Learning Representations via a Robust Behavioral Metric for Deep Reinforcement Learning

Abstract

Learning an informative representation with behavioral metrics is able to accelerate deep reinforcement learning process. Two key research issues on behavioral metric-based representation learning are how to relax the computation of a specific behavioral metric, which is difficult or even intractable to compute, and how to approximate the relaxed metric by learning an embedding space for states. In this paper, we analyze the potential relaxation and/or approximation gaps for existing behavioral metric-based representation learning methods. Based on the analysis, we propose a new behavioral distance, the RAP distance, and develop a practical representation learning algorithm on top of it. We provide theoretical analysis on the proposed algorithm. We conduct extensive experiments on DeepMind Control Suite with distraction, Robosuite, and autonomous driving simulator CARLA to demonstrate new state-of-the-art results.

1 Introduction

Deep reinforcement learning (RL) aims to interactively learn an optimal policy from high-dimensional environmental observations or states in an end-to-end manner. In the literature, it has been demonstrated that a robust representation of states, which are task-relevant and invariant to task-irrelevant background information, is able to significantly speed up the RL process and makes the learned policy more generalizable. Therefore, representation learning has played a key role in Deep RL algorithms and attracts more and more attraction in the RL community [4, 23, 17, 20].

Prior works on representation learning are focused on learning embeddings to represent states based on a reconstruction loss [26, 25, 13]. Though promising results have been reported on some RL application domains, policies learned with such representations usually fail to generalize well in a complex environment because minimizing a reconstruction loss may potentially introduce local (visual) features with task-irrelevant information. Another research direction is to apply data augmentation techniques to learn robust state representations for an RL agent [19, 28, 27]. While data augmentation-based approaches may be able to learn more robust feature representations, they do not take the characteristics of a Markov Decision Process (MDP). e.g., reward signals and dynamics models, into consideration when learning representations. As a result, the learned representations may not be informative for learning an optimal policy for the task of interest. A third research direction is to construct some auxiliary tasks in addition to the prime RL task and learn state representations by learning all the tasks simultaneously [14, 2, 21]. These approaches can be considered as shaping the state representations implicitly by learning the auxiliary tasks, which do not have a guarantee for learning a better policy, especially when the auxiliary tasks fail to benefit the learning of the RL task.

Recently, behavioral metrics, such as the bisimulation metric and its variants [7, 8, 3], have been exploited in representation learning for deep RL. Behavioral metrics are originally proposed to measure behavioral similarity between states in terms of rewards and dynamics models, e.g, state

Submitted to 36th Conference on Neural Information Processing Systems (NeurIPS 2022). Do not distribute.

transition probabilities. The high-level idea is to learn state embeddings by preserving the behavioral similarity between states based on a specific behavioral metric [29, 1, 16, 4]. As behavioral metrics provide a theoretical bound on the difference between the outputs of value function on pair of states, the learned representation enjoys a theoretical guarantee to capture behavioral structure in the environment for policy learning. However, as behavioral metrics are expensive or even intractable to compute, different approximation approaches and learning objectives have been proposed to make behavioral metric-based representation learning for RL agents more efficiently [29, 1, 16, 4].

Though behavioral metric-based representation learning methods have achieved state-of-the-art results on some benchmark RL problems, they suffer from at least one of the following three issues: loss function mismatch, relaxation of dynamics model divergence and limitation of the L_1 / L_2 norm.

- **Loss function mismatch**. In behavioral metric-based representation learning, the loss function is the difference between the distance between states on the embedding space and their behavioral metric. As behavioral metrics are expensive or even intractable to computers, approximation or relaxation are necessary. However, based on our analysis, state-of-the-art methods adopt improper approximations, which may introduce bias and makes the bound on value function looser.

- **Relaxation of dynamics model divergence**. The bisimulation metric or its on-policy invariant is one of the most widely used behavioral metrics, which requires estimating the 1-Wasserstein distance between dynamics models. As the 1-Wasserstein distance is usually difficult or intractable to estimate, prior methods propose some relaxations to replace the estimation of the 1-Wasserstein, which may break some theoretical guarantees of the bisimulation metric.

- **Limitation of the L_1 / L_2 norm**. The L_1 and the L_2 norms are commonly-used distances with zero self-distance. However, due to the two gaps mentioned above, the approximations or relaxations of behavior metrics in prior approaches are potentially non-zero self-distance. Using the L_1 or L_2 distance on embedding space is difficult to learn robust representation to preserve the behavioral similarity between states.

To the aforementioned issues or gaps, in this paper, we first introduce a new behavior metric namely the *Reducing Approximation Gap* (RAP) distance, and we then develop a practical approximation algorithm with consistency to its theoretical prototype. In this way, our algorithm is guaranteed to learn a robust state representation to capture behavioral similarity between states. We conduct expensive experiments on DeepMind Control Suite (DMC) [24] with background distraction, Robosuite [30] and autonomous driving simulator CARLA [6] to demonstrate new state-of-the-art results compared with other behavior metric-based representation learning methods.

The contributions of this paper are two-fold: 1) we analyze the potential approximation gaps for existing behavioral metric-based representation learning approaches, and 2) we introduce a new behavior distance RAP and develop its practical approximation algorithm with theoretical guarantees.

