ExPress: Simultaneously Achieving Storage, Execution and Energy Efficiencies in Moderately Sparse Matrix Computations

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ABSTRACT

Sparse matrix computations have witnessed a resurgence with the pervasive use of deep neural networks. Leveraging sparsity enables efficiency of storage by avoiding storing zeroes. However, sparse representations incur metadata computational overheads software needs to process the metadata (or indexe) that describes row/column locations of non-zero values before it can access the corresponding data values. There have been several formats proposed for representing sparse matrices including Compressed Sparse Row (CSR), Coordinate (COO), Bitmaps, Run-length encoding, & hierarchical representations. Each representation achieves different levels of memory compression and incurs different levels of computational complexity depending on the sparsity (percentage of zero values). We seek answers to the following: (i) at what sparsity levels is it worth eliminating compressed representation of matrices and use the dense representation that includes both zeros and non-zero values, and (ii) even if we use compressed data representation, will it be useful to expand the matrices internally to eliminate metadata processing overheads? In this paper we propose the use of a special hardware called ExPress that expands compressed matrices into dense data, eliminating metadata computations from the main processing element. Our ExPress hardware is configurable so that it can expand from different compressed formats.

Our experiments for matrix-vector multiplication using several DNN workloads show performance gains of 43%, 33% and 11% on average over software implementations that use CSR, Bitmap and Run-length encoding respectively. *ExPress* shows performance gains over sparse software codes for sparsity up to 70%. Further, *ExPress* simultaneously achieves energy improvement by reducing the instruction overhead of sparsity-aware computations.

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1 INTRODUCTION

With the trend towards embedding intelligence into the *edge*, there is a growing need to support compute and storage-efficient machine learning algorithms on low-power sensing and handheld devices. These devices are characterized by simpler cores, and small on-chip memory [36, 37, 46]. Achieving real-time inference capability in these devices requires optimizing both the storage and computations performed by matrix-based kernels such as matrixvector multiplication. Leveraging sparsity (zeroes) in the input data and/or weights of deep neural nets (DNNs) has emerged as a viable technique to achieve these improvements [18, 39, 49].

Sparsity (the percentage of zeroes in the matrix) is exploited to improve performance, as well as reduce storage and energy requirements. To achieve these improvements, various sparse matrix representation techniques have been proposed and used in scientific and machine learning codes. These include compression formats such as compressed sparse row (CSR [2]), block compressed CSR (BCSR [3]), compressed sparse column (CSC [4]), coordinate list (COO [10]), bit-vectors [39], run-length encoding [39] and hierarchical bit-vector representations [27]. Conceptually, these formats store only non-zero (denoted NZ) values of a matrix along with *metadata* to indicate the row and column positions (i.e., indices) of these values. Matrix codes are written to a specific representation in order to interpret the metadata and to perform computations only on the NZ values.

We observe that accessing and processing compressed metadata incurs overheads. To perform pairwise multiplications of elements from matching columns (rows), metadata of one matrix is used to lookup (and often match) the non-zero elements of another. To illustrate, consider the *spMV* algorithm that multiplies a sparse matrix M by a dense vector V to produce an output (dense) vector Y. Figure 1 shows a sample 3×3 matrix M and two compressed representations: compressed sparse rows (CSR) and Bitmap.



Figure 1: A 3x3 sparse matrix in CSR and Bitmap Formats

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In the Bitmap representation, an array stores 0s and 1s corresponding to positions of zeroes and non-zeroes in the matrix. Only the non-zero values are stored in a separate array. Using the locations of the 1s in the bitmap array, software determines the corresponding column indices to perform matrix computations. For example, the *spMV* (sparse matrix-vector multiplication) algorithm traverses the bitmap array row by row, obtaining the column indices of the *NZ* values (corresponding to 1 bits in the bitmap), and accesses the corresponding indices of the (dense) vector *V*. A simplified outline of this algorithm implemented is shown in Algorithm 1 below.

Algorithm 1 Bitmap Version of <i>spMV</i>						
1:	1: procedure spMV					
2:	$w \leftarrow 0$					
3:	for $i = 0; i < n; i = i + 1$ do					
4:	$s \leftarrow 0$					
5:	for $j = 0; j < n; j = j + c$ do					
6:	$bits \leftarrow bitmap[w++]$					
7:	for $k = 0; k < c; k + = 1$ do					
8:	if bits & 0x1 then					
9:	$s \leftarrow s + vals[next] \times v[j+k]$					
10:	bits = bits >> 1					
11:	next = next + 1					
12:	$y[i] \leftarrow s$					

Array *bitmap*[.] holds the metadata of 0s and 1s, while array *vals*[.] holds the non-zero values of the original matrix. v[.] is the dense vector. Each iteration of the loop on loop index *j*, the code fetches the next chunk of the bitmap (shown as of size *c*, where *c* could be 32-bit) and goes over each bit examining if it is a 1. If it is a 1, then the next value from *vals*[.] is multiplied with the corresponding element from v[.] and accumulated.

There are several performance overheads with this softwareonly approach. One, the metadata cost is high: each innermost loop iteration includes a check on the bit value before the actual multiply-accumulate can be performed. Two, unlike the traditional uncompressed matrix-vector multiplication algorithm, this sparse version has three nested loops thereby incurring additional loop control overheads. Three, the code is hard to parallelize/vectorize. As we will quantitatively discuss in Section 2, the Bitmap compression technique is not efficient for lower sparsity matrices. Similarly, almost all other compression techniques incur metadata overheads that often constitute a large fraction of processing cycles especially when the sparse matrices do not exhibit high sparsity. In fact, low to moderate sparsity (20% - 70%) is dominant in DNN workloads unlike the traditional scientific domain where sparsity in matrices is very high [6], [38]. Thus, while the sparsity needs to be leveraged for storage and energy gains, the performance drawback needs to be addressed.

In this work, we seek answers to the following: (i) at what sparsity levels is it worth eliminating compressed representation of matrices and use dense (uncompressed) representation of data that include both zeros and non-zero values, and (ii) even if we use compressed data representation, will it be useful to expand the matrices internally to eliminate metadata computations? In this context we propose *ExPress*- a hardware accelerator. Denoted *Ex-Press*, the accelerator's goal is to simultaneously improve storage, energy and performance of low-sparsity matrix codes by expanding compressed matrices. Expanded data is presented to the CPU via memory buffers. In addition, *ExPress* supplies mask bits to let the CPU skip wasteful computations. Thus, *ExPress* simultaneously enables efficient storage as well as efficient computations by removing the metadata (or index) processing burden from software codes. We incorporate *ExPress* support within the RISCV RV32IMCV ISA.

