

## **ABSTRACT**

BAKER, LEE B. Design of a 3DIC system to aid in the acceleration of embedded systems that employ multiple instances of disparate artificial neural networks. (Under the direction of Paul Franzon.)

This dissertation explores employing a Three-Dimensional Integrated Circuit (3DIC) in the acceleration of Artificial Neural Networks (ANNs) for systems deployed in customer facing applications. Assuming ANNs fulfill their potential, it is this works belief that these systems will employ ANNs for various functions, such as engine monitoring, anomaly detection, navigation etc. and that the various system functions are implemented with a set of disparate ANNs. A further assumption is that these customer facing systems may not have access to cloud servers or the cloud servers do not provide the necessary turn-around time for processing the ANN.

Although ANNs have been known of for many decades, it hasn't been until the last few years that they have demonstrated efficacy in applications such as image recognition and voice recognition.

Artificial Neurons (ANes) take their inspiration from neuron behavior observed in the mammalian brain, although implementations are simplifications of what actually exists in the brain. These simplifications range from attempts to emulate the actual spiking behavior of real neurons to ANes that simply encode the spiking behavior in the form of a number or rate.

The ANNs that have demonstrated most efficacy are a family of neural networks that can be described as Deep Neural Networks (DNNs). These DNNs are created by cascading layers of rate-based ANes to form a large, layered ANN employing ten's of thousands or more of ANes.

Considering the storage required for the input and the ANN parameters, the storage requirements result in gigabytes of memory. When these ANNs are required to be solved in fractions of a second, the processing and memory bandwidth becomes prohibitive.

Unfortunately, to achieve a high performance, existing implementations rely on processing a batch of inputs, such as processing a batch of images or voice recordings which all use the same ANN or by employing a sub-family of DNNs, known as Convolutional Neural Networks (CNNs), which reuse portions of the ANN parameters. These techniques allow these implementations to hold and

reuse data in fast local static random-access memory (SRAM). With this works target application, the assumption is there is little opportunity for batch processing or reuse therefore data must be drawn constantly from main memory, which generally is dynamic random-access memory (DRAM).

One area of integrated circuit technology that hasn't been widely used in ANNs is 3DICs. 3DICs have the potential to increase connectivity, and thus bandwidth and keep power dissipation to within acceptable levels.

This work demonstrates how a customized 3DIC DRAM can be combined with application-specific layers to produce a system meeting the required level of performance in systems with multiple instances of disparate ANNs.

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Design of a 3DIC system to aid in the acceleration of embedded systems that  
employ multiple instances of disparate artificial neural networks

by  
Lee B. Baker

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## **DEDICATION**

To my wife Mandy, my children Adam, Rachel and Paul and my parents Joan and Barry.

## **BIOGRAPHY**

The author was born in the United Kingdom. After high school he took a job in a local electronic engineering firm under a vocational program. While working on the manufacturing floor and seeing the white coated "engineers" being called down from upstairs to solve the "big" problems, he decided he wanted to wear one of those white coats. The journey to the "white coat" took him to Brighton Polytechnic, now Brighton University and a First Class Honours Degree in Electrical Engineering. After working in the UK for a couple of years, he moved to the United States. The journey included a family with a daughter and two sons. The education continued with a Masters in Engineering from Villanova University and a Masters in Business Administration from North Carolina State University.

With the family now being somewhat independent, he decided to make a career change which would hopefully include teaching.

That career change included enrolling in the Electrical Engineering PhD program at North Carolina State University. This stage of the education journey has resulted in this dissertation.

Remember:

"do not stand still."

"do not let your past dictate your future."

## **ACKNOWLEDGEMENTS**

At a personal level, I would like to thank my wife Mandy and my children Adam, Rachel and Paul for their encouragement.

I would like to thank my advisor, Paul Franzon for his help in making this possible.

I would also like to thank my fellow students, especially Jong Beom, Josh, Sumon and Weifu for their healthy discussions and, being an older student, referring to me as Lee and not Sir or Mr. Baker.

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## TABLE OF CONTENTS

<b>LIST OF TABLES . . . . .</b>	<b>viii</b>
<b>LIST OF FIGURES . . . . .</b>	<b>ix</b>
<b>Chapter 1 Introduction . . . . .</b>	<b>1</b>
1.1 Overview . . . . .	1
1.2 Abbreviations . . . . .	3
1.3 Artificial Neural Networks . . . . .	7
1.3.1 ANN Overview . . . . .	8
1.3.2 ANN Layers . . . . .	13
1.3.2.1 Deep Neural Networks . . . . .	14
1.3.2.2 Feature Layers . . . . .	15
1.3.3 ANN Processing . . . . .	20
1.4 Motivation . . . . .	24
1.4.1 The Problem . . . . .	24
1.4.1.1 Why not SRAM? . . . . .	24
1.4.2 Alternatives . . . . .	25
1.4.2.1 Graphics processing units (GPUs) . . . . .	25
1.4.2.2 Application-Specific Integrated Circuits (ASICs)/Application-Specific Instruction-set Processors (ASIPs) . . . . .	26
1.5 Three-Dimensional Integrated Circuits (3DIC) . . . . .	28
1.5.1 Pros and Cons . . . . .	28
1.5.2 Construction . . . . .	32
1.5.3 Design Guidelines . . . . .	33
1.6 DRAM Overview and Customizations . . . . .	35
1.6.1 Accessing DRAM and SRAM . . . . .	36
1.6.1.1 Access Locality/Reuse and SRAM as a Cache . . . . .	38
1.6.2 DRAM Customizations . . . . .	39
1.6.2.1 Customization One: Very-Wide Bus . . . . .	40
1.6.2.2 Customization Two: Write Mask . . . . .	41
1.7 The Solution . . . . .	42
1.8 Novelty . . . . .	43
1.9 Summary . . . . .	44
<b>Chapter 2 State of the art . . . . .</b>	<b>45</b>
<b>Chapter 3 System Overview . . . . .</b>	<b>48</b>
3.1 Sub-System Column . . . . .	50
3.2 Processing a group of ANes . . . . .	52
3.3 Processing a single ANe . . . . .	52
3.4 Sub-System Column (SSC) Blocks . . . . .	53
3.4.1 Customized DRAM : Dis-Integrated 3D DRAM (DiRAM4) . . . . .	53

3.4.2	Layer Interconnect . . . . .	54
3.4.3	Stack Bus . . . . .	55
3.4.3.1	Common Bus Signalling . . . . .	56
3.4.4	DRAM Bus . . . . .	56
3.4.5	Manager Layer . . . . .	59
3.4.6	Processing Engine Layer . . . . .	61
3.4.7	Inter-Manager Communication . . . . .	61
3.5	Summary . . . . .	65
<b>Chapter 4</b>	<b>System Operations . . . . .</b>	<b>67</b>
4.1	Instructions . . . . .	68
4.1.1	Instruction Types . . . . .	69
4.1.2	Compute Instruction . . . . .	69
4.1.2.1	Accessing of Pre-synaptic ANe states and connection weights . . . . .	72
4.1.2.2	Storage Descriptor . . . . .	73
4.1.2.3	Writing ANe state results to memory . . . . .	75
4.1.3	Configuration Instruction . . . . .	76
4.1.3.1	Data Instruction . . . . .	77
4.1.3.2	Sync Instruction . . . . .	77
4.1.4	Multiple Instruction Functions . . . . .	78
4.2	Host Instructions . . . . .	78
<b>Chapter 5</b>	<b>Detailed System Description . . . . .</b>	<b>83</b>
5.1	Manager . . . . .	83
5.1.1	System controller . . . . .	83
5.1.1.1	Initial Boot . . . . .	84
5.1.2	Instruction Decoder . . . . .	86
5.1.2.1	Compute Instructions . . . . .	86
5.1.2.2	Configuration Instructions . . . . .	88
5.1.2.2.1	Sync Send . . . . .	88
5.1.2.2.2	Sync Wait . . . . .	89
5.1.2.2.3	Sync Pause . . . . .	90
5.1.2.2.4	Sync Flush . . . . .	90
5.1.2.2.5	Instruction download . . . . .	90
5.1.2.2.6	Sync group table download . . . . .	91
5.1.2.2.7	Memory download . . . . .	91
5.1.2.2.8	Memory upload . . . . .	92
5.1.3	Main memory controller (MMC) . . . . .	92
5.1.4	Memory read controller (MRC) . . . . .	93
5.1.5	Return data processor (RDP) . . . . .	95
5.1.6	Memory write controller (MWC) . . . . .	96
5.2	Processing Engine . . . . .	97
5.2.1	Configuration . . . . .	97
5.2.2	PE Controller . . . . .	99

5.2.3	Streaming Operations . . . . .	99
5.2.4	DMA Controller . . . . .	100
5.2.5	Local Memory . . . . .	100
5.2.6	SIMD . . . . .	100
5.2.7	Upstream controller . . . . .	100
<b>Chapter 6</b>	<b>Results . . . . .</b>	<b>103</b>
6.1	Power and Area Scaling estimates . . . . .	104
6.2	Physical Placement . . . . .	105
6.3	Synthesis . . . . .	105
6.4	Logic Verification . . . . .	107
6.5	Power Estimates . . . . .	108
6.6	Summary . . . . .	109
<b>Chapter 7</b>	<b>Conclusions and Future Work . . . . .</b>	<b>112</b>
7.1	Conclusions . . . . .	112
7.2	Future Work . . . . .	113
<b>BIBLIOGRAPHY . . . . .</b>		<b>115</b>

## LIST OF TABLES

Table 1.2	Estimated system bandwidth and storage design requirements . . . . .	22
Table 1.1	Baseline ANN layer configuration [27] . . . . .	23
Table 1.3	TSV design characteristics . . . . .	34
Table 3.1	NoC header cycle fields . . . . .	64
Table 3.2	NoC option/data cycle fields . . . . .	64
Table 6.2	Example design area and power . . . . .	104
Table 6.3	68 nm to 28 nm scaling numbers . . . . .	105
Table 6.4	Area contribution . . . . .	106
Table 6.5	Fanin bandwidth tests . . . . .	107
Table 6.6	Power Estimates . . . . .	108
Table 6.7	Features implemented . . . . .	109

## LIST OF FIGURES

Figure 1.1	Artists impression of a Mammalian Neuron [43] . . . . .	8
Figure 1.2	Artificial Neural Network . . . . .	10
Figure 1.3	Example Rated-Based Model Activation functions . . . . .	11
Figure 1.4	Example Spiking Activation Function Model . . . . .	11
Figure 1.5	Layered Artificial Neural Networks . . . . .	12
Figure 1.6	Classification using ANNs layers [7] . . . . .	14
Figure 1.7	Deep network showing feature layers . . . . .	15
Figure 1.8	Locally Connected Layer to Layer Connection Types . . . . .	16
Figure 1.9	Fully Connected Layer to Layer Connection Types . . . . .	17
Figure 1.10	Features and locally-connected filters (kernels) . . . . .	18
Figure 1.11	Single Layer constructed from 3D layers of Features . . . . .	19
Figure 1.12	Baseline DNN showing layer order [27] . . . . .	23
Figure 1.13	3DIC Stack of Die . . . . .	29
Figure 1.14	Die Stack profile [20] with Through-Silicon Vias (TSVs) . . . . .	32
Figure 1.15	Typical Memory Block Diagram [22] . . . . .	35
Figure 1.16	RAM Storage Cell Types . . . . .	36
Figure 1.17	Typical DRAM Block Diagram [13] . . . . .	40
Figure 1.18	Exposing more of the DRAM page . . . . .	41
Figure 3.1	3DIC System Stack . . . . .	49
Figure 3.2	Sub-System Column (SSC) . . . . .	51
Figure 3.3	Multiplexing DRAM data to execution lanes . . . . .	53
Figure 3.4	DRAM Physical interface layout showing area for SSC . . . . .	54
Figure 3.5	Stack Bus signalling . . . . .	57
Figure 3.6	Read and Write request to DiRAM4 [14] . . . . .	58
Figure 3.7	Worst case PO/PC sequence . . . . .	58
Figure 3.8	DRAM Read Path Buffering . . . . .	59
Figure 3.9	Instruction 4-tuple . . . . .	60
Figure 3.10	Processing Engine (PE) ANe calculation . . . . .	62
Figure 3.11	Network-on-Chip (NoC) manager connectivity . . . . .	63
Figure 3.12	NoC packet format . . . . .	64
Figure 3.13	System Flow Diagram . . . . .	65
Figure 4.1	Typical compute instruction (4-tuple) . . . . .	70
Figure 4.2	Operation descriptor (5-tuple example) . . . . .	71
Figure 4.3	Option tuple functions . . . . .	71
Figure 4.4	Compute Instruction details . . . . .	72
Figure 4.5	ROI Storage . . . . .	74
Figure 4.6	Storage Descriptor . . . . .	75
Figure 4.7	Configuration tuple . . . . .	77
Figure 4.8	Configuration Instruction types . . . . .	81
Figure 4.9	Host unsolicited download first NoC packet . . . . .	82

Figure 4.10	Host transfer NoC data only packet . . . . .	82
Figure 5.1	Sub-System Column (SSC) Flow Diagram . . . . .	84
Figure 5.2	Manager block diagram . . . . .	85
Figure 5.3	System controller . . . . .	86
Figure 5.4	Host boot code download NoC packet . . . . .	87
Figure 5.5	MRC block diagram . . . . .	94
Figure 5.6	Result data processor . . . . .	95
Figure 5.7	MWC block diagram . . . . .	97
Figure 5.8	PE block diagram . . . . .	98
Figure 5.9	Downstream OOB data transactions . . . . .	99
Figure 5.10	Downstream OOB simulation waveform . . . . .	99
Figure 5.11	Upstream data transactions . . . . .	101
Figure 5.12	Sub-System Column (SSC) Block Diagram . . . . .	102
Figure 6.1	Manager and PE Die layouts . . . . .	111

## CHAPTER

# 1

## INTRODUCTION

### 1.1 Overview

Machine Learning in the form of Deep Neural Networks (DNNs) have gained traction over the last few years. They have gained traction in applications such as image recognition and speech recognition. DNNs are constructed from a basic building block, the Artificial Neuron (ANe). With popular DNNs, the Artificial Neural Network (ANN) is often formed from tens of layers with each layer containing many ANes. In most cases, these layers are processed in a feed-forward manner with one layer being the inputs to the next layer. Therefore, useful DNNs often require hundreds of thousands of ANes and within the network, each ANe can have hundreds, even thousands of feeder or pre-synaptic ANes.

There have been implementations that use different number formats from double precision

floating point to eight bit integers, but in all cases these useful ANNs have significant memory requirements to store the connection weights (parameters) therefore requiring Dynamic Random Access memory (DRAM) to store the ANe parameters.