2 Related Work

In RL, early research works have focused on learning state representations by designing and optimizing some auxiliary objectives in addition to the RL task of interest. For instance, Hafner et al. [11] propose to learn a dynamics model to predict future states with reconstruction loss. Gelada et al. [9] aim to learn state representations by predicting dynamics model and reward function on embedding space. Laskin et al. [17] apply contrastive learning with samples generated by momentum encoder. Hansen et al. [12] predict an inverse model as auxiliary task for representation learning. Another type of approaches aims to apply data augmentation techniques to improve representation learning. For instance, Laskin et al. [18] conduct extensive study of data augmentation for deep RL with pixel-based input. Yarats et al. [28] adopt random crops on pixel-based input and regularizes the Q-function objectives. Lee et al. [19] introduce convolutional neural network with randomized parameters. Stooke et al. [23] use augmented samples for representation contrastive learning, In contrast to these works, our proposed method aim to encode state representation into a structural metric space based on behavioral metrics.

Recently, behavioral metric-based representation learning has attracted more and more attention in the RL community. For instance, Zhang et al. [29] aim to learn representation by approximating

the bisimulation metric [7, 3] on embedding space. Agarwal et al. [1] propose a behavioral metric considering a distance between action distributions given states for representation learning. Kemertas and Aumentado-Armstrong [16] propose to improve the robustness of the representation learning method in [29] by adding norm constraints on the embedding space and intrinsic rewards. Castro et al. [4] introduce a new behavioral distance and develop a sampling-based approach to preserve behavioral similarity between states on the embedding space. Chen and Pan [5] propose to learn neural networks to approximate components in the bisimulation metric on embedding state space.

3 Preliminaries

Reinforcement Learning We consider a Markov Decision Process (MDP) defined by a tuple $\langle \mathcal{S}, \mathcal{A}, \mathcal{R}, P, \gamma \rangle$, where $\mathcal{S}$ is the high-dimensional state space, $\mathcal{A}$ is the action space, $P(\mathbf{s}'|\mathbf{s}, \mathbf{a})$ is the transition distribution that captures the probability of entering next state $\mathbf{s}' \in \mathcal{S}$ given current state $\mathbf{s} \in \mathcal{S}$ and action $a \in \mathcal{A}$, $\mathcal{R} : \mathcal{S} \times \mathcal{A} \to \mathbb{R}$ is the reward function and $\gamma \in [0, 1)$ is the discount factor. In the sequel, we use $P_{\mathbf{s}}^a$ and $r_{\mathbf{s}}^a$ to denote $P(\cdot|\mathbf{s}, a)$ and $\mathcal{R}(\mathbf{s}, a)$, respectively. A policy $\pi(a|\mathbf{s})$ is a probability distribution over each action a conditioned on state $\mathbf{s}$. The value function $V^\pi : \mathcal{S} \to \mathbb{R}$ for a given policy π at state $\mathbf{s}$ is defined as the expected sum of discounted future rewards,

$$V^\pi(\mathbf{s}) = \mathop{\mathbb{E}}_{\substack{\mathbf{a}_t \sim \pi(\cdot|\mathbf{s}_t) \\ \mathbf{s}_{t+1} \sim P_{\mathbf{s}_t}^{\mathbf{a}_t}}} \left[\sum_{t=0}^\infty \gamma^t r_{\mathbf{s}_t}^{\mathbf{a}_t} \mid \mathbf{s}_0 = \mathbf{s} \right].$$

The goal of reinforcement learning is to find an optimal policy $\pi^* = \arg\max_\pi V^\pi$ that maximizes the expected future rewards. In the scope of representation learning for deep RL, a state encoder $\phi : \mathcal{S} \to \mathbb{R}^n$ maps a high-dimensional state to a low-dimensional vector, with which a policy $\pi(a|\phi(\mathbf{s}))$ is learned.

Bisimulation Metrics The bisimulation metric [7, 8] defines a pseudometric $d : \mathcal{S} \times \mathcal{S} \to \mathbb{R}$ to measure the behavioral distance between states. Recently, a variant of the bisimulation metric, *on-policy* bisimulation metric (or π-bisimulation metric) is proposed [3], which is focused on behaviors relative to a particular policy π. π-bisimulation metric consists of a reward difference term and a Wasserstein distance in dynamics models between states.

Theorem 3.1 (π-bisimulation metric [3]). *Let $\mathbb{M}$ be the set of all pseudometrics on space $\mathcal{S}$. A pseudometric transformation function $\mathcal{F}_B^\pi : \mathbb{M} \to \mathbb{M}$ is defined as,*

$$\mathcal{F}_B^\pi(d)(\mathbf{s}_i, \mathbf{s}_j) = |\mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} - \mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}| + \gamma W_1(d)(P_{\mathbf{s}_i}^\pi, P_{\mathbf{s}_j}^\pi) \tag{1}$$

where $\mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} = \mathbb{E}_{\mathbf{a}_i \sim \pi(\cdot|\mathbf{s}_i)} r_{\mathbf{s}_i}^{\mathbf{a}_i}, P_{\mathbf{s}_i}^\pi = \mathbb{E}_{a \sim \pi(\cdot|\mathbf{s}_i)} P_{\mathbf{s}_i}^a$ and W_1 is 1-Wasserstein distance. $\mathcal{F}_B^\pi$ has a least fixed point d_B^π and d_B^π is a π-bisimulation metric.

The following theorem shows that the difference in value function is bounded by d_B^π.