We make the following contributions:

- Design and evaluate a novel memory-side accelerator that works in unison with matrix-based codes running on CPU cores. The accelerator improves performance of embedded single-threaded cores by eliminating sparse matrix metadata overheads and improving compute-memory overlap.
- Leverage the open RISCV RV32 32-bit core as our baseline to design the operation of the accelerator.
- Across a range of sparse matrices drawn from DNN workloads, and synthetic benchmarks, we demonstrate that *Ex-Press* improves performance of *spMV* by 43%, 33% and 11% on average over Bitmap, Run-Length (RL) and CSR software codes respectively in embedded systems.
- *ExPress* simultaneously achieves 15%, and 10% energy reduction over Bitmap and RL formats respectively by eliminating metadata processing cycles from processing elements.

2 BACKGROUND AND MOTIVATION

Intelligent real-time sensing applications such as keyword spotting [49] and visual wake word recognition [8] require real-time machine-learning based inference engines to execute on low-power sensors that are limited by power, storage and compute capabilities. On the low end of the compute spectrum, these microcontrollerbased devices (MCUs) comprise simple in-order cores (such as a core from ARM Cortex-M series or RISCV RV32) integrated with a small on-chip SRAM (100KBs – a few MBs), clocked at no more than a few hundred million cycles per second. Thus, achieving intelligence at the edge requires highly optimized implementations of various types of ML inference algorithms.

Both Convolutional neural nets (CNN) and Recurrent neural nets (RNN) employ matrix-based algorithms for applications such as object detection [14], image captioning [28], speech recognition [16], and natural language processing [33]. With feature sizes and output classes in the order of a few thousand elements, the storage capacity required often exceeds available SRAM. For example, the final fully connected layer of VGG16 [45] employs a 4K x 1K weight matrix requiring a few MBs of storage. Thus, techniques such as network pruning and quantization have been used to reduce the memory footprint by eliminating some connections (weights set to 0) or by avoiding storing 0 values in intermediate features [19]. Unlike scientific sparse matrices, CNNs contain far less sparsity. Figure 2 plots the average sparsity of the output in each convolution layer of quantized implementations of VGG16, VGG19 and Cifar10. While sparsity improves with layer depth, earlier layers have only a moderate level of sparsity to exploit - more than half the layers have less than 60% sparsity.



Layer-wise Sparsity

Figure 2: Sparsity by Convolution Layer

Several sparse matrix formats have been proposed to achieve lossless compressed storage of sparse feature maps and weights [7, 18, 27, 32, 39, 40, 45]. While all of these formats achieve storage efficiency, they incur computational overhead to extract non-zero values using the matrix metadata, and sparse matrix algorithms are harder to vectorize/parallelize. Given the low to moderate sparsity seen in several convolution layers (see Figure 2), these compression overheads may annul the storage and computation savings expected with sparse data. Thus a wholistic analysis of the benefits of compression is needed, accounting not just for storage, but also for performance as well as energy. Below, we examine each of these for three representative formats - CSR, bitmap and run-length encoding, to motivate our ExPress design. Our goal is not to provide an exhaustive comparison of these formats but rather to provide motivation for jointly optimizing storage, performance and energy of sparse computations.

Storage Efficiency: Table 1 lists the storage requirements for various formats given an input $n \times n$ matrix with sparsity s (sparsity refers to the fraction of data that are zeros - higher sparsity means more zeroes) and each non-zero element occupying e bytes. The sizes shown assume bit-exact allocations - byte alignment or padding incur additional storage. Compressed Sparse Rows (CSR [2]) stores non-zero values of the sparse matrix in a row-major order. All the non-zero columns are stored in a CSR_Cols array $(sn^2 \frac{log_2(n)}{8})$ bytes) and corresponding values in a CSR_Vals array $(sn^2e$ bytes). A CSR_Rows array contains indices into the CSR_Cols array marking the start and end of the non-zero data for each row $((n + 1)\frac{log_2(n^2)}{2})$ bytes). In the Bitmap representation (see [40]), a bit map of the matrix is constructed where each bit corresponds to a matrix location and the bit value denotes if the location has a non-zero or zero value. An array of values similar to CSR_Vals is used to store the non-zero values. In the Run-Length representation (see [39]), a run of adjacent non-zero values is recorded by a pair (start_column, num_non_zeroes). The average length of a run of non-zeroes is denoted by *l*. All such pairs are stored in an *RL_Cols* array ($\frac{sn^2 2log_2 n}{sl}$ bytes). Non-zero values are stored in an *RL_Vals*

Format	Size (Bytes)	Description	
Uncompressed	n^2e	No metadata needed. Storage	
		size does not depend on spar-	
		sity.	
CSR	$(n+1)\frac{log_2(n^2)}{8} +$	$(n+1)\frac{\log_2(n^2)}{8}$ is storage for	
	$sn^2e+sn^2\frac{log_2(n)}{s}$	CSR Row indices. The $log_2(n^2)$	
	0	is the worst-case number of bits	
		required to describe each in-	
		dex. sn^2e is storage for non-	
		zero values. $sn^2 \frac{log_2(n)}{8}$ is stor-	
		age for CSR column indices of	
		non-zero values.	
Bitmap	$\frac{n^2}{8} + sn^2e$	$\frac{n^2}{8}$ is storage for the bitmap.	
		sn^2e is storage for non-zero val-	
		ues.	
Run-length	$\approx \frac{nlog_2(n)}{8} +$	The $\frac{nlog_2(n)}{8}$ is storage for	
	$\frac{sn^2 2log_2n}{r} + sn^2e$	number of RLs in each row.	
	81 1 511 0	$\frac{sn^2 2log_2 n}{8l}$ is storage for (start,	
		num) pairs assuming an aver-	
		age run length <i>l</i> .	

Table 1: Storage for Different Sparse Matrix Formats

array (similar to *CSR_Vals*). An *RL_Rows* array contains the number of runs in each row ($\frac{nlog_2(n)}{8}$ bytes).

Figure 3 plots the storage needs for a 1024 by 1024 matrix holding 16-bit data values at different sparsity levels under several storage formats, normalized to the storage needed by the uncompressed format. *Bitmap* and *RL* (with l = 8) formats reduce the storage compared to the uncompressed format at nearly all sparsity levels while other formats become attractive at higher sparsity.

