DROPOUT Q-FUNCTIONS
FOR DOUBLY EFFICIENT REINFORCEMENT LEARNING

ABSTRACT

Recently, Randomized Ensemble Double Q-Learning (REDQ) (Chen et al., 2021c) achieved state-of-the-art sample efficiency. This superior sample efficiency is endowed by the use of a large Q-functions ensemble. However, REDQ is much less computationally efficient than the non-ensemble counterparts, such as Soft Actor-Critic (SAC) (Haarnoja et al., 2018a). In this paper, to make REDQ more computationally efficient, we propose to use a small ensemble of dropout Q-functions. Our dropout Q-functions are simple Q-functions equipped with dropout connection and layer normalization. Despite its simplicity of implementation, our experimental results show that our REDQ variant using the dropout Q-functions named Dr.Q is doubly (sample and computationally) efficient. First, Dr.Q achieved comparable sample efficiency with REDQ. Second, it achieved much better computational efficiency than REDQ, and is comparable with SAC in terms of computational efficiency.

1 INTRODUCTION

In the reinforcement learning (RL) community, improving **sample efficiency** of RL methods has been an important challenge. Traditional RL methods have been shown to be promising for solving complex control tasks, such as dexterous in-hand manipulation (OpenAI et al., 2018). However, RL methods generally require millions of training samples to solve a task (Mendonca et al., 2019). This poor sample efficiency of RL methods is a severe obstacle in practical RL applications (e.g., applications on limited computational resources or in real-world environments without simulators). Motivated by these issues, many RL methods have been proposed to achieve higher sample efficiency. For example, Haarnoja et al. (2018a;b) proposed Soft Actor-Critic (SAC), which achieved higher sample efficiency than the previous state-of-the-art RL methods (Lillicrap et al., 2015; Fujimoto et al., 2018; Schulman et al., 2017).

Since 2019, RL methods that use a high **update-to-date (UTD)** ratio to achieve high sample efficiency have emerged. The UTD ratio is the number of Q-function updates divided by the number of actual interactions with the environment. The high UTD ratio promotes sufficiently training Q-functions within a few interactions, which leads to sample-efficient learning. Model-Based Policy Optimization (MBPO) (Janner et al., 2019) is a seminal RL method that uses a high UTD ratio. MBPO uses a high UTD ratio of 20–40 and achieved significantly higher sample efficiency than SAC, which uses a UTD ratio of 1. Encouraged by the success of MBPO, many RL methods with high UTD ratios have been proposed (Shen et al., 2020; Lai et al., 2020).

In such methods, Randomized Ensembled Double Q-Learning (REDQ) proposed by Chen et al. (2021c) is currently the most sample efficient method. REDQ uses a high UTD ratio and a large ensemble of Q-functions. The use of a high UTD ratio promotes estimation bias in policy evaluation, which disturbs sample efficient learning. REDQ uses the ensemble of Q-function to suppress the estimation bias and improve sample efficiency. Chen et al. (2021c) demonstrated that the sample efficiency of REDQ is equal to or even better than that of MBPO.

However, REDQ leaves room for improving its **computational efficiency**. REDQ runs 1.1 to 1.4 times faster than MBPO (Chen et al., 2021c), but is still less computationally efficient than non-ensemble based RL methods (e.g., SAC), due to the use of large ensembles. In Section 4.2, we show that REDQ runs more than two times slower than SAC, and requires much larger memory. Computational efficiency is important in several scenarios, e.g., in RL applications with much lighter

on-device computation (e.g. mobile phones or other light-weight edge devices) (Chen et al., 2021a), or in situations where rapid trials and errors are required for developing RL agents (e.g., hyper-parameter tuning or proof of concept for RL applications with limited time resources). Therefore, RL methods that are superior not only in terms of sample efficiency but also in terms of computational efficiency are desirable in practice.

In this paper, we propose a method to improve the computational efficiency of REDQ. Our proposal is *using a small ensemble of dropout Q-functions, in which dropout (Srivastava et al., 2014) and layer normalization (Ba et al., 2016) are used (Section 3).* We present Dr.Q, the REDQ variant using the dropout Q-functions and experimentally show that Dr.Q is doubly (computationally and sample) efficient: (i) Dr.Q significantly improves computational efficiency over REDQ (Section 4.2) by more than two times; (ii) Dr.Q achieves sample efficiency comparable to REDQ (Section 4.1).

