagonal(self.q_stops,0)
    else:
        raise Exception("Method not recognized")
```

Initialize Q-table

 box\_size is improperly placed and not used

If the method is time, initialize Q-table by a random array where values are in [0, max\_box), except for Q[i, i] = 0 for any i

 This is not a good starting point, the author should have used the same Qtable as below

Else, initialize Q[m, n] = distance(m, n)

```
def render(self,return_img = False):
    # THE AUTHOR RENDER THE ENVIRONMENT IMAGE
def reset(self):
   # Stops placeholder
   self.stops = []
   # Random first stop
    first_stop = np.random.randint(self.n_stops)
    self.stops.append(first_stop)
   return first_stop
```

Reset the environment

stops: all the stops that the salesman have visited, in respective order. The original stop is randomized.

```
def step(self,destination):
    # Get current state
    state = self. get state()
    new state = destination
    # Get reward for such a move
    reward = self. get reward(state, new state)
    # Append new state to stops
    self.stops.append(destination)
    done = len(self.stops) == self.n stops
    return new state, reward, done
def _get_state(self):
    return self.stops[-1]
```

Makes a step towards destination and returns

- new\_state: the new state
- reward: the reward given for going to destination
- done: if the episode is finished

The state is simply an integer which is the current stop.

\_get\_xy() returns the coordinate of the current stop.

```
def _get_xy(self,initial = False):
    state = self.stops[0] if initial else self._get_state()
    x = self.x[state]
    y = self.y[state]
    return x,y
```

```
def get reward(self,state,new state):
    base reward = self.q stops[state,new state]
   if self.method == "distance":
        return base reward
   elif self.method == "time":
        return base reward + np.random.randn()
   elif self.method == "traffic box":
        # Additional reward correspond to slowing down in traffic
        xs,ys = self.x[state],self.y[state]
        xe,ye = self.x[new state],self.y[new state]
        intersections = self. calculate box intersection(xs,xe,ys,ye,self.box)
        if len(intersections) > 0:
           i1,i2 = intersections
            distance traffic = np.sqrt((i2[1]-i1[1])**2 + (i2[0]-i1[0])**2)
            additional reward = distance traffic * self.traffic intensity * np.random.rand()
        else:
            additional reward = np.random.rand()
        return base reward + additional reward
```

The base reward is the Q-value of (state, new\_state), which also is the reward of "distance"

Else, the reward function is defined as

- If "time": Add a random number in [0, 1)
- If "traffic\_box": Add
  - distance through box × traffic\_intensity × a random number in [0, 1)

2 functions to calculate the coordinates of two intersections between a segment and a rectangle

```
@staticmethod
def calculate point(x1,x2,y1,y2,x = None,y = None):
    if y1 == y2:
        return y1
    elif x1 == x2:
        return x1
    else:
        a = (y2-y1)/(x2-x1)
        b = y2 - a * x2
        if x is None:
            x = (y-b)/a
            return x
        elif y is None:
            y = a*x+b
            return y
        else:
            raise Exception("Provide x or y")
```

```
def calculate box intersection(self,x1,x2,y1,y2,box):
    # Get box coordinates
    x_left,x_right,y_bottom,y_top = box
    # Intersections
    intersections = []
    # Top intersection
    i top = self. calculate point(x1,x2,y1,y2,y=y top)
    if i top > x left and i top < x right:</pre>
        intersections.append((i top,y top))
    # Bottom intersection
    i bottom = self. calculate point(x1,x2,y1,y2,y=y bottom)
    if i bottom > x left and i bottom < x right:</pre>
        intersections.append((i bottom, y bottom))
    # Left intersection
    i left = self. calculate_point(x1,x2,y1,y2,x=x_left)
    if i left > y bottom and i left < y top:</pre>
        intersections.append((x left,i left))
    # Right intersection
    i right = self. calculate point(x1,x2,y1,y2,x=x right)
    if i right > y bottom and i right < y top:</pre>
        intersections.append((x right,i right))
    return intersections
```

```
class DeliveryQAgent(QAgent):
   def init (self,*args,**kwargs):
        super().__init__(*args,**kwargs)
        self.reset memory()
   def act(self,s):
       # Get Q Vector
       q = np.copy(self.Q[s,:])
       # Avoid already visited states
       q[self.states memory] = -np.inf
        if np.random.rand() > self.epsilon:
            a = np.argmax(q)
        else:
            a = np.random.choice([x for x in
range(self.actions size) if x not in self.states memory])
        return a
   def remember state(self,s):
        self.states memory.append(s)
   def reset memory(self):
        self.states memory = []
```

- Initialize the Q-Agent
- act(s) uses Epsilon-Greedy to choose an action on state s
- remember\_state(s) saves the current state to the memory, in this case simply the visited city s
- reset\_memory() clears the memory

#### The Q-Learning implementation