Performance Efficiency: Figure 4 plots the normalized dynamic instruction counts of the matrix-vector multiply algorithm implemented atop various sparse formats (normalized to the uncompressed version). For illustration, we used a synthetic 1024 by 1024 matrix with average non-zero run-length of 4. At lower sparsity levels (\leq 50%), the *Bitmap* and *RL* formats incur significantly high metadata processing overhead, resulting in much higher instruction

Shashank Adavally, Nagendra Gulur, Krishna Kavi, Alex Weaver, Pranoy Dutta, and Benjamin Wang



Figure 3: Storage Needs for a 1K by 1K Sparse Matrix



Figure 4: Matrix-Vector Multiplication: Dynamic Instruction Counts

count than the uncompressed format. In contrast, these formats are the most efficient in terms of storage as shown by Figure 3.

Energy Efficiency: Ultra-low power sensing devices must achieve very low energy & power goals while implementing machine-learning algorithms. We estimate the energy of sparse-matrix computation as a sum of three sources: (i) energy of memory accesses, (ii) energy of matrix-based computations, and (iii) processor pipeline energy (instruction fetch, decode, etc). While uncompressed formats incur higher memory energy, compressed formats incur higher processor pipeline energy. Figure 5 plots the energy breakdown of the matrix-vector algorithm across various storage formats at different sparsity levels (Section 5 provides details of energy costs). While compressed formats lower the memory access energy, some formats incur significant processing energy. In such formats, economy of storage can be lost due to expensive computation. Thus, a judicious trade-off must be made in determining how to store sparse data, and how to process it.

3 EXPRESS

3.1 Overview

ExPress is motivated by this storage–computation–energy trade-off at low sparsity. *ExPress* simultaneously exploits the storage reduction of sparse formats and the computational simplicity of the uncompressed format to achieve overall energy reduction. It does so by *expanding* the *compressed* data and supplying expanded data to the CPU. Expansion enables computational kernel software to become compression format-agnostic and the CPU does not incur cycles processing metadata. This leads to both performance improvement and energy saving. At the same time, *ExPress* supplies mask bits to the CPU so that expansion does not result in unnecessary computations. Thus even though *ExPress* expands the compressed matrix, the energy incurred by computations (by *computations*, we mostly refer to multiplication operations that are prevalent in DNN workloads) is limited to useful non-zero data. Thus *ExPress* provides a memory-side substrate to orchestrate sparse computations that are simultaneously performance, energy and storage-efficient.

Figure 6 shows the system organization of a typical low-power MCU (diagram on the left) as well as a high-performance processor with *ExPress*(diagram on the right). The MCU is provisioned with a small amount of on-chip SRAM backed by non-volatile storage (typically flash memory). In the MCU, *ExPress* is integrated such that it can access the SRAM. We expect an on-chip interconnect through which *ExPress* can access the SRAM for (pre)fetching matrix contents¹. Memory read/write requests issued by *ExPress* are routed by the interconnect to the correct SRAM banks as per the chip-level memory map.

The high performance processor includes a cache hierarchy followed by off-chip memory (typically DRAM). *ExPress* is integrated into the L1D cache so that it can leverage the *TLB* to convert software-programmed virtual to physical address translation and issue memory requests for matrix contents.

ExPress is internally organized into a front-end (*FE*) and a backend (*BE*). The *FE* is responsible for CPU-side interactions: handling configuration writes from the CPU and supplying data to the CPU in response to buffer load requests. By design, the front-end is unaware of the sparse format used. The *BE* is aware of the sparse format and uses the metadata to fetch values and provide their indices to the front-end. It issues loads of matrix data and metadata from the memory system to enable the *FE* assemble data buffers in a timely fashion. The *FE* and the *BE* operate in a decoupled manner synchronized by a control unit that starts or throttles the *BE* based on availability of space in the buffers. This separation between a sparsity-unaware front-end and sparsity-aware back-end enables the front-end portion of the design to be reused while only the back-end needs to be updated to support newer sparse formats.

3.2 ExPress Front-End

We first describe the programming of the *FE* followed by its design.

Programming Model and Operation: The *ExPress FE* is responsible for matrix metadata configuration, and coordination with the CPU. Initially, the *FE* has to be configured by software to point the *FE* to matrix metadata stored in memory. This programming is performed by writing to a set of memory-mapped registers (MMRs) in the *FE*. Values programmed into these configuration registers control the address generation and termination logic. Below, we list the MMRs needed:

- *M_Num_Rows*: Number of rows of sparse matrix *M*.
- *M_Num_Cols*: Number of columns of sparse matrix *M*.
- Sparse_Format: Format in which the sparse matix is stored (one of CSR, Bitmap, Run-Length in our evaluation)
- M_Rows_Base: Base address of metadata array that provides aggregate information about each row.

¹Such on-chip interconnects are the norm in MCUs to allow DMA (Direct Memory Access) accesses to SRAM and we do not consider this as a new requirement for *ExPress* integration.

MEMSYS 2020, September 28-October 1, 2020, Washington, DC, USA



Figure 5: Matrix-Vector Multiplication: Energy Breakdown



Low Power MCUS HI

Figure 6: System Organization with ExPress

- *M_Cols_Base*: Base address of metadata array that provides information about non-zero locations in each row.
- *M_Values_Base*: Base address of the array holding non-zero values of the matrix.
- *Element_Size*: Size of each data value in the values array (to distinguish 8-bit/16-bit/32-bit/etc data types)
- *Start/Stop*: This bit is set to start or stop the hardware operation by the CPU.

Figure 7 provides an example of how the configuration registers are set up for CSR, Bitmap and Run-Length formats using the $3 \times$ 3 matrix *M* shown at the top of the figure. For the CSR format, the *M_Rows_Base* register contains the address of the *CSR_Rows* array; *M_Cols_Base* the address of the *CSR_Cols* array. With Bitmap representation, the *M_Rows_Base* register contains the address of an array that contains bit offsets at which each row's bitvector is stored. *M_Cols_Base* contains the address of the bitmap of 1s and 0s to mark non-zero/zero locations in the matrix. In Run-Length, *M_Rows_Base* points to an array that contains the number of runlengths in each row. *M_Cols_Base* points to an array describes each run-length as a pair: (number of non-zeroes in the run, starting column index of the run). In all formats, M_Values_Base contains the address of the non-zero values array.