Although our primary contribution is **proposing a doubly efficient RL algorithm (Dr.Q)**, we additionally make three significant contributions from other perspectives:
1. Simplicity of implementation. Our method (Dr.Q) can be implemented basically by adding few lines of readily available functions (dropout and layer normalization) to Q-functions in REDQ (and SAC). This simplicity allows one to easily replicate and extend it.
2. First successful demonstration of the usefulness of dropout in *high* UTD ratio settings. The existing studies incorporate dropout into RL (Gal & Ghahramani, 2016; Harrigan, 2016; Moerland et al., 2017; Gal et al., 2016; 2017; Kahn et al., 2017) (see Section 5 for details). However, these studies focus on *low* UTD ratio settings (i.e., UTD ratio ≤ 1). Dropout approaches generally do not work as well as ensemble approaches (Ovadia et al., 2019; Lakshminarayanan et al., 2017; Durasov et al., 2021). For this reason, instead of dropout approaches, ensemble approaches have been used in RL with high UTD ratio settings (Chen et al., 2021c; Janner et al., 2019; Shen et al., 2020; Hiraoka et al., 2020; Lai et al., 2020). In Section 4, we demonstrate that our dropout-based method (Dr.Q) achieves almost the same or better bias reduction ability and sample/computationally efficiency than ensemble-based RL methods in high UTD ratio settings. This result sheds light on dropout approaches once again, and promote using them as a reasonable alternative (or complement) to the ensemble approaches in high UTD ratio settings.
3. Discovery of engineering insights to effectively apply dropout to RL. Specifically, we discover that the following three engineering practices are effective in reducing bias and improving sample efficiency: (i) Using the dropout and ensemble approaches together for constructing Q-functions (i.e., using *multiple* dropout Q-functions) (Section 4.1 and Appendix A.3); (ii) Introducing layer normalization into dropout Q-functions (Section 4.3); (iii) Using dropout Q functions for the target calculation (Appendix C). These engineering insights have not been revealed in previous RL studies, and would be useful to practitioners who attempt to apply dropout to RL.

2 PRELIMINARIES

2.1 MAXIMUM ENTROPY REINFORCEMENT LEARNING (RL)

RL addresses the problem of an agent learning to act in an environment. At each discrete time step t, the environment provides the agent with a state s_t, the agent responds by selecting an action a_t, and then the environment provides the next reward r_t and state s_{t+1}. For convenience, as needed, we will use another notation r, s, a, s', and a' to refer to a reward, a state, an action, a next state, and a next action, respectively.

We focus on the *maximum entropy* RL, where an agent aims to find its policy that maximizes the expected return with an entropy bonus: $\arg\max_{\pi} \sum_{t=0}^{T} \gamma^t \mathbb{E}_{s_t, a_t} [r_t + \alpha \mathcal{H}(\pi(\cdot|s_t))]$. Here, $\pi : \mathcal{S} \times \mathcal{A} \to [0, \infty)$ is a policy and $\mathcal{H}$ is entropy. Temperature α balances exploitation and exploration, and affects the stochasticity of the policy.

2.2 RANDOMIZED ENSEMBLE DOUBLE Q-LEARNING (REDQ)

REDQ (Chen et al., 2021c) is a sample efficient model-free method to solve maximum entropy RL problems (Algorithm 1). It has two primary components to achieve high sample efficiency:
1. High UTD ratio: It uses a high UTD ratio G, which is the number of Q-function updates (lines 4–10) divided by the number of actual interactions with the environment (line 3). The high UTD ra-

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Algorithm 1 REDQ

1: Initialize policy parameters θ, N Q-function parameters ϕ_i, $i = 1, ..., N$, empty replay buffer $\mathcal{D}$. Set target parameters $\bar{\phi}_i \leftarrow \phi_i$, for $i = 1, ..., N$.
2: **repeat**
3:   Take action $a_t \sim \pi_\theta(\cdot|s_t)$; Observe reward r_t, next state s_{t+1}; $\mathcal{D} \leftarrow \mathcal{D} \bigcup (s_t, a_t, r_t, s_{t+1})$.
4:   **for** for G updates **do**
5:     Sample a mini-batch $\mathcal{B} = \{(s, a, r, s')\}$ from $\mathcal{D}$.
6:     Sample a set $\mathcal{M}$ of M distinct indices from $\{1, 2, ..., N\}$.
7:     Compute the Q target y (same for all of the N Q-functions):

$$y = r + \gamma \left(\min_{i \in \mathcal{M}} Q_{\bar{\phi}_i}(s', a') - \alpha \pi_\theta(a'|s') \right), \ \ a' \sim \pi_\theta(\cdot|s')$$

8:     **for** $i = 1, ..., N$ **do**
9:       Update ϕ_i with gradient descent using

$$\nabla_\phi \frac{1}{|B|} \sum_{(s,a,r,s') \in \mathcal{B}} (Q_{\phi_i}(s, a) - y)^2$$

10:      Update target networks with $\bar{\phi}_i \leftarrow \rho \bar{\phi}_i + (1 - \rho)\phi_i$.
11:    Update policy parameters θ with gradient ascent using

$$\nabla_\theta \frac{1}{|B|} \sum_{s \in \mathcal{B}} \left(\frac{1}{N} \sum_{i=1}^{N} Q_{\phi_i}(s, a) - \alpha \log \pi_\theta(a|s) \right), \ \ a \sim \pi_\theta(\cdot|s)$$

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tio promotes sufficiently training Q-function within a few interactions. However, this also promotes overestimation bias in the Q-function training, which disturbs sample efficient learning (Chen et al., 2021c).

