



UNIVERSITY OF TECHNOLOGY  
IN THE EUROPEAN CAPITAL OF CULTURE  
CHEMNITZ

# Deep Reinforcement Learning

Successor representations

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# 1 - Model-based vs. Model-free

# Model-based vs. Model-free

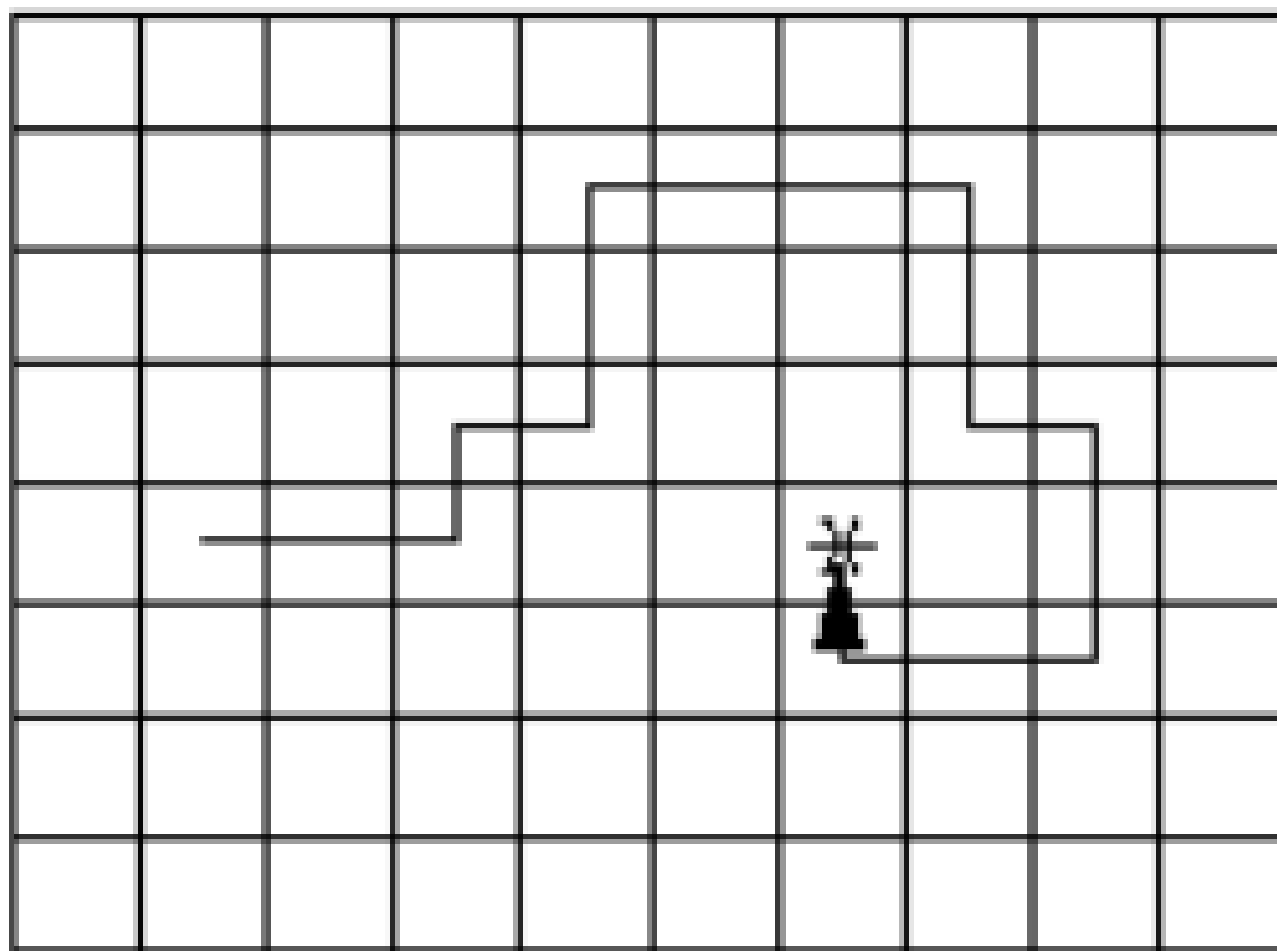
- Model-free methods use the **reward prediction error** (RPE) to update values:

$$\delta_t = r_{t+1} + \gamma V^\pi(s_{t+1}) - V^\pi(s_t)$$

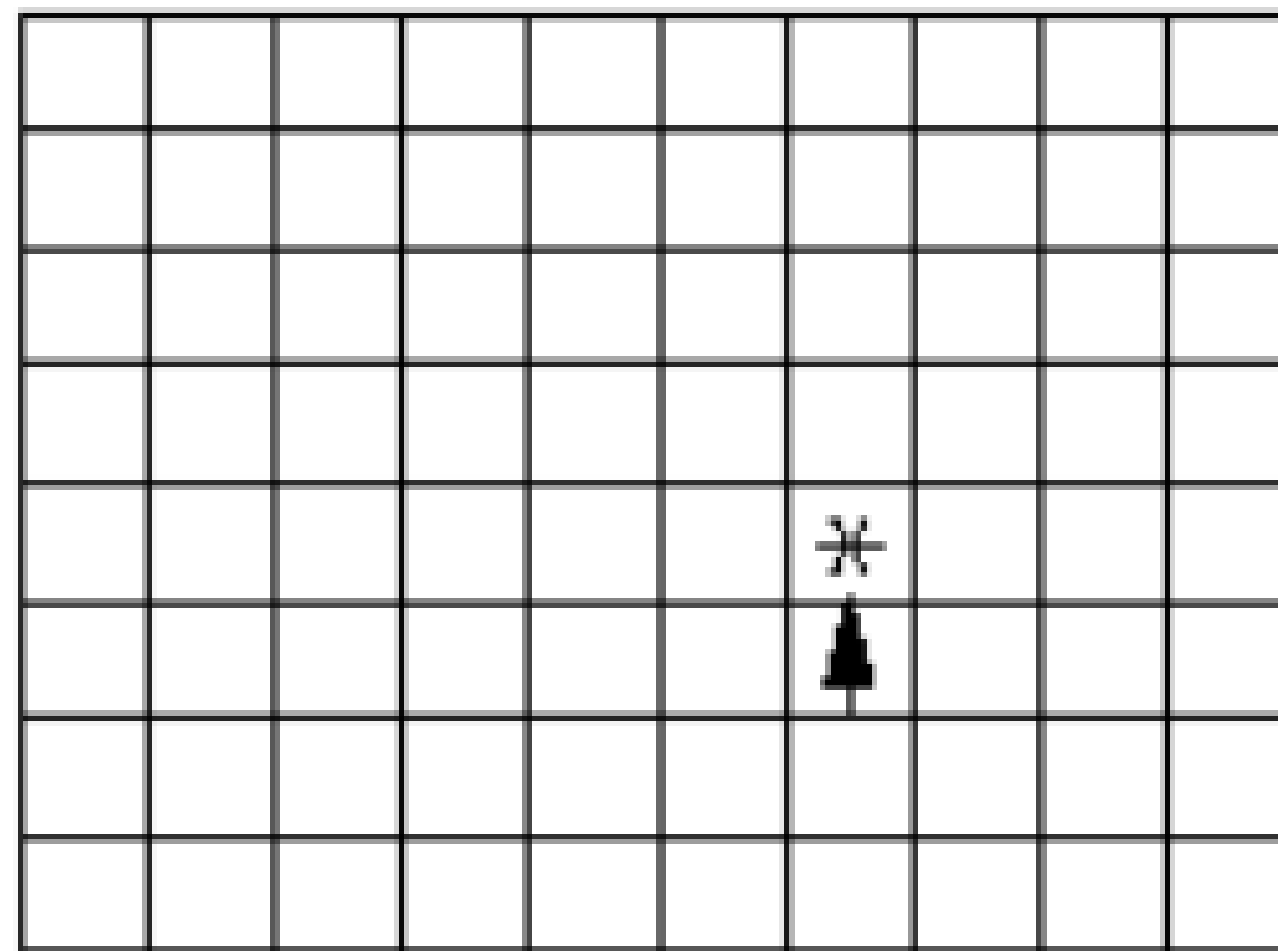
$$\Delta V^\pi(s_t) = \alpha \delta_t$$

Encountered rewards propagate very slowly to all states and actions.

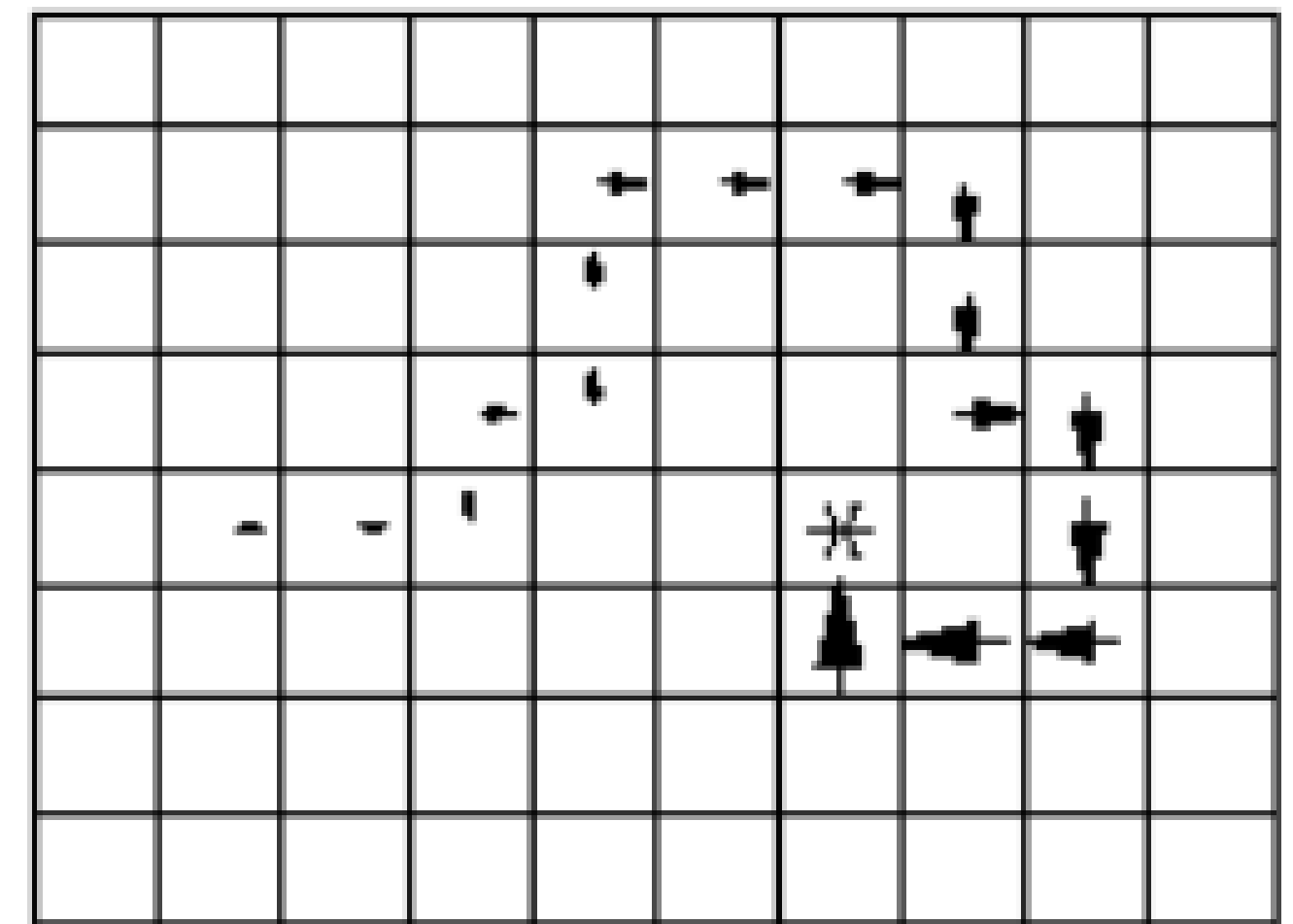
### Path taken



Action values increased by one-step Sarsa



Action values increased by Sarsa( $\lambda$ ) with  $\lambda=0.9$



- If the environment changes (transition probabilities, rewards), they have to relearn everything.
- After training, selecting an action is very fast.