ExPress provides hardware support for expansion of sparse matrices. It reads sparse matrix metadata and constructs buffers that are filled with either the non-zero values from the sparse matrix or zeroes. For each column of each row, ExPress determines if the corresponding value is non-zero (value present in *M_Values* array) or zero using the specified matrix metadata. The CPU simply loads values from these buffers and multiply-accumulates them into the output vector. These buffer loads are performed via the normal load-store interface of the CPU using addresses assigned to these buffers. In our design, we assume a vector-wide load-store interface for high performance applications but ExPress design can work with scalar load-store interfaces also². The software uses a *fixed* load address to load from. Whenever the CPU performs a load, the FE updates its buffer state to determine when the buffer has been completely drained by the CPU. If the FE is designed with multiple buffers, then upon the CPU draining one buffer, the FE switches to the next ready buffer. In the single-buffer design, as buffer entries are read, these slots are filled with the next chunk of data. In this sense, the FE offers a streaming FIFO interface to the CPU. If the CPU performs a load when the buffer is not ready, then the FE stalls the load. In both the MCU and High-performance processor integration, it is assumed that the CPU can be stalled due to a long latency memory access.

Eliminating Wasteful Multiplications: While *ExPress* eliminates the software overhead of processing the metadata, it increases the number of multiplications performed by the CPU since it supplies both non-zeroes as well as zeroes. This is wasteful especially from an energy perspective in embedded systems. In order to mitigate this, the *FE* supplies a *hint* in the form of a bit-vector to the core alongside the buffer data indicating which buffer elements are non-zero or zero. This is depicted in Figure 8. Using the bitmap representation as example, the figure shows the *FE* expanding a chunk of data by inserting two zeroes and supplying mask bits to the core in addition to the actual data via the buffer.

In our design, this mask-vector is supplied as a side-band signal to the load-store interface of the CPU. The CPU uses the mask to

²In fact, our design works even better with scalar loads as there is less pressure on the memory system to return a large number of values per loop iteration.

Shashank Adavally, Nagendra Gulur, Krishna Kavi, Alex Weaver, Pranoy Dutta, and Benjamin Wang



Figure 7: Metadata Configuration for ExPress



Figure 8: ExPress operation showing mask bit-vector



Figure 9: ExPress Front-End Pipeline

enable/disable operations on individual elements of the loaded data. While this causes an idle slot in case an operation is skipped, as our results demonstrate, *ExPress* simultaneously improves performance and lowers energy by a combination of compressed storage, and expanded, zero-skipped computations.

FE **Design:** The *FE* is implemented with *N* vector-sized buffers where *N* is a design-time parameter. $N \ge 2$ permits *ExPress* to prefetch data and fill buffers ahead of time. N = 2 provides double-buffer arrangement. The *FE* and *BE* work the memory pipeline managed by a control unit. Figure 9 describes the design of the *ExPress* front-end.

The first stage of the pipeline reads the next non-zero column index (supplied by the back-end, discussed in Section 3.3). Next, it calculates the gap between this index and previous index. This requires a comparator. If there is no gap, then the value of the matrix element at this index is read (which is supplied by the back-end). If a gap is found, then a zero value is inserted into the pipeline. In the final fill-buffer stage, the value (either the matrix value from memory or zero) is written to the next free slot in the output buffer. The control unit maintains the current state of the FE to issue pipeline control signals. It also tracks the current read and write positions in the buffers so that CPU read requests are serviced in correct order. The control unit also tracks buffer empty/full conditions so as to stall CPU load requests (when no ready buffer is available), skip issuing new memory read requests when all buffers are full, etc. This internal state requires a single 32-bit register inside the control unit (active read buffer id, active write buffer id, next read slot in read buffer, next write slot in write buffer, empty read buffers flag, full write buffers flag).

When the pipeline is working at its maximum efficiency, a new value is filled every cycle. This throughput is sufficient to feed a CPU operating at the same frequency even if the CPU uses SIMD execution with 8 element-wide vectors. We limit our analysis to a maximum of 8 element vectors as wider data paths are area and power-expensive and rarely implemented in low-power embedded systems.

3.3 ExPress Back-End

ExPress Back-End (*BE*) fetches metadata and data for the front-end by interpreting the sparsity format that has been programmed into the *Sparse_Format* memory-mapped register. Figure 10 describes the pipeline design of the *ExPress* back-end. Rather than describing the *BE* design and operation for each format separately, we have described a generic pipeline-based organization with some pipeline stages providing format-specific functionality.

The first stage calculates the next metadata address to read from. This address calculation depends on the format used and the current read position. For example, in the *Bitmap* format, the next address is simply the next 32-bit word in the array pointed to by M_Cols_Base register. With *CSR* and *Run-Length* formats, the next

MEMSYS 2020, September 28-October 1, 2020, Washington, DC, USA



Figure 10: ExPress Back-End Pipeline

address depends on whether the current read position is the end of a row: if it is, then the next address is the next entry in the array pointed to by *M_Rows_Base*; if the read is in the middle of a row, then the next address is the next entry in the array pointed to by M Cols Base. The calculated address is used to issue a memory read request in the second stage. In the third stage, the next data value is read from memory using an offset from the address held in M_Vals_Base. In all formats, the address generation to access the values array is trivial: the i^{th} access is simply to the address $M_Vals_Base + i \times Element_Size$. The control unit maintains necessary state - the current read positions into the rows, columns and values arrays. In the fourth stage, the next non-zero column index is calculated. The calculation performed is a function of the format used: in CSR, the column index is explicitly read from memory and no calculation is needed; in Run-Length, the column index is an increment of one from the current (previous) column index in the current run; in Bitmap, the 32-bit column metadata bitvector is scanned for the next '1' bit and its bit position is converted to column index. In the final stage, the calculated column index value and the corresponding data value are supplied to the front-end by writing these values to registers. The control unit generates signals to control the pipeline movement and to stall the pipeline if memory responses are delayed or if the next non-zero column index could not yet be computed (this can occur in the Bitmap format - where a string of 0s-only words may be encountered).

The *BE* works with the underlying memory system to issue read requests and to collect read data. In the MCU integration, the *BE* issues requests to the on-chip RAM via an on-chip interconnect. In the high-performance processor integration, the *BE* issues requests to the L1D cache. If the request is an L1D miss, then the usual cache miss processing is carried out to fetch the contents.

Depending on underlying cache hierarchy and memory organization, the *BE* may reorder memory requests to improve spatial locality. In particular, on DRAM-based systems, the *BE* may employ techniques such as prefetching data from open row-buffers to reduce memory access latency and improve the overall efficiency of the memory system.