2. Ensemble of Q-functions: To reduce the overestimation bias, it uses an ensemble of N Q-functions for the target to be minimized (lines 6–7). Specifically, a random subset $\mathcal{M}$ of the ensemble is selected (line 6), and then used for calculating the target (line 7). Here, the size of the subset $\mathcal{M}$ is kept fixed, and is denoted as M. In addition, each Q-function in the ensemble is randomly and independently initialized but updated with the same target (lines 8–9). Chen et al. (2021c) show that using a large ensemble ($N = 10$) and small subset ($M = 2$) successfully reduces the bias.

Although the use of a large ensemble of Q-functions is beneficial for reducing bias and improving sample efficiency, this makes REDQ computationally intensive. In the next section, we discuss the way to reduce ensemble size.

3 INJECTING MODEL UNCERTAINTY INTO TARGET WITH DROPOUT Q-FUNCTIONS

In this section, we discuss replacing the large ensemble of Q-functions in REDQ with a small ensemble of dropout Q-functions. We start our discussion by reviewing what the ensemble in REDQ does from the viewpoint of model uncertainty injection. Then, we propose to use dropout for the uncertainty injection instead of the large ensemble. Specifically, we propose (i) the dropout Q-function that is a Q-function equipped with dropout and layer normalization, and (ii) Dr.Q, a practical algorithm using a small ensemble of it. Finally, we explain that the size of the ensemble can be smaller in Dr.Q than that in REDQ.

We first explain our insight that, in REDQ, the model (Q-function parameters') uncertainty is injected into the target. In REDQ, the subset $\mathcal{M}$ of N Q-functions is used to compute the target value $\min_{i \in \mathcal{M}} Q_{\bar{\phi}_i}(s', a')$ (lines 6–7 in Algorithm 1). This can be interpreted as an approximation for, $\mathbb{E}_{\bar{\phi}_1, ..., \bar{\phi}_M} \left[\min_{i=1, ..., M} Q_{\bar{\phi}_i}(s', a') \right]$, the expected target value with respect to the model

Figure 1: Dropout Q-function implementation (left part), and how dropout Q-functions are used in target (right part). **Dropout Q-function implementation:** Our dropout function is implemented by modifying the one used in Chen et al. (2021c). Our modification (highlighted in red) is adding dropout (Dropout) and layer normalization (LayerNorm). "Weight" is the weight layer and "ReLU" is the activation layer of a rectified linear unit. The parameter $\bar{\phi}_i$ represents weights and biases in the weight layers. **How dropout Q-functions are used in target:** M dropout Q-functions are used to calculate target value as $\min_{i=1,\ldots,M} Q_{\mathrm{Dr},\bar{\phi}_i}(s,a)$.

uncertainty:

$$\mathbb{E}_{\bar{\phi}_1,\ldots,\bar{\phi}_M}\left[\min_{i=1,\ldots,M} Q_{\bar{\phi}_i}(s',a')\right] = \int \min_{i=1,\ldots,M} Q_{\bar{\phi}_i}(s',a') \prod_{i=1,\ldots,M} p(\bar{\phi}_i)d\bar{\phi}_i$$

$$\approx \int \min_{i=1,\ldots,M} Q_{\bar{\phi}_i}(s',a') \prod_{i=1,\ldots,M} q_{\mathrm{en}}(\bar{\phi}_i)d\bar{\phi}_i \approx \underbrace{\min_{i\in\mathcal{M}} Q_{\bar{\phi}_i}(s',a')}_{\text{(used in line 7 in Algorithm 1)}}.$$

On the LHS in the second line, the model distribution $p(\bar{\phi}_i)$ is replaced by a proposal distribution q_{en}, which is based on resampling from the ensemble in line 6 in Algorithm 1[1]. On the RHS in the second line, the expected target value is further approximated by one sample average based on q_{en}. The resulting approximation is used in line 7 in Algorithm 1. In the remainder of this section, we propose another way to approximate the expected target value.

We propose to use M dropout Q-functions Q_{Dr} for the target value approximation (Figure 1). Here, Q_{Dr} is a Q-function that has dropout connections (Srivastava et al., 2014). The left part of Figure 1 shows Q_{Dr} implementation. Q_{Dr} is implemented by adding dropout layers to the Q-function implementation used in Chen et al. (2021c). In addition, layer normalization (Ba et al., 2016) is applied after dropout, on the basis of practice for effectively using dropout (Vaswani et al.; Xu et al., 2019; Chen et al., 2021b). By using Q_{Dr}, target value is approximated as:

$$\mathbb{E}_{\bar{\phi}_1,\ldots,\bar{\phi}_M}\left[\min_{i=1,\ldots,M} Q_{\bar{\phi}_i}(s',a')\right] \approx \int \min_{i=1,\ldots,M} Q_{\bar{\phi}_i}(s',a') \prod_{i=1,\ldots,M} q_{\mathrm{dr}}(\bar{\phi}_i)d\bar{\phi}_i$$

$$\approx \min_{i=1,\ldots,M} Q_{\mathrm{Dr},\bar{\phi}_i}(s',a').$$

Here, instead of q_{en}, a proposal distribution q_{dr} based on the dropout is used on the RHS in the first line. Then, the expected target value is further approximated by one sample average based on q_{dr} in the second line. We propose using the resulting approximation $\min_{i=1,\ldots,M} Q_{\mathrm{Dr},\bar{\phi}_i}(s',a')$ for injecting model uncertainty into the target value (the right part of Figure 1). For calculating $\min_{i=1,\ldots,M} Q_{\mathrm{Dr},\bar{\phi}_i}(s',a')$, we use M dropout Q-functions, which have independently initialized and trained parameters $\bar{\phi}_1,\ldots,\bar{\phi}_M$. Using M dropout Q-functions improves the performance of our RL algorithm described in the next paragraph, compared to the one using a single dropout Q-function (more details are shown in A.3).