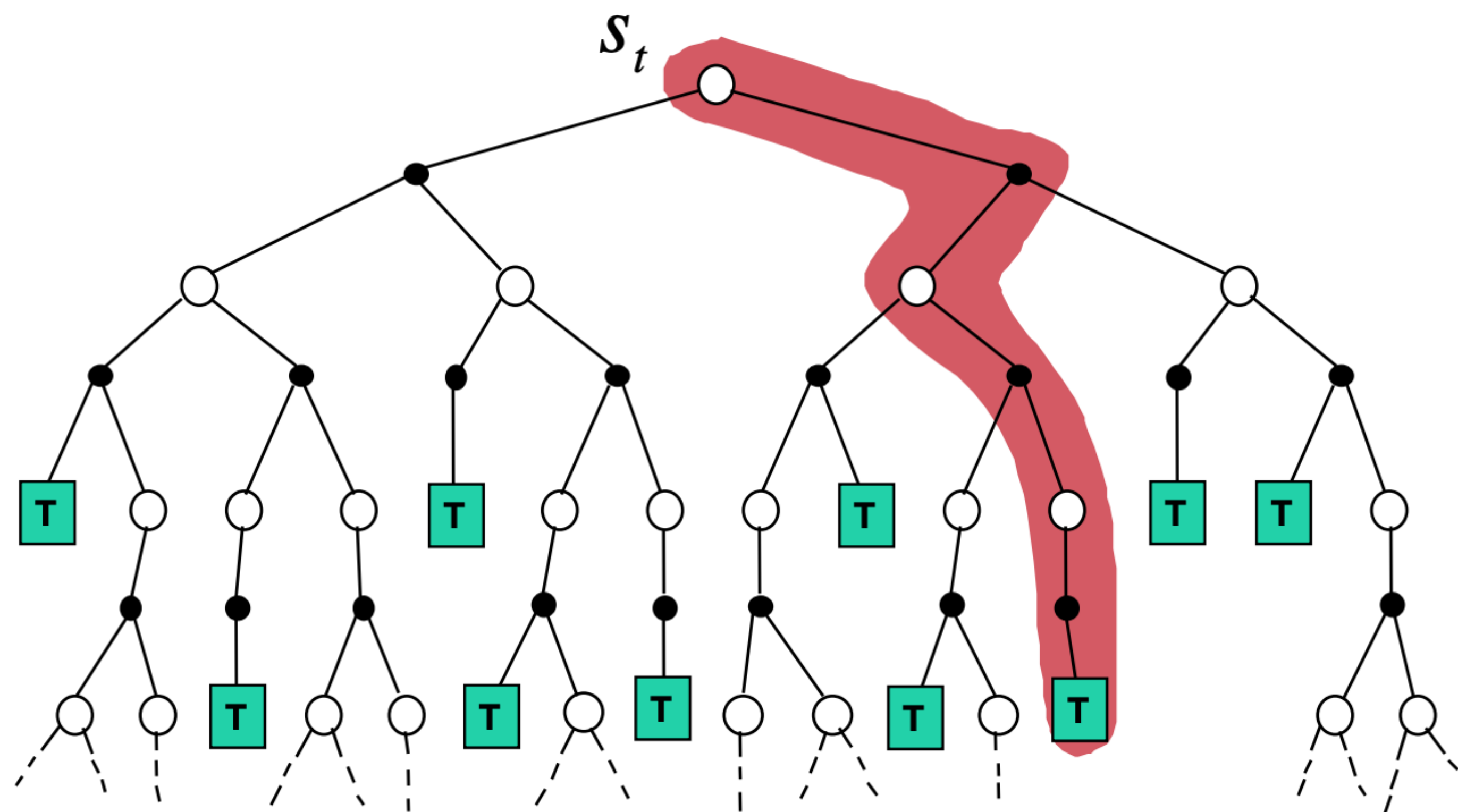
# Model-based vs. Model-free

- Model-based RL can learn very fast changes in the transition or reward distributions:

$$\Delta r(s_t, a_t, s_{t+1}) = \alpha (r_{t+1} - r(s_t, a_t, s_{t+1}))$$

$$\Delta p(s'|s_t, a_t) = \alpha (\mathbb{I}(s_{t+1} = s') - p(s'|s_t, a_t))$$

- But selecting an action requires planning in the tree of possibilities (slow).



# Model-based vs. Model-free

- Relative advantages of MF and MB methods:

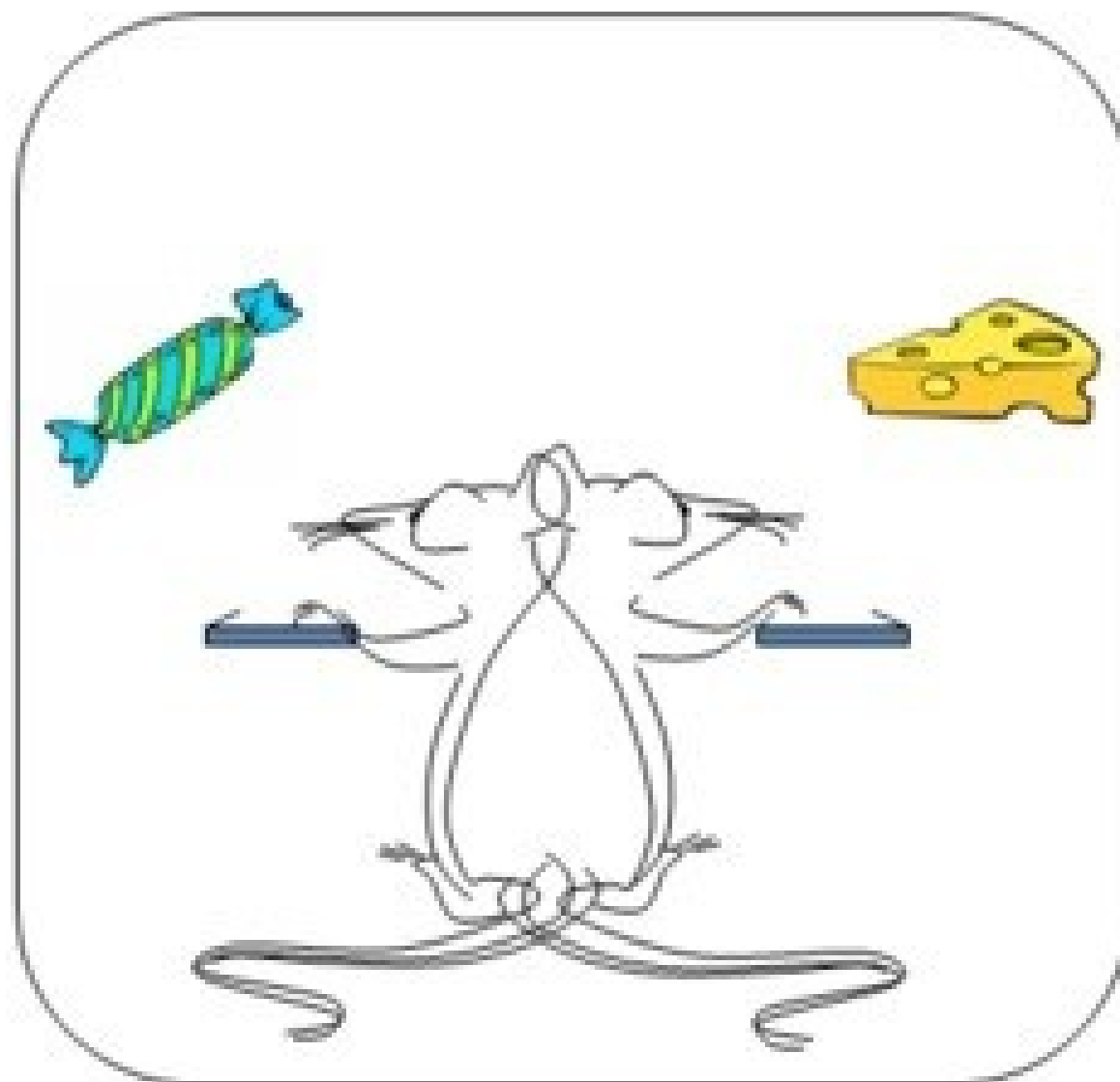
	Inference speed	Sample complexity	Optimality	Flexibility
Model-free	fast	high	yes	no
Model-based	slow	low	as good as the model	yes

- A trade-off would be nice... Most MB models in the deep RL literature are hybrid MB/MF models anyway.