3.4 Other Considerations

Multi-core Support: *ExPress* is designed to work on a per-core basis. In multi-core implementations of matrix algorithms, per-core *ExPress* instances can be configured to accelerate respective cores. It is straightforward to extend *ExPress* to support matrix sub-blocking so that each per-core instance manages supplying data accessed by one core. In a multi-core implementation, sub-block dimensions have to be programmed into each *ExPress* instance (rather than the entire matrix dimensions).

Other Compression Formats: Like most prior works, *ExPress* focuses on several commonly used formats: CSR, Bitmaps and Run-Length. Support for other compression formats can be integrated into *ExPress* with relatively minor changes only to the step that determines the location of the next non-zero element in a row, column or sub-block. The rest of the architecture including the streaming buffers and memory-side back-end remain the same.

Saving and Restoring *ExPress* **State:** The *ExPress* state may be treated as part of the process state of the process that is currently using *ExPress*. If the process is context-switched out, then the state of *ExPress* could be saved along with the CPU state (PC, stack, etc). *ExPress* state comprises the filled-but-unread buffers and the metadata bookkeeping registers. The restoration of process state is similar: the unread buffers and state of *ExPress* metadata are restored. Once this is completed, the start-bit may be set to resume operation.

Like the handling of floating-point state, an optimization is to let the OS determine if *ExPress* is being used by the current process. If it is not being used, then reading and saving *ExPress* state can be skipped, thereby saving context-save and restore latency for such processes.

Exceptions: *ExPress* is expected to be correctly configured by the application with correct base addresses of data and metadata arrays. Incorrect configuration can result in illegal memory accesses. Detection and management of such exceptions is outside the scope of *ExPress* and should be handled by the application core.

Cache Coherence and Buffered Data: Buffered data is not expected to go stale. While a thread is consuming matrix data for *spMV* or *spMspM*, it is not expected that the same or another thread of the process modifies these values. If such a scenario did arise, then the *ExPress BE* could be augmented to participate in cache coherence. It may also be observed that *ExPress* does not modify any data and therefore need not issue ownership requests.

Output Compression: At present, *ExPress* is designed for constructing input dense buffers for the CPU to load. The creation of compressed outputs is performed in software. It is possible to extend *ExPress* such that it can take a dense buffer from the CPU (via a vector-store to a *ExPress* buffer address) and suitably re-format and write the compressed output to memory.

Support for High-Dimensional Tensors: While this work explores *ExPress* in the context of the *spMV* algorithm, it is straightforward to extend the concept of expansion to cover higher dimensional data such as tensors. If the neural network algorithm executing on the processor is operating in chunks of 3D volumes of feature maps, then *ExPress* buffers should be constructed to supply these chunks.

MEMSYS 2020, September 28-October 1, 2020, Washington, DC, USA

Shashank Adavally, Nagendra Gulur, Krishna Kavi, Alex Weaver, Pranoy Dutta, and Benjamin Wang

3.5 Area Estimate

The area of *ExPress* is a sum of the logic gates of the control unit and storage required by the *FE* and the *BE*.

FE Area: The *FE* comprises CPU-side buffers ($N \times 32B$), memorymapped registers ($8 \times 4B$), internal state registers (4B), pipeline registers (8B between successive stages) and column-index & value storage between the *BE* and *FE* ($2 \times 4B$). With a single buffer (N = 1) of size 32B, the total storage is less than 100*B*. Coupled with a comparator in the control unit for gap calculation, we obtained an area estimate of 0.03 mm^2 using CACTI [30] with 32nm technology.

BE Area: The *BE* comprises control unit state for read pointers (4*B* each for row, column and values arrays), pipeline registers (8*B* between successive stages) and logic for address generation (adder), end-of-row comparison (comparator) and column index computation (priority encoder & shifter). The total storage needed is less than 50*B*. The area estimate for the *BE* is 0.03 mm^2 .

The total area for *ExPress* logic and storage is an estimated 0.05 mm^2 . In comparison to a RISCV 32-bit 3-stage in-order core with a vector unit with 32 32B vector registers *without* floating/double-precision support, this is less than 9% area overhead. In more so-phisticated pipelined cores with floating point support, the area overhead of *ExPress* is insignificant.

4 PROGRAMMING MODEL

In order to leverage *ExPress*, it has to be configured with matrix metadata. This is done by programming memory-mapped registers. These registers provide the following configuration details (to be supplied by software):

- *M_Num_Rows*: Number of rows of sparse matrix *M*.
- *M_Num_Cols*: Number of columns of sparse matrix *M*.
- *Sparse_Format*: Format in which the sparse matrix is stored (one of CSR, Bitmap, Run-Length in our evaluation)
- M_Rows_Base: Base address of metadata array that provides aggregate information about each row.
- *M_Cols_Base*: Base address of metadata array that provides information about non-zero locations in each row.
- *M_Values_Base*: Base address of the array holding non-zero values of the matrix.
- Element sizes of *M_Rows*, *M_Cols* and *M_Values* Arrays: Quantization and pruning of ML networks leads to different reductions – such as 16-bit values or 8-bit column indices (in small-sized matrices or in small run-length encodings). Thus *ExPress* is programmed with the sizes (in bytes) of the elements of the various arrays that it accesses. This allows *ExPress* to seamlessly support various configurations of supported sparse formats.
- *Start*: This bit is set last to trigger the start of the hardware operation.

Software is expected to set up these configuration registers with the *Start* bit being the last one to be set.

4.1 Accessing Data Buffers In Computational Kernels

The *ExPress* data buffer is memory-mapped to a fixed address. Note that even if *ExPress* is implemented with multiple physical buffers

for "double buffering" operation, the CPU software accesses the current buffer via the same address. In this sense, *ExPress* offers a streaming FIFO (First-In First-Out) interface to the CPU: the CPU software need not keep track of which buffer to read from. The software always issues a load (or vector-load) from a fixed address. *ExPress* routes this load request to the correct buffer and returns load data.

Putting it all together, Figure 11a compares and contrasts the traditional software-based *spMV* with *ExPress*-based implementation shown in Figure 11b. The traditional software implementation uses the Run-length format.