We now explain, Dr.Q[2], the practical RL algorithm in which Q_{Dr} is used for considering model uncertainty. The algorithmic description of Dr.Q is shown in Algorithm 2. Dr.Q is a variant of REDQ, and the modified parts from REDQ are highlighted in red in Algorithm 2. In line 6, Q_{Dr} is used to inject model uncertainty into target, as we proposed in the last paragraph. In addition, in lines 8 and 10, M dropout Q-functions are used instead of N Q-functions ($N \geq M$), to make the algorithm faster.

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[1]Here, we assume that $\forall_{i=1,\ldots,N}$, $\bar{\phi}_i$ independently follow an identical distribution.

[2]The period between "Dr" and "Q" is necessary to avoid name conflict with DrQ (Yarats et al., 2021).

Algorithm 2 Dr.Q

1: Initialize policy parameters θ, M Q-function parameters ϕ_i, $i = 1, ..., M$, empty replay buffer $\mathcal{D}$. Set target parameters $\bar{\phi}_i \leftarrow \phi_i$, for $i = 1, ..., M$.
2: **repeat**
3:     Take action $a_t \sim \pi_\theta(\cdot|s_t)$. Observe reward r_t, next state s_{t+1}; $\mathcal{D} \leftarrow \mathcal{D} \bigcup (s_t, a_t, r_t, s_{t+1})$.
4:     **for** for G updates **do**
5:         Sample a mini-batch $\mathcal{B} = \{(s, a, r, s')\}$ from $\mathcal{D}$.
6:         Compute the Q target y for the dropout Q-functions:

$$y = r + \gamma \left(\min_{i=1,...,M} Q_{\mathrm{Dr}, \bar{\phi}_i}(s', a') - \alpha \pi_\theta(a'|s') \right), \ \ a' \sim \pi_\theta(\cdot|s')$$

7:         **for** $i = 1, ..., M$ **do**
8:             Update ϕ_i with gradient descent using

$$\nabla_\phi \frac{1}{|B|} \sum_{(s,a,r,s') \in \mathcal{B}} (Q_{\mathrm{Dr}, \phi_i}(s, a) - y)^2$$

9:             Update target networks with $\bar{\phi}_i \leftarrow \rho \bar{\phi}_i + (1 - \rho)\phi_i$.
10:     Update policy parameters θ with gradient ascent using

$$\nabla_\theta \frac{1}{|B|} \sum_{s \in \mathcal{B}} \left(\frac{1}{M} \sum_{i=1}^{M} Q_{\mathrm{Dr}, \phi_i}(s, a) - \alpha \log \pi_\theta(a|s) \right), \ \ a \sim \pi_\theta(\cdot|s)$$

The ensemble size of dropout Q-functions in Dr.Q (i.e., M) is expected to be smaller than that of Q-functions in REDQ (i.e., N). M in Dr.Q is equal to the subset size in REDQ, which is not greater than N. In practice, M is much smaller than N (e.g., $M = 2$ and $N = 10$ in Chen et al. (2021c)). This reduction in the number of Q-functions makes Dr.Q more computationally efficient. Specifically, Dr.Q works faster due to the reduction of the number of Q-function updates (line 8 in Algorithm 2). In addition, Dr.Q requires less memory for holding Q-function parameters. In Section 4.2, we will show that Dr.Q is computationally faster and less memory intensive than REDQ.

4 EXPERIMENT

In this section, we conduct experiments to evaluate and analyse Dr.Q proposed in the previous section. In Section 4.1, we evaluate the performance (sample efficiency and bias reduction ability) of Dr.Q. In Section 4.2, we evaluate the computational efficiency of Dr.Q. In Section 4.3, we conduct an ablation study of Dr.Q.

4.1 SAMPLE EFFICIENCY AND BIAS REDUCTION ABILITY OF DR.Q

To evaluate the performances of Dr.Q, we compare Dr.Q with three baseline methods in MuJoCo benchmark environments (Todorov et al., 2012; Brockman et al., 2016). For this comparison, following Chen et al. (2021c); Janner et al. (2019), we prepare the following environments: **Hopper**, **Walker2d**, **Ant**, and **Humanoid**. In these environments, we compare four methods:
REDQ: Baseline method which follows REDQ algorithm (Chen et al., 2021c) (Algorithm 1).
SAC: Baseline method which follows SAC algorithm (Haarnoja et al., 2018a;b). To improve the sample efficiency of this method, delayed policy update and high UTD ratio $G = 20$ are used as suggested in Chen et al. (2021c).
Dr.Q: Proposed method which follows Algorithm 2.
DUVN: Baseline method. This method is a variant of Dr.Q, which uses double uncertainty value networks (Harrigan, 2016; Moerland et al., 2017) for policy evaluation. Specifically, a single (i.e., $M = 1$) target dropout Q-function is used for target calculation on line 6 in Algorithm 2: $y = r + \gamma \left(Q_{\mathrm{Dr}, \bar{\phi}_i}(s', a') - \alpha \pi_\theta(a'|s') \right), \ \ a' \sim \pi_\theta(\cdot|s')$. Here, the architecture of $Q_{\mathrm{Dr}, \bar{\phi}_i}(s', a')$ is the same as the one shown in Figure 1, except that layer normalization is not used as with Harrigan