There have been many successful attempts to accelerate ANNs, but in most cases the focus is on a subset of the DNN known as the Convolutional Neural network (CNN). CNNs assume a significant amount of reuse of the weights connecting ANes and thus they can take advantage of local memory (SRAM).

Much of the ASIC and ASIP ANN research has focused on taking advantage of the performance and ease of use of SRAM. These implementations can be shown to be effective with specific ANN architectures, such as CNNs where the ANN parameters can be stored in SRAM in a cache-like architecture avoiding constant accessing of the "slower" DRAM. In addition, to achieve a high performance, these rely on processing a batch of inputs, such as processing a batch of images or voice recordings using the same ANN.

The work in this paper considers embedded applications that require the processing of a disparate set of useful sized ANNs. The work assumes that the application system is utilizing ANNs for the processing of various sub-systems, such as navigation, engine monitoring etc.. This work also does not assume the ANN is specifically a CNN but a DNN where there may not be opportunities to store and reuse portions of the ANN in SRAM. A further assumption is that the target embedded devices do not include opportunities to perform batch processing. Under these circumstance, when these implementations need to contantly load ANN parameters directly from main memory, the performance is constrained to the DRAM interface bandwidth and the performance of SRAM-based ASIC/ASIP implementations are severely degraded to the point of being unacceptable.

This work uses the DRAM as the primary processing storage and employs minimal SRAM for the processing of the ANe. In addition, the work considers 3D integrated circuit technology and a custom 3D-DRAM. By employing 3DIC technology, this work takes advantage of the reduced energy and area and increased connectivity and bandwidth to allow the DRAM to be employed efficiently without the

need for local SRAM. This work demonstrates that a 3DIC system based on a customized 3D-DRAM could be used in embedded applications requiring at or near real-time performance for systems running multiple ANNs.

It should be noted that this work does not design a custom 3D-DRAM but answers the question "if such a device were available, can we employ it within a useful ANN system".

An overview of ANNs technology is given in chapter 1.3. The motivation for this work is given in chapter 1.4. An overview of 3DIC technology is given in chapter 1.5 and the pros and cons of DRAM and SRAM along with some proposed DRAM customizations are given in chapter 1.6. Some state-of-the-art implementations are reviewed in chapter 2. An overview of the proposed system is described in chapter 3 with more details in chapter 5. An overview of the instruction architecture is given in chapter 4. Simulation results are shown in chapter 6. The conclusion and further work are discussed in chapter 7.

## 1.2 Abbreviations

### Acronyms

**3D** Three-Dimensional

**3D-DRAM** three-dimensional dynamic random-access memory

**3DIC** Three-Dimensional Integrated Circuit

**ANe** Artificial Neuron

**ANN** Artificial Neural Network

**ASIC** Application-Specific Integrated Circuit

**ASIP** Application-Specific Instruction-set Processor

**binary16** half-precision floating-point

**binary32** single-precision floating-point

**BOOTP** Bootstrap Protocol

**CNN** Convolutional Neural Network

**DDR** Double Data Rate

**DiRAM4** Dis-Integrated 3D DRAM

**DMA** direct memory access

**DNN** Deep Neural Network

**DRAM** dynamic random-access memory

**DRC** design rule check

**EDRAM** embedded dynamic random-access memory

**EOD** end of descriptor

**EOM** end of message

**ESD** Electrostatic discharge

**FIFO** first-in first-out queue

**FLOPS** floating point operations per second

**FP** floating-point

**FSM** finite-state machine

**GPU** graphics processing unit

**HBM** High Bandwidth Memory

**HMC** Hybrid Memory Cube

**IC** Integrated Circuit

**IP** Intellectual property

**JTAG** Joint Test Action Group

**KGD** Known Good Die

**LSTM** Long Short-term memory

**MAC** multiply-accumulate

**MMC** main memory controller

**MOD** middle of descriptor

**MOM** middle of message

**MRC** memory read controller

**MSB** Most Significant Bit

**MTU** maximum transmission unit

**MWC** memory write controller

**NoC** Network-on-Chip

**NOP** no operation

**OOB** Out of Band

**PC** Program Counter

**PE** Processing Engine

**QDR** Quad data rate

**RDP** return data processor

**ReLU** Rectified Linear Unit

**ROI** region-of-interest

**RTL** register-transfer level

**SDP** storage data processor

**SDRAM** synchronous dynamic random-access memory

**SIMD** Single-Instruction Multiple-Data

**SoC** System-on-Chip

**SOD** start of descriptor

**SOM** start of message

**SRAM** static random-access memory

**SSC** Sub-System Column

**StOp** Streaming Operation block

**TDP** total design power

**TPU** tensor processing unit

**TSV** Through-Silicon Via

### 1.3 Artificial Neural Networks

Recently, there has been much interest in the use of artificial neural networks in systems that employ tasks such as image recognition[27], text recognition[37] and game playing[32]. In particular, in the field of image recognition these artificial neural network models have demonstrated superior performance over other state-of-the-art technology[27]. These artificial neural networks will continue to be applied to numerous other areas such as voice recognition, text recognition, face recognition and autonomous control.

Artificial neural networks (ANN) take their inspiration from neuron behavior observed in the mammalian brain, although implementations are simplifications of what actually exists in the brain.

The mammalian neuron is a cell that receives input and generates output in the form of electrical and chemical processes. The neuron has a cell body (or soma), a group of dendrites which provide the inputs from other cells, a cell body, an axon which generates the output signals, and the axon terminals which are the outputs of the cell. The connection from a cell's output, or axon terminal to another cell's input, or dendrite is known as a synapse. The connection in the synapse is a chemical process stimulated by electrical impulses. The neuron can be seen in figure 1.1.

The connection from one cell to another has both an associated delay and a strength. The strength of the connection can be influenced by the size of the pre-synaptic neuron spike or by the pre-synaptic neuron generating a series of spikes rather than a single spike.

So it is known that mammalian neurons generate "spikes" in response to inputs which for humans include sight, touch, sound etc.. This spiking behavior is often referred to as the neuron being activated. When these neurons are activated, their spikes propagate to other neurons. Under certain conditions, the combination of the various inputs to a neuron cause it to activate. A particular neuron may have many hundreds, perhaps thousands of other neurons connected to its "input". These input neurons are referred to as pre-synaptic neurons. These pre-synaptic neurons may provide input to many neurons which are referred to as post-synaptic neurons. A particular neuron can get activated by a



**Figure 1.1** Artists impression of a Mammalian Neuron [43]

particular arrival pattern of pre-synaptic neuron spikes or simply by the intensity of the pre-synaptic spikes.

The spiking behavior of a neuron also varies and many spiking profiles have been observed, including single spikes, groups of spikes and repetitive spiking. It is believed that information is carried in the delay and strength of the connections and how pre-synaptic neurons combine to cause a neuron to activate. In simple terms, if a neuron is activated by its pre-synaptic neurons, then the activation of the neuron means a pattern has been detected which will influence a reaction. In mammalian terms, that might be the detection of a threat from both smell and sight neurons and the reaction is to control muscles resulting in flight.

The various chemical and electrical processes that result in the generation and propagation of these neuron spikes is beyond the scope of this dissertation, but how neurons and networks of neurons are artificially emulated is what we will discuss next.

### 1.3.1 ANN Overview

When modeling these neurons in artificial neural networks, the neuron models either generate actual spikes similar to actual neurons or produce a value which is proportional to the rate at which spikes

occur. These ANNs can be categorized as rate-based coded or spike time coded neurons [7][5].

When used in networks of neurons, both model types employ a connection weight between the pre and post-synaptic neuron, however, the spiking neuron network also introduces a time delay associated with the connection.

The spiking neuron model is characterized by [36]:

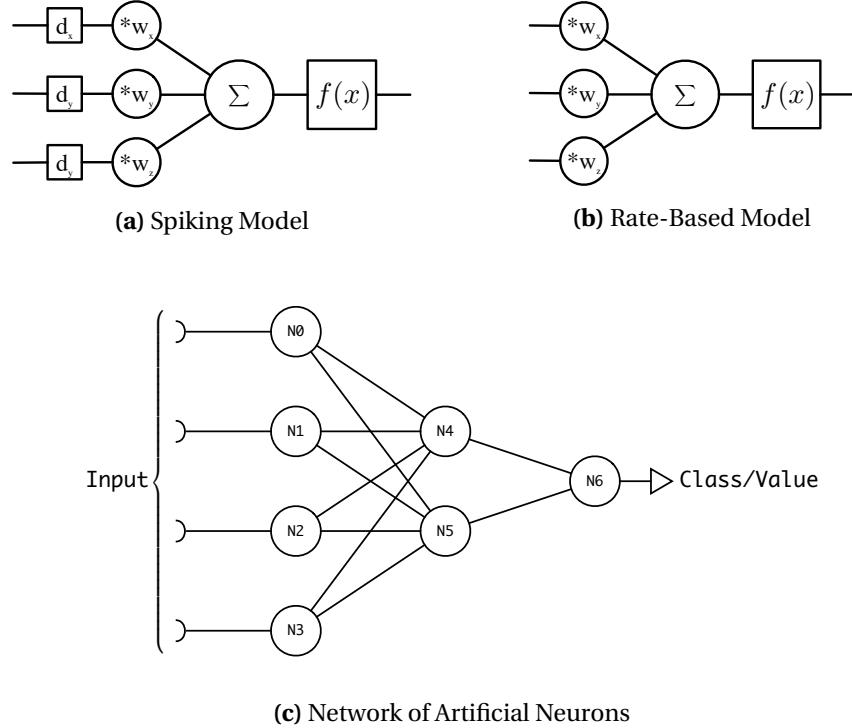
- Connections between neurons have both a strength and a delay
  - The pre-synaptic neuron output is multiplied by the connection weight and delayed
- The weighted inputs from all pre-synaptic neurons are accumulated
- The accumulated inputs drives an activation function
  - the activation function  $f(x)$  is a spiking model is based on differential equations
  - many models have been proposed with varying levels of complexity

Leaky integrate and fire [6] to Izhikevich [21] (see Fig. 1.4a)

complexity based on the number of differential equations and/or computations

The Rate-based neuron model is characterized by [7]:

- Connections between neurons have only a strength
  - The pre-synaptic neuron output is multiplied by the connection weight
- The weighted inputs from all pre-synaptic neurons are accumulated
- The accumulated inputs drives an activation function
  - the activation function  $f(x)$  is a non-linear function
  - early models used binary functions although in practice the function needs to be differentiable

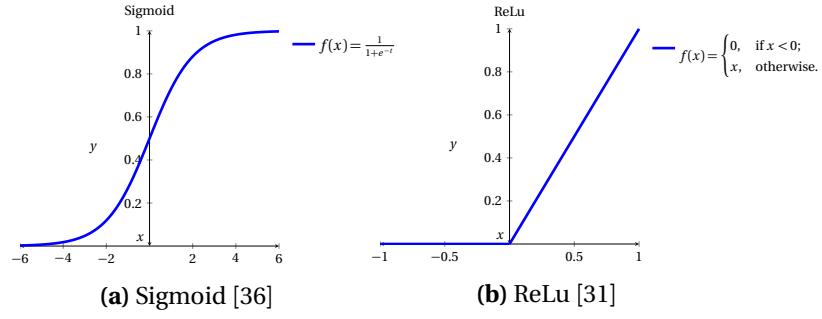


**Figure 1.2** Artificial Neurons and Network [7][33]

examples are (see Fig. 1.3):

- sigmoid [36]
- Rectified Linear Unit (ReLU) [31]

To emulate complex behavior, the artificial neurons are connected in networks, typically with layers of sub-networks which are in effect separated by the non-linear activation function. Examples of both rate-based and spiking artificial neural networks can be seen in Fig. 1.5a and Fig. 1.5b respectively. Typically neural networks process in a feed-forward fashion. Considering Fig. 1.2, this means the input arrives on the left, the inputs propagate to neurons N0 through N3. When N0 through N3 are processed, their values propagate forward to neurons N4 and N5 etc.. Sometime ANNs also include recursion where for example neurons N0 through N4 are not only influenced by the input, but also by themselves. Many ANNs operate only in feed-forward fashion but some popular ANNs, such as Long



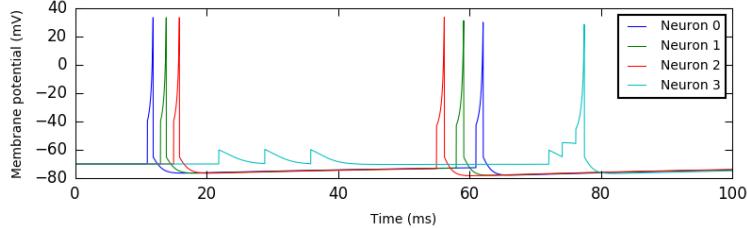
**Figure 1.3** Example Rated-Based Model Activation functions

$$v' = 0.04v^2 + 5v + 140 - u - I$$

$$u' = a(bv - u)$$

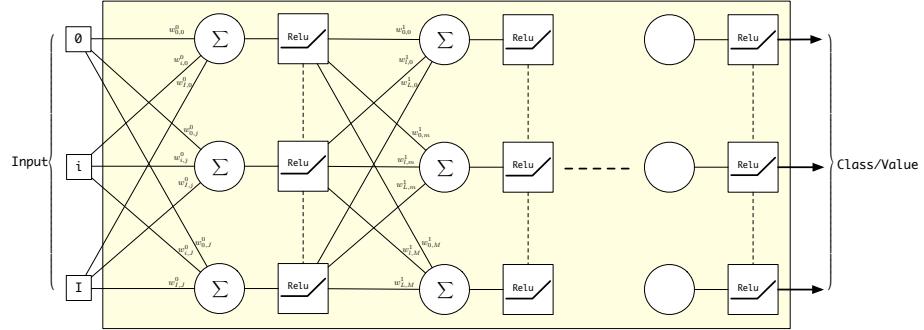
if  $v \geq 30$  mV, then  $\begin{cases} v \leftarrow c \\ u \leftarrow u + a \end{cases}$

**(a) Izhikevich Model[21]**

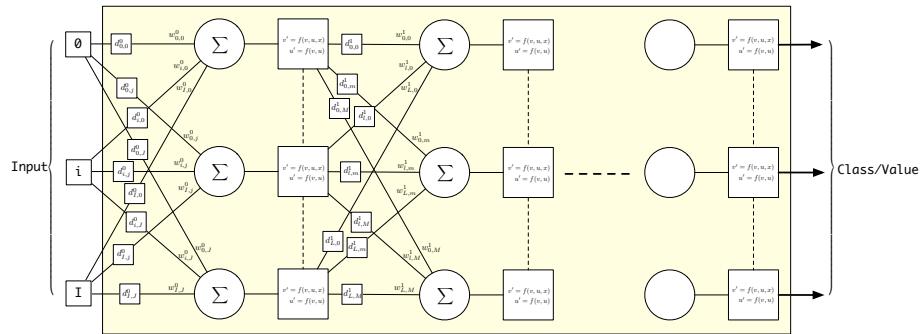


**(b)** Izhikevich Model Simulation [21][8]

**Figure 1.4** Example Spiking Activation Function Model



**(a)** Rate-based Model Artificial Neural Network (with ReLu activation function)



### (b) Spiking-based Model Artificial Neural Network

**Figure 1.5** Layered Artificial Neural Networks

Short-term memory (LSTM) [19], employ recursion.