For simplicity of illustration, both codes are shown as scalar implementations while implementations may use RISCV vectors to accelerate the kernel. It may also be noted that vectorizing the software version is non-trivial/has lower gains due to the dependence on processing the run-length metadata before the actual multiplications can be vectorized. The code on the left is the traditional *spMV* where software processes run-length metadata comprising number of runs in each row (M Rows), and description of each run (M Cols). The code outline on the right is the ExPress-accelerated version of spMV. Relevant changes are highlighted as blue text. The volatile pointer variable BUFFER is initialized to the address of the ExPress buffer³. Next, before executing the main kernel, ExPress is initialized and started. These initialization functions (not shown for brevity) simply perform a series of writes to ExPress configuration registers. The main kernel of the ExPress-version looks very similar to the simple uncompressed matrix-vector algorithm. The only change is the way that values from M are accessed. In the ExPressversion, these values are accumulated into buffers by ExPress and software reads them from the buffer using the *BUFFER* pointer⁴.

It may be observed that metadata overheads have been entirely eliminated by *ExPress* leading to simpler more efficient inner loops. While the above description used the matrix-vector kernel, the same programming model applies to other sparse-matrix based kernels such as convolutions.

5 EXPERIMENTAL EVALUATION

We evaluate *ExPress* on both low-power MCUs as well as highperformance processors using DNN, and synthetic workloads executed on a 32-bit RISCV ISA using a heavily modified *Spike* [15] simulator.

5.1 System Configurations

We evaluate *ExPress* with two different types embedded systems configurations. Tables 2 and 3 describe the system configurations of the low-power micro-controller and high-performance processor respectively. Both configurations use the 32-bit RISCV [11] base architecture along with vector (V), compressed (C), atomic (A), multiply (M), floating (F) and double precision (D) extensions.

The micro-controller (MCU) uses an in-order three-stage pipeline implementation. In particular, loads that do not complete in a single cycle stall the pipeline. The vector unit is not pipelined. The memory comprises on-chip SRAM. All the code, global data, stack and dynamically allocated data reside on SRAM. The high-performance

³In our experiments, we mapped the *ExPress* buffer to address 0*xC*000_1000. ⁴The *volatile* attribute ensures that each read goes to memory.

MEMSYS 2020, September 28-October 1, 2020, Washington, DC, USA

```
void spMV(void)
                                                               volatile int * BUFFER=&EXP_BUFFER;
{
                                                               void EXP_MV(void)
  int s,c,k,l,num_cols,start_col,v_idx;
                                                              {
 k = 0;
                                                                 int s;
 v_idx = 0;
                                                                 int k=0;
  for (int i=0; i < n; i++)
                                                                 EXP_Init(M_num_rows, M_num_cols, M_rows, M_cols);
                                                                 EXP_Init2(RL);
    s=0:
    c = M rows[i];
                                                                 EXP_Start();
    for (int j=0;j<c; j++)
                                                                 for (int i=0;i<M_num_rows;i++)</pre>
                                                                 {
      num cols = M cols[k++];
                                                                   s=0;
      start_col = M_cols[k++];
                                                                   for (int j=0;j<M_num_cols;j++)
      for (I=0;I<num_cols;I++)
                                                                   {
      {
                                                                      s+=v[j]*(*BUFFER);
        s += M_vals[v_idx++]*v[start_col+l];
                                                                   }
                                                                   y[i]=s;
    y[i] = s;
                                                                 }
 }
                                                              }
}
```

(a) Traditional Run-Length Software version of *spMV*

Figure 11: Comparison of *spMV* codes

Processor	Values
Core	RISCV with IMACFDV Extensions
	Frequency = 200 MHz
	In-order 3-stage
	Vector width (VL) = 8 Elements
	Element Size (SEW) = 32 bit
	Vector Arithmetic Latency = 4 cycles
<i>ExPress</i> Buffer size = 32B	
	Supports CSR, Bitmap and RL formats
MEM SRAM, 1-cycle access time	
Energy (pJ) Instruction Fetch: 5	
16-bit Multiplication: 5	
	SRAM Access: 30

Table 2: System Parameters: Low-power Micro controller

processor (HP) uses a similar core microarchitecture. Unlike the MCU, it is backed by a cache-based memory hierarchy.

5.2 Workloads

We use several matrices corresponding to the fully connected (FC) layers of trained DNNs, and synthetically generated matrices in order to evaluate *ExPress*. The fully connected layer of DNNs performs matrix-vector multiplication before the final classification is performed. We leveraged the quantized weights matrix of this layer from a variety of networks: MobileNet [22], MobileNetV2 [44], DenseNet [23], ResNet [20], ResNetV2 [21], and VGG16, & VGG19 [45]. Table 4 lists attributes of interest for these matrices. As these networks are trained to classify input images into one of a set of 1000 pre-trained classes, the number of columns for each network's FC layer is 1000. As we will see in Section 6, a combination of average sparsity and average run-length greatly affect the performance of sparse-format-based software implementations.

Processor	Values	
Core	RISCV32 with IMACFDV Extensions	
	Frequency = 2 GHz	
	In-order 3-stage	
	Vector width (VL) = 8 Elements	
	Element Size (SEW) = 32 bit	
	Vector Arithmetic Latency = 4 cycles	
ExPress	Buffer size = 32B	
	Supports CSR, Bitmap and RL formats	
L1 D-Cache	32KB, 4 way, 1 cycle	
L2 Cache	128KB, 8 way, 5 cycles	
DDR	LPDDR4-1600	
	tCAS-tRCD-tRP	
	11-11-11	
	2KB row-buffer	

(b) ExPress-Accelerated version of spMV

Table 3: System Parameters: High Performance Processor

DNN	Size	Sparsity(%)	Run-Length
DenseNet	1024×1000	49	11.2
MobileNetV2	1280×1000	11	8.9
MobileNet	1024×1000	30	3.3
ResNet	2048×1000	53	1.9
ResNetV2	2048×1000	34	3.9
VGG16	4096×1000	12	7.8
VGG19	4096×1000	12	7.9

Table 4: DNN Workload Sparsity Characteristics

In order to analyze the performance of our accelerator more carefully, we generated 28 synthetic matrices comprising 4 different sizes (64 by 64, 256 by 256, 1024 by 1024 and 4096 by 4096) and 5 different sparsity levels (10% through 70% in steps of 10%). We limit

MEMSYS 2020, September 28-October 1, 2020, Washington, DC, USA

Shashank Adavally, Nagendra Gulur, Krishna Kavi, Alex Weaver, Pranoy Dutta, and Benjamin Wang

our attention to these configurations as they correspond to DNN weight matrices in terms of both sizes and sparsities.