Table 1: Process time (in msec) required for executing an overall loop (e.g., lines 3–10 in Algorithm 2). Times for updating Q-functions (e.g., lines 5–9 in Algorithm 2) are shown in parentheses.

	Hopper-v2	Walker2d-v2	Ant-v2	Humanoid-v2
SAC	910 (870)	870 (835)	888 (848)	893 (854)
REDQ	2328 (2269)	2339 (2283)	2336 (2277)	2400 (2340)
DUVN	664 (636)	762 (731)	733 (700)	692 (660)
Dr.Q	948 (905)	933 (892)	954 (913)	989 (946)

(2016); Moerland et al. (2017).

Following Chen et al. (2021c), we set hyperparameters as $G = 20$, $N = 10$, and $M = 2$ for all methods except for DUVN ($M = 1$). A more detailed hyperparameters setting is given in Appendix D.

The methods are compared on the basis of average return and value estimation bias:

Average return: An average return over episodes. We regard 1000 environment steps in Hopper, and 3000 environment steps in the other environments, as one epoch, respectively. After every epoch, we run ten test episodes with the current policy and record the average return.

Average/std. bias: Average and standard deviation of the normalized estimation error (bias) of Q-functions Q_{ϕ_i} (Chen et al., 2021c). The error represents how significantly the Q-value estimation is different from the actual return. Formally, the error is defined as: $|Q^\pi(s,a) - \hat{Q}(s,a)|/\mathbb{E}_{\bar{s},\bar{a}\sim\pi}[Q^\pi(\bar{s},\bar{a})]$. Here is $Q^\pi(s,a)$ is the discounted Monte Carlo return obtained by the current policy π in the test episodes, and $\hat{Q}(s,a)$ is its estimation. $\hat{Q}(s,a)$ is evaluated as $\hat{Q}(s,a) = 1/N \sum_{i=1}^{N} Q_{\phi_i}(s,a)$ for SAC and REDQ, and as $\hat{Q}(s,a) = 1/M \sum_{i=1}^{M} Q_{\text{Dr},\phi_i}(s,a)$ for Dr.Q and DUVN, respectively.

The comparison results (Figure 2) show that Dr.Q achieves almost the same level of performance as REDQ. Regarding the average return, overall, REDQ and Dr.Q achieved almost the same sample efficiency. In Walker2d and Ant, their learning curves are highly overlapped, and there is no significant difference between them. In Humanoid, REDQ is slightly better than Dr.Q. On the other hand, in Hopper, Dr.Q is better than REDQ. In all environments except Hopper, REDQ and Dr.Q improve their average return significantly earlier than SAC and DUVN. Regarding bias, REDQ and Dr.Q consistently keep the value estimation bias closer to zero than SAC and DUVN in all environments.

4.2 COMPUTATIONAL EFFICIENCY OF DR.Q

We next evaluate the computational efficiency of Dr.Q. For this, we compare Dr.Q with the baseline methods on the basis of the following criteria: (i) **Process time** required for executing methods; (ii) **Number of parameters** of each method; (iii) **Bottleneck memory consumption** suggested by the Pytorch profiler[3]. Here, bottleneck memory consumption is the maximum memory consumption recorded during running the methods. For evaluation, we run each of methods on the machine equipped with two Intel(R) Xeon(R) CPU E5-2667 v4 and one NVIDIA Tesla K80.

The process times of methods (Table 1) imply that Dr.Q runs more than two times faster than REDQ. Dr.Q (and SAC) require the process times of 800–900 millisecond range. REDQ requires the process times of 2300–2400 millisecond range. In addition, the numbers in parentheses in the table show that learning Q-functions is dominant in the overall process. This suggests that using more compact (e.g., small numbers of) Q-functions is important for improving process times.

The number of parameters and bottleneck memory consumption of each method imply that Dr.Q is more memory efficient than REDQ. Regarding the numbers of parameters (Table 2), we can see that those of Dr.Q (and SAC and DUVN) is about one-fifth of those of REDQ. Note that the number of parameters of Dr.Q is equivalent to that of SAC since Dr.Q and SAC use the same number of (two) Q-functions. Regarding the bottleneck memory consumption (Table 3), we can see that that for Dr.Q (SAC and DUVN) is about one-third of that for REDQ. We can also see that the bottleneck memory consumption is almost independent of the environment. This is because the most memory-intensive

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[3]https://pytorch.org/tutorials/recipes/recipes/profiler_recipe.html

Figure 2: Average return, average and standard deviation of estimation bias for REDQ, SAC, DUVN, and Dr.Q. For each method, we plot the average score of five independent trials as the solid lines, and plot the standard deviation across the trials as the transparent shaded region.