```
def run episode(env,agent,verbose = 1):
    s = env.reset()
    agent.reset memory()
   max_step = env.n stops
    episode reward = 0
   i = 0
   while i < max step:
        # Remember the states
        agent.remember state(s)
        # Choose an action
        a = agent.act(s)
        # Take the action, and get the reward from environment
        s next,r,done = env.step(a)
        # Tweak the reward
        r = -1 * r
        if verbose: print(s next,r,done)
        # Update our knowledge in the Q-table
        agent.train(s,a,r,s next)
```

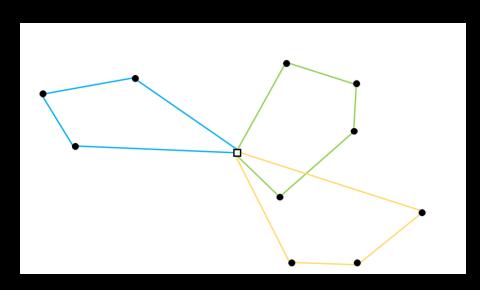
```
# Update the caches
        episode reward += r
        s = s next
        # If the episode is terminated
        i += 1
        if done:
            break
    return env, agent, episode reward
def run n episodes(env, agent, name="training.gif", n episodes=1000,
                      render each=10, fps=10):
    # Store the rewards
    rewards = []
    imgs = []
    # Experience replay
    for i in tqdm notebook(range(n episodes)):
        # Run the episode
        env,agent,episode reward = run episode(env,agent,verbose = 0)
        rewards.append(episode reward)
        if i % render each == 0:
            img = env.render(return img = True)
            imgs.append(img)
    # THE AUTHOR SAVE SOME IMAGES HERE
    return env, agent
```

# CAPACITATED VEHICLE ROUTING PROBLEM (CVRP)

"What is the optimal set of routes for a fleet of vehicles to traverse in order to deliver to a given set of customers?"

Also known as the Vehicle Routing Problem (VRP), Capacitated Vehicle Routing Problem (CVRP) is a generalization of TSP, which also is

- A combinatorial optimization problem
- An integer programming problem



#### PARAMETERS

The data are generated using the following parameters

n\_stops : number of stops

• max\_demand : the maximum demand of all cities

• max\_vehicle\_cap : the maximum capacity of the vehicle

• max\_env\_size : the maximum coordinate of all cities

#### ASSUMPTIONS

To ensure the feasibility of the problem, assume that

- max\_demand ≤ max\_vehicle\_cap
- The number of vehicles = n\_stops

So that the problem always has a naïve solution: all vehicles move to all stops then comeback to depot immediately after

To somewhat simplify the problem, assume that

- All vehicles have the same capacity
- The objective is the total distance only, disregard the time, number of vehicles used, profit, or other factors

#### DATA GENERATION

- demands: demands of stops
  - A list with n\_stops elements
  - demand of depot is always 0
  - n\_stops 1 random integers in [1, max\_demand]
- stop\_coords: coordinates of stops
  - A matrix of shape (n\_stops, 2)
  - Values are random integers in [0, max\_env\_size]

The depot is the first stop in those lists (index 0)

- vehicle\_cap: the vehicle capacity
  - A random integer in [max\_demand, max\_vehicle\_cap]

### CVRP FORMULATION AS A RL PROBLEM

The problem can be translated into: One vehicle problem, and it cannot visit a stop if the load left is not enough for it.

The implementation of this formulation is in pure Python with Stable Baselines3 (SB3).

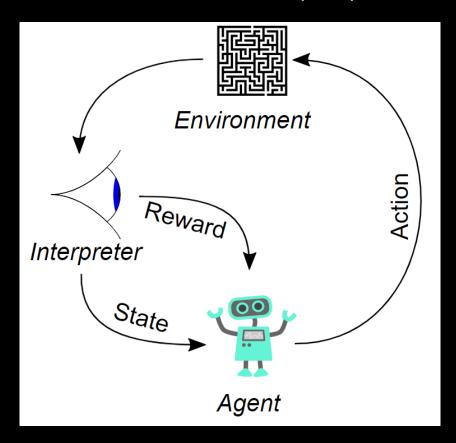
Environment: remain constants

- demands
- stop\_coords
- vehicle cap

#### State

- current\_stop
- visited: list of stops are visited or not
- Some other derived information, including