Another popular ANN known as Deep Neural Networks (DNN) [2][18] have gained traction over the last few years. They get good press in applications such as image recognition and speech recognition. Deep Neural Networks are often formed from tens of layers of ANes with each layer containing many ANes. DNNs are also processed in a feed-forward manner with one layer being the inputs to the next layer. As mentioned [27], these useful DNNs often require hundreds of thousands of ANes and within the network, each ANe can have hundreds, even thousands of feeder or pre-synaptic ANes. There have been implementations that use different number formats from double precision floating point to eight bit integers, but in all cases these useful ANNs require a significant amount of memory to store the connection weights (parameters).

Although the spiking neural network more closely models the behavior of real neurons, over the last 20 years there have been breakthroughs in the configuring of rate-based models especially with the introduction of the back-propagation algorithm and stochastic gradient descent. Along with the abundance of data now available in the form of voice, images etc. to "teach" these networks using back-propagation, most of the effective applications of artificial neural networks have employed these rate-based models.

This work does not address the training of these rate-based ANNs, the training is mostly performed offline. This work is addressing the inference of ANNs. During inference, the most computationally intensive operation is the multiply accumulate associated with the ANe activation, which can involve hundreds or thousands of multiply-accumulates. The ANe activation calculation for the rate-based ANe in figure 1.2b is shown in (1.1).

$$\text{ANe activation} \quad A = f\left(\sum_{n=0}^{C_p} W_n \cdot A_n\right) \quad (1.1)$$

$C_p$  is the number of pre-synaptic connections

$W_p$  is the weight of a connection

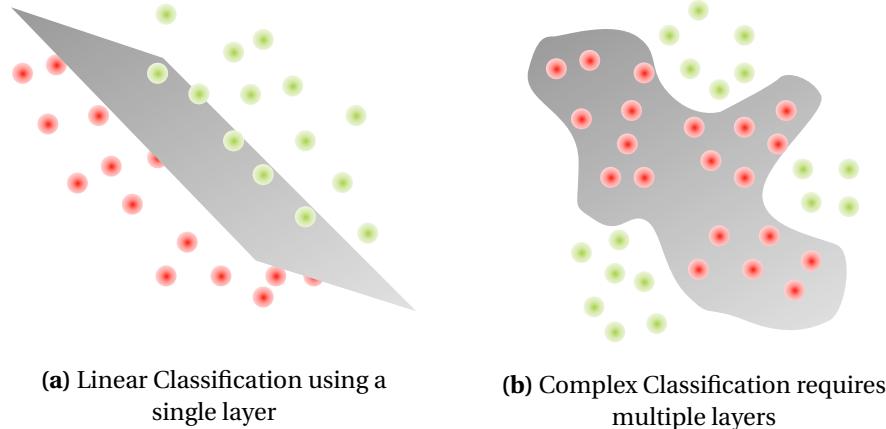
$A_p$  is the state of the pre-synaptic ANe

and  $f(x)$  is the activation function such as ReLu [31]

### 1.3.2 ANN Layers

In figure 1.2c and 1.5a, the ANN is shown to be constructed using layers of ANes. It has long been known that a single layer of ANes can be used linearly partition an n-dimensional input [7], as shown in figure 1.6a. However, if a more complex partition is required, this cannot be achieved using a single layer of ANes. A higher order classification, as shown in figure 1.6a can only be achieved using multiple layers of ANes. In addition, to ensure the multiple layers cannot be mathematically collapsed into a

single layer, the activation function  $f(x)$ , as shown in figure 1.2b must be a non-linear function.



**Figure 1.6** Classification using ANNs layers [7]

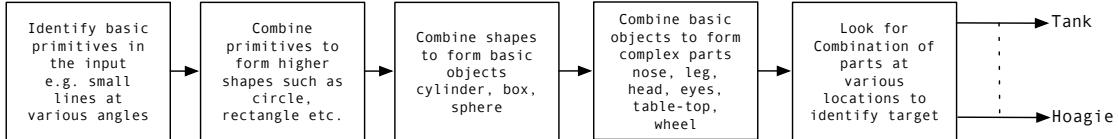
### 1.3.2.1 Deep Neural Networks

As mentioned, a single layer of neurons can be used as a linear classifier as long as the classes can be separated using a linear function. Even some simple cases cannot be linearly separated, an example often used is an exclusive-OR gate [7].

Even with a layered ANN, the final output comes from a single layer. To allow this final layer to linearly separate classes, the original input needs to be transformed into a space where the classes can be linearly separated. Deep Neural Network (DNN) are ANNs that incorporate many layers of ANEs, often which are often up to tens of layers deep. The additional layers are incorporated to translate the space of the input so the various classes being identified can be separated using linear classifiers in the later layers.

Recently, an example of a DNN known as a Convolutional Neural Network (CNN) demonstrated high levels of efficacy when used to classify objects in images [27]. These CNNs use the early layers to identify low-level features and later layers are used combine these features into yet more higher-level

features [28][44][42]. Finally, the combination of high-level features are used to identify the required classes. This layering is shown in Fig. 1.7.



**Figure 1.7** Deep network showing feature layers

In figure 1.7, the final layer is often a fully connected linear classifier with the output representing the probability of a particular class being present in the image. In practice, these DNNs can be used as classifiers or as function approximators.

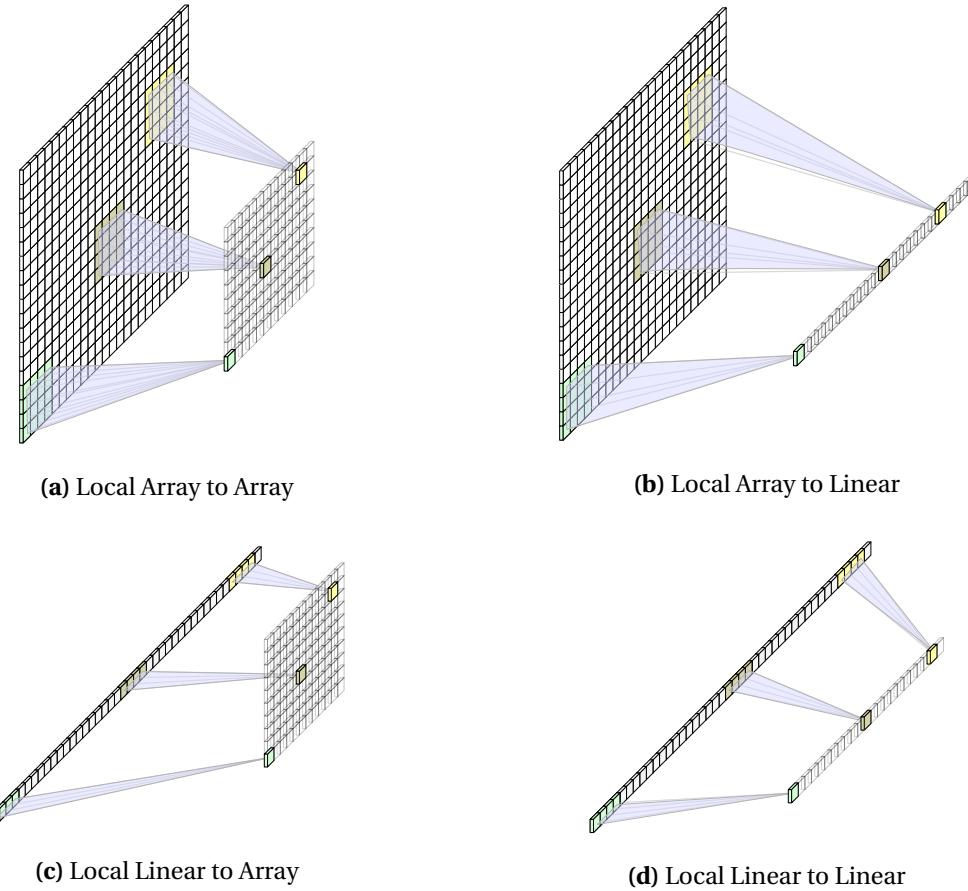
### 1.3.2.2 Feature Layers

For the most part, different ANNs are characterized by how the ANEs are interconnected and the activation function employed.

The typical DNN layers are processed in a feed-forward fashion where the pre-synaptic ANEs are formed from ANEs in the previous layer. There are some types of DNN which also include recursive connections where the pre-synaptic ANEs include ANEs from the current layer. A popular recursive DNN is Long Short-term memory (LSTM) [19]. Although this work does not preclude supporting LSTM in the future, the focus of this work is on the feed-forward type DNN.

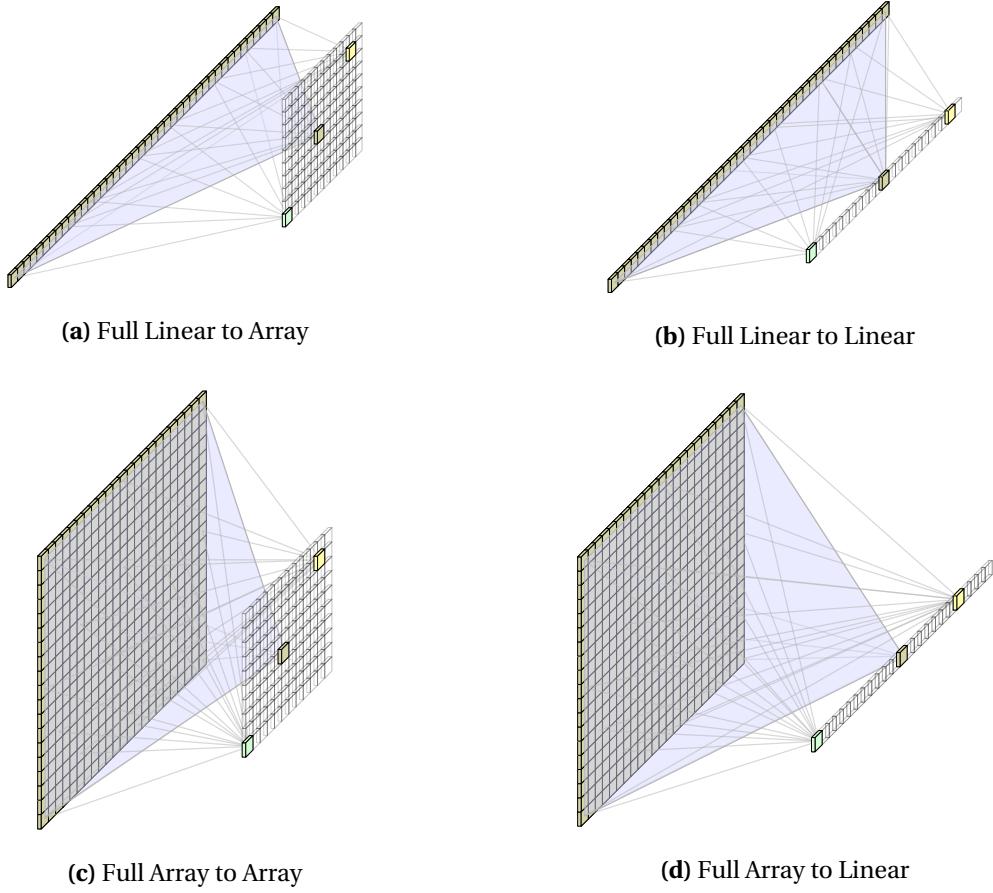
As described in 1.3.2.1, a DNN layer transforms the previous layer with each higher layer providing a coarser grained transformation. This is best seen in image recognition application were the early layers identify low level shapes or features, such as angled lines. The following layers are used to identify higher order shapes such as circles, blocks etc. Although the features detected during the image recognition application are somewhat intuitive, it is believed that in less intuitive applications the DNN performs a similar fine to coarse feature extraction.

The connections between layers can be locally-connected or fully-connected. With locally-connected layers as shown in figure 1.8, a layers pre-synaptic ANes are formed from regions of the previous layer. With fully-connected layers as shown in figure 1.9, a layers pre-synaptic ANes are formed from all ANes in the previous layer. In many cases, a DNN is constructed with lower layers being locally-connected and higher layers being fully connected [27].



**Figure 1.8** Locally Connected Layer to Layer Connection Types

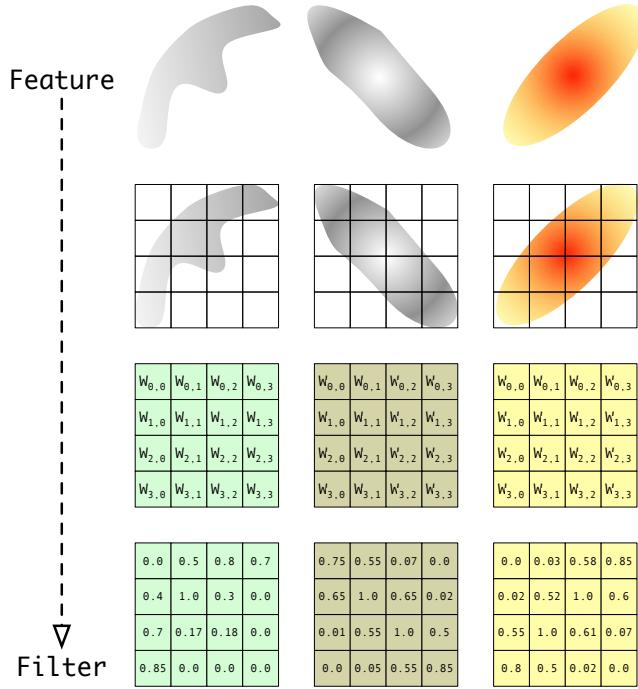
In early uses of locally-connected ANNs, the first layers weights were often hand-generated, an example being Gabor filters [28]. With automatically trained ANNs, the feature detectors at each layer



**Figure 1.9** Fully Connected Layer to Layer Connection Types

are often created during training. Some contrived examples of locally-connected feature detectors are shown in figure 1.10.