Table 2: Number of parameters in the methods.

	Hopper-v2	Walker2d-v2	Ant-v2	Humanoid-v2
SAC	141826	146434	152578	166402
REDQ	698890	721930	752650	821770
DUVN	139778	144386	150530	164354
Dr.Q	141826	146434	152578	166402

process is evaluation of the hidden layers in Q functions (e.g., applying the ReLU layer), which does not depend on the environment-specific (number of dimensions of states and actions)[4].

4.3 ABLATION STUDY

For an ablation study of Dr.Q, we investigate the performance of Dr.Q variants that do not use either or both dropout and layer normalization. We refer to the one without dropout as **-DO**, the one without layer normalization as **-LN** and the one without both as **-DO-LN**. The results of the

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[4]Note that, in this paper, the number of hidden units is invariant over all environments (Appendix D).

Table 3: Bottleneck GPU memory consumption (in mega byte) in the methods. Three worst bottleneck memory consumption are shown in the form of "1st worst bottleneck memory consumption / 2nd worst bottleneck memory consumption / 3rd worst bottleneck memory consumption."

	Hopper-v2	Walker2d-v2	Ant-v2	Humanoid-v2
SAC	73 / 64 / 62	73 / 64/ 62	73 / 64 / 62	73 / 65 / 62
REDQ	241 / 211/ 200	241 / 211 / 200	241 / 211 / 200	241 / 212 / 201
DUVN	72 / 71 / 51	72 / 71 / 51	72 / 71 / 51	72 / 71 / 52
Dr.Q	73 / 72 / 69	73 / 72 / 69	73 / 72 / 70	73 / 72 / 70

Figure 3: Ablation study result.

study (Figure 8) show that the synergic effect of using dropout and layer normalization is high, especially in complex environments (Ant and Humanoid). In these environments, Dr.Q significantly outperforms its ablation variants (-DO, -LN and -DO-LN) in terms of both average return and bias reduction.

5 RELATED WORK

In this section, we review related work and compare it with our work (Table 4).

Table 4: Comparison between related work and our work. We classify related work into five types (e.g., "Ensemble Q-functions"), based on three criteria (e.g. "Type of model uncertainty").

Type of work	Method for injecting model uncertainty	Type of model uncertainty	Focus on high UTD ratio (and maximum entropy RL) setting?
Ensemble Q-functions	Ensemble	Q-functions	Partially yes Chen et al. (2021c)
Ensemble transition models	Ensemble	Transition models	Partially yes e.g., Janner et al. (2019)
Dropout Q-functions	Dropout	Q-functions	No
Dropout transition models	Dropout	Transition models	No
Normalization	–	–	No
Our work	Dropout (with ensemble)	Q-functions	Yes

Ensemble Q-functions: The ensembles of Q-functions have been used in RL in order to consider model uncertainty and improve its performance (Faußer & Schwenker, 2015; Osband et al., 2016; Anschel et al., 2017; Agarwal et al., 2020; Lee et al., 2021; Lan et al., 2020; Chen et al., 2021c). **Ensemble transition models:** On the other hand, ensembles of transition (and reward) models have been introduced to model-based RL, e.g., (Chua et al., 2018; Kurutach et al., 2018; Janner et al., 2019; Shen et al., 2020; Yu et al., 2020; Lee et al., 2020; Hiraoka et al., 2020; Abraham et al., 2020). The methods proposed in the above work use a large ensemble of Q-functions or transition models, and thus are computationally intensive. Our method does not use a large ensemble of Q-functions and is computationally lighter than them.

Dropout transition models: In Gal et al. (2016; 2017); Kahn et al. (2017), dropout and its modified variant were introduced to transition models in model-based RL methods. **Dropout Q-functions:** In Gal & Ghahramani (2016), dropout was introduced to a Q-function at action selection for considering model uncertainty in exploration. Harrigan (2016) and Moerland et al. (2017) introduced dropout to policy evaluation in the same vein with us. However, there are three primary differences between their work and ours. (i) Target calculation: they introduce dropout to the *single* Q-function and use it for a target value, whereas we introduce dropout to *multiple* Q-functions and use the minimum of them for the target value. Based on insights in Fujimoto et al. (2018); Haarnoja et al. (2018b), we can expect overestimation bias is more significantly suppressed by this minimum operation in the target. (ii) Use of engineering to stabilize learning: their methods do not use the engineering to stabilize the learning of dropout Q-functions, whereas we use layer normalization to stabilize the learning. (iii) RL setting: They focus on a low UTD ratio (and standard RL) setting, whereas we focus on a high UTD ratio (and maximum entropy RL) setting. As we explained in Section 2.2, the high UTD ratio setting promotes the high estimation bias. Thus it is a more challenging setting than the low UTD ratio setting. In Section 4.1, we showed that their methods do not work successfully in the high UTD setting.