Theorem 3.2 (Value difference bound [3]). *Given states $\mathbf{s}_i$ and $\mathbf{s}_i$ and policy π, we have*

$$|V^\pi(\mathbf{s}_i) - V^\pi(\mathbf{s}_j)| \le d_B^\pi(\mathbf{s}_i, \mathbf{s}_j). \tag{2}$$

MICo distance The MICo distance [4] is a variant of the π-bisimulation metric, which measures the distribution distance between dynamics models by computing the distance between sampled next states from the dynamics models in order to avoid the computation of the Wasserstein distance.

Theorem 3.3 (MICo distance [4]). *Let $\mathbb{M}$ be the space of distance function $d : \mathcal{S} \times \mathcal{S} \to \mathbb{R}$, if the MICo metric function $\mathcal{F}_M^\pi : \mathbb{M} \to \mathbb{M}$ is defined as,*

$$\mathcal{F}_M^\pi(d)(\mathbf{s}_i, \mathbf{s}_j) = |\mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} - \mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}| + \gamma \mathbb{E}_{\substack{\mathbf{s}_i' \sim P_{\mathbf{s}_i}^\pi \\ \mathbf{s}_j' \sim P_{\mathbf{s}_j}^\pi}} d(\mathbf{s}_i', \mathbf{s}_j'), \tag{3}$$

then $\mathcal{F}_M^\pi$ has a unique fixed point d_M^π.

Theorem 3.4 (Value difference bound [4]). *Given states $\mathbf{s}_i$ and $\mathbf{s}_i$ and policy π, we have*

$$|V^\pi(\mathbf{s}_i) - V^\pi(\mathbf{s}_j)| \le d_M^\pi(\mathbf{s}_i, \mathbf{s}_j). \tag{4}$$

4 Approximation Gaps in Behavioral Metric-based Representation Learning

The high-level idea of behavioral metric-based representation learning is to learn an embedding space such that after mapping states onto the embedding space, the behavioral similarity can be preserved. We denote the state encoder by $\phi_\omega : \mathcal{S} \to \mathbb{R}^n$ with parameter ω and the distance between states on the embedding space $\mathbb{R}^n$ by $\hat{d}(\phi_\omega(\mathbf{s}_i), \phi_\omega(\mathbf{s}_j))$, e.g. $\hat{d}$ can be the L_2 norm distance. The problem of representation learning in terms of ω can be cast as a minimization problem of the following expected squared difference or loss between the distance on the embedding space, $\hat{d}(\phi_\omega(\mathbf{s}_i), \phi_\omega(\mathbf{s}_j))$, and the corresponding behavior metric, $d^\pi(\mathbf{s}_i, \mathbf{s}_j)$, between any pair of states $\mathbf{s}_i$ and $\mathbf{s}_j$:

$$\mathcal{L}(\phi_\omega) = \mathbb{E}\left[\left(\hat{d}(\phi_\omega(\mathbf{s}_i), \phi_\omega(\mathbf{s}_j)) - d^\pi(\mathbf{s}_i, \mathbf{s}_j)\right)^2\right]. \tag{5}$$

To develop a practical algorithm to minimize the above objective, prior approaches adopt different approximation or relaxation strategies to make the resultant optimization problem computationally tractable. As discussed above, there are three common issues underlying most prior approaches, which introduce gaps between the practical algorithms and their theoretical prototype, i.e., (5), namely loss function mismatch, relaxation of dynamics model divergence, and limitation of the L_1 or the L_2 norm. We discuss these 3 gaps in detail in the following sections.

4.1 Loss Function Mismatch

In general, to learn the encoder ϕ_ω by minimizing (5) is computationally intractable or expensive because of the computation of the behavior metric d^π. We take MICo (MICo-based representation learning [4]) as an example. By specifying the term $d^\pi(\mathbf{s}_i, \mathbf{s}_j)$ in (5) as the MICo distance defined in (3), the loss of MICo becomes,

$$\mathcal{L}(\phi_\omega) = \mathbb{E}\left[\left(\hat{d}(\phi_\omega(\mathbf{s}_i), \phi_\omega(\mathbf{s}_j)) - \left|\mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} - \mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}\right| - \gamma \mathbb{E}_{\substack{\mathbf{s}_i' \sim P_{\mathbf{s}_i}^\pi \\ \mathbf{s}_j' \sim P_{\mathbf{s}_j}^\pi}} \hat{d}(\phi_{\bar{\omega}}(\mathbf{s}_i), \phi_{\bar{\omega}}(\mathbf{s}_j))\right)^2\right], \tag{6}$$

where $\bar{\omega}$ a copy of parameter for the target network. However, the reward expectations $\mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i}$ and $\mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}$ in the 2nd term in (6) are computationally intractable and also difficult to estimate even based on sampling. Thus, Castro et al. [4] propose to approximate the loss in (6) with the following alternative loss,

$$\mathcal{L}(\phi_\omega) = \mathbb{E}_{\substack{\mathbf{a}_i \sim \pi, \mathbf{a}_j \sim \pi \\ \mathbf{s}_i' \sim P_{\mathbf{s}_i}^{\mathbf{a}_i}, \mathbf{s}_j' \sim P_{\mathbf{s}_j}^{\mathbf{a}_j}}}\left[\left(\hat{d}(\phi_\omega(\mathbf{s}_i), \phi_\omega(\mathbf{s}_j)) - \left|r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j}\right| - \gamma \hat{d}(\phi_{\bar{\omega}}(\mathbf{s}_i), \phi_{\bar{\omega}}(\mathbf{s}_j))\right)^2\right]. \tag{7}$$

Note that in (7), the expectation operator on rewards is moved out of the absolute value operator of the difference between rewards to avoid the estimation of expectation over rewards, $\mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i}$ and $\mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}$ and enable sampling more efficient. However, such a revision introduces a gap between solutions of minimizing (7) and (6), respectively, because in (7) the reference behavioral metric is no longer the MICo distance but the "shift" MICo distance defined as follows.