The pre-synaptic ANes of a locally-connected ANe are formed from particular region-of-interest (ROI) of the previous layer using the weights from a feature filter. Another locally-connected ANe may use the same ROI but employs a different filter. In practice, for a particular ROI, a number of feature filters are employed resulting in a number of ANes being associated with the same ROI in the previous layer. To reiterate, these feature filters all operate on the same ROI. A different ROI will result in another group of ANes all using their own feature filters. The resulting locally-connected

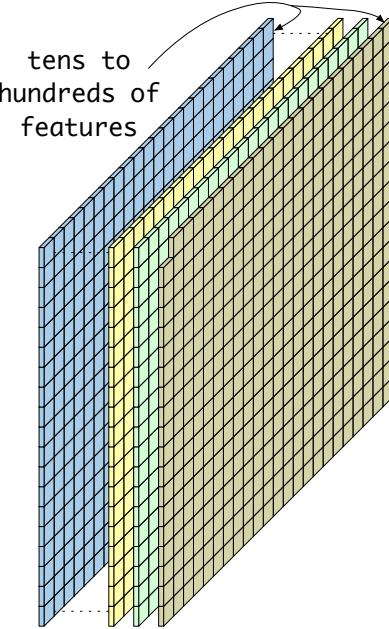


**Figure 1.10** Features and locally-connected filters (kernels)

layer becomes a Three-Dimensional (3D) layer with its X-Y coordinates representing a reference to a particular ROI and the Z-dimension representing the various filters applied to that ROI. A example 3D locally-connected layer can be seen in figure 1.11.

So these locally-connected layers have multiple filters applied to the same ROI and the next layer becomes a 3D array with the Z-axis representing the features. The number of feature filters applied at each layer can be tens to hundreds of filters. The filters employed in a layer following one of these 3D locally-connected layers are themselves 3D. With tens to hundreds of features in the previous layer the number of weights associated with each filter is usually hundreds to thousands of weights.

The feature filters employed in the locally-connected layers can be unique to the regions of the previous layer or the same filters can be employed across the entire previous layer. In the case of employing the same filters across the entire input layer the ANN is known as a Convolutional Neural



**Figure 1.11** Single Layer constructed from 3D layers of Features

Network (CNN). The CNNs are examples of ANNs which can take advantage of reuse described in chapter 1. These CNNs can store the filter parameters in local SRAM and construct an entire feature plane. These CNNs are considered a subset of the generic case of DNN. This work considers the more general DNN case and supports acceleration of generic DNNs which includes CNNs.

An example of a DNN can be seen in figure 1.12 with the layer configurations shown in table 1.1. A CNN similar to this has demonstrated high levels of efficacy in image recognition applications. **Therefore, this work will use the parameters from the table shown in figure 1.1 as a template for a baseline ANN for estimating the storage and processing requirements and the range of pre-synaptic fanins.**

To approach the capabilities observed in human behavior, such as object recognition ANNs have become very large. The example shown in figure 1.12, which is based on the work from [27], has hundreds of thousands of ANEs and hundreds of millions of connection weights (see table 1.1). These ANNs utilize these hundreds of thousands of ANEs to implement what a human would consider a

relatively straightforward task. For example, a "useful" ANN similar to that described in [27] which was used to recognize up to 1000 different object classes, has a network size of approximately 650,000 ANes and 630 million synaptic connections [26].

The increased performance of ANNs over classical methods in image recognition and voice recognition might suggest that ANNs will out-perform operations performed in other applications.

If ANNs fulfill their potential, systems employing ANNs will utilize them for various functions, such as engine monitoring, anomaly detection, navigation etc. all within the same system. Considering the various functions a complex customer facing or embedded application system performs, it is likely that many real-world applications will employ multiple disparate instances of these useful sized ANNs. Assuming these complex functions will require ANNs similar in size to figure 1.12 and [27], these implementations will be processing multiple large ANNs at or near real-time.

### 1.3.3 ANN Processing

Considering the storage required for the input, the ANe states and most significantly the weights for connections, the storage requirements results in gigabytes of memory. When these ANNs are required to be solved in fractions of a second, the processing and memory bandwidth becomes prohibitive.

As a metric, this work assumes that any useful ANN will be similar to that shown in table 1.1 which utilizes  $> 900 \times 10^3$  ANes and  $\approx 200 \times 10^6$  parameters.

When it comes to estimating storage requirements for ANNs there is a lot of debate regarding the precision of number format for the parameters. There has been work on the impact of changing the precision of the number format employed during training and inference. These formats can vary between eight bit fixed point to 64-bit double precision. For the baseline requirements this work assumes 32-bit single-precision floating-point (FP).

Assuming an ANN similar to that shown in table 1.1 with  $775 \times 10^3$  ANes and an average fanin to each ANe of 1650, a system employing 10 ANNs for various disparate functions and an average processing time of 16 ms suggests a average bandwidth of 32 Tbit/s (see equation 1.2).

$$\begin{aligned}
\text{Maximum Bandwidth} &= \sum_{n=0}^{N_n} \left( \frac{\bar{N}_a \cdot \bar{C}_p \cdot b_w}{\bar{T}_p} \right) \text{bit/s} \\
&= \sum_{n=0}^9 \left( \frac{772 \times 10^3 \cdot 1.65 \times 10^3 \cdot (32+1)}{16 \times 10^{-3}} \right) \\
&= \sum_{n=0}^9 2.63 \text{Tbit/s} \\
&\approx 26 \text{Tbit/s}
\end{aligned} \tag{1.2}$$

where  $N_n$  is the number of ANNs

$N_a$  is the average number of ANEs

$C_p$  is the average number of connections

$b_w$  is the number of bits per parameter

and  $T_p$  is the processing time

Note: assumes ROI streamed to all lanes

When implementing ANNs, the memory requirements are also significant. The storage is required for the input, the ANe states and most significantly the parameters for each of the ANEs pre-synaptic connections. For the case shown in table 1.1, there are  $202 \times 10^6$  parameters requiring 0.81 GB and  $772 \times 10^3$  ANEs requiring 3.88 MB storage. The storage required for 10 ANNs is of the order of 8.0 GB (1.3).

$$\begin{aligned}
\text{ANN Memory} &= \sum_{n=0}^{N_n} \left( (\bar{N}_p + \bar{N}_a) \cdot b_w \right) \text{Gbit} \\
&= \sum_{n=0}^9 \left( (202 \times 10^6 + 772 \times 10^3) \cdot 32 \right) \text{Gbit} \\
&= \sum_{n=0}^9 6.49 \text{ Gbit} \\
&= 64.9 \text{ Gbit} \equiv 8.1 \text{ GB}
\end{aligned} \tag{1.3}$$

where  $N_n$  is the number of ANNs

$N_a$  is the number of ANes per ANN

and  $b_w$  is the number of bits per parameter

The approximate system bandwidth and storage requirements are shown in table 1.2.

**Table 1.2** Estimated system bandwidth and storage design requirements

Parameter	Value
Bandwidth	26 Tbit/s
Storage	8.0 GB

Given the bandwidth and storage requirements shown in table 1.2, the problem becomes “**to provide deterministic at or near real-time performance within tolerable power and space constraints for embedded systems employing inference on multiple disparate useful-sized neural networks.**”

	Type	Input	2	3	4	5	6	7	8	9	10	11
		Locally	Pooling	Locally	Pooling	Locally	Locally	Locally	Fully	Fully	Fully	Fully
Dimensions	X	256	55	27	13	13	13	13	4096	4096	4096	1024
	Y	256	55	27	13	13	13	13	1	1	1	1
	Z	3	96	96	256	256	384	384	256	1	1	1
Filter Dimensions	X	na	11	2	5	2	3	3	3	13	4096	4096
	Y	na	11	2	5	2	3	3	3	13	1	1
	Z	na	3	1	96	1	256	384	384	256	1	1
Stride		na	4	2	2	1	1	1	na	na	na	Aggregate
Pre-synaptic Fanin		na	363	4	2400	4	2304	3456	43264	4096	4096	1650
Number of ANs		196608	290400	69984	186624	43264	64896	64896	4096	4096	4096	772544
Number of Weights		na	na	34848	na	614400	884736	1327104	884736	16777216	4194304	$2.02 \times 10^8$

Table 1.1 Baseline ANN layer configuration [27]

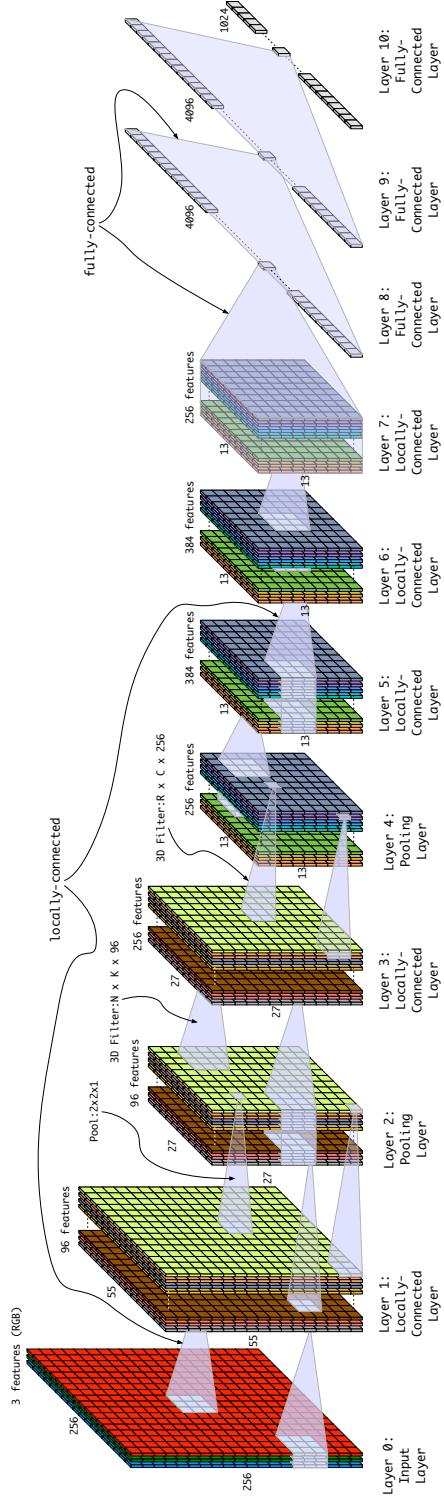


Figure 1.12 Baseline DNN showing layer order [27]

## 1.4 Motivation

### 1.4.1 The Problem

As mentioned in chapter 1, this work focuses on embedded applications employing disparate ANNs and therefore assumes there are limited opportunities for both weight reuse and batch processing.

Given the storage requirements shown in table 1.2, it is generally accepted that DRAM is required to store the ANN parameters [10][30][3].

When considering systems that will employ multiple DNNs simultaneously suggests that these embedded systems will require usable memory bandwidth of the order of 10s of Tbit/s (1.2).

In these cases, **DRAM bandwidth is the bottleneck [30]**.

#### 1.4.1.1 Why not SRAM?

Why is it that much of the ASIC and ASIP ANN research employs SRAM as an intermediate store?

In practice there are benefits if the processing elements can operate out of SRAM. Certainly good performance and potentially low power.

When compared to DRAM, SRAM has low latency. Also, the DRAM access protocol is much more complicated to implement than SRAM. The high latency and DRAM protocol forces the system to interleave accesses. Overall, when compared to DRAM, SRAM is relatively easy to use.

Given that DRAM is used for the main memory storage, having the processing elements operate out of SRAM requires that the high cost of transferring data from the DRAM to the SRAM be absorbed by using that data multiple times or "reused".

So using SRAM for intermediate storage makes assumptions on the type of ANNs that can be supported and the application in which the ANN is being deployed. The primary requirement of the type of ANN and the deployed application to allow effective use of SRAM is "reuse", so once parameters are transferred and stored in SRAM, these parameters can be reused such that the SRAM

isn't simply an intermediate memory but something akin to a cache.

In some ANNs there are reuse opportunities. A prime example is CNNs, where the connection weights are reused. In CNNs, common feature filters are passed across an input to form the next layer. These filter "kernels" can be held in memory and the input is read from DRAM thus reducing the DRAM bandwidth. Even with DNNs where different filters may be used for different ROIs some filter reuse may be available. Another form of reuse is in cloud applications or in training where there is opportunity to reuse inputs whilst performing batch processing.

But SRAM comes at a price, often physical layouts of ANN processors are dominated by the silicon area of the SRAM [24][9][1]. Because of the relatively large area required for SRAM, companies attempt to create custom SRAMs to minimize the area impact.

So ASIC and ASIP ANN implementations that target applications that have considerable weight reuse and/or batch processing opportunities can effectively use SRAM as an intermediate store.

But to reiterate, this work assumes the target application have limited or no opportunities for weight reuse or batch processing.

## 1.4.2 Alternatives

### 1.4.2.1 Graphics processing units (GPUs)

The requirements of these applications would be satisfied by employing multiple GPUs. In practice, GPUs are used to implement large ANNs and in some ANN architectures, such as CNNs, they are quite effective. However, we should not forget they are a) not optimized purely for ANN processing, b) are restricted by available SRAM and c) they are power hungry. These limitations will limit the effectiveness of GPUs. Even in the case of newer GPUs which are employing 2.5DIC technology, the memory bandwidth will still be limited by available DRAM technology. For example, a 2.5D solution employing High bandwidth Memory (HBM) would be limited to a maximum raw bandwidth of the order of 6 Tbit/s [34]. Also, it has proven very difficult, if not impossible to take advantage of the

available memory bandwidth [17] [1].

A solution could employ multiple devices, but there would be significant power and real-estate issues. The typical high performance GPU consumes between the order of 100 W and 200 W. A multiple GPU implementation would have a high real-estate impact and a system power approaching a 1 kW.

Overall GPUs have limited suitability to meet this works target application requirements [30].

#### 1.4.2.2 ASICs/ASIPs

Much of the ANN application specific (ASIC/ASIP) research has focused on taking advantage of the performance and ease of use of static random-access memory (SRAM). These implementations can be shown to be effective with specific ANN architectures (e.g. CNN), server applications or the small point problems but when a system requires multiple disparate ANNs in an embedded application, **existing implementations do not provide the required flexibility, storage capacity and deterministic performance.**

Even in cloud applications, there are limitations on reuse. We paraphrase a quote from a Google paper [1] on their Tensor Processing Unit ASIC (TPU):

“the architecture research community is paying attention to ANNs, but of all the papers at ISCA 2016 on hardware accelerators for ANNs, alas, all nine papers looked at CNNs, and only two mentioned other ANNs. Unfortunately CNNs represent only about 5% of our datacenter NN workload”

The applications targeted by the google TPU [1] assume multiple requests, so reuse in the form of batch processing is still of great benefit, but the bulk of the requests in [1] are fully-connected DNNs and in these cases weight reuse is not as beneficial and the performance of the TPU is degraded when implementing these fully-connected DNNs.

Implementations that focus on CNNs can suffer from severe degradation in performance when targeting generic types of ANN, such as locally and fully connected DNNs and LSTMs. Implementations that try to provide adequate on-chip storage, sometimes in the form of embedded dynamic random-access memory (EDRAM) have to have many instances of the ASIP to provide the required

total storage [30]. In these cases, the large number of instances results in huge performance capabilities which far exceed the requirements of this works application. The total power also becomes prohibitive.