Normalization in RL: Normalization (e.g., batch normalization (Ioffe & Szegedy, 2015) or layer normalization (Ba et al., 2016)) has been introduced into RL. Batch normalization and its variant are introduced in Deep Deterministic Policy Gradient (DDPG) (Lillicrap et al., 2015) and Twin Delayed DDPG (Fujimoto et al., 2018) (Bhatt et al., 2020). Layer normalization is introduced in the implementation of Maximum a Posteriori Policy Optimisation (Abdolmaleki et al., 2018; Hoffman et al., 2020). It is also introduced in SAC extensions (Ma et al., 2020; Zhang et al., 2021). Unlike our work, the above work does not introduce dropout to consider model uncertainty. In addition, although some work (Ma et al., 2020; Zhang et al., 2021) focuses on the maximum entropy RL setting, none of them focused on the high UTD ratio setting.

6 CONCLUSION

In this paper, we proposed, Dr.Q, the RL algorithm based on the small ensemble of Q-functions that are equipped with dropout connection and layer normalization. We experimentally demonstrated that Dr.Q significantly improves computational and memory efficiencies over REDQ, while it achieves sample efficiency comparable to REDQ. In the ablation study, we found that using both dropout and layer normalization had a synergistic effect on improving the sample efficiency, especially in complex environments (e.g., Humanoid).

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A THE EFFECT OF DROPOUT RATE IN DR.Q AND ITS VARIANTS

A.1 DR.Q

Figure 4: Average return, average and standard deviation of estimation bias for Dr.Q with different dropout rates.

A.2 DR.Q WITHOUT LAYER NORMALIZATION

Figure 5: Average return, average and standard deviation of estimation bias for Dr.Q without layer normalization (i.e., **-LN** in Section 4.3) in different dropout rates.

A.3 SIN-DR.Q: DR.Q VARIANT USING SINGLE DROPOUT Q-FUNCTIONS

Dr.Q (Algorithm 2) uses an ensemble of multiple (M) dropout Q-functions. This raises the natural question: "Why not use a single dropout Q-function for Dr.Q?" To answer this question, we compare Dr.Q with **Sin-Dr.Q**, a variant of Dr.Q which uses a single dropout Q-function. Specifically, in Sin-Dr.Q, the target in line 6 in Algorithm 2 is calculated by evaluating, $Q_{\mathrm{Dr},\bar{\phi}_1}(s', a')$, a single dropout Q-function M times:

$$y = r + \gamma \left(\min(\underbrace{Q_{\mathrm{Dr},\bar{\phi}_1}(s', a'), ..., Q_{\mathrm{Dr},\bar{\phi}_1}(s', a')}_{M \text{ evaluation results of } Q_{\mathrm{Dr},\bar{\phi}_1}(s',a')}) - \alpha\pi_\theta(a'|s') \right), \quad a' \sim \pi_\theta(\cdot|s').$$

Note that, the output of $Q_{\mathrm{Dr},\bar{\phi}_1}(s', a')$ can differ in each evaluation, due to the use of a dropout connection. The remaining part of Sin-Dr.Q is the same as Dr.Q.

From the comparison results of Dr.Q and Sin-Dr.Q (Figure 6), we can see that, the average return of Sin-Dr.Q is lower than that of Dr.Q. This result indicates that using multiple dropout Q-functions is preferable to using a single dropout Q-function in Dr.Q.

Figure 6: Average return, average and standard deviation of estimation bias for Dr.Q and Sin-Dr.Q. Scores for Dr.Q are plotted in dash lines. Scores for Sin-Dr.Q are plotted in solid lines, and labelled in accordance with dropout rates (e.g.,"0.2").

B   REDQ WITH DIFFERENT ENSEMBLE SIZE N

In Section 4, we compared Dr.Q with REDQ which uses an ensemble size of 10 (i.e., N=10). In this section, in order to make a more detailed comparison, we compare Dr.Q and REDQ by varying the ensemble size for REDQ. We denote REDQ which uses an ensemble size of N as "REDQN" (e.g., REDQ5 for REDQ with the ensemble size of five).

Regarding average return (left part of Figure 7), we can see that, overall, Dr.Q is superior to REDQ2–5. Dr.Q is comparable to REDQ2 and REDQ3 in Hopper, but superior in more complex environments (Walker, Ant and Humanoid). In addition, Dr.Q is somewhat better than REDQ5 in all environments. Regarding estimation bias (middle and right part of Figure 7), we can see that, overall, Dr.Q is significantly better than REDQ2 and comparable to REDQ3–10. Regarding the processing speed (Table 5), we can see that Dr.Q runs as fast as REDQ3 and faster than REDQ5 by 1.4 to 1.5 times. Regarding the memory efficiency (Tables 6 and 7), we can see that Dr.Q is less memory intensive than REDQ3–10.

Figure 7: Average return, average and standard deviation of estimation bias for Dr.Q and REDQ. Scores for Dr.Q are plotted in dash lines. Scores for REDQ are plotted in solid lines, labelled as "REDQN".

Table 5: Process time (in msec) required for executing an overall loop (e.g., lines 3–10 in Algorithm 2). Times for updating Q-functions (e.g., lines 5–9 in Algorithm 2) are shown in parentheses.