Definition 4.1 (Shift MICo distance)**.** The shift MICo distance function $\tilde{\mathcal{F}}_M^\pi$ is defined as

$$\tilde{\mathcal{F}}_M^\pi(d)(\mathbf{s}_i, \mathbf{s}_j) = \mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} |r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j}| + \gamma \mathbb{E}_{\substack{\mathbf{s}_i' \sim P_{\mathbf{s}_i}^\pi \\ \mathbf{s}_j' \sim P_{\mathbf{s}_j}^\pi}} d(\mathbf{s}_i', \mathbf{s}_j').$$

Lemma 4.2 (Fixed-point)**.** *The shift MICo distance function $\tilde{\mathcal{F}}_M^\pi$ has a unique fixed-point $\tilde{d}_M^\pi$.*

Proof. (Sketch) This can be proved by following the proof of Theorem 3.3 by using Banach's fixed-point theorem. A detailed proof can be found in Appendix.

The above lemma shows that the approximated distance on the embedding space $\hat{d}(\phi_\omega(\mathbf{s}_i), \phi_\omega(\mathbf{s}_j))$ still converges to the Shift MICo distance, $\tilde{d}_M^\pi$, by minimizing (7). However, as $\mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} |r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j}| \geq$ $|\mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} - \mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}|$, we have the following theorem, whose proof can be found in Appendix.

Theorem 4.3 (Looser value difference bound)**.** *Given states $\mathbf{s}_i$ and $\mathbf{s}_j$, and a policy π, we have*

$$|V^\pi(\mathbf{s}_i) - V^\pi(\mathbf{s}_j)| \leq d_M^\pi(\mathbf{s}_i, \mathbf{s}_j) \leq \tilde{d}_M^\pi(\mathbf{s}_i, \mathbf{s}_j). \tag{8}$$

Based on the above theorem, as the Shift MICo distance has looser value difference bound, it may be less relevant to value function. As a result, the learned representation may not be able to encode behavior similarity between states accurately. Apart from MICo, other behavioral metric-based methods, which consist of the on-policy reward difference term, such as DBC [29, 16] and AMBS [5], also suffer from a similar approximation gap.

4.2 Relaxation of Dynamics Models Divergence

The π-bisimulation metric needs to compute 1-Wasserstein distance W_1 between dynamics models to measure the distribution distance. In π-bisimulation metric-based representation learning, one can learn the encoder ϕ_ω by minimizing the following loss,

$$\mathcal{L}(\phi_\omega) = \mathbb{E}\left[\left(\hat{d}(\phi_\omega(\mathbf{s}_i), \phi_\omega(\mathbf{s}_j)) - \left|\mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} - \mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}\right| - \gamma W_1(\hat{d})(P_{\phi_\omega(\mathbf{s}_i)}^\pi, P_{\phi_\omega(\mathbf{s}_j)}^\pi)\right)^2\right],$$

However, the 1-Wasserstein distance is computationally expensive or intractable. In DBC [29] the 2-Wasserstein distance W_2 is proposed to replace W_1, as W_2 has a convenient closed-form of a Gaussian distribution with respect to the L_2 distance. Specifically, the loss function of DBC with batched sampled transitions is defined as,

$$\mathcal{L}(\phi_\omega) = \mathbb{E}\left[\left(\hat{d}(\phi_\omega(\mathbf{s}_i), \phi_\omega(\mathbf{s}_j)) - \left|r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j}\right| - \gamma W_2(\|\cdot\|_2)(\widehat{P}_{\phi_\omega(\mathbf{s}_i)}^{\bar{\pi}}, \widehat{P}_{\phi_\omega(\mathbf{s}_j)}^{\bar{\pi}})\right)^2\right],$$

where $\|\cdot\|_2$ is the L_2 norm, $\widehat{P}$ is a dynamics model on the representation space, and $\bar{\pi}$ is the expected policy output. The use of W_2 almost breaks all theoretical guarantees for the bisimulation metric. The existence of unique fixed-point in the bisimulation metric requires the continuity and monotonicity of W_1 with respect to d [7]. The properties of continuity and monotonicity do not hold with W_2. Therefore there is no more guarantee about the fixed-point existence in DBC except that both the dynamics model and the policy π are deterministic, in which case $W_2(d)$ degenerates to d and Banach's fixed-point exists [16]. However, this assumption may be too strong to hold in practice.

Instead of using the family of Wasserstein distances, in MICo as shown in (3) the sample-based distribution divergence, $\mathbb{E}_{\mathbf{s}_i' \sim P_{\mathbf{s}_i}^\pi, \mathbf{s}_j' \sim P_{\mathbf{s}_j}^\pi} d(\mathbf{s}_i', \mathbf{s}_j')$, is used to measure the difference between dynamics models. This sample-based distribution divergence can be considered as a Łukaszyk-Karmowski metric. While a Wasserstein distance has zero self-distance, a Łukaszyk-Karmowski metric does not satisfy the identity of indiscernibles. As a result, the approximated distance on the learned embedding space based on the MICo distance, which involves a Łukaszyk-Karmowski metric to measure distance between dynamics models, may also suffer from the violation issue of the identity of indiscernibles.