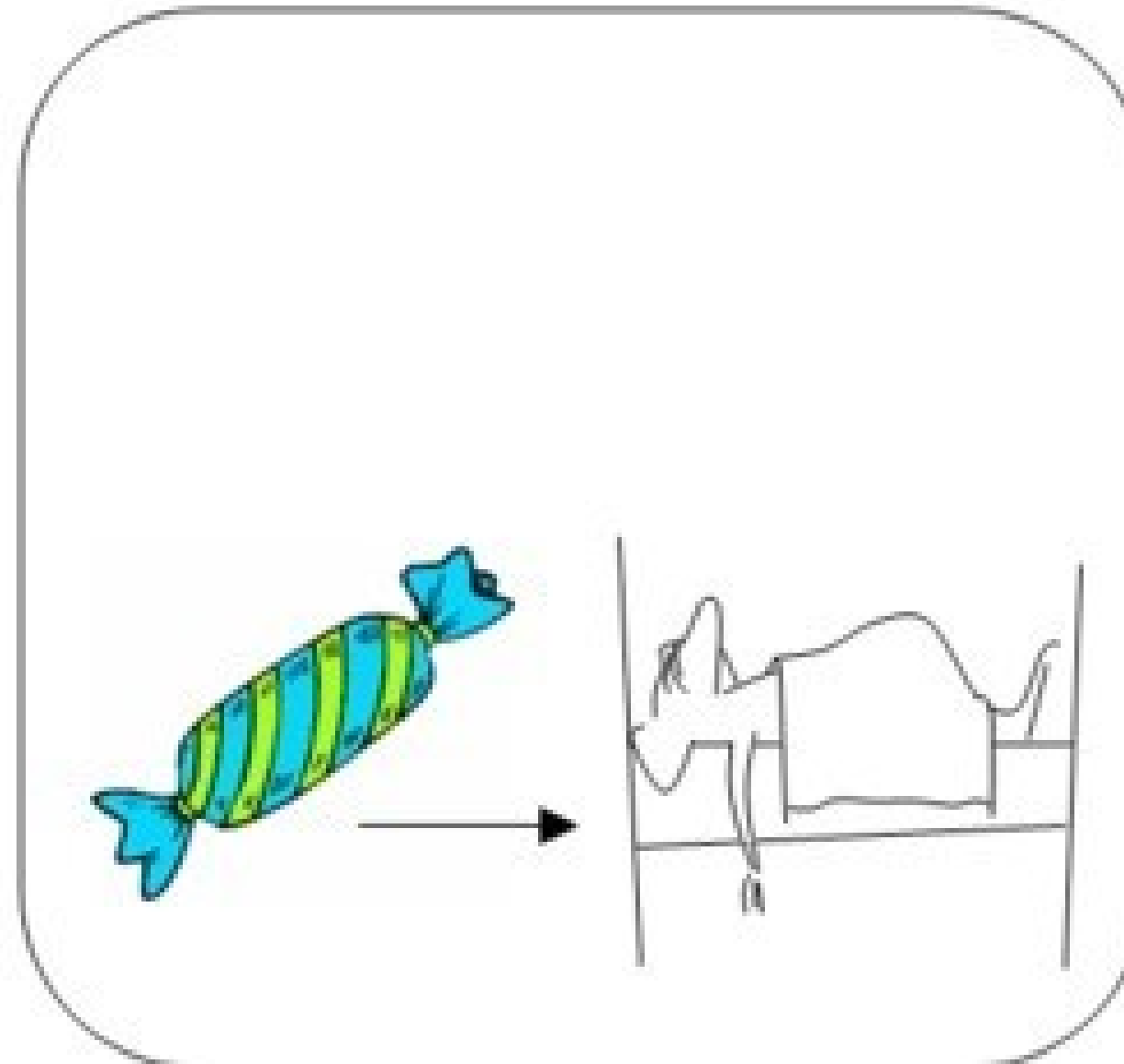
# Outcome devaluation

- Two forms of behavior are observed in the animal psychology literature:
  - Goal-directed** behavior learns Stimulus → Response → Outcome associations.
  - Habits** are developed by overtraining Stimulus → Response associations.
- The main difference is that habits are not influenced by **outcome devaluation**, i.e. when rewards lose their value.

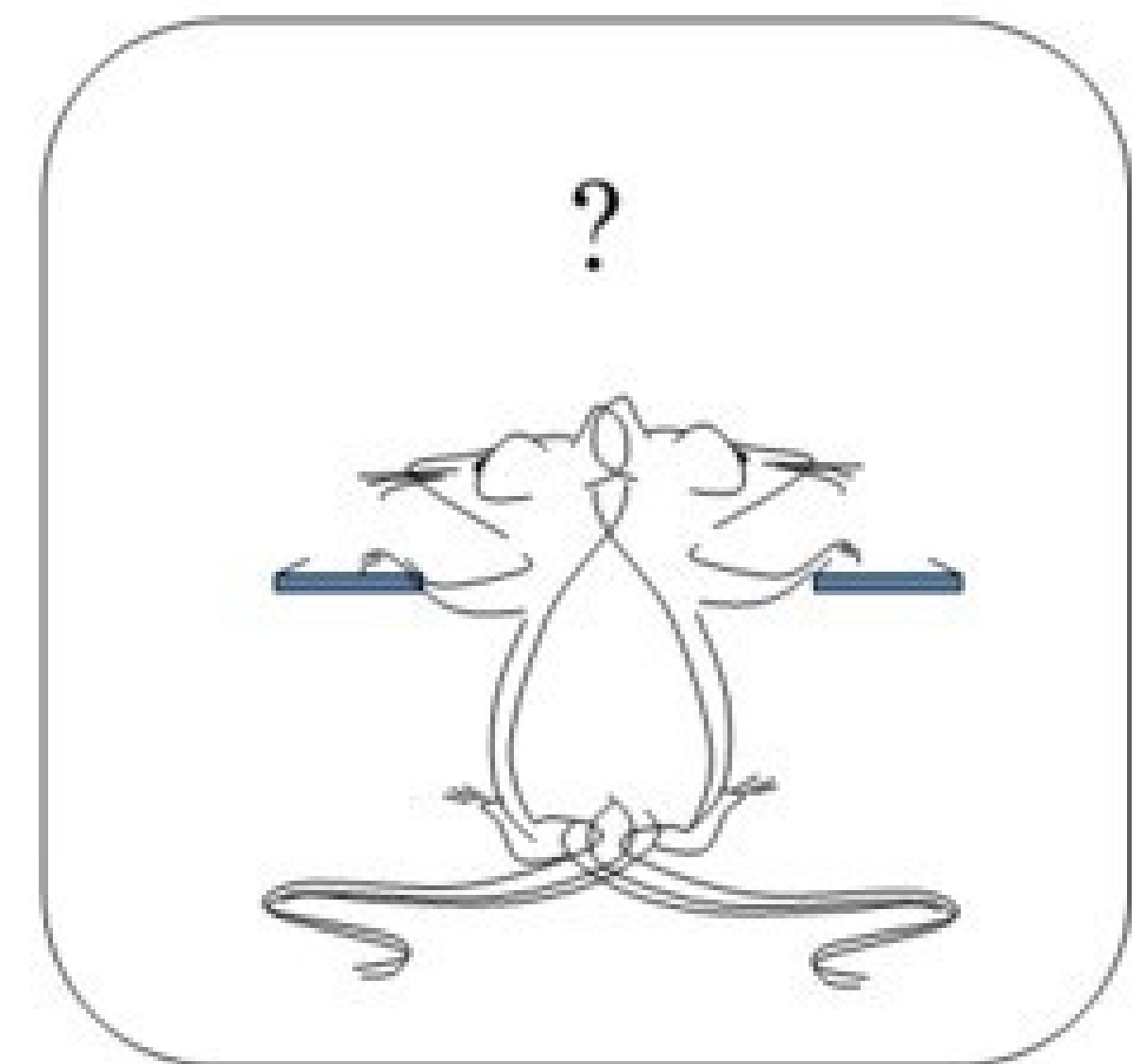
## 1. Instrumental Learning



## 2. Taste aversion learning



## 3. Test

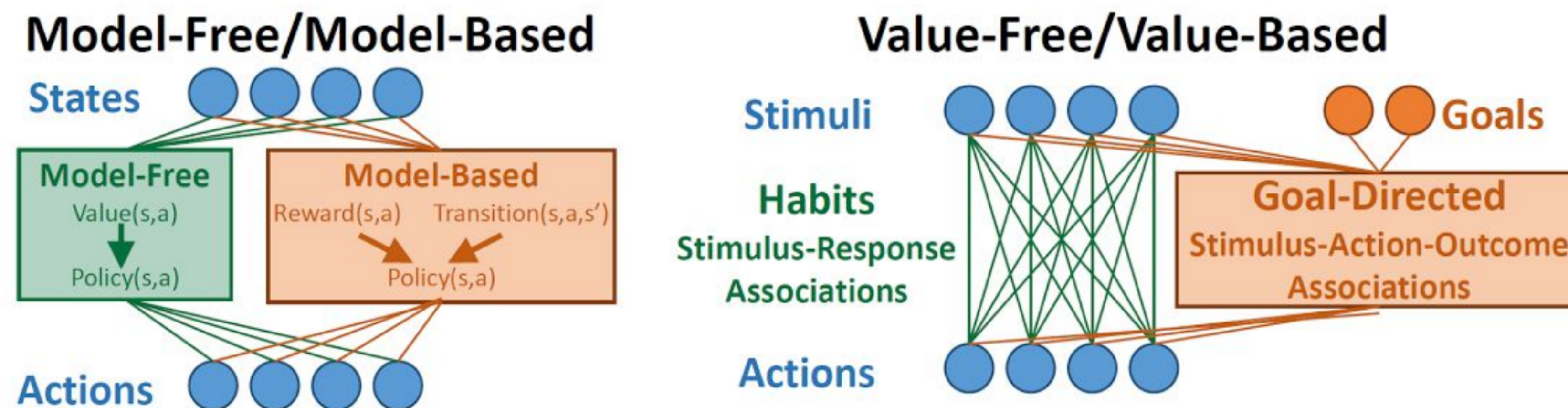


Source: Bernard W. Balleine



# Goal-directed / habits = MB / MF ?

- The classical theory assigns MF to habits and MB to goal-directed, mostly because their sensitivity to outcome devaluation.



- The open question is the arbitration mechanism between these two segregated processes: who takes control?
- Recent work suggests both systems are largely overlapping.

## References

- Doll, B. B., Simon, D. A., and Daw, N. D. (2012). The ubiquity of model-based reinforcement learning. *Current Opinion in Neurobiology* 22, 1075–1081. doi:10.1016/j.conb.2012.08.003.
- Miller, K., Ludvig, E. A., Pezzulo, G., and Shenhav, A. (2018). "Re-aligning models of habitual and goal-directed decision-making," in *Goal-Directed Decision Making: Computations and Neural Circuits*, eds. A. Bornstein, R. W. Morris, and A. Shenhav (Academic Press)

## 2 - Successor representations



# Successor Representations (SR)

- Successor representations (SR) have been introduced to combine MF and MB properties. Let's split the definition of the value of a state:

$$V^\pi(s) = \mathbb{E}_\pi \left[ \sum_{k=0}^{\infty} \gamma^k r_{t+k+1} \mid s_t = s \right] \quad (1)$$

(2)

$$= \mathbb{E}_\pi \left[ \begin{bmatrix} 1 \\ \gamma \\ \gamma^2 \\ \dots \\ \gamma^\infty \end{bmatrix} \times \begin{bmatrix} \mathbb{I}(s_t) \\ \mathbb{I}(s_{t+1}) \\ \mathbb{I}(s_{t+2}) \\ \dots \\ \mathbb{I}(s_\infty) \end{bmatrix} \times \begin{bmatrix} r_{t+1} \\ r_{t+2} \\ r_{t+3} \\ \dots \\ r_{t+\infty} \end{bmatrix} \mid s_t = s \right] \quad (3)$$

where  $\mathbb{I}(s_t)$  is 1 when the agent is in  $s_t$  at time  $t$ , 0 otherwise.

- The left part corresponds to the **transition dynamics**: which states will be visited by the policy, discounted by  $\gamma$ .
- The right part corresponds to the **immediate reward** in each visited state.
- Couldn't we learn the transition dynamics and the reward distribution separately in a model-free manner?