Considering this work focuses on embedded applications employing disparate ANNs and assumes both weight reuse and batch processing do not apply, regardless of how implementations employ SRAM as an intermediate store, **DRAM bandwidth is the bottleneck**.

## 1.5 Three-Dimensional Integrated Circuits (3DIC)

Over the last couple of decades, the ever shrinking world of Integrated Circuits (ICs) has enabled the introduction of devices for various uses such as personal computing and cell phones. As IC technology has shrunk, design complexity has grown to take advantage where hundreds of millions of transistors are placed on a typical IC. These ICs have evolved from performing small functions to becoming systems on a chip.

However, at some point, an IC has to interface with another function and often that communication involves the moving of data to and from memory and the increase in complexity often drives a need for higher memory data bandwidth.

The IC complexity has been doubling approximately every two years but the external interfaces are restricted by physical limitations. Within the System-on-Chip (SoC), the designer can take advantage of very wide interfaces, often thousands of bits wide to increase bandwidth, but when data is moved to off-chip memory, the widest buses are usually hundreds of bits wide.

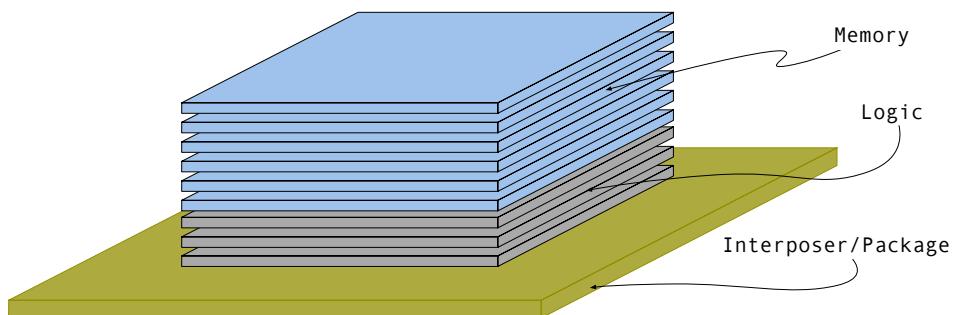
One way to avoid this limitation is to employ 3DIC (see figure 1.13). The advantages of 3DIC are well understood. reducing the amount of off-chip communication increases bandwidth and reduces power. The power reduction comes from not having to drive the relatively high capacitance inputs and outputs.

### 1.5.1 Pros and Cons

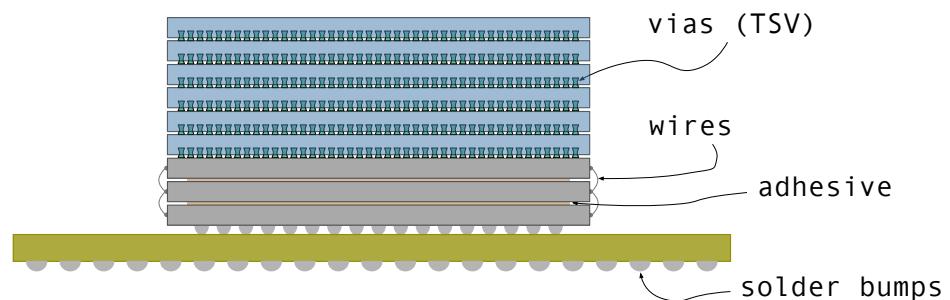
Taking advantage of 3DIC means stacking die on top of one another and making connections directly between the die. These connections can be in the form of wire made at the edges of the die or using vias buried in the die itself.

Below is a summary the benefits of 3DIC :

- Reduced Power



(a) Different Die types stacked mounted on an interposer/package substrate



(b) Connection Types

**Figure 1.13** 3DIC Stack of Die

- mainly from not having to drive external outputs and receiving external inputs
- Increased Connectivity
  - maintaining very wide buses through the SoC increases bandwidth
- Ability to mix heterogeneous technology
  - Mixed Analog/Digital
  - Mixing memory technology and logic technology
- Increase density and mitigation against the slowing of Moore's Law
  - using the vertical domain to increase perceived transistor per  $mm^2$
- Potentially lower costs by combining simpler die rather than build a large die
  - yield benefits from combining higher yield die
- Possibility of novel architectures [25]

Some disadvantages of 3DIC are:

- Reliability
- Cost
  - being a relatively new technology it is still expensive
  - TSV technology is still unreliable

There is still some reluctance to fully embrace 3DIC but undoubtedly the various barriers will be broken down.

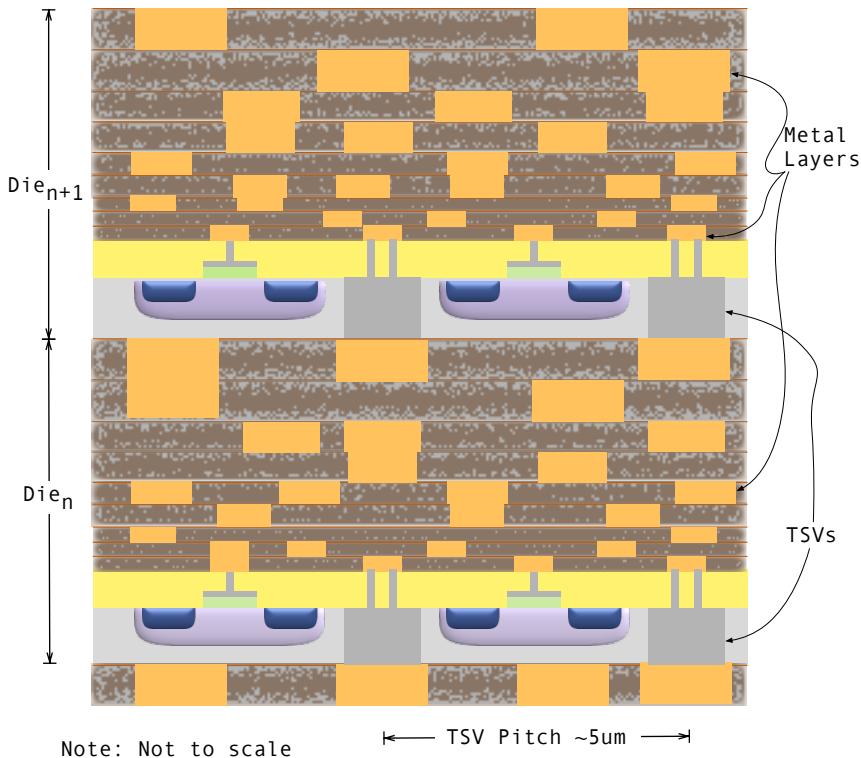
The ability to mix heterogeneous technology is of particular interest to this work's target application because mixing technology targeted toward DRAM with CMOS logic technology is a heterogeneous mix of which this work takes advantage.

In [20] there are four definitions of 3DIC interconnects:

- 3D-Wafer level package [20]
  - In this case, different die are stacked and then connected using traditional bond bumps and/or bond wires at the periphery of the chip.
  - This technique provides better transistor density compared to traditional 2D-IC with improvements in interconnect density.
- 3D-Stacked SoC [20]
  - In this case, different die are stacked and then connected using TSVs. The TSVs connect the dies to intermediate metal layers known as global metal layers. This allows the individual die to maintain a high level of functionality and thus is similar to connecting functional building blocks meaning the individual die are likely to be significant functional pieces of Intellectual property (IP).
  - using TSVs provides a medium level of interconnect
- 3D-Stack IC [20]
  - In this case, different die are stacked and then connected using TSVs. The TSVs connect the dies to intermediate higher metal layers known as global metal layers. This infers the individual die are not large functioning pieces of IP.
  - using TSVs provides a high level of interconnect
- 3D-Integrated Circuit [20]
  - In this case there are not multiple dies. Instead the additional silicon layers are deposited on top of each other with the final 3DIC device having multiple layers of transistors

- Local metal layers are used which along with TSVs provides a very high level of interconnect

A die stack with TSVs can be seen in Fig. 1.14.



**Figure 1.14** Die Stack profile [20] with TSVs

### 1.5.2 Construction

There are other definitions on how the dies are bonded together:

- Wafer-to-Wafer
  - current Electrostatic discharge (ESD) mitigation allows implementation of unbuffered IO

- potential low yield because of lack of knowledge regarding Known Good Die (KGD)
- Die-to-Wafer
  - will need additional ESD mitigation support
  - higher yield because of KGD
- Die-to-Die
  - will need additional ESD mitigation support
  - higher yield because of KGD

This work is targeting 3DIC technology that supports 3D-Stacked SoC or 3D-Stack IC with high levels of interconnect. To avoid using large IO buffers for the TSV interconenct, this work assumes that the 3DIC technology supports unbuffered interconnects. This would suggest wafer-to-wafer bonding because of the existing ESD mitigation during wafer handling although it is anticipated that improved ESD mitigation will be introduced in future manufacturing steps.

### 1.5.3 Design Guidelines

The technology roadmap in [20] and the information in [35] suggests 5  $\mu\text{m}$  pitch TSVs is a reasonable design goal. This work assumes a one-to-one ration of signal TSVs to power/ground TSV so when accounting for area associated with TSVs, the number of signal TSVs are doubled.

As a large amount of TSVs are employed, TSV energy cannot be ignored. Most of the energy dissipated in the TSV is associated with the charging and discharging of the TSVs capacitance. For a 5  $\mu\text{m}$  pitch and 2  $\mu\text{m}$  radius TSVs, [4] suggests an average capacitance of 4.2 fF<sup>1</sup>.

Based on (1.4) and assuming a supply voltage of 1.0 V, the power associated with a TSV is shown in (1.5).

---

<sup>1</sup>[16] suggests a lower capacitance

$$\text{Energy to charge a TSV, } E_{tsv} = \frac{1}{2} \cdot C_{tsv} \cdot V^2 \quad (1.4)$$

$$\text{Energy to charge a TSV, } E_{tsv} = \frac{1}{2} \cdot C_{tsv} \cdot V^2 = \frac{1}{2} \cdot 4.2 \times 10^{-15} \cdot 1.0 = 2.1 \text{ fJ}$$

$$\text{Power per TSV, } P_{tsv} = E_{tsv} \cdot \text{bit rate}$$

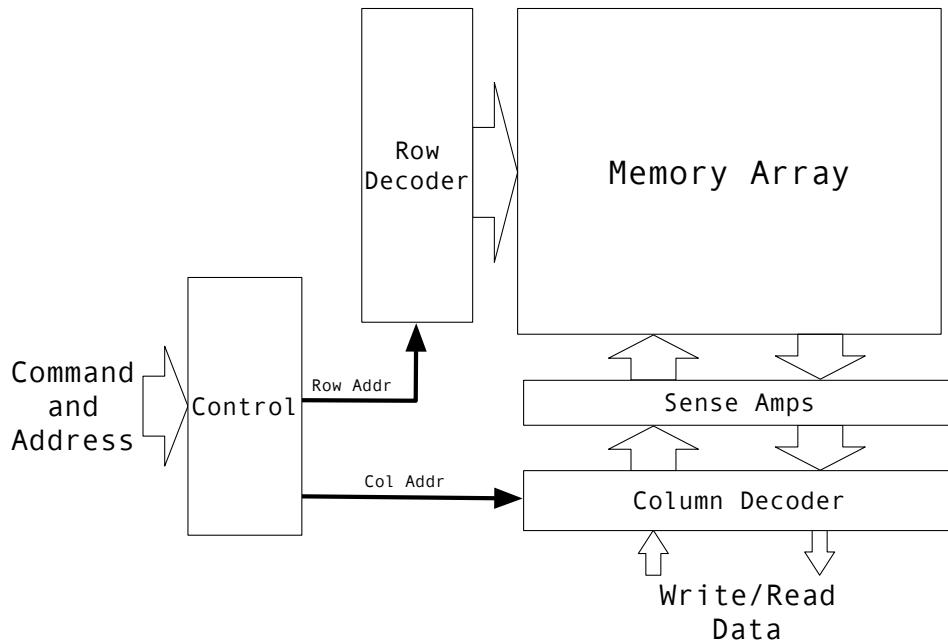
normalizing to a clock of 1.0 GHz

$$\text{Power per TSV per Hz} = 2.1 \mu\text{W}/\text{Gbit/s/TSV} \quad (1.5)$$

The TSV design guidelines used by this work are summarized in table 1.3.

**Table 1.3** TSV design characteristics

Dimensions		Capacitance	Power
Pitch	Radius		
5 μm	2 μm	4.2 fF	2.1 μW/Gbit/s/TSV [4]



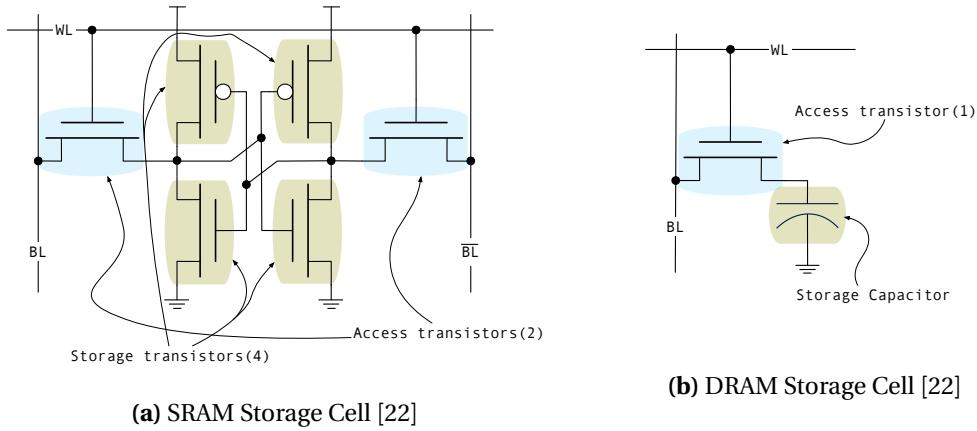
**Figure 1.15** Typical Memory Block Diagram [22]

## 1.6 DRAM Overview and Customizations

There are two types of memory employed in ASICs and ASIPs, static random-access memory (SRAM) and dynamic random-access memory (DRAM). Both of these technologies have a similar top level block diagram which contains an array of storage elements, a means to address into a particular row of memory cells and a means to read and write a column of those cells. A basic block diagram is shown in figure 1.15.

The SRAM cell takes six transistors (figure fig:SRAM Cell) and the DRAM cell takes one transistor and one capacitor (figure fig:DRAM Cell). This means the DRAM arrays provide five to six times more storage density when compared to a similar sized SRAM array.

The major disadvantage is the capacitor cannot hold a indefinitely because the leakage currents in ICs cause the charge to leak away. If kept unchecked, the stored value will dissipate and it is this



**Figure 1.16 RAM Storage Cell Types**

behavior that makes accessing a DRAM array more complicated than a similar SRAM array.