4.3 Limitation of Using the L_1 or the L_2 Norm on the Embedding Space

As mentioned in Section 4.1, to avoid the expensive or intractable computation of the expectation over rewards, prior approaches, such as MICo and DBC, use an alternative term to measure the reward difference between states ,$\mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} |r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j}|$. In the following, we discuss the case that state $\mathbf{s}_i$ and $\mathbf{s}_j$ are identical.

Lemma 4.4. *If $\mathbf{s}_i = \mathbf{s}_j$, then $\mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} |r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j}| \geq 0$. The equality holds only if the reward function r is constant w.r.t. action a or the policy π is deterministic.*

Note that in most RL tasks, a stochastic policy is widely used for exploration and a reward function is rarely constant w.r.t. actions. Therefore, in practice, $\mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} |r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j}| > 0$ for most RL tasks. Besides, as mentioned in Section 4.2, a Łukaszyk-Karmowski metric measuring distance between dynamics models does not satisfy the identity of indiscernibles. Therefore, the behavioral metric, which is a sum of the reward difference term and the dynamics model distance term (no matter a Wasserstein distance or a Łukaszyk-Karmowski metric), can be greater than zero on a pair of identical states.

Note that both L_1 and L_2 norms satisfy the identity of indiscernibles, i.e. when $\mathbf{x}_i = \mathbf{x}_j$, $\|\mathbf{x}_i - \mathbf{x}_j\|_1 = \|\mathbf{x}_i - \mathbf{x}_j\|_2 = 0$. If we leverage the L_1 or the L_2 norm as the form of distance $\hat{d}$ on the embedding space to approximate the behavioral metric, then the identical states pairs has zero distance on

embedding space. However, the regression target, i.e., the behavioral metric, is usually greater than zero on identical states. As a result, when minimizing regression loss between the L_1 / L_2 norm and the behavioral metric, the representations for similar states, especially identical ones, will be pushed apart in the embedding space.

Recently, AMBS [5] proposes to use neural networks to measure distance on state embedding space rather than using the L_1 or the L_2 norm. However, in this case, the learned "behavior metric" does not have theoretical support such as the fixed-point convergence guarantee. Besides, MICo proposes a new form of distance on the embedding space, which is a sum of angular distance between embeddings and L_2 norm of the embeddings. Note that the proposed distance has non-zero self-distance.

5 The Proposed RAP Distance

We firstly propose a new behavioral metric to measure the state similarity without computing the Wasserstein distance between dynamics models in Section 5.1. The proposed behavioral metric namely the RAP distance enjoys theoretical properties such as fixed-point existence and a value difference bound. We then present a practical algorithm to learn the state encoder by approximating the RAP distance on the state embedding space in Section 5.2. Our algorithm uses the learned estimation of reward functions and dynamics models to provide distance approximation which is consistent to the behavioral metric. It addresses all the aforementioned approximation gaps and preserves the theoretical guarantee about the value function difference bound. Particularly, the approximation gap of loss function mismatch is addressed in Section 5.2, the relaxation of dynamics model divergence is addressed in Section 5.1 and the limitation of the L_1 or the L_2 norm on the embedding space is addressed in Section 5.3.

5.1 Definition and Properties of the RAP Distance

In order to avoid the high computational cost of W_1 or the approximation gap introduced by relaxation to W_2 as described in Section 4.2, we consider a distance measure between dynamics models $P_{\mathbf{s}_i}^\pi$ and $P_{\mathbf{s}_j}^\pi$ with sampling. To be specific, our on-policy behavioral distance is defined as follows.

Definition 5.1 (the RAP distance). Let $\mathbb{M}$ be the space of distance function $d : \mathcal{S} \times \mathcal{S} \to \mathbb{R}$, the RAP distance function $\mathcal{F}_G^\pi : \mathbb{M} \to \mathbb{M}$ is defined as,

$$\mathcal{F}_G^\pi(d)(\mathbf{s}_i, \mathbf{s}_j) = \left| \mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} - \mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j} \right| + \gamma \mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} d(\mathbb{E}[s_i'], \mathbb{E}[s_j']), \tag{9}$$

where $\mathbb{E}[s_i'] = \mathbb{E}_{s_i' \sim P_{\mathbf{s}_i}^{\mathbf{a}_i}}[s_i']$ is the expectation value of next state over the dynamics model $P_{\mathbf{s}_i}^{\mathbf{a}_i}$.

We design the behavioral distance by measuring the expected states over dynamics models recursively, which removes the requirement of sampling on $P_{\mathbf{s}_i}^{\mathbf{a}_i}$ and $P_{\mathbf{s}_j}^{\mathbf{a}_j}$ but only performs sampling on the policy π. In practice, the expected next states are generated by a learnable approximated dynamics model as described in Section. 5.2.

Theorem 5.2. $\mathcal{F}_G^\pi$ is a contraction mapping w.r.t. the L_∞ norm and has a unique fixed-point d_G^π.