# Successor Representations (SR)

- SR rewrites the value of a state into an **expected discounted future state occupancy**  $M^\pi(s, s')$  and an **expected immediate reward**  $r(s')$  by summing over all possible states  $s'$  of the MDP:

$$V^\pi(s) = \mathbb{E}_\pi \left[ \sum_{k=0}^{\infty} \gamma^k r_{t+k+1} | s_t = s \right] \quad (4)$$

(5)

$$= \sum_{s' \in \mathcal{S}} \mathbb{E}_\pi \left[ \sum_{k=0}^{\infty} \gamma^k \mathbb{I}(s_{t+k} = s') \times r_{t+k+1} | s_t = s \right] \quad (6)$$

(7)

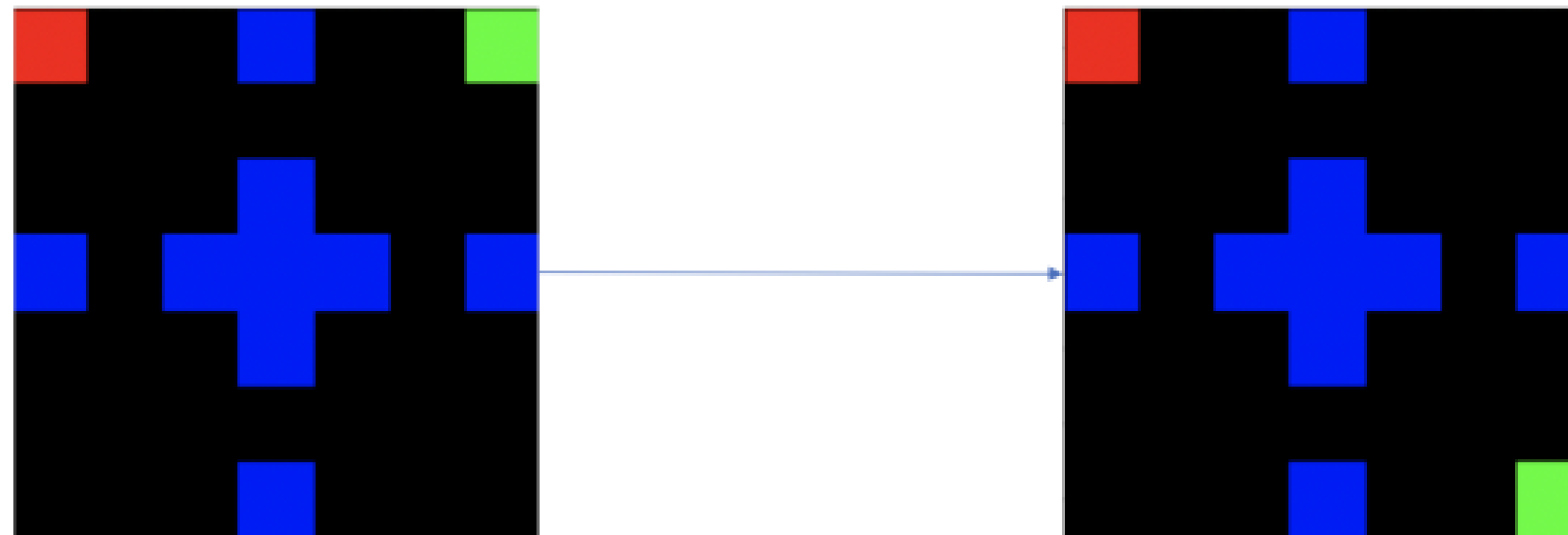
$$\approx \sum_{s' \in \mathcal{S}} \mathbb{E}_\pi \left[ \sum_{k=0}^{\infty} \gamma^k \mathbb{I}(s_{t+k} = s') | s_t = s \right] \times \mathbb{E}[r_{t+1} | s_t = s'] \quad (8)$$

(9)

$$\approx \sum_{s' \in \mathcal{S}} M^\pi(s, s') \times r(s') \quad (10)$$

# Successor Representations (SR)

- The underlying assumption is that the world dynamics are independent from the reward function (which does not depend on the policy).
- This allows to re-use knowledge about world dynamics in other contexts (e.g. a new reward function in the same environment): **transfer learning**.



Source: <https://awjuliani.medium.com/the-present-in-terms-of-the-future-successor-representations-in-reinforcement-learning-316b78c5fa3>

- What matters is the states that you will visit and how interesting they are, not the order in which you visit them.
- Knowing that being in the mensa will eventually get you some food is enough to know that being in the mensa is a good state: you do not need to remember which exact sequence of transitions will put food in your mouth.

# Successor Representations (SR)

- SR algorithms must estimate two quantities:

1. The **expected immediate reward** received after each state:

$$r(s) = \mathbb{E}[r_{t+1} | s_t = s]$$

2. The **expected discounted future state occupancy** (the **SR** itself):

$$M^\pi(s, s') = \mathbb{E}_\pi \left[ \sum_{k=0}^{\infty} \gamma^k \mathbb{I}(s_{t+k} = s') | s_t = s \right]$$

- The value of a state  $s$  is then computed with:

$$V^\pi(s) = \sum_{s' \in \mathcal{S}} M(s, s') \times r(s')$$

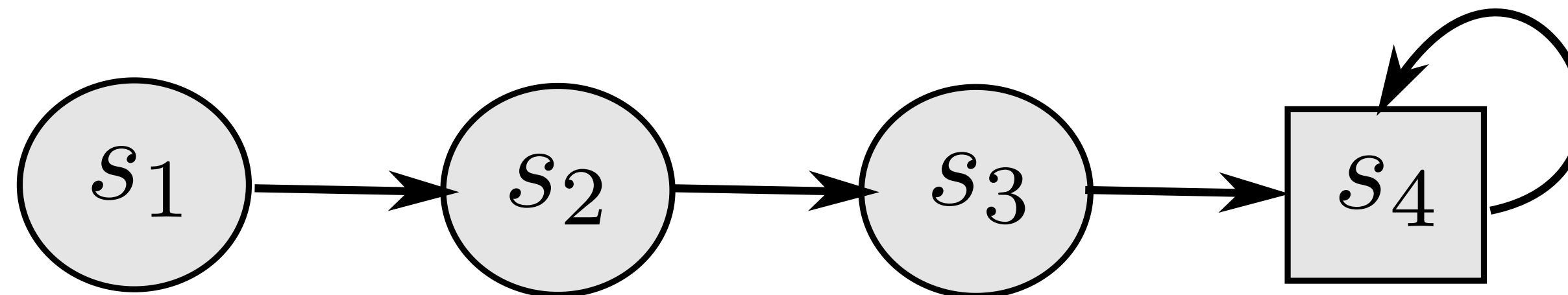
what allows to infer the policy (e.g. using an actor-critic architecture).

- The immediate reward for a state can be estimated very quickly and flexibly after receiving each reward:

$$\Delta r(s_t) = \alpha (r_{t+1} - r(s_t))$$

## SR and transition matrix

- Imagine a very simple MDP with 4 states and a single deterministic action:



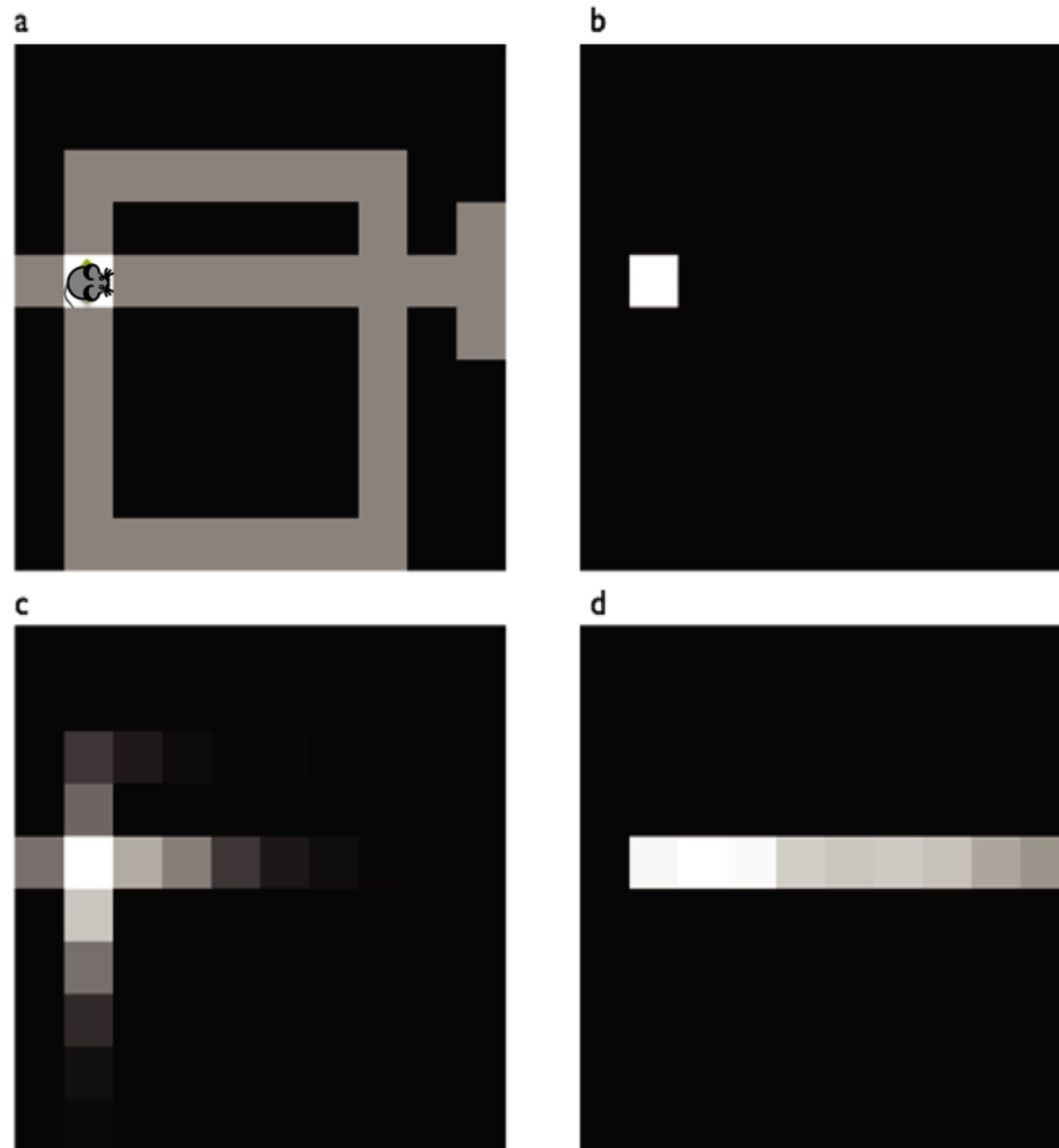
- The transition matrix  $\mathcal{P}^\pi$  depicts the possible  $(s, s')$  transitions:

$$\mathcal{P}^\pi = \begin{bmatrix} 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \\ 0 & 0 & 0 & 1 \end{bmatrix}$$

- The SR matrix  $M$  also represents the future transitions discounted by  $\gamma$ :

$$M = \begin{bmatrix} 1 & \gamma & \gamma^2 & \gamma^3 \\ 0 & 1 & \gamma & \gamma^2 \\ 0 & 0 & 1 & \gamma \\ 0 & 0 & 0 & 1 \end{bmatrix}$$