5.3 Simulation Details

We used a heavily modified version of Spike simulator [15] for our work. Spike models the 32-bit RISCV architecture along with several extensions that we required for our work, including vectors, compressed, atomic, multiply, floating and double-precision extensions. Further, Spike models a simple 3-stage in-order pipeline that closely resembles the implementation of most embedded microcontrollers. For simulating the high-performance processor, we incorporated several modifications to the baseline simulator including a detailed DRAM memory model and processor wait cycles. We also incorporated configurable instruction latency for vector instructions. ExPress is implemented as a detailed timing C model integrated at the load-store interface and occupying the address range (0xC0000000, 0xC0002000). It supports expanding from CSR, Bitmap and RL compression formats in a timing-accurate manner - each clock cycle, it uses a state machine to take suitable action (respond to CPU read request, store memory read response into buffer, issue next memory read request, etc). In addition, we extended Spike to support additional performance counters such as processor wait cycles due to memory, and memory access statistics.

6 **RESULTS**

We first present the performance results of *ExPress* on the embedded MCU configuration followed by its results on embedded high-performance processors. In terms of notation, *ExPress*-Bitmap denotes *ExPress* working with *Bitmap* format, and similarly *ExPress*-RL and *ExPress*-CSR.

6.1 ExPress on MCU

Figure 12 plots the performance improvement achieved by ExPress over respective software sparse codes on DNN fully connected layers. On average, ExPress improves performance by 43%, 11% and 33% over Bitmap, CSR and RL-based software codes. ExPress-Bitmap consistently outperforms Software-Bitmap which is interesting since Bitmap is a commonly used compression format in several accelerator-based approaches (such [27]). Programmable software-only DNN approaches should consider this while choosing the appropriate compression format. ExPress-RL almost always outperforms RL except in denseNet. Referring to Table 4, denseNet has a high average run-length (11.2) which reduces the software overheads of processing run-length metadata. This result also reveals that run-length coding has significant performance variation that is dependent on the average run-length of the input. On resNet which has the lowest average (1.9), ExPress-RL outperforms Ex-Press-Bitmap. ExPress-CSR exhibits the least gain among the three formats. This is explained by Figure 4 which shows that CSR has very low metadata overhead. Thus, when the sparsity is reasonably high, software-CSR performs better than ExPress-CSR since the software version avoids redundant processing altogether. denseNet and resNet have higher sparsity (49% and 53% respectively) and are thus able to take advantage of the CSR formatted metadata more effectively. However, CSR incurs higher metadata storage

overheads which become more pronounced with higher quantization (such as 8-bit). For example, at 50% sparsity in a 1024×1024 matrix comprising 8 – *bit* data, CSR requires more storage than a fully uncompressed matrix. Thus, depending on system constraints, one or the other format may be better suited. *ExPress* performs consistently – it is able to deliver performance improvements in 18 out of 21 configurations evaluated.

Energy Savings: While *ExPress* uses the same underlying storage format as the respective sparse format and thus incurs the same memory energy, it saves energy by removing instruction execution overheads. Unlike software codes that incur cycles to decode/decompress sparse data, with *ExPress*, the CPU executes fewer total instructions thereby saving energy. Figure 13 plots the energy saved by *ExPress*. Tracking performance improvement results presented above, energy savings are the highest in *ExPress*-Bitmap owing to the high metadata overheads of the *Bitmap* format (average saving of 15%(. Similarly, *ExPress*-CSR achieves only a modest average improvement as *Software-CSR* is quite metadata-efficient.

6.2 ExPress on High-Performance Processor

Figure 14 plots the performance improvement achieved by *ExPress* over traditional software sparse codes on HP cores running DNN *spMV* operations. On average, *ExPress* performs 43%, 37% and 6% better than traditional Bitmap, Run-length and CSR formats respectively. In general, results on HP CPUs follow similar trends as on MCU CPUs. *Software-CSR* outperforms *ExPress* when sparsity is higher while *ExPress* performs better than the other two formats consistently.

In our design, the *ExPress* hardware issues memory accesses in parallel with CPU computations, thus hiding memory access latencies. However, since the CPU now performs uncompressed matrix computations, it will be performing computations over all values (even though zero values are skipped, a wasted cycle is still incurred). The sparsity determines if the memory savings outweigh computational overhead or not. In addition to sparsity, the size of the matrix also determines the trade-off. At a given sparsity, larger matrices involve more redundant computations than smaller matrices (see Figure 15 and the discussion in section 6.3).

Thus, it is necessary to understand the sparsity of data in a given application and the size of the data to determine if a design like our *ExPress* is beneficial or not.

6.3 Analysis on Synthetic Matrices

In this section, we evaluate *ExPress* on several synthetic matrices of different sizes and sparsities to understand the limits of *ExPress*. Since *ExPress* performs computations in uncompressed format, as sparsity increases, wasted computational cycles can outweigh the gains achieved by metadata overhead elimination. Figure 15 shows the performance improvement of *ExPress* as compared to respective software sparse formats for two matrix sizes (i.e. 64x64 and 2048x2048) at different sparsity levels. Unsurprisingly, it can be seen that the performance benefit of *ExPress* drops with increase in sparsity. As the matrix size increases, performance drops at a relatively faster rate with increase in sparsity because of the increase in wasted cycles. It may also be observed that *ExPress* gains at least 20% improvement over both *Software-Bitmap* and *Software-RL* even



ExPress Improvement over Respective Software Sparse Code





Figure 13: ExPress on MCU CPUs: Energy Saving

at 60% sparsity. Where storage constraints are severe (many embedded MCUs have as little as just a few KB of memory), *CSR* is not a viable compression format and other formats have to be used. At lower sparsity, *CSR* incurs higher metadata storage overhead compared to the other formats since it records the absolute column index of each non-zero value (for example, in a 1024×1024 matrix, each column index requires 10 bits which may be stored in memory using a 16 bit data type). In such scenarios, *ExPress* offers a viable option to improve performance while achieving low storage.

6.4 Compute-Memory Overlap

ExPress improves compute-memory overlap by issuing memory requests in parallel to CPU computations. By provisioning more

than one buffer, it is possible to improve this overlap further and hide memory wait cycles. With N = 2 buffers, we noticed 1 - -2% performance improvement over the single-buffer configuration. In our experiments, as the core performs scalar operations, a single buffer is largely sufficient to meet the load bandwidth of the CPU. However, we expect higher gains when *ExPress* is deployed in multi-core or vectorized systems where the processing elements can consume several data elements per cycle and thus multiple buffers can be beneficial.