### 1.6.1 Accessing DRAM and SRAM

Accessing a typical SRAM involves providing an address and either reading or writing the contents of that location. The read or write often completes in one or two clock cycles depending on whether the SRAM employs internal registers which are used run the SRAM with a faster clock.

The storage cell inside the SRAM is formed from cross-coupled transistors (see figure 1.16a) which latch the contents and hold the contents indefinitely or until power is removed from the device. The storage structure employs six transistors and allows the access logic to be relatively simple and fast but has a relatively low density because of the number of transistors employed.

Accessing a "typical" DRAM is much more involved, it involves opening a page in a bank, reading or writing a portion of the contents of the page then closing the page.

When an SRAM cell is read, the cross-coupled transistors retain the stored value. The reason behind this added complexity is the memory cell inside the DRAM which is formed from a capacitor (see figure 1.16b) which holds a charge reflecting a logic zero or one. When a page(row) of a DRAM memory array is read by the sense amps (see figure 1.17), the process of sensing the charge on the

capacitor causes the capacitor to discharge and lose its contents. To alleviate this problem when the read occurs, the entire contents of the page are transferred to registers, referred to as "page intermediate store" in figure 1.17. The process of transferring a page to the intermediate store is known as a "page open". Once this transfer is complete, portions of the open page can be read similar to reading an SRAM.

The problem is that if another read wants to access data that is not in the page, the page has to be closed and another page opened. This involves transferring the previously registered page back to the array to recharge the capacitors in the memory array storage elements. The next page can then be opened and transferred to the page intermediate registers.

In practice, the DRAM protocol is separated into "page" commands and "cache" commands. The page commands open and close pages and the cache commands read and write to the page intermediate store.

The process of opening and closing pages is a relatively long time, typically 10-20ns. Once a page is open, accessing the intermediate store is much faster. So if the accesses are somewhat random and different pages are constantly accessed and pages are constantly being opened and closed, the average time to complete reads and writes are very large when compared to SRAM. To alleviate this issue, the DRAM is formed from more than one array of storage elements, between 8 and 32, known as banks. The idea is that while a page from one bank is being accessed, another bank's page can be opened in preparation for a future read (or write). This access protocol is rather complicated and involves interleaving page commands and cache commands to multiple banks. The system memory controller logic must keep track of which pages are open inside the DRAM and for each memory request must determine if a page needs to be closed and another opened before reading (or writing) the intermediate store. If consecutive accesses are not sequenced carefully, the performance of DRAM can be poor.

### **1.6.1.1 Access Locality/Reuse and SRAM as a Cache**

In general purpose computing, the sequence of accesses cannot always be controlled, so SRAM is typically used as the first level of memory with DRAM used as the primary storage. Using SRAM as this first level memory is called a cache and acts like a mirror of the DRAM contents. These caches have been used for decades to isolate the computing system from unpredictable access behavior of the DRAM. The general idea behind caches is that most data exhibits spatial and temporal locality. This "locality" means that when a computer program uses a piece of data in memory, it is very likely that soon after other data "close" to that data will be used and/or the same data will be reused. So when a piece of data in memory is accessed, that data and a large block of data in close proximity to the requested data are transferred to the cache. The cache is designed to hold multiple of these blocks of data often resulting in tens of kB of SRAM. When other memory requests are made, the memory controller checks to see whether the block associated with the requested data is present in the cache. If the requested data is contained in a block present in the cache, this is considered a "hit" and the data in the cache is used. If the requested data's block is not present, this is known as a "miss" and the slower main memory must be accessed. This access results in another "block" of data being transferred to the cache. If all the blocks in the cache are currently fully employed, one of the blocks must be freed up to make space in the cache for the new block. A block is chosen and transferred back to the main memory and the new block is read and transferred to the cache.

To make effective use of the cache, the access behavior of the computer program must exhibit this locality behavior. If the cache blocks are large enough and the programs access behavior exhibit locality, then employing SRAM is effective and the slower DRAM access times can be somewhat hidden.

As mentioned in section 1.1 much of the ASIC and ASIP ANN research has focused on taking advantage of the performance and ease of use of SRAM. If the target application means the memory access behavior exhibits some locality and the SRAM cache can be made large enough to avoid high

levels of cache misses, then this use of SRAM can be effective.

But this works target application is such that the access behavior exhibits no or little locality (reuse) and block transfers between the cache and main memory would be constantly occurring. Under these circumstances, **DRAM bandwidth will be the bottleneck**.

This work focuses on using DRAM as the primary storage and managing the accesses to ensure the DRAM is used effectively. With the increased bandwidth achieved from the additional DRAM customizations discussed in section 1.6.2.1 and 1.6.2.2, this work demonstrates DRAM bandwidths 10X faster than what is available with 2 or 2.5D solutions.

This high level of DRAM bandwidth provides this work the ability to process multiple disparate ANNs at or near real-time whilst being **10-100X faster than state-of-the-art solutions**.

### 1.6.2 DRAM Customizations

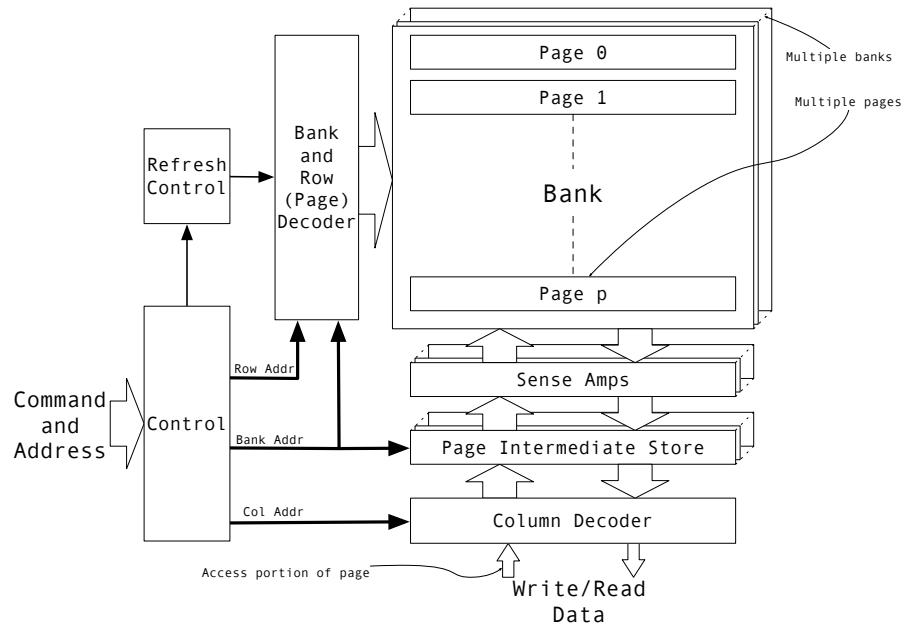
In a typical DRAM, a bank may contain of the order of a few thousand pages and a page may contain of the order of a few thousand bits. Once the page is open, the user accesses a portion of the requested page over a bus. With PCB based DRAMs the bus might vary from four to 16 bits wide, but with 3D DRAMs, such as HBM the bus might be up to 128 bits wide. An ASIC, ASIP or GPU implementation may combine multiple devices to generate bus widths of the order of 1 kbit wide. When using 2.5D technology and High Bandwidth Memory (HBM) with their Pascal™GPU accelerator device, NVidia® achieve a raw DRAM bandwidth approaching 6 Tbit/s [34]<sup>2</sup>. However, experience has shown [17] [1] that usable bandwidth will likely be much lower. Regardless, this existing technology does not achieve the required bandwidth (1.2).

To achieve increased DRAM bandwidth this work is proposing two changes to the Tezzaron®DiRAM4 [14] 3D DRAM. The most significant customization is to widen the databases to generate more raw bandwidth. This is discussed further in section 1.6.2.1.

With the customizations discussed in sections 1.6.2.1 and 1.6.2.2, this work demonstrates DRAM

---

<sup>2</sup>datasheet also shows a total design power (TDP) of 300 W



**Figure 1.17** Typical DRAM Block Diagram [13]

bandwidths >10X faster than what is available with 2 or 2.5D solutions.

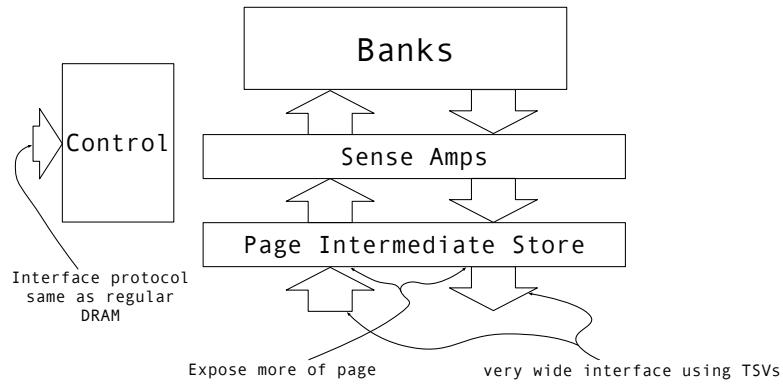
#### 1.6.2.1 Customization One: Very-Wide Bus

Figure 1.17 shows a block diagram of a typical DRAM.

This work achieves the increase in bandwidth by proposing that the DRAM expose more of its currently open page.

Without the limitations of having to transfer data beyond the chip stack, this work suggests exposing a larger portion of the page over a very wide bus. By staying within the 3D footprint, this bus can be implemented using fine pitch through-silicon-vias. (see figure 1.18).

This work assumes the DRAM interface protocol uses Double Data Rate (DDR) with a bus width of 2048. Given the DiRAM4 employs a burst of two for read and write cycles, an entire DiRAM4 page of 4096-bits is accessed during each read or write.



**Figure 1.18** Exposing more of the DRAM page

### 1.6.2.2 Customization Two: Write Mask

When processing an ANN, to compute the activation of an individual AN involves reading the pre-synaptic AN activations and the weights of the connections between the pre-synaptic ANs and the AN being processed. The activation of the processed AN is written back to memory. The ratio of reads to writes is high, 100s or 1000s to one. Therefore, the system often needs to write a portion of the page back to memory. To avoid a read/modify/write, a customization to the DRAM is the addition of a write data mask to the DRAM write path.

This work assumes single precision floating point for ANN weights and activation, so a mask bit will be provided on a word basis or every 32-bits.

## 1.7 The Solution

This work believes that to support all types of disparate ANNs, the system needs to be able to operate directly from the DRAM.

Considering DRAM is required to meet the main storage requirements of useful sized ANNs, if an implementation can ensure the DRAM bandwidth can meet the system requirements, why use SRAM as an intermediate memory and waste the significant silicon area they consume.

The question becomes, can an implementation employ DRAM with minimal SRAM and meet the system requirements?

This works implementation operates directly out of DRAM, but not just DRAM, three-dimensional dynamic random-access memory (3D-DRAM). This work has designed a system that can stay within the physical footprint of the 3D-DRAM and thus can leverage the benefits of 3DIC. The benefits of 3DIC, which are reviewed in chapter 1.5 include reduced energy, reduced area and increased connectivity and bandwidth.

Given the problem description the primary design considerations that drove the architecture of this work are :

- DRAM is required for storage of ANN parameters
- Target applications are unable to take advantage of memory reuse opportunities and therefore not able to achieve high performance using local SRAM
- Target application will likely apply many disparate ANNs to perform various system functions
- Target application will have space and power limitations

When performing inference in ANNs, the computational hotspot is the ANe pre-synaptic summation shown in figure 1.2b and equation (1.1). This ANe summation involves hundreds or thousands of multiply-accumulates of the pre-synaptic ANe activations and corresponding connection weights. In

this work, the ANe activations and weights are stored in DRAM with minimal local SRAM. Therefore, because of the complex access protocol associated with DRAM, one of the main objectives is to demonstrate the 3D-DRAM can be accessed while maintaining the required average bandwidth to the processing elements.

The system has to process thousands of ANes concurrently and do this with minimal unused bus cycles. Therefore, the system must decode instructions, configure the various functions, pre-fetch and pipeline DRAM data and perform the actual activation calculation.

To maximize the processing bandwidth, these operations are all performed concurrently enabling this work to demonstrate the ability to meet and exceed the required processing bandwidth as shown in equation (1.2).

## 1.8 Novelty

The novelty of this work includes:

- An extensible architecture that can simultaneously process multiple disparate ANNs at or near real-time
  - with low power and real-estate demands
- A custom 3D-DRAM providing a ~64X bandwidth benefit compared to standard 3D-DRAM
  - the 3D-DRAM could be employed in other applications
- A system that employs pure 3DIC technology
  - providing power and performance benefits of remaining within a 3DIC stack
- Custom instructions and data structures that facilitate operating directly out of 3D-DRAM
  - maximizing processing bandwidth by ensuring effective use of the 3D-DRAM

- instruction format allow system functions to operate concurrently

## 1.9 Summary

This research explores a 3DIC solution using a custom organized 3D-DRAM in conjunction with unique data structures and custom processing modules to significantly reduce the area and power footprint of an application that needs to support the processing associated with multiple ANNs. This works system will provide at or near real-time performance required for systems employing multiple disparate ANNs whilst staying within acceptable area and power limits and will provide greater than an order of magnitude benefit over comparable solutions.

There will always be questions regarding the suitability of this works target application, the baseline ANN and the single-precision floating-point (binary32) number format. But it is our belief that this work has provided an extensible architecture. Given different processing and/or number format requirements, with reasonable modifications this work could provide a solution to most ANN system requirements.

Some state-of-the-art implementations are reviewed in chapter 2. An overview of the proposed system is described in chapter 3 with more details in chapter 5. An overview of the instruction architecture is given in chapter 4. Simulation results are shown in chapter 6. The conclusion and further work are discussed in chapter 7.

## CHAPTER

# 2

## STATE OF THE ART

For the most part, large scale ANNs have been implemented using GPUs. In some cases, such as CNNs, these GPUs are quite effective when the ANN parameters can be reused in the GPUs processor local SRAM.

Much of the ASIC and ASIP research has focused on CNNs such as [11][17][3], In some cases, implementations have focused on solving specific processing "hot-spots" ANN [11]. Almost all ASIC and ASIP solutions employ arrays of PEs each with local processing capability and local memory. For most of these, the size of the ANN supported is limited by the size of the local memory or they are limited to ANNs that have reuse opportunities such as CNN or have high batch processing opportunities. In some cases the area consumed for local memory can exceed 65% of the processing element die [24][9].

Those that employ external DRAM, such as Neurostream [3], tensor processing unit (TPU) [1] [1], NnSP[15] and NeuroCube[24] still load weights and ANe states to local SRAM prior to processing although TPU assumes all required parameters can be stored in its very large local SRAM. Others, such as DianNao [12] are moving away from external DRAM toward EDRAM thereby acknowledging you need both capacity and DRAM bandwidth. But EDRAM still has capacity and technology availability issues and in the case of [30] still utilizes > 47% of the silicon area.