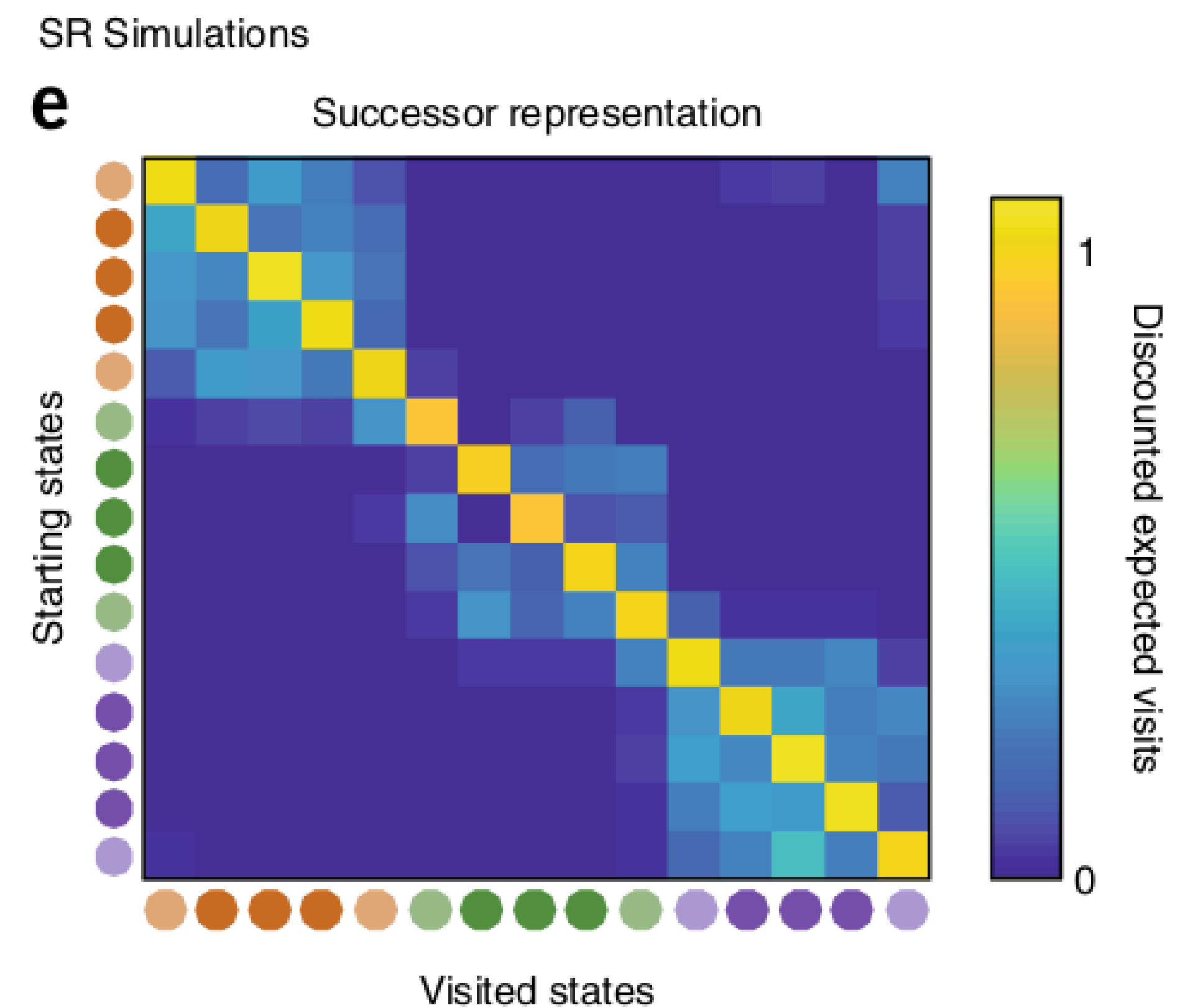
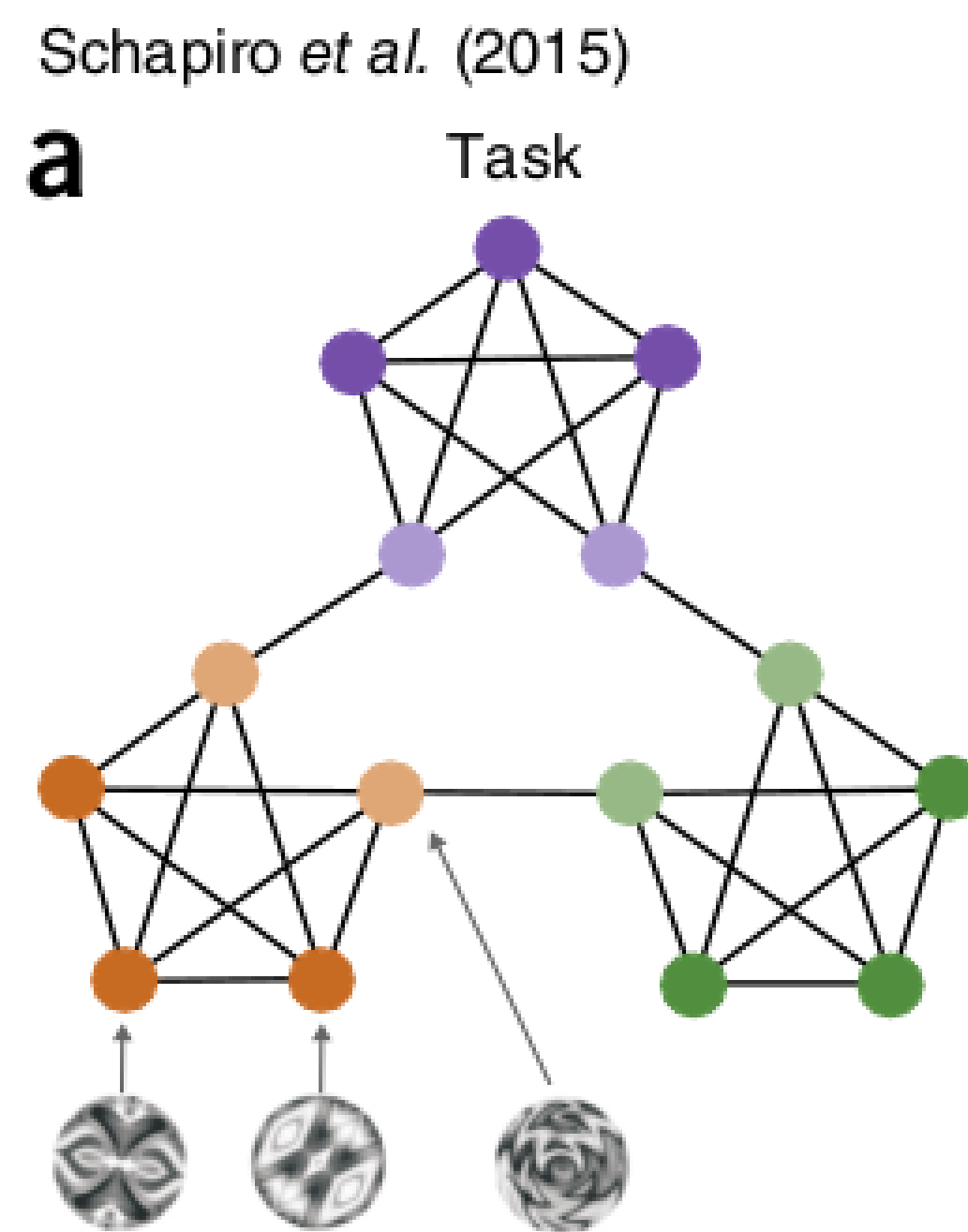
# SR matrix in a Tolman's maze



- The SR represents whether a state can be reached soon from the current state (b) using the current policy.
- The SR depends on the policy:
  - A random agent will map the local neighborhood (c).
  - A goal-directed agent will have SR representations that follow the optimal path (d).
- It is therefore different from the transition matrix, as it depends on behavior and rewards.
- The exact dynamics are lost compared to MB: it only represents whether a state is reachable, not how.

## Example of a SR matrix

- The SR matrix reflects the proximity between states depending on the transitions and the policy. it does not have to be a spatial relationship.





# Learning the SR

- How can we learn the SR matrix for all pairs of states?

$$M^\pi(s, s') = \mathbb{E}_\pi \left[ \sum_{k=0}^{\infty} \gamma^k \mathbb{I}(s_{t+k} = s') \mid s_t = s \right]$$

- We first notice that the SR obeys a recursive Bellman-like equation:

$$\begin{aligned} M^\pi(s, s') &= \mathbb{I}(s_t = s') + \mathbb{E}_\pi \left[ \sum_{k=1}^{\infty} \gamma^k \mathbb{I}(s_{t+k} = s') \mid s_t = s \right] \\ &= \mathbb{I}(s_t = s') + \gamma \mathbb{E}_\pi \left[ \sum_{k=0}^{\infty} \gamma^k \mathbb{I}(s_{t+k+1} = s') \mid s_t = s \right] \\ &= \mathbb{I}(s_t = s') + \gamma \mathbb{E}_{s_{t+1} \sim \mathcal{P}^\pi(s' | s)} \left[ \mathbb{E}_\pi \left[ \sum_{k=0}^{\infty} \gamma^k \mathbb{I}(s_{t+k} = s') \mid s_{t+1} = s \right] \right] \\ &= \mathbb{I}(s_t = s') + \gamma \mathbb{E}_{s_{t+1} \sim \mathcal{P}^\pi(s' | s)} [M^\pi(s_{t+1}, s')] \end{aligned}$$

- This is reminiscent of TDM: the remaining distance to the goal is 0 if I am already at the goal, or gamma the distance from the next state to the goal.

# Model-based SR

- Bellman-like SR:

$$M^\pi(s, s') = \mathbb{I}(s_t = s') + \gamma \mathbb{E}_{s_{t+1} \sim \mathcal{P}^\pi(s'|s)} [M^\pi(s_{t+1}, s')]$$

- If we know the transition matrix for a fixed policy  $\pi$ :

$$\mathcal{P}^\pi(s, s') = \sum_a \pi(s, a) p(s'|s, a)$$

we can obtain the SR directly with matrix inversion as we did in **dynamic programming**:

$$M^\pi = I + \gamma \mathcal{P}^\pi \times M^\pi$$

so that:

$$M^\pi = (I - \gamma \mathcal{P}^\pi)^{-1}$$

- This DP approach is called **model-based SR** (MB-SR) as it necessitates to know the environment dynamics.

## Model-free SR

- If we do not know the transition probabilities, we simply sample a single  $s_t, s_{t+1}$  transition:

$$M^\pi(s_t, s') \approx \mathbb{I}(s_t = s') + \gamma M^\pi(s_{t+1}, s')$$

- We can define a **sensory prediction error** (SPE):

$$\delta_t^{\text{SR}} = \mathbb{I}(s_t = s') + \gamma M^\pi(s_{t+1}, s') - M(s_t, s')$$

that is used to update an estimate of the SR:

$$\Delta M^\pi(s_t, s') = \alpha \delta_t^{\text{SR}}$$

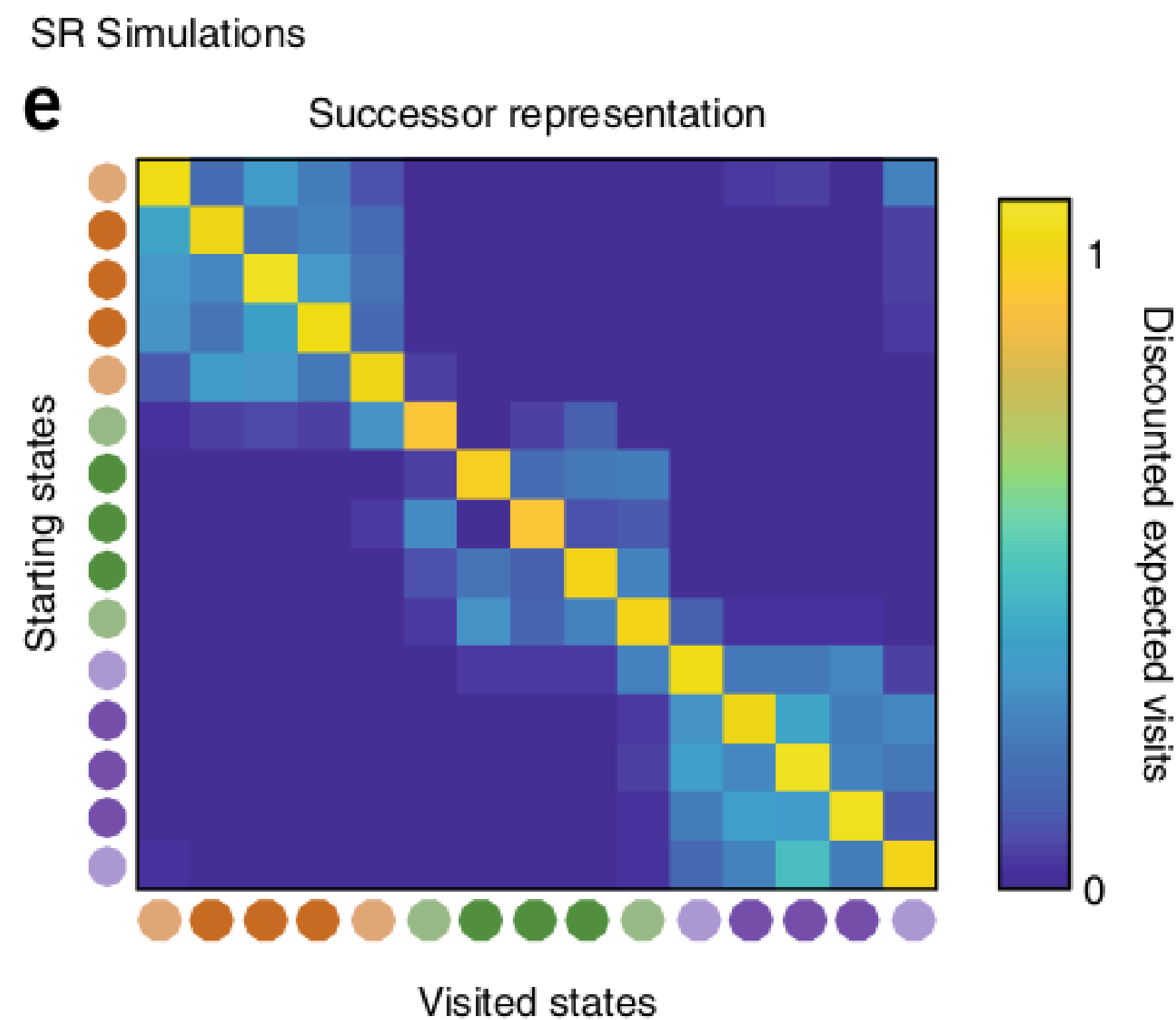
- This is **SR-TD**, using a SPE instead of RPE, which learns only from transitions but ignores rewards.

# The sensory prediction error - SPE

- The SPE has to be applied on ALL successor states  $s'$  after a transition  $(s_t, s_{t+1})$ :

$$M^\pi(s_t, \mathbf{s}') = M^\pi(s_t, \mathbf{s}') + \alpha (\mathbb{I}(s_t = \mathbf{s}') + \gamma M^\pi(s_{t+1}, \mathbf{s}') - M(s_t, \mathbf{s}'))$$

- Contrary to the RPE, the SPE is a **vector** of prediction errors, used to update one row of the SR matrix.
- The SPE tells how **surprising** a transition  $s_t \rightarrow s_{t+1}$  is for the SR.



# Successor representations

- The SR matrix represents the **expected discounted future state occupancy**:

$$M^{\pi}(s, s') = \mathbb{E}_{\pi} \left[ \sum_{k=0}^{\infty} \gamma^k \mathbb{I}(s_{t+k} = s') | s_t = s \right]$$

- It can be learned using a TD-like SPE from single transitions:

$$M^{\pi}(s_t, s') = M^{\pi}(s_t, s') + \alpha (\mathbb{I}(s_t = s') + \gamma M^{\pi}(s_{t+1}, s') - M(s_t, s'))$$

- The immediate reward in each state can be learned **independently from the policy**:

$$\Delta r(s_t) = \alpha (r_{t+1} - r(s_t))$$

- The value  $V^{\pi}(s)$  of a state is obtained by summing of all successor states:

$$V^{\pi}(s) = \sum_{s' \in \mathcal{S}} M(s, s') \times r(s')$$

- This critic can be used to train an **actor**  $\pi_{\theta}$  using regular TD learning (e.g. A3C).

## Successor representation of actions

- Note that it is straightforward to extend the idea of SR to state-action pairs:

$$M^{\pi}(s, a, s') = \mathbb{E}_{\pi} \left[ \sum_{k=0}^{\infty} \gamma^k \mathbb{I}(s_{t+k} = s') \mid s_t = s, a_t = a \right]$$

allowing to estimate Q-values:

$$Q^{\pi}(s, a) = \sum_{s' \in \mathcal{S}} M(s, a, s') \times r(s')$$

using SARSA or Q-learning-like SPEs:

$$\delta_t^{\text{SR}} = \mathbb{I}(s_t = s') + \gamma M^{\pi}(s_{t+1}, a_{t+1}, s') - M(s_t, a_t, s')$$

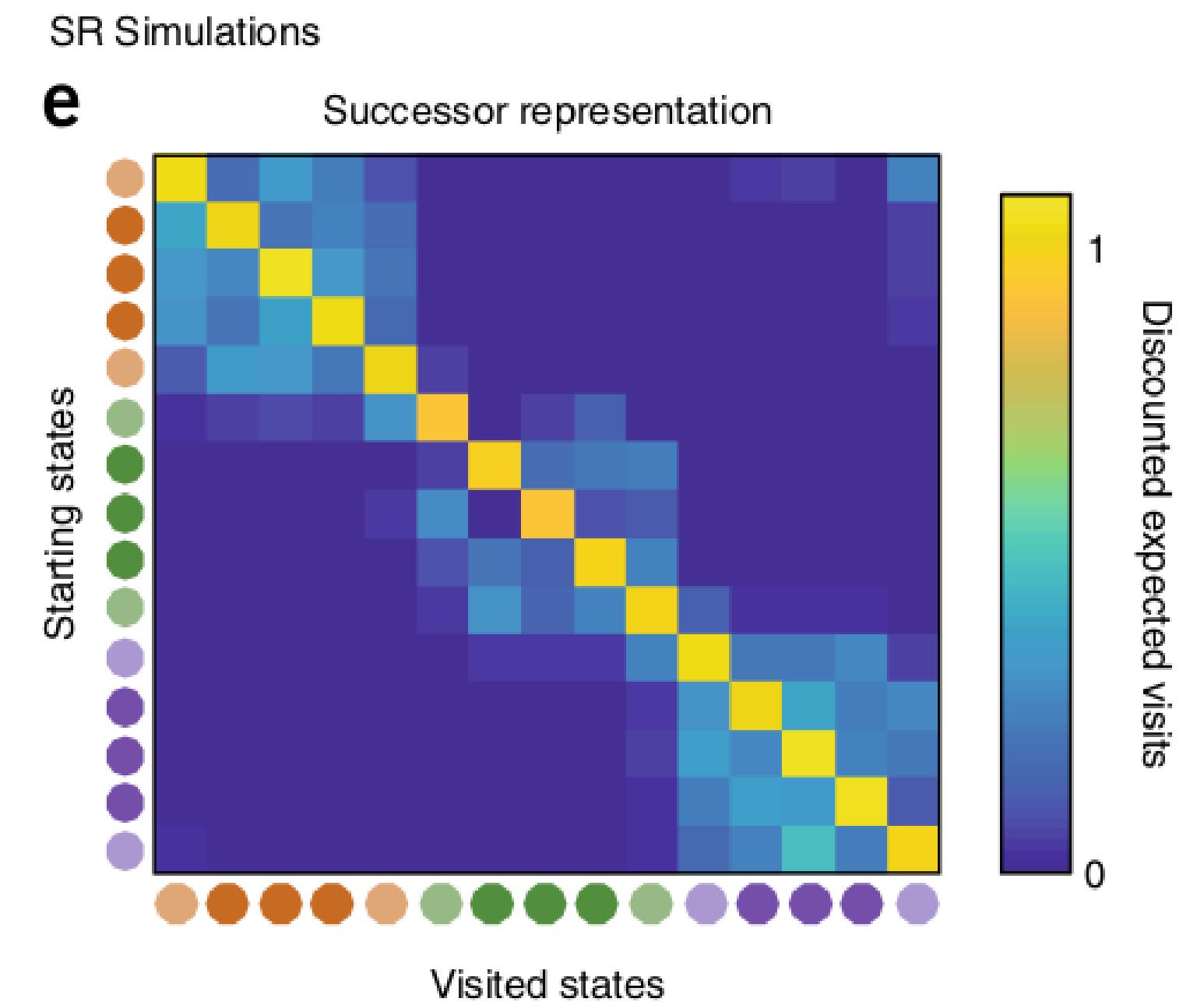
depending on the choice of the next action  $a_{t+1}$  (on- or off-policy).

## 3 - Successor features



# Successor features

- The SR matrix associates each state to all others ( $N \times N$  matrix):
  - curse of dimensionality.
  - only possible for discrete state spaces.
- A better idea is to describe each state  $s$  by a feature vector  $\phi(s) = [\phi_i(s)]_{i=1}^d$  with less dimensions than the number of states.
- This feature vector can be constructed (see the lecture on function approximation) or learned by an autoencoder (latent representation).



Source: <http://www.jessicayung.com/the-successor-representation-1-generalising-between-states/>

# Successor features

- The **successor feature representation** (SFR) represents the discounted probability of observing a feature  $\phi_j$  after being in  $s$ .



Source: <http://www.jessicayung.com/the-successor-representation-1-generalising-between-states/>

- Instead of predicting when the agent will see a cat after being in the current state  $s$ , the SFR predicts when it will see eyes, ears or whiskers independently:

$$M_j^\pi(s) = M^\pi(s, \phi_j) = \mathbb{E}_\pi \left[ \sum_{k=0}^{\infty} \gamma^k \mathbb{I}(\phi_j(s_{t+k})) \mid s_t = s, a_t = a \right]$$

- Linear SFR (Gehring, 2015) supposes that it can be linearly approximated from the features of the current state:

$$M_j^\pi(s) = M^\pi(s, \phi_j) = \sum_{i=1}^d m_{i,j} \phi_i(s)$$

# Successor features

- The value of a state is now defined as the sum over successor features of their immediate reward discounted by the SFR:

$$V^\pi(s) = \sum_{j=1}^d M_j^\pi(s) r(\phi_j) = \sum_{j=1}^d r(\phi_j) \sum_{i=1}^d m_{i,j} \phi_i(s)$$

- The SFR matrix  $M^\pi = [m_{i,j}]_{i,j}$  associates each feature  $\phi_i$  of the current state to all successor features  $\phi_j$ .
  - Knowing that I see a kitchen door in the current state, how likely will I see a food outcome in the near future?
- Each successor feature  $\phi_j$  is associated to an expected immediate reward  $r(\phi_j)$ .
  - A good state is a state where food features (high  $r(\phi_j)$ ) are likely to happen soon (high  $m_{i,j}$ ).
- In matrix-vector form:

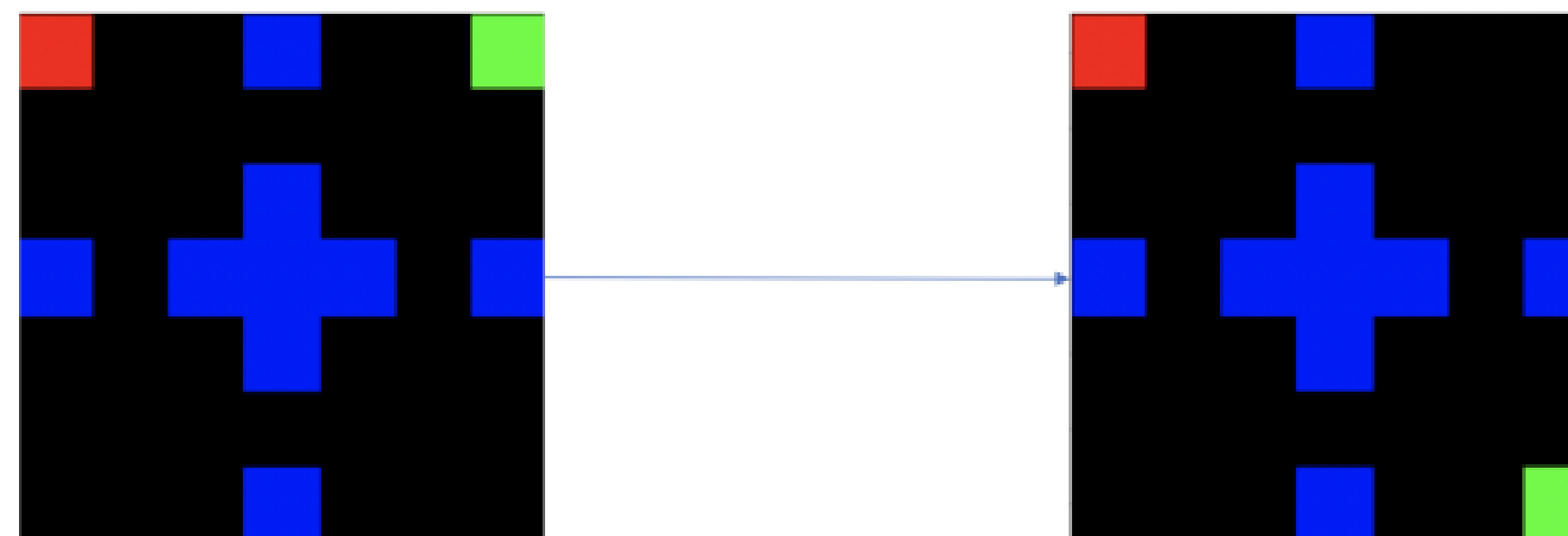
$$V^\pi(s) = \mathbf{r}^T \times M^\pi \times \phi(s)$$

# Successor features

- Value of a state:

$$V^{\pi}(s) = \mathbf{r}^T \times M^{\pi} \times \phi(s)$$

- The reward vector  $\mathbf{r}$  only depends on the features and can be learned independently from the policy, but can be made context-dependent:
  - Food features can be made more important when the agent is hungry, less when thirsty.
- **Transfer learning** becomes possible in the same environment:
  - Different goals (searching for food or water, going to place A or B) only require different reward vectors.
  - The dynamics of the environment are stored in the SFR.



Source: <https://awjuliani.medium.com/the-present-in-terms-of-the-future-successor-representations-in-reinforcement-learning-316b78c5fa3>

# Successor features

- How can we learn the SFR matrix  $M^\pi$ ?

$$V^\pi(s) = \mathbf{r}^T \times M^\pi \times \phi(s)$$

- We only need to use the sensory prediction error for a transition between the feature vectors  $\phi(s_t)$  and  $\phi(s_{t+1})$ :

$$\delta_t^{\text{SFR}} = \phi(s_t) + \gamma M^\pi \times \phi(s_{t+1}) - M^\pi \times \phi(s_t)$$

and use it to update the whole matrix:

$$\Delta M^\pi = \delta_t^{\text{SFR}} \times \phi(s_t)^T$$

- However, this linear approximation scheme only works for **fixed** feature representation  $\phi(s)$ . We need to go deeper...

## 4 - Deep Successor Reinforcement Learning

# Deep Successor Reinforcement Learning

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# Deep Successor Reinforcement Learning

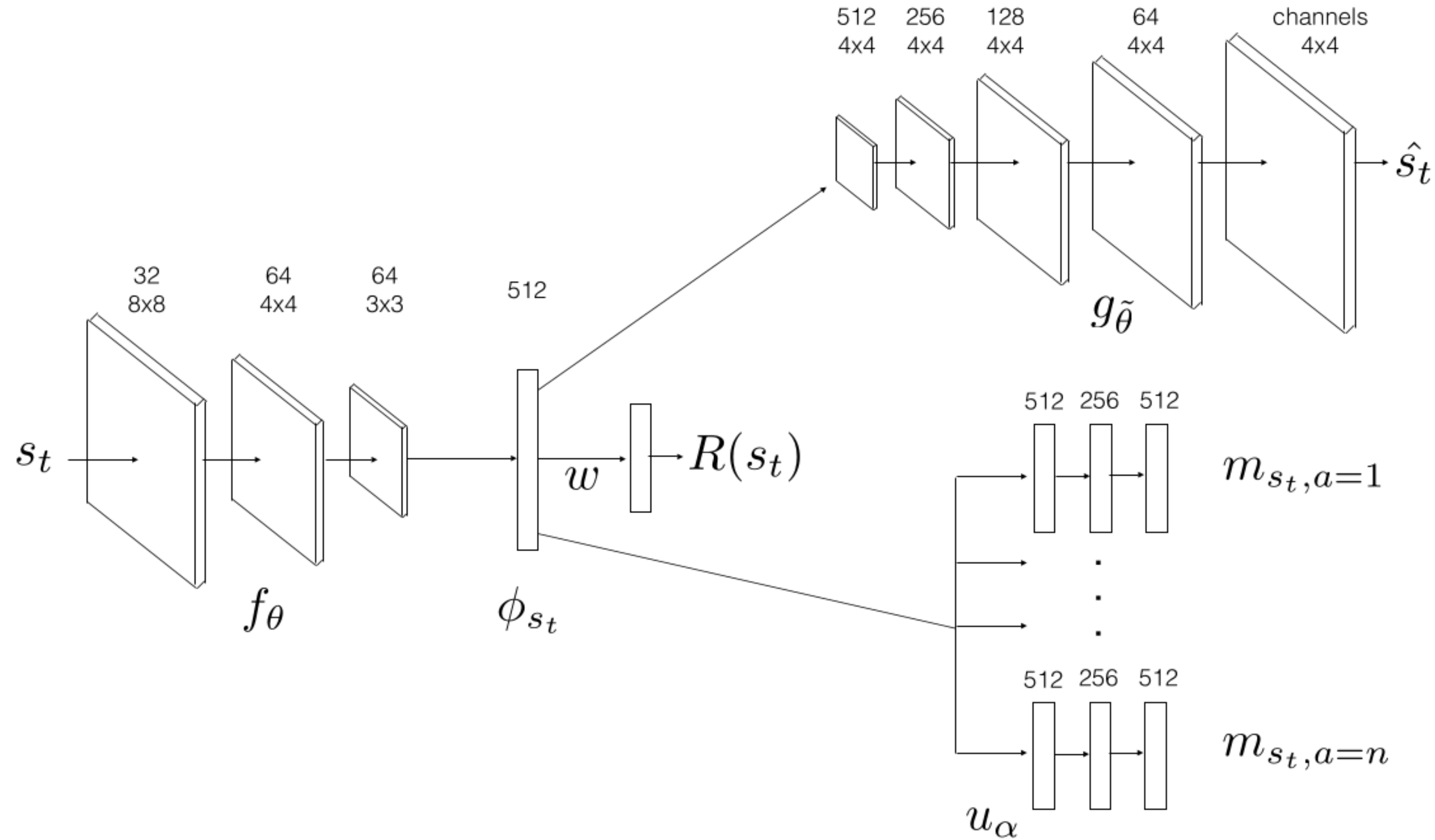


Figure 1: **Model Architecture:** DSR consists of: (1) feature branch  $f_\theta$  (CNN) which takes in raw images and computes the features  $\phi_{s_t}$ , (2) successor branch  $u_\alpha$  which computes the SR  $m_{s_t,a}$  for each possible action  $a \in \mathcal{A}$ , (3) a deep convolutional decoder which produces the input reconstruction  $\hat{s}_t$  and (4) a linear regressor to predict instantaneous rewards at  $s_t$ . The Q-value function can be estimated by taking the inner-product of the SR with reward weights:  $Q^\pi(s, a) \approx m_{sa} \cdot \mathbf{w}$ .



# Deep Successor Reinforcement Learning

- Each state  $s_t$  is represented by a D-dimensional (D=512) vector  $\phi(s_t) = f_\theta(s_t)$  which is the output of an encoder.
- A decoder  $g_{\hat{\theta}}$  is used to provide a reconstruction loss, so  $\phi(s_t)$  is a latent representation of an autoencoder:

$$\mathcal{L}_{\text{reconstruction}}(\theta, \hat{\theta}) = \mathbb{E}[(g_{\hat{\theta}}(\phi(s_t)) - s_t)^2]$$

- The immediate reward  $R(s_t)$  is linearly predicted from the feature vector  $\phi(s_t)$  using a reward vector  $\mathbf{w}$ .

$$R(s_t) = \phi(s_t)^T \times \mathbf{w}$$

$$\mathcal{L}_{\text{reward}}(\mathbf{w}, \theta) = \mathbb{E}[(r_{t+1} - \phi(s_t)^T \times \mathbf{w})^2]$$

- The reconstruction loss is important, otherwise the latent representation  $\phi(s_t)$  would be too reward-oriented and would not generalize.
- The reward function is learned on a single task, but it can fine-tuned on another task, with all other weights frozen.

# Deep Successor Reinforcement Learning

- For each action  $a$ , a NN  $u_\alpha$  predicts the future feature occupancy  $M(s, s', a)$  for the current state:

$$m_{s_t a} = u_\alpha(s_t, a)$$

- The Q-value of an action is simply the dot product between the SR of an action and the reward vector  $\mathbf{w}$ :

$$Q(s_t, a) = \mathbf{w}^T \times m_{s_t a}$$

- The selected action is  $\epsilon$ -greedily selected around the greedy action:

$$a_t = \arg \max_a Q(s_t, a)$$

- The SR of each action is learned using the Q-learning-like SPE (with fixed  $\theta$  and a target network  $u_{\alpha'}$ ):

$$\mathcal{L}^{\text{SPE}}(\alpha) = \mathbb{E} \left[ \sum_a (\phi(s_t) + \gamma \max_{a'} u_{\alpha'}(s_{t+1}, a') - u_\alpha(s_t, a))^2 \right]$$

- The compound loss is used to train the complete network end-to-end **off-policy** using a replay buffer (DQN-like).

$$\mathcal{L}(\theta, \hat{\theta}, \mathbf{w}, \alpha) = \mathcal{L}_{\text{reconstruction}}(\theta, \hat{\theta}) + \mathcal{L}_{\text{reward}}(\mathbf{w}, \theta) + \mathcal{L}^{\text{SPE}}(\alpha)$$

# Deep Successor Reinforcement Learning

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**Algorithm 1** Learning algorithm for DSR