	Hopper-v2	Walker2d-v2	Ant-v2	Humanoid-v2
Dr.Q	948 (905)	933 (892)	954 (913)	989 (946)
REDQ2	832 (792)	802 (768)	675 (641)	820 (773)
REDQ3	1052 (1014)	876 (838)	919 (881)	950 (906)
REDQ5	1414 (1368)	1425 (1378)	1373 (1327)	1552 (1503)
REDQ10	2328 (2269)	2339 (2283)	2336 (2277)	2400 (2340)

Table 6: Number of parameters in the methods.

	Hopper-v2	Walker2d-v2	Ant-v2	Humanoid-v2
Dr.Q	141826	146434	152578	166402
REDQ2	139778	144386	150530	164354
REDQ3	209667	216579	225795	246531
REDQ5	349445	360965	376325	410885
REDQ10	698890	721930	752650	821770

Table 7: Bottleneck GPU memory consumption (in mega byte) in the methods. Three worst bottleneck memory consumption are shown in the form of "1st worst bottleneck memory consumption / 2nd worst bottleneck memory consumption / 3rd worst bottleneck memory consumption."

	Hopper-v2	Walker2d-v2	Ant-v2	Humanoid-v2
Dr.Q	73 / 72 / 69	73 / 72 / 69	73 / 72 / 70	73 / 72 / 70
REDQ2	73 / 51 / 51	73 / 51 / 51	73 / 51 / 51	73 / 52 / 52
REDQ3	94 / 64 / 62	94 / 64 / 62	94 / 64 / 62	94 / 65 / 62
REDQ5	136 / 106 / 100	136 / 106 / 100	136 / 106 / 100	136 / 107 / 101
REDQ10	241 / 211 / 200	241 / 211 / 200	241 / 211 / 200	241 / 212 / 201

C   ADDITIONAL ABLATION STUDY OF DR.Q

Dropout is introduced into three parts of Dr.Q (i.e., lines 6, 8 and 10 of Algorithm 2 in Section 3). In this section, we conduct an ablation study to answer the question "which dropout introduction contributes to overall performance improvement of Dr.Q?" We compare Dr.Q with the following its variants:

-DO@TargetQ: A Dr.Q variant that does not use dropout in line 6. Specifically, dropout is not used in $Q_{\mathrm{Dr},\bar{\phi}_i}(s',a')$ in the following equation in line 6.

$$y = r + \gamma \left(\min_{i=1,\dots,M} Q_{\mathrm{Dr},\bar{\phi}_i}(s',a') - \alpha \pi_\theta(a'|s') \right), \quad a' \sim \pi_\theta(\cdot|s')$$

-DO@CurrentQ: A Dr.Q variant that does not use dropout in line 8. Specifically, dropout is not used in $Q_{\mathrm{Dr},\phi_i}(s,a)$ in the following equation in line 8.

$$\nabla_\phi \frac{1}{|B|} \sum_{(s,a,r,s') \in \mathcal{B}} \left(Q_{\mathrm{Dr},\phi_i}(s,a) - y \right)^2$$

-DO@PolicyOpt: Dr.Q variant that does not use dropout in line 11. Specifically, dropout is not used in $Q_{\mathrm{Dr},\phi_i}(s,a)$ in the following equation in line 10.

$$\nabla_\theta \frac{1}{|B|} \sum_{s \in \mathcal{B}} \left(\frac{1}{M} \sum_{i=1}^{M} Q_{\mathrm{Dr},\phi_i}(s,a) - \alpha \log \pi_\theta(a|s) \right), \quad a \sim \pi_\theta(\cdot|s)$$

-DO: Dr.Q variant that does not use dropout in lines 6, 8, and 10.
In this ablation study, we compare the methods on the basis of average return and estimation bias in Ant.

The comparison results imply that the introduction of dropout in line 6 is the most effective. The average return of the methods (-DO@TargetQ and -DO) which do not introduce dropout in line 6 are significantly lower than those of the methods (Dr.Q, -DO@CurrentQ, and -DO@PolicyOpt) which introduce dropout in line 6.

Figure 8: Additional ablation study result.

D   Hyperparameter setting

Hyperparameter settings (Table 8) for each method in the experiments in Section 4. Parameter values, except for (i) dropout rate for Dr.Q and DUVN and (ii) M for DUVN, are set in accordance with Chen et al. (2021c). The dropout rate (i) was set through line search, and and M (ii) for DUVN was set in accordance with Harrigan (2016); Moerland et al. (2017).

Table 8: Hyperparameter setting.

Method	Parameter	Value
SAC, REDQ, Dr.Q, and DUVN	optimizer	Adam (Kingma & Ba, 2015)
	learning rate	$3 \cdot 10^2$
	discount rate (γ)	0.99
	target smoothing coefficient (ρ)	0.005
	replay buffer size	10^6
	number of hidden layers for all network	2
	number of hidden units per layer	256
	mini-batch size	256
	random starting data	5000
	UTD ratio G	20
REDQ and Dr.Q	in-target minimization parameter M	2
REDQ	ensenble size N	10
Dr.Q and DUVN	dropout rate	0.01
DUVN	in-target minimization parameter M	1