In the case of NnSP[15], the paper discusses caching data to bridge the speed gap between external memory and the PE but does not provide details on how to ensure data locality when reading a DRAM cacheline and how to minimize the impact of DRAM protocol.

NnSP [15] employs synchronous dynamic random-access memory (SDRAM) but still transfers parameters to a local cache. There is very little detail regarding network size and supported types but the use of cache implies reuse and therefore targets shared parameter ANNs such as CNNs.

Neuflow[17] is limited to CNNs and the external memory is Quad data rate (QDR) SRAM and thus will be limited by the network size.

NeuroCube uses 3DIC along with Hybrid Memory Cube (HMC) 3D-DRAM and data is transferred from the DRAM to local SRAM in the PEs via a NoC. The combination of limited HMC interface bandwidth and the local SRAM limits support to shared weight ANNs such as CNNs.

Eyeriss[11] focuses on CNNs and specifically on the convolution "hot-spots". It does not support the pooling operations although these can be supported by a local CPU. However, it does not support the memory intensive fully-connected classifier layers or non weight shared locally-connected layers. Eyeriss can not be effectively applied to locally-connected type ANNs such as Deepface [41].

The DianNao family of ASICs [9] [12] originally used external DRAM to store ANN parameters but still uses direct memory access (DMA) along with SRAM as an intermediate store. However, the recent versions of the ASIC acknowledge that local SRAM limits the size of the ANN the device is able to support and have moved from external DRAM to EDRAM [30]. However, the local EDRAM is still limited to 36 MB and therefore requires multiple instances to support DNNs similar to the types of

DNN this work is targeting. To support these useful DNNs, they have to instantiate up to 64 devices to accomodate the required DNN parameter storage resulting in a power approaching 1 kW and an area 430 mm<sup>2</sup>. These multi-instance implementations can be used to support batch processing [30] but not the single input systems this work is targeting.

The Neurostream ASIP uses 3DIC along with HMC 3D-DRAM. The Neurostream acknowledges that DRAM is required to support useful DNNs but again data is transferred from the DRAM to local SRAM prior to processing and local SRAM limits support to CNNs.

The Google TPU [1] utilizes a large local 24 MB SRAM along with a 256x256 systolic array and a 30 GB/s external DRAM interface. It gains performance by storing parameters within the array and by performing large batch processing. This Google designed solution acknowledges that it is bandwidth limited when implementing the fully connected ANNs. It also states that their experience of implementing ANNs in the Google server farms suggests that these fully connected ANNs represent the bulk of their processing requirements. The simpler CNNs only represent 5% of the servers ANN processing requirements. It should also be stated that this paper also believes that GPU solutions cannot reach the required performance targets.

## CHAPTER

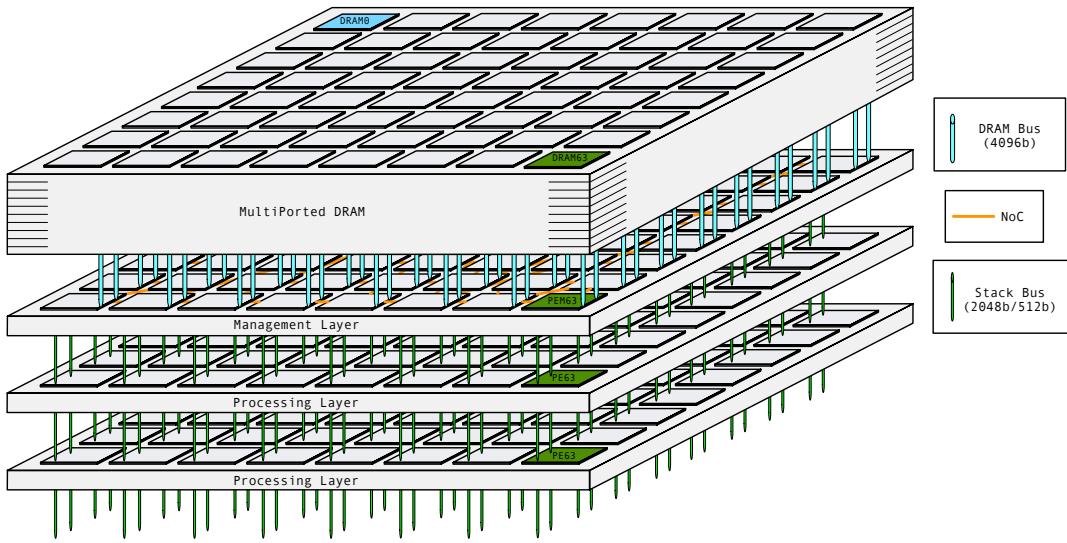
# 3

## SYSTEM OVERVIEW

As mentioned in chapter 1 and chapter 1.4, this work targets application implements multiple ANNs each of which have limited opportunities for both weight reuse and batch processing. These requirements require DRAM to be employed for main storage of ANN parameters and local SRAM is of limited use. Under these conditions, the DRAM bandwidth is the system bottleneck.

To meet these requirements, this work proposed employing 3DICs technology along with a customized 3D DRAM and ASIC technology. By physically staying within the 3DIC footprint and taking advantage of high density TSVs this work is able to maintain a significantly higher bandwidth over 2D or 2.5D ASIC or ASIP solutions. The objective was to demonstrate that a pure 3DIC system can implement multiple disparate ANNs within reasonable power and area constraints.

The 3DIC system die stack (figure 3.1) includes the 3D-DRAM with a system manager below and



**Figure 3.1** 3DIC System Stack

one or more processing layers below the manager.

3D-DRAM has recently become available in standards such as HBM and HMC and proprietary devices such as the DiRAM4 available from Tezzaron. These technologies provide high capacity within a small footprint.

In the case of HBM and DiRAM4 [14], the technology can be combined with additional custom layers to provide a system solution.

The question becomes, can a useful system coexist within the same 3D footprint?

This work targeted a baseline system with:

- Computations requiring binary32
- Tezzaron Dis-Integrated 3D DRAM (DiRAM4) [14] for main memory
- 28nm ASIC technology

The work includes customizing the interface to a 3D-DRAM, researching data structures to describe storage of ANN parameters, designing a memory manager with unique micro-coded instructions and

a PE layer. The targeted 3D-DRAM, the Tezzaron DiRAM4 employs 64 disjoint memories arranged in a physical array.

### **3.1 Sub-System Column**

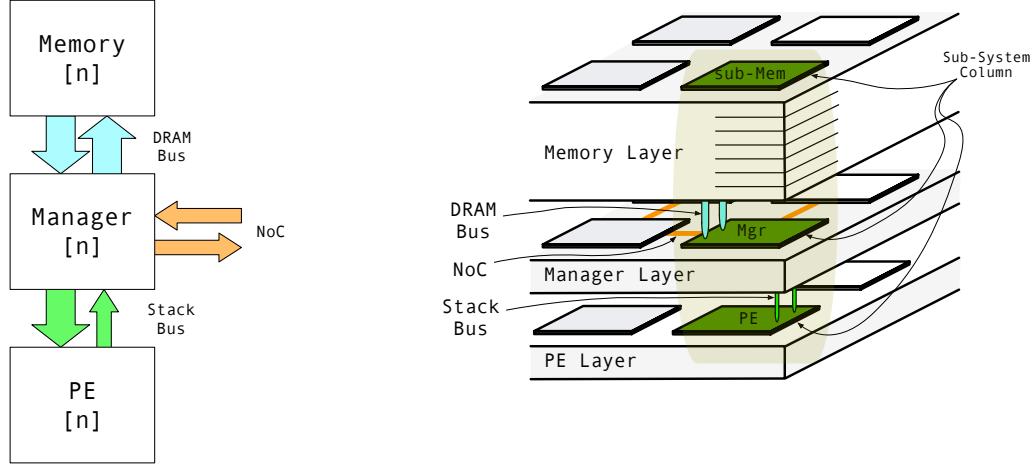
The overall system is constructed from an array of sub-systems known as a Sub-System Column (SSC) which combines the manager logic, DRAM and PE logic. The various steps to process an ANN are provided in the form of instructions (see section 4.1). The instructions are downloaded by a host system to instruction memory residing in the manager. The manager decodes these instructions and based on the instruction contents is responsible for coordinating SSC operations and managing the reading and writing of DRAM. With the processing of an ANe, the manager reads pre-synaptic states and connection weights from the DRAM, provides that data to the PE which operates on data and returns any results back to the manager. There are other instructions that specifically deal with coordination between SSC but the main workload is the processing of the ANes.

The SSC has been designed for extensibility to allow future modifications to support different number formats, different PE configurations and to allow additional features to be implemented without a significant increase in logic area.

The SSC is designed to operate on one of the disjoint sub-memories within the DiRAM4 (see figure 3.4). As shown in figure 3.2, the SSC includes the DiRAM4 sub-memory (referred to as the SSC memory), a manager module and a PE module.

The customizations described in section 1.6.2.1 means each SSC memory provides the manager with a 2048-bit DDR data bus. The DiRAM4 has 64 sub-memories so there are 64 SSCs. The SSC has been designed as a standalone unit and does not have a direct knowledge of the other SSCs in the system.

To process an ANN, the user must allocate the individual ANes to an SSC. Once partitioned, a ANNs pre-synaptic connection weights must be stored in the SSC memory associated with the ANe.



(a) Sub-system column logical block diagram

(b) Sub-system column physical diagram

**Figure 3.2 Sub-System Column (SSC)**

The states of the pre-synaptic ANes must also be stored in a dependent ANes allocated SSC memory. Details on where the parameters and ANe states are stored are described in chapter 4.

The baseline SSC is designed with 32 execution lanes each of which can simultaneously process two streams of binary32 words. The customized DiRAM4 provides a 2048-bit cacheline at the system clock rate to the manager. This 2048-bit bus is sub-divided into 64 binary32 words. The manager layer reads the 2048-bit cacheline from the DRAM, multiplexes the 64 words onto 32 execution lanes with two words per execution lane and passes the execution lane data to the PE layer. The primary function is to direct a pre-synaptic ANe state and connection weight to the two words in an execution lane where they are multiplied and accumulated by the PE layer.

The manager layer has individual stream read memory controllers to allow the individual streams in the execution lanes to operate independently. In this way, the ANe states and the connection weights can be stored in different configurations depending on the ANN type and ANN partitioning. The 32 execution lanes can be used for processing a group of one to 32 individual ANes or for processing one ANe.

### 3.2 Processing a group of ANes

In the case of group of ANes, all the ANes must be associated with a ROI or a fully-connected layer. The pre-synaptic ROI, or all the ANes in the case of a fully-connected layer, are broadcast to one of the streams of all execution lanes. The other stream is used for the individual ANes connection weights. The PE Streaming Operation block (StOp) performs 32 simultaneous floating-point (FP) multiply-accumulate (MAC) operations while the data is being streamed from the manager layer to the PE layer. Once all the ANe states and weights have been streamed to the PE, the StOp passes the result of the MAC to the PE Single-Instruction Multiple-Data (SIMD) which then applies the activation function. Typically the SIMD then sends states of the group of ANes back to the manager.

Considering the ROI pre-synaptic ANe states and weights for  $k$ th ANe as arrays  $[A]$  and  $[W_k]$  with elements  $A_p$  and  $W_{k,p}$  respectively, the state of the ANe is the dot-product of the two arrays followed by the activation function (3.1).

Considering the array and how the weights and states are directed to execution lanes are shown in figure 3.3a.

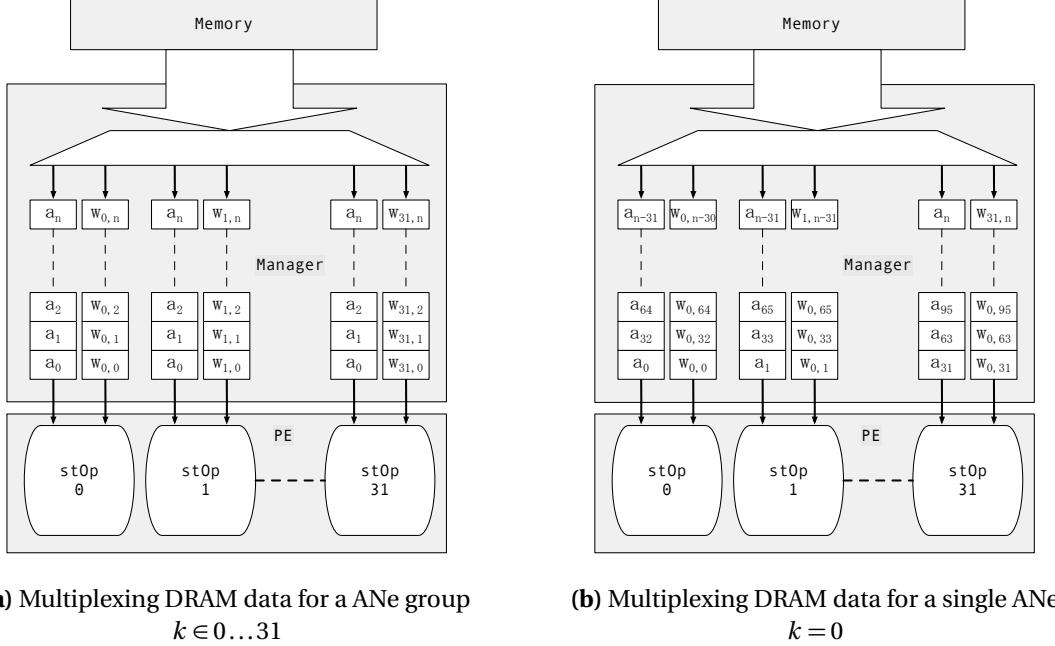
$$\text{State of } k\text{th ANe}, \quad S_k = f([W] \cdot [A]) \quad (3.1)$$

$$\text{where } \mathbf{W} = [w_{k,0}, w_{k,1}, \dots, w_{k,n}], \quad \mathbf{A} = [a_0, a_1, \dots, a_n]$$

and  $n$  is the pre-synaptic fanin

### 3.3 Processing a single ANe

In the case of a single ANes, the pre-synaptic ANe states are vectored across one of the streams of all execution lanes. The connection weights are vectored across the other stream of all the execution



**Figure 3.3** Multiplexing DRAM data to execution lanes

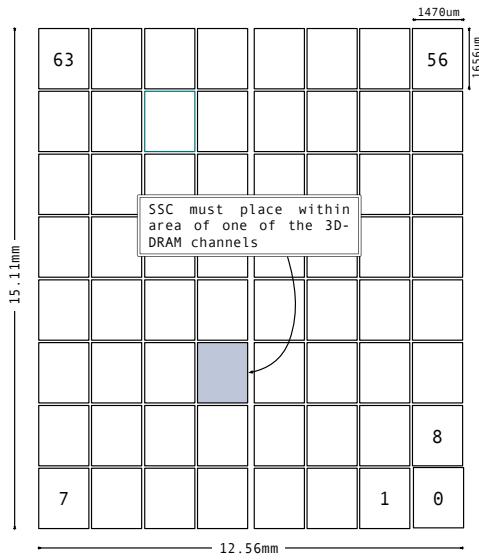
lanes. How the weights and states are directed to execution lanes are shown in figure 3.3b.