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```
1: Initialize experience replay memory  $\mathcal{D}$ , parameters  $\{\theta, \alpha, \mathbf{w}, \tilde{\theta}\}$  and exploration probability  $\epsilon = 1$ .
2: for  $i = 1 : \#episodes$  do
3:   Initialize game and get start state description  $s$ 
4:   while not terminal do
5:      $\phi_s = f_\theta(s)$ 
6:     With probability  $\epsilon$ , sample a random action  $a$ , otherwise choose  $\operatorname{argmax}_a u_\alpha(\phi_s, a) \cdot \mathbf{w}$ 
7:     Execute  $a$  and obtain next state  $s'$  and reward  $R(s')$  from environment
8:     Store transition  $(s, a, R(s'), s')$  in  $\mathcal{D}$ 
9:     Randomly sample mini-batches from  $\mathcal{D}$ 
10:    Perform gradient descent on the loss  $L^r(\mathbf{w}, \theta) + L^a(\tilde{\theta}, \theta)$  with respect to  $\mathbf{w}$ ,  $\theta$  and  $\tilde{\theta}$ .
11:    Fix  $(\theta, \tilde{\theta}, \mathbf{w})$  and perform gradient descent on  $L^m(\alpha, \theta)$  with respect to  $\alpha$ .
12:     $s \leftarrow s'$ 
13:  end while
14:  Anneal exploration variable  $\epsilon$ 
15: end for
```

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# Deep Successor Reinforcement Learning

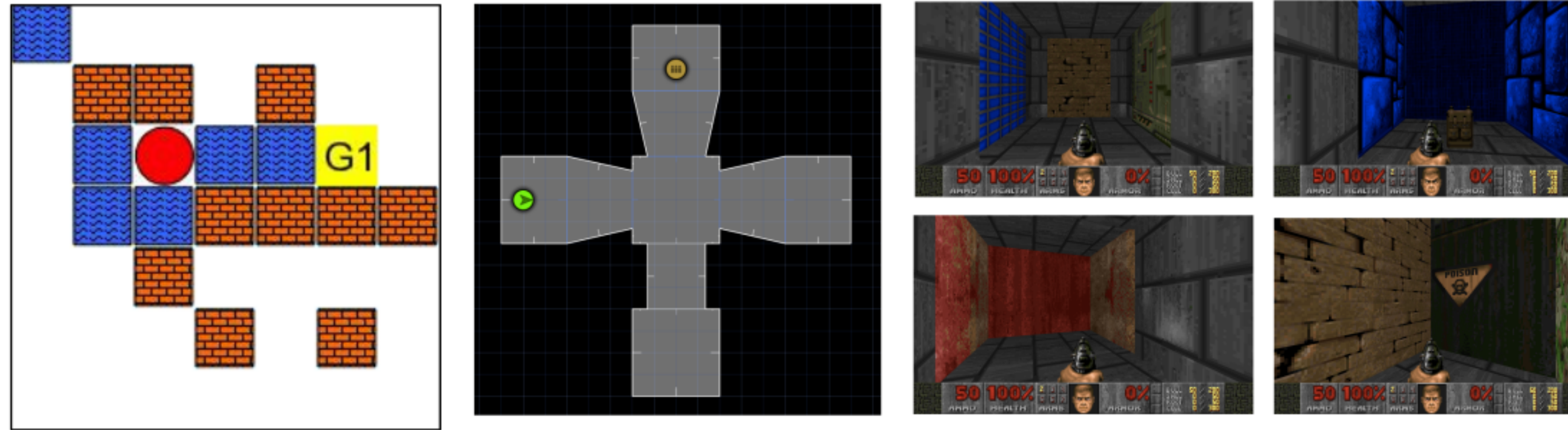


Figure 2: **Environments:** **(left)** MazeBase [37] map where the agent starts at an arbitrary location and needs to get to the goal state. The agent gets a penalty of  $-0.5$  per-step,  $-1$  to step on the water-block (blue) and  $+1$  for reaching the goal state. The model observes raw pixel images during learning. **(center)** A *Doom* map using the VizDoom engine [13] where the agent starts in a room and has to get to another room to collect ammo (per-step penalty =  $-0.01$ , reward for reaching goal =  $+1$ ). **(right)** Sample screen-shots of the agent exploring the 3D maze.

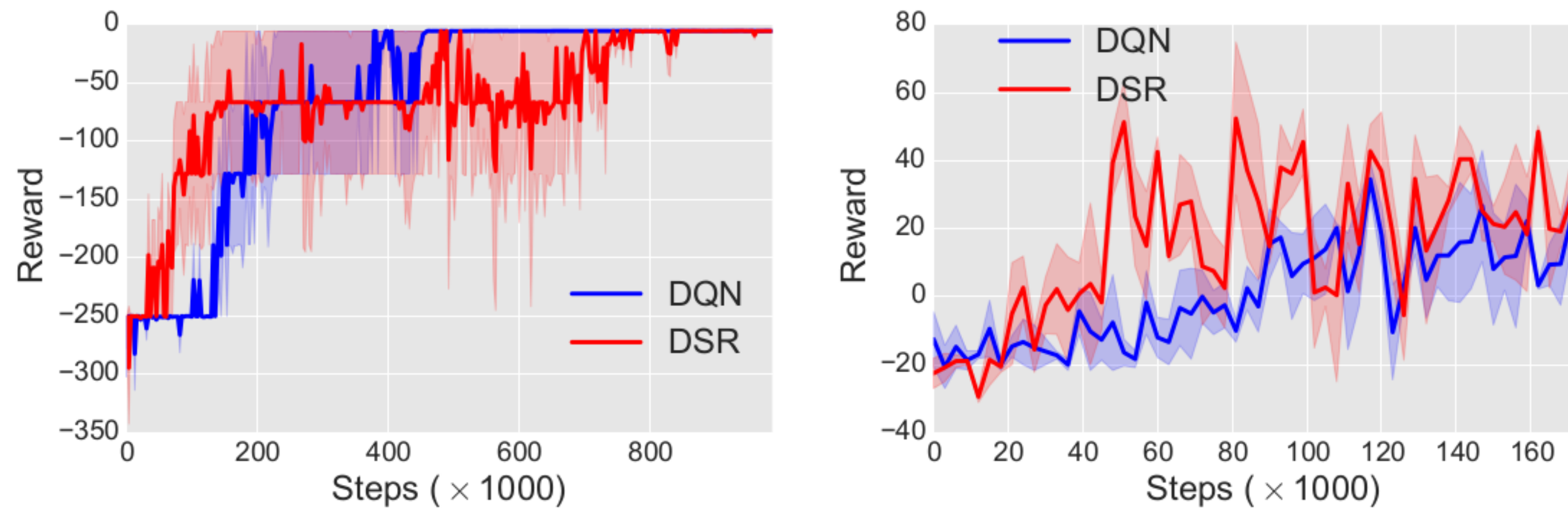
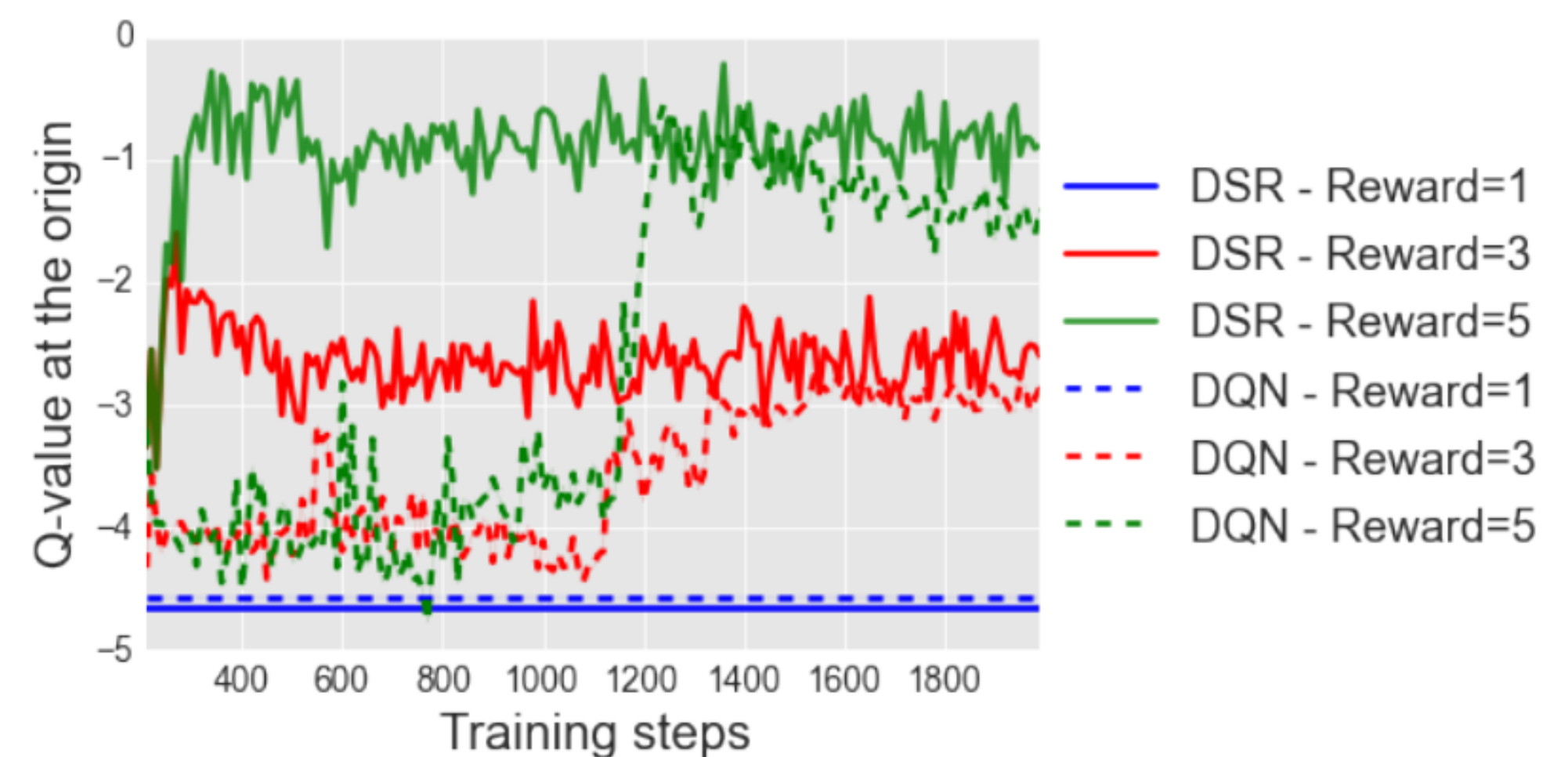


Figure 3: Average trajectory of the reward **(left)** over 100k steps for the grid-world maze. **(right)** over 180k steps for the *Doom* map over multiple runs.

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- The interesting property is that you do not need rewards to learn:

- A random agent can be used to learn the encoder and the SR, but  $\mathbf{w}$  can be left untouched.
- When rewards are introduced (or changed), only  $\mathbf{w}$  has to be adapted, while DQN would have to re-learn all Q-values.




- This is the principle of **latent learning** in animal psychology: fooling around in an environment without a goal allows to learn the structure of the world, what can speed up learning when a task is introduced.
- The SR is a **cognitive map** of the environment: learning task-unspecific relationships.



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- Note: the same idea was published by three different groups at the same time (preprint in 2016, conference in 2017):
  - Barreto A, Dabney W, Munos R, Hunt JJ, Schaul T, van Hasselt H, Silver D. (2016). Successor Features for Transfer in Reinforcement Learning. arXiv:160605312.
  - Kulkarni, T. D., Saeedi, A., Gautam, S., and Gershman, S. J. (2016). Deep Successor Reinforcement Learning. arXiv:1606.02396.
  - Zhang J, Springenberg JT, Boedecker J, Burgard W. (2016). Deep Reinforcement Learning with Successor Features for Navigation across Similar Environments. arXiv:161205533.
- The (Barreto et al., 2016) is from Deepmind, so it tends to be cited more...


# Visual Semantic Planning using Deep Successor Representations


 Visual Semantic Planning


Random

Random Valid


A3C










CLS-MLP



SR (Ours)







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