Proof. Let $d, d' \in \mathbb{M}$. We have

$$|\mathcal{F}_G^\pi(d)(\mathbf{s}_i, \mathbf{s}_j) - \mathcal{F}_G^\pi(d')(\mathbf{s}_i, \mathbf{s}_j)| = \left| \gamma \sum_{\mathbf{a}_i, \mathbf{a}_j} \pi(\mathbf{a}_i | \mathbf{s}_i) \pi(\mathbf{a}_j | \mathbf{s}_j)(d - d')(\mathbb{E}[s_i'], \mathbb{E}[s_j']) \right| \leq \gamma \|d - d'\|_\infty.$$

Therefore, $\mathcal{F}_G^\pi$ is a contraction mapping w.r.t. the L_∞ norm and there exists a unique fixed-point for $\mathcal{F}_G^\pi$ due to Banach's fixed-point theorem. This completes the proof. $\qquad \square$

Theorem 5.2 provides convergence guarantee for the RAP distance that by iterating $\mathcal{F}_G^\pi$, distance d will converge to the fixed-point d_G^π.

Theorem 5.3 (Value function difference bound). *Given states $\mathbf{s}_i$ and $\mathbf{s}_j$ and a policy π, we have*

$$|V^\pi(\mathbf{s}_i) - V^\pi(\mathbf{s}_j)| \leq d_G^\pi(\mathbf{s}_i, \mathbf{s}_j). \tag{10}$$

The proof can be found in Appendix. Theorem 5.3 demonstrates that the RAP distance between states upper-bounds the difference of their states values.

5.2 Approximation of RAP

A straightforward way to learn a representation encoder to approximate the RAP distance on the embedding space is to minimize the loss in (5). However, the approximation gap of loss function mismatch as mentioned in Section 4.1 still exists if we relax the first term in (9) as $\mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} |r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j}|$. This leads to the learned metric having a looser value difference bound than the original behavioral metric as proved in Section 4.1. Here, we propose another alternative relaxation of $| \mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} - \mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}|$ to address this issue. Let $r_\mathbf{s}$ be a random variable over the action distribution defined by $p(r_\mathbf{s} = r_\mathbf{s}^\mathbf{a}) = \pi(\mathbf{a}|\mathbf{s})$. We first analyze the difference between $\mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} \left[\left| r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j} \right|^2 \right]$ and $| \mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} - \mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}|^2$,

$$
\begin{aligned}
&\mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} \left[\left| r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j} \right|^2 \right] - | \mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} - \mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}|^2 \\
&= \mathbb{E}_{\mathbf{a}_i \sim \pi} \left[(r_{\mathbf{s}_i}^{\mathbf{a}_i})^2 \right] + \mathbb{E}_{\mathbf{a}_j \sim \pi} \left[(r_{\mathbf{s}_j}^{\mathbf{a}_j})^2 \right] - 2\mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} \left[r_{\mathbf{s}_i}^{\mathbf{a}_i} r_{\mathbf{s}_j}^{\mathbf{a}_j} \right] - \left[\mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} \right]^2 - \left[\mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j} \right]^2 + 2 \left[\mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} \right] \left[\mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j} \right] \\
&= Var[r_{\mathbf{s}_i}] + Var[r_{\mathbf{s}_j}] - 2Cov[r_{\mathbf{s}_i}, r_{\mathbf{s}_j}].
\end{aligned}
\tag{11}
$$

Since $r_{\mathbf{s}_i}$ and $r_{\mathbf{s}_j}$ are independent, $Cov[r_{\mathbf{s}_i}, r_{\mathbf{s}_j}] = 0$. Therefore, we have $| \mathbb{E}_{\mathbf{a}_i \sim \pi} r_{\mathbf{s}_i}^{\mathbf{a}_i} - \mathbb{E}_{\mathbf{a}_j \sim \pi} r_{\mathbf{s}_j}^{\mathbf{a}_j}| = \sqrt{\mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} \left[\left| r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j} \right|^2 \right] - Var[r_{\mathbf{s}_i}] - Var[r_{\mathbf{s}_j}]}$ and the revised RAP distance at fixed-point as

$$
d_G^\pi(\mathbf{s}_i, \mathbf{s}_j) = \sqrt{\mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} \left[\left| r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j} \right|^2 \right] - Var[r_{\mathbf{s}_i}] - Var[r_{\mathbf{s}_j}]} + \gamma \mathbb{E}_{\substack{\mathbf{a}_i \sim \pi \\ \mathbf{a}_j \sim \pi}} d_G^\pi(\mathbb{E}_{s_i' \sim P_{\mathbf{s}_i}^{\mathbf{a}_i}}[s_i'], \mathbb{E}_{s_j' \sim P_{\mathbf{s}_j}^{\mathbf{a}_j}}[s_j']). \tag{12}
$$

In (12), we successfully move the expectation operator on rewards out of the absolute value operator without introducing any approximation gap caused by loss function mismatch. However, there are three issues that need to be further addressed: 1) the square root introduces new bias under sampling, 2) the variances $Var[r_{\mathbf{s}_i}]$ and $Var[r_{\mathbf{s}_j}]$ are intractable to compute, and 3) how to estimate the expected next states $\mathbb{E}_{s_i' \sim P_{\mathbf{s}_i}^{\mathbf{a}_i}}[s_i']$ and $\mathbb{E}_{s_j' \sim P_{\mathbf{s}_j}^{\mathbf{a}_j}}[s_j']$.

Though the reward variance $Var[r_\mathbf{s}]$ is computationally intractable, we can learn a neural network approximator to estimate it by assuming that the reward $r_\mathbf{s}$ on state $\mathbf{s}$ is Gaussian distributed. Let r_ψ be the learned reward function parameterized by ψ, which outputs a Gaussian distribution, $r_\psi(\mathbf{s}) = \{\widehat{\mu}(r_\mathbf{s}), \widehat{\sigma}(r_\mathbf{s})\}$, where $\widehat{\mu}(r_\mathbf{s})$ and $\widehat{\sigma}(r_\mathbf{s})$ are the mean and the standard deviation, respectively.