  - current\_length: total length moved

Objective: current\_length



## CVRP FORMULATION AS A RL PROBLEM

#### Immediate reward

- Valid action
  - reward = segment\_length
  - segment\_length: The length between the two stops
- Invalid action: Move to a visited stop (except depot), or move to a stop with not enough load
  - reward = 2 \* n\_stops \* max\_env\_size
  - Idea behind
    - The maximum segment\_length is  $\sqrt{2}$  \* max\_env\_size  $\approx 1.41$  \* max\_env\_size
    - Punish the agent even more, proportional to a constant large number n\_stops

#### Normalized reward

- Valid action: reward = segment\_length / max\_env\_size
- Invalid action: reward = 2 \* n\_stops

Deep Q-Learning (DQN)

250, 500, 1000, 5000, 10000, and 50000 are the (minimum) numbers of environment total timesteps during training

Each result is the minimum objective found out of 10 episodes

n_stops	250	500	1000	5000	10000	50000
5	3958	3602	5902	2855	4164	3730
6	4356	4417	4639	5071	4356	4417
7	3126	3306	2934	3037	3822	3228
8	4916	4930	4699	4916	4643	5011
9	6051	5492	5153	5167	4976	5557
10	6897	5827	5910	5218	6386	5864
12	6097	6856	6915	5345	5973	6550
15	10511	10852	11351	10335	10393	10079
20	14061	12699	12436	14362	12399	11828

Advantage Actor-Critic (A2C)

n_stops	250	500	1000	5000	10000	50000
5	3602	2988	3730	3602	2988	3602
6	4356	4516	4639	4902	4417	4516
7	3855	3990	2794	2772	3093	3870
8	4817	4817	5187	4904	5259	5212
9	5040	5085	5348	5462	5612	5040
10	5749	7196	6946	5309	6661	6150
12	7902	9392	7345	8812	7951	8097
15	10143	10458	10038	10164	10165	9970
20	13239	11280	11118	12582	10982	14469

Proximal Policy Optimization (PPO)

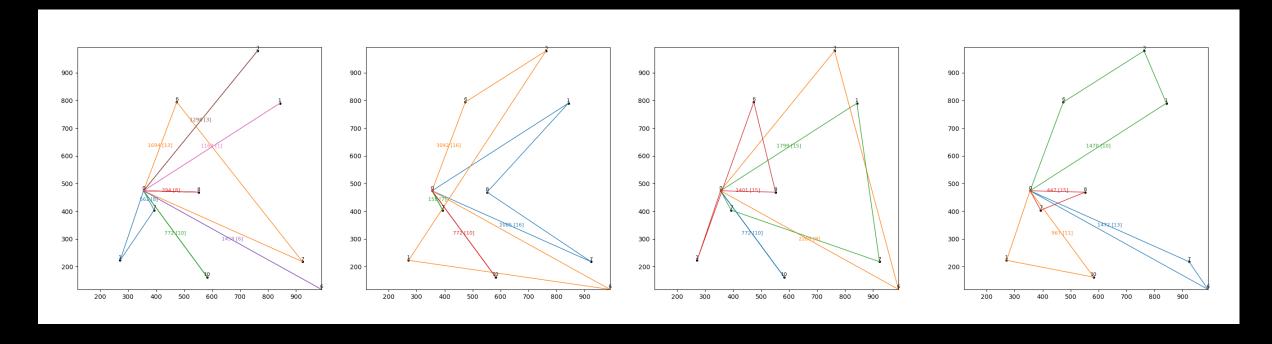
n_stops	250	500	1000	5000	10000	50000
5	2855	2855	3958	3602	3225	3581
6	4356	4356	4356	4516	4803	4417
7	3309	3315	3057	3037	3660	3550
8	4699	4930	5295	5475	5104	5011
9	5229	5240	5076	5282	5282	5368
10	6372	5258	5460	6127	5364	6003
12	7321	6444	6817	7171	7462	7415
15	8354	10118	9039	9035	9325	11043
20	11741	11079	11259	11454	11649	13128

Best results, comparing with the solution provided by OR-Tools

- Deep Q-Learning (DQN) is the best RL model
- As expected, the RL models get worse when there are more stops
- However, they will still give a reasonable solution on a live environment without prior knowledge

n_stops	a2c	dqn	ppo	ortools
5	2988	2855	2855	2855
6	4356	4356	4356	4356
7	2772	2934	3037	2772
8	4817	4643	4699	4643
9	5040	4976	5076	4648
10	5309	5218	5258	3554
12	7345	5345	6444	4196
15	9970	10079	8354	7325
20	10982	11828	11079	7521

## **EXAMPLES**



A2C (7339)

DQN (6057)

PPO (6240)

OR-Tools (4356)

## CONCLUSION & FUTURE WORKS

#### This project has

- Investigated RL approaches to optimization problems in general
- Reviewed a Q-learning implementation for TSP
- Formulated CVRP as a RL problem
- Implemented A2C, DQN, and PPO algorithms for CVRP
- Achieved remarkable results with DQN is the best model

#### Future works

- Continue to adjust the implemented algorithms
- Implement more algorithms
- Explore more RL applications for traditional optimization problems

## APPLIED REINFORCEMENT LEARNING METHODS FOR THE CAPACITATED VEHICLE ROUTING PROBLEM

Hoang Tran Nhat Minh Instructed by Dr. Pham Quang Dung Data Science & Artificial Intelligence 2020 January 2024



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