ExPress offers another benefit: vectorization. By rendering uncompressed matrices, it becomes trivially easy to vectorize matrix kernels unlike kernels that are based on compressed formats. We implemented a vectorized version of *ExPress*-CSR and compared its performance improvement over vectorized-software-CSR. For



ExPress Improvement over Respective Software Sparse Code









Figure 16: ExPress on Vectorized HP CPUs: DNN workloads

a 2048 × 2048 matrix with 30% sparsity, ExPress-CSR improved

performance by 56% (in contrast, scalar ExPress-CSR improved performance by only 17% over scalar-software-CSR). It can be seen in Figure 16 that the vectorized version of DNN workloads has similar performance improvements as scalar counterparts.

RELATED WORKS

Accelerating spMV operations has received attention from both the hardware and software communities. On the hardware side, works propose hardware acceleration of the entire computation: some of these works include a CAM-based accelerator [48], and accelerator for very large spMV [43]. The work in [43] proposes a Two-Step spMV algorithm and a memory-based accelerator to accelerate such computations on very large, very sparse graphs. Our work is different: we aim to solve the memory latency problem faced by embedded system-based matrix codes. Unlike works that

aim to move the entire computation to a dedicated accelerator, our goal is simply to reduce the decompression bottleneck faced by software codes running on traditional cores.

Interest in DNN based accelerators have seen a rise in recent years. There are too many different hardware/software implementations to include here. Many are based on specialized accelerators based on either dataflow or tensor/systolic arrays. Many of these systems lack flexibility or reconfigurability. A recent paper [40] focuses on support for flexible sparse matrix and vector multiplications. Sparse data is represented as bit-vectors and dataflow like Multiply-Accumulate units are configured based on the nonzero values in data. Authors of [34] propose a programmable accelerator to optimize the execution for new and emerging ML applications. The accelerator (VTA) is viewed as a fetch-load-compute-store pipeline to dispatch instructions to load (obtain input, weights and bias tensors from DRAM), compute (GEMM operations) or store (store results of compute in DRAM). Our interest is in the use of general purpose RISC-like processing units with minimal extensions to the ISA and hardware complexity.

There are several works that attempt to improve the performance of sparse matrices for scientific applications. Authors of [5] proposed a parallel sparse matrix algorithm based on SUMMA used in BLAS library and parallelized the sparse matrix multiplication, while we used *ExPress* to expand low-sparsity matrices to remove the metadata burden from CPU codes. Greathouse [17] proposed an algorithm, CSR-Stream to compute sparse matrix-vector multiplication for smaller rows and CSR-Adaptive algorithm to choose CSR-Stream instead traditional CSR compared to expansion from COO format and parallelizing dense matrix workloads. In [1], authors proposed a parallel Sparse Matrix-Sparse vector (SpMSpV) algorithm that stores the product of Sparse matrix-vector based on the row indices and later accumulates it, all by using buckets.

There have been many studies on near-data processing Processing-In-Memory logic. More recent works focused on migrating computations to PIM. Some older reports proposed migrating memory intensive operations closer to memory including memory allocation and garbage collection functions (see for example [9, 42, 47]). In one interesting work, the authors propose creating memory gestures (or macros) for some common operations involved in traversing linked lists and avoid bringing intermediate nodes into processor caches [12].

There are several studies on data prefetching. In [13], prefetching is based on calculating the stride from previous accesses and prefetching is limited to tracking the stride for one data structure. Streambuffers [26] prefetch sequential streams of cache lines even if the fetched data is not utilized, while our work prefetches only useful data elements and supplies them to processing elements. Markov prefetching [25] supports correlation-based prefetching by storing the history of missed address streams. Based on the history of previous miss patterns, future misses are predicted and prefetched. This method does not maintain any knowledge about specific data structure strides or keep track of multiple structures simultaneously. In [24], authors prefetched data based on distance prefetching from slower memory into on-chip buffer in a heterogeneous memory architecture (consisting of faster 3D DRAMs and slower non-volatile devices such as PCM). The distance is measured in terms reuse distance. The authors propose to prefetch heavily

used pages from slower non-volatile memories into faster DRAM based memories. This is in lieu of migrating pages completely into faster memories.

In a different vein, there have been proposals on improving compression of sparse matrices and proposed techniques include CSR5 [31], hierarchical bit vectors [27], compression on top of CSR [41], hierarchical coordinate format [29] and the structured 2-4 format [35]. Some proposed specialized hardware to compress and decompress data for use by CPU (assuming that the CPU uses conventional spMV software, relying on CSR formats) [41]. Our work could be leveraged on top of these other formats in order to offer both storage benefits as well as compute efficiency.

8 CONCLUSIONS

Matrix-Vector multiplication is inherent in many scientific, graph analytics, machine learning and deep Neural network applications. In many cases, the matrices are sparse, although the sparsity levels (the fraction of data that are zeros) varies. There have been many different ways of representing the sparse matrices to save the storage needed for the data, including Compressed Sparse Rows (CSR), Bitmap, Run-Length encoding and hierarchical representations. While these representations lead to storage savings, they can lead to computational overheads since it is necessary to identify the location of rows and columns of non-zero elements of the matrix and match the corresponding vector elements needed for the computations. This led us to investigate answers to two questions: (1) is it better to represent matrices in dense format to improve computational efficiency, even if this leads storage overheads, and at what sparsity levels this approach is desirable, and (2) even if matrices are represented using a sparse representation, is it better to expand them internally to dense representations before computation proceeds, and at what sparsity levels is this approach desirable. In response to the first question, we have shown that dense representations are viable at certain sparsity levels and the sparsity level depends on the size of the matrix. For example for 1024×1024 matrices dense representation outperforms CSR-based algorithms for matrices with up to 40% sparsity. To answer the second question, we designed a special hardware called *ExPress* that expands sparse data into dense data so that the CPU performs dense Matrix-Vector computations. We find that our approach outperforms CSR-based algorithms for matrices with 40% sparsity or less, and outperforms Bitmap based algorithms for matrices with 70% sparsity or less. In addition to performance gains, ExPress also leads to energy savings for matrices with low to moderate sparsities, as is the case with many Deep Neural Network workloads. Further, ExPress simplifies the programming model enabling vectorization and unrolling optimizations. As future work, we are considering hardware support for supplying only non-zero index-aligned values of matrix rows and vector instead of expanding sparse matrices at higher sparsities.

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Shashank Adavally, Nagendra Gulur, Krishna Kavi, Alex Weaver, Pranoy Dutta, and Benjamin Wang

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