Similarly, in order to estimate the expected next states $\mathbb{E}_{s' \sim P_\mathbf{s}^\mathbf{a}}[s']$ with a neural network approximator on the embedding space, we learn a dynamics model $\widehat{P}$ taking input of state embedding $\phi(\mathbf{s})$ and action $\mathbf{a}$ and outputs a Gaussian distribution over the next state embedding, $\widehat{P}(\phi_\omega(\mathbf{s}), \mathbf{a}) = \{\widehat{\mu}(\widehat{P}_{\phi_\omega(\mathbf{s})}^\mathbf{a}), \widehat{\sigma}(\widehat{P}_{\phi_\omega(\mathbf{s})}^\mathbf{a})\}$, where $\widehat{\mu}(\widehat{P}_{\phi_\omega(\mathbf{s})}^\mathbf{a})$ and $\widehat{\sigma}(\widehat{P}_{\phi_\omega(\mathbf{s})}^\mathbf{a})$ are the mean vector and the standard deviation vector for predictive next state embedding, respectively.

Let $\hat{d}(\phi_\omega(\mathbf{s}_i), \phi_\omega(\mathbf{s}_j))$ be the approximated RAP distance between $\mathbf{s}_i$ and $\mathbf{s}_j$ parameterized by ω. The RAP distance between expected next states, $d_G^\pi(\mathbb{E}[s_i'], \mathbb{E}[s_j'])$, can be approximated by $\hat{d}(\widehat{\mu}(\widehat{P}_{\phi_\omega(\mathbf{s}_i)}^{\mathbf{a}_i}), \widehat{\mu}(\widehat{P}_{\phi_\omega(\mathbf{s}_j)}^{\mathbf{a}_j}))$. The variance $Var[r_\mathbf{s}]$ can be replaced by the learned reward function output as $(\widehat{\sigma}(r_\mathbf{s}))^2$. In order to reduce the biased issue introduced by the square root, we propose a novel regression loss defined as,

$$
\mathcal{L}_{RAP}(\phi_\omega) = \mathbb{E}\left(\left(\hat{d}(\phi_\omega(\mathbf{s}_i), \phi_\omega(\mathbf{s}_j)) - \gamma \hat{d}(\widehat{\mu}(\widehat{P}_{\phi_{\bar\omega}(\mathbf{s}_i)}^{\mathbf{a}_i}), \widehat{\mu}(\widehat{P}_{\phi_{\bar\omega}(\mathbf{s}_j)}^{\mathbf{a}_j})) \right)^2 - \left(|r_{\mathbf{s}_i}^{\mathbf{a}_i} - r_{\mathbf{s}_j}^{\mathbf{a}_j}|^2 - (\widehat{\sigma}(r_{\mathbf{s}_i}))^2 - (\widehat{\sigma}(r_{\mathbf{s}_j}))^2 \right) \right)^2,
\tag{13}
$$

where $\bar\omega$ is a copy of parameter with stop gradient and $\phi_{\bar\omega}$ is the encoder in the target network. The loss in (13) consists of a pair of squared difference terms as the regression target, which approximate the squared difference between distances of current states and distances of dynamics models, respectively.

5.3 Explicit Form of Distance on the Embedding Space

As discussed in Section 4.3, the behavioral metric is usually with non-zero self-distance. Besides, the distance measured between the next-state distributions in the RAP distance is a Łukaszyk-Karmowski

metric [22] which also has non-zero self-distance. Here, we adopt the approximation form of distance on the embedding space as proposed in MICo [4].

Definition 5.4 (MICo approximation). Let $\hat{d}_G : \mathbb{R}^n \times \mathbb{R}^n \to \mathbb{R}$ be a distance function on representation space $\mathbb{R}^n$, $\mathbf{x}, \mathbf{y} \in \mathbb{R}^n$ and $k > 0$. $\hat{d}_G$ is defined as $\hat{d}_G(\mathbf{x}, \mathbf{y}) = \|\mathbf{x}\|_2^2 + \|\mathbf{y}\|_2^2 + k\theta(\mathbf{x}, \mathbf{y})$, where θ is angular function evaluating the absolute angle between vectors $\mathbf{x}$ and $\mathbf{y}$, and k is a hyperparameter. In practice, we set $k = 10^{-5}$ for our method.

As the above form of distance produces non-zero self-distance, with $\hat{d}_G$ the approximation of the RAP distance will not push apart similar states on the embedding space.

Lemma 5.5 (Non-zero self-distance). *The self-distance of $\hat{d}_G$ is not restrict to zero: $\hat{d}_G(\mathbf{x}, \mathbf{x}) = 2\|\mathbf{x}\|_2^2 \geq 0$. The equality holds only if all the elements of $\mathbf{x}$ are zero.*

5.4 Implementation

The network architecture of our method is shown in Figure 1. Our method is built upon SAC [10]. Actor and critic networks take input of state representation $\phi_\omega(\mathbf{s})$. The SAC objectives and the RAP regression loss $\mathcal{L}_{RAP}(\phi_\omega)$ are optimized jointly. More implementation details can be found in Appendix.

Figure 1: Network architecture of our method.

6 Experiment

In this section, we evaluate the efficiency, robustness and generalization ability of the representation learned by our method on three RL benchmarks: 1) Distracting DeepMind Control Suite (DMC) [24], 2) Robosuite [30], and 3) CARLA [6]. These three domains are continuous action space control task with visual input. We compare our methods with several baselines and state-of-the-art methods including metric-based representation learning and data augmentation: 1) **SAC** [10], a baseline RL method for continuous control, 2) **MICo** [4], a sample-based behavioral metric-based representation learning method for RL, 3) **DBC** [29], a representation learning method by approximating the bisimulation metric with the L_1 norm, 4) **RobustDBC** [16], a DBC-styled method with intrinsic rewards and inverse dynamics, and 5) **DrQ** [28], an image augmentation method on pixel inputs RL.

(a)   (b)

Figure 2: Illustrations of observations in DMC: **(a)** original background setting; and **(b)** natural video background setting. From **left** to **right**: cartpole-swingup, cheetah-run, finger-spin, and walker-walk.

Distracting DeepMind Control Suite To evaluate the generalization ability and robustness of our method, we perform experiments on 2 settings, original background and natural video background settings, in DMC [24]. We render 84×84 pixels as observation at each time step and stack frames as state. In the **original background** setting, we use the default background provided by DMC (as shown in Figure 2a). For the **natural video background** distracting setting, we follow [29] to replace the background with natural video sampled from Kinetics dataset [15] (as shown in Figure 2b). We sample 1000 continuous frames from the video dataset as background for training RL agents and evaluate agents on another 1000 continuous frames. The video background is considered as distraction to RL algorithm. For each setting, we train and evaluate on 4 tasks: cartpole-swingup, cheetah-run, finger-spin, and walker-walk. Each task is trained for 1 million environment steps.

Figure 3 is the training curves in original background settings. It confirms that our method RAP can accelerate the training and has comparable results to data augmentation method DrQ. Figure 4 is the training curves in natural video background settings. Our method RAP outperforms DBC and MICo on all 4 tasks. It also converges to higher score than DrQ in 1 task and learns much faster in 3 tasks. The new SOTA results verify that our method of reducing the gaps in approximation of behavioral distance can improve the efficiency and robustness for deep RL and they also confirm that our method is able to learn generalizable state representation in complex environments.

Figure 3: Experimental results on DMC with original background. Each curve is average on 3 runs.

Figure 4: Results on natural video background settings in DMC. Each curve is average on 3 runs.

Robosuite   Robosuite [30] is a robotic simulator
with various manipulation tasks based on MuJoCo
engine. To evaluate the robustness of methods,
we use the distraction settings for Robosuite by
randomizing the colors of robot arms and table,
the lighting source and luminance, and the camera
position. The color, lighting and camera position

Figure 5: Illustrations in Robosuite. **Left**: Door Opening. **right**: Two Arm Peg-In-Hole.

are changed at the beginning of an episode but are consistent within the episode. Our experiment is
performed by controlling the Panda arms. The control rate is 20Hz and the episode length is 500 steps.
We evaluate on two tasks: Door Opening and Two Arm Peg-In-Hole. Figure 5 shows illustrations of
observations of two tasks. We compare our method with behavioral metric methods MICo and DBC,
and data augmentation method DrQ. Table 1 shows the training scores in 500k environment steps.
Our method RAP outperforms the others. The converge scores are around $7\times$ and $1.4\times$ compared
to the second-best method in Door Opening and Two Arm Peg-In-Hole, respectively. It shows the
robustness of our RAP in environments with random distractions.

Task	RAP(Ours)	SAC	MICo	DBC	DrQ
Door Opening	**102.19 $\pm$ 26.11**	8.84$\pm$9.89	6.06$\pm$6.57	3.15$\pm$3.54	14.63$\pm$19.57
Two Arm Peg-In-Hole	**307.27$\pm$25.70**	191.29$\pm$34.88	123.69$\pm$23.25	219.56$\pm$36.87	156.86$\pm$33.57

Table 1: Experimental results on Robosuite trained with 500K environment steps.

CARLA   In order to validate the generalization ability and learning effi-
ciency in natural scenarios, we construct experiments on an autonomous
driving simulator CARLA [6], which provides 3D realistic on-world
scenarios. The goal of this task is to control a vehicle driving as far as
possible on a high-way map (Town 4) in 1000 time steps. The reward
function followed [29] is designed to encourage driving far and avoid
collisions with other vehicles. The observation is formed as 420×84
pixels of a 300 degrees ego-centric view, constructed by concatenating
five cameras. In order to evaluate the generalization ability, we randomly
sample a weather at each episode starts. The weather (sunlight, rain,

Figure 6: Training curves on CARLA.

etc.), which affects the visual observation, can be considered as real-world distraction to RL agents.
Figure 6 shows the comparison results of our RAP and other SOTA methods. Our method achieves
comparable scores with data augmentation method DrQ, and its score is higher than behavioral metric
DBC and MICo. It shows that our RAP is able to generalize well in tasks with real-world scenarios.

7   Conclusion

Representation learning is one of the most critical problems in high-dimensional deep RL. In this
paper, we propose a new behavioral metric and a practical representation learning algorithm on top of
the new behavioral metric for deep RL. We provide theoretical analysis for our proposed metric as
well as the representation learning algorithm. We conduct empirical studies on multiple RL domains
to verify the effectiveness of our proposed method.

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A   Appendix

Appendix is uploaded in supplemental material.