An overview of the various blocks and interconnects in the SSC are given in section 3.4 with additional detail provided in chapter 5.

## 3.4 Sub-System Column (SSC) Blocks

### 3.4.1 Customized DRAM : Dis-Integrated 3D DRAM (DiRAM4)

The DiRAM4 [14] employs multiple memory array layers in conjunction with a control and IO layer. The memory is formed from 64 disjoint sub-memories each providing upwards of 1 Gbit with a total capacity of at least 64 Gbit. Unlike traditional DRAM, the DiRAM4 has two independent channel which are accessed using DDR signalling on the control signals. Each channel has 32 banks and 4096 pages per bank with 4096 bit/page.



**Figure 3.4** DRAM Physical interface layout showing area for SSC

The standard DiRAM4 has a 32-bit read databus and a 32-bit write databus enabling simultaneous read and write. Both read and write databuses employ DDR signaling. The read and write transactions are burst-of-two providing 64bits per read/write. When accessing a DRAM, a read and write are often referred to as a cacheline. The device is designed to operate at 1 GHz although this work targeted a 500 MHz clock frequency.

This work is proposing customizations to the DiRAM4 which are outlined in chapter 1.6. One of these proposed changes is to widen the read and write databuses to 2048-bits. Using the same burst-of-two means each read and write will access an entire page. A cacheline becomes 4096-bits. Another proposed change is the add mask bits to the write databuse to avoid having to perform read/modify/writes when writing back data much smaller than the new large cacheline.

### 3.4.2 Layer Interconnect

The layers are connected using through-silicon-vias (TSVs) which provide high connection density, high bandwidth and low energy. By ensuring the system stays within the 3D footprint ensures we can

take advantage of the area and bandwidth benefits provided by TSVs. The high density interconnect provided by TSVs allows the system to take advantage of the very wide DRAM bus provided by the DRAM customization described in section 1.6.2.1. The wide interconnect between the manager and PE are also implemented using TSVs.

The interconnect between the manager and PE is referred to as the stack bus. The interconnect between the manager and DRAM is referred to as the DRAM bus.

### 3.4.3 Stack Bus

The stack bus is bidirectional with a 36-bit Out of Band (OOB) configuration bus from the manager to the PE, a 2048-bit "downstream" data bus from the manager to the PE and a 512-bit "upstream" data bus from the PE to the manager.

The 36-bit OOB bus is designed to send configuration packets to configure the StOp and SIMD blocks inside the PE. The packet primarily contains the StOp function to be performed on the downstream data and the operation the SIMD is to perform on the result from the StOp. It also includes the size of the downstream data stream and an operation identification tag.

In the baseline system, the 2048-bit downstream stack bus is designed to carry 32 execution lanes of data with each execution lane containing two operand buses. The two operand buses are designed to carry streams of binary32 numbers. This allows the downstream stack bus simultaneously stream 32 execution lanes each with two 32-bit argument streams. Typically these streams are the weights and pre-synaptic ANe states to calculate the states of up to 32 ANes. The streams can also be configured to calculate the state of a single ANe where the weights and pre-synaptic ANe states for the single ANe are sent in parallel across the downstream stack bus and a reduction operation can be performed in the PE by the StOp and SIMD.

The 512-bit upstream bus is primarily designed to send the results of a downstream operation. Typically this is the states of up to 32 ANes. The upstream bus is packetized with the result data contained in the data portion of the upstream packet. Additional information includes the operation

identification tag provided by the decoder in the downstream OOB operation configuration and the number of data words. The upstream bus is not as wide as the downstream bus because the ratio of downstream operands to result data is a function of the pre-synaptic fanin. Based on the average fanin from the baseline ANN shown in table 1.1, a 512-bit bus exceeds the required average bandwidth.

The stack bus OOB, downstream and upstream signalling can be seen in figure 3.5.

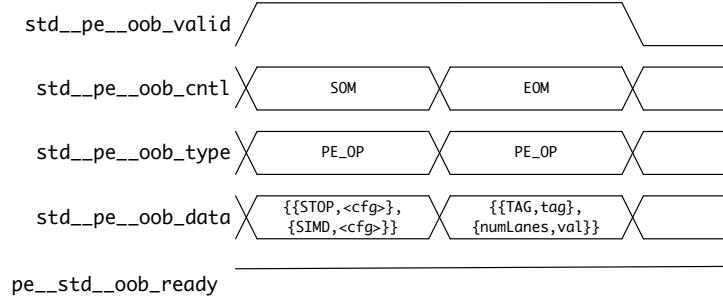
#### **3.4.3.1 Common Bus Signalling**

With almost all interfaces in this system, additional control signals are used to a) validate, b) delineate and c) flow control messaging between blocks. This "common" bus protocol signal group includes three signals, VALID, CNTL and READY. The single VALID signal is high when the bus contains valid information. The two bit CNTL signal is used to delineate by encoding start of message (SOM), middle of message (MOM) and end of message (EOM). Because of the asynchronous nature of the system, most interfaces employ small first-in first-out queues (FIFOs). When these FIFOs are almost full, the source is flow controlled by the READY signal. The point at which the FIFO indicates the source to stop sending is based on the latency of the particular interface. The common signalling protocol will be seen in all waveform diagrams as seen in figure 3.5.

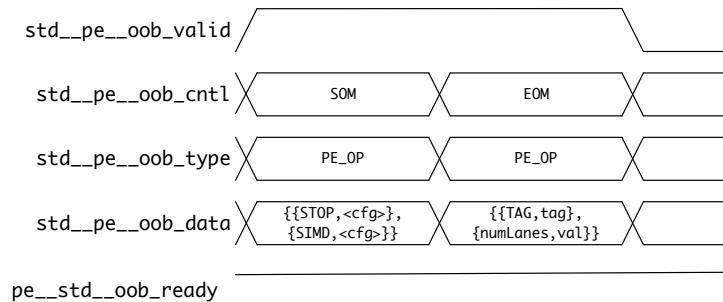
#### **3.4.4 DRAM Bus**

The interface to the DiRAM4 is similar to traditional DRAM interfaces with control signals including bank address and multiplexed page/cache address bus. There are separate 2048-bit DDR read and write databases (see section 1.6.2.1). In total there are 4180 signals in the DRAM interface. Other than the wide databases, the interface protocol is as described in [14]. A timing diagram showing a read and write to the DiRAM4 are shown in figure 3.6.

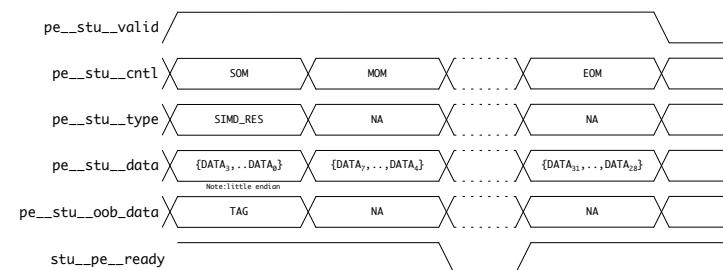
The bandwidth of the DRAM bus is designed to ensure data can be constantly maintained to the stack downstream bus. Because an entire cacheline is accessed for each read request, there is an extreme case when back-to-back requests result in up to 32 DRAM page opens commands. It is



**(a)** Stack downstream OOB Bus

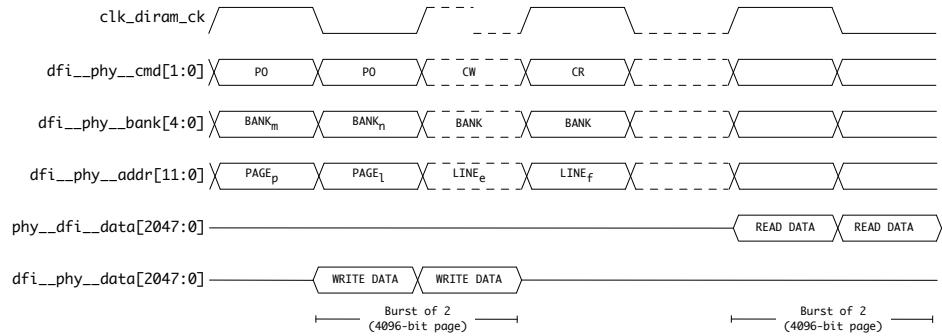


**(b)** Stack downstream Data Bus

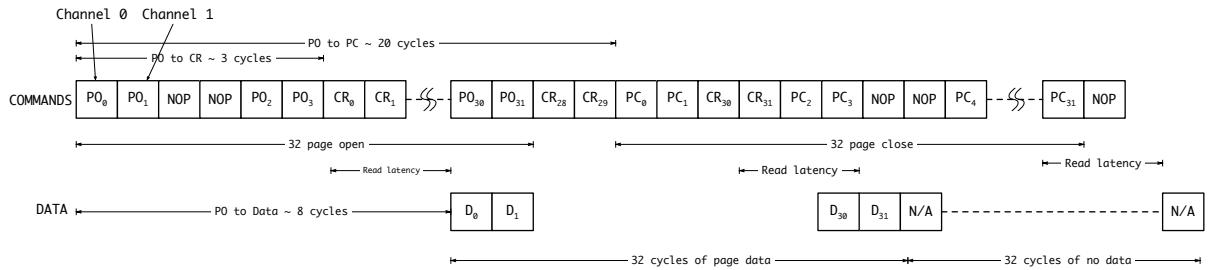


**(c)** Stack upstream Bus

**Figure 3.5** Stack Bus signalling

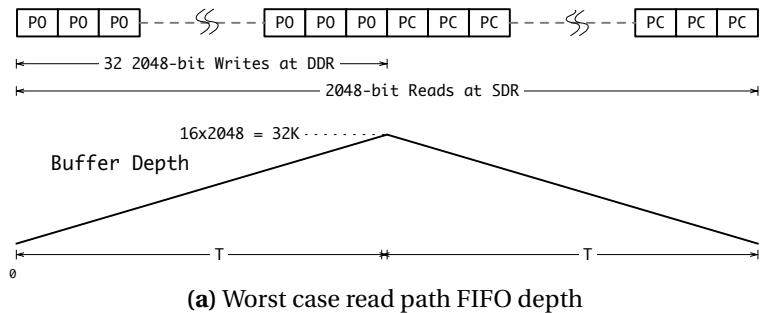


**Figure 3.6** Read and Write request to DiRAM4 [14]

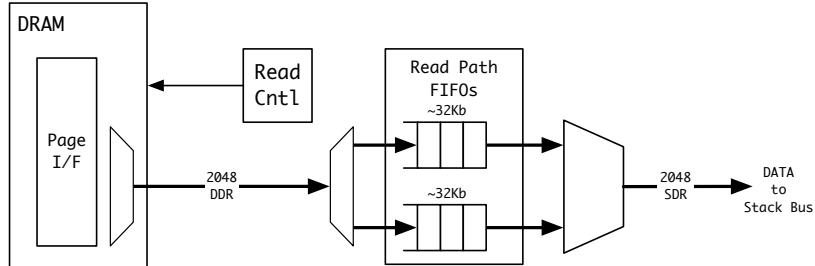


**Figure 3.7** Worst case PO/PC sequence

possible that this sequence page opens could be followed by page closes resulting in a period when no useful data is being read from the DiRAM4. This case is shown in figure 3.7. To accomodate this, the DRAM bus has twice the raw bandwidth of the downstream stack bus. Therefore under this worst case scenario the higher bandwidth data from the DiRAM4 must be buffered, as shown in figure 3.8a. In this case, per channel 32 kbit FIFOs must be placed in the read path as shown in figure 3.8. These FIFOs are instantiated in the manager MRCs as described in section 5.1.4. A question arises that if the DRAM interface has to employ large local storage in the form of FIFOs, why is this different to other implementations that employ large amounts of SRAM. The difference is this FIFO storage is to accomodate the DRAM interface protocol and pipelining to allow concurrent processing and does not impose a ANN size limitation unlike systems that employ the storage in a cache like structure.



(a) Worst case read path FIFO depth



(b) Read path buffering diagram

Figure 3.8 DRAM Read Path Buffering

### 3.4.5 Manager Layer

The Manager block is the main SSC controller and the memory controller for the DiRAM4 memory.

The operations required to process an ANN are formed from individual instructions which are decoded by the Manager. These instructions (for more detail see section 4.1) are sub-divided into descriptors to describe memory read operations, processing engine operations, memory write operations and general system operations for synchronization. The manager reads these system instructions from an instruction memory, decodes the descriptors and configures the various blocks in the system. The configuration includes:

- initiating operand reads from DRAM
- preparing the processing engine (PE) to operate on the downstream stack bus operand streams
- prepare the result processing engine to take the resulting ANe activations from the PE via the

Operation Descriptor	arg0 Read Descriptor	arg1 Read Descriptor	Result Write Descriptor
----------------------	----------------------	----------------------	-------------------------

**Figure 3.9** Instruction 4-tuple

upstream stack bus and write those results back to the DRAM

- replicate the resulting ANe activations to neighbor managers over the NoC for processing of other ANN layers

The most common instruction is to perform state calculation on a group of ANes. This instruction contains four descriptors (see figure 3.9 and 4.4), an operation descriptor, two memory read descriptors and a memory write descriptor.

The operation descriptor describes the operations the PE will perform, which typically includes a MAC to be performed by the StOp followed by a ReLu [31] function to be performed by the SIMD. The manager extracts the operation information, embeds the information in an OOB packet and sends the packet to the PE over the downstream OOB bus. The two memort read descriptors are used to define the memory locations of the downstream stack data buses. There is one memory read descriptor for each of the two operand streams in the execution lanes, one typically defines where the pre-synaptic weights are stored and one for where the pre-synaptic ANe states are stored. The architecture is designed to for an instruction to compute the state of multiple ANes or for an individual ANes state to be computed. If a group of ANes are computed, the pre-synaptic connection weights for the ANes are stored interleaved and when read from DRAM are directed to one of the streams of each of the execution lanes. If a single ANe is computed, the pre-synaptic connection weights for the ANes are stored linearly and when read from DRAM are directed to one of the streams of each of the execution lanes. The pre-synaptic ANe states are stored in row-major order and when read are broadcast to the other stream of each execution lane.

### 3.4.6 Processing Engine Layer

The PE contains two main processing modules, the StOp and the SIMD block. Both the StOp block and the SIMD have 32 execution lanes. The execution lanes inside the StOp contain functions required to perform ANe related operations. The SIMD will be based on the device described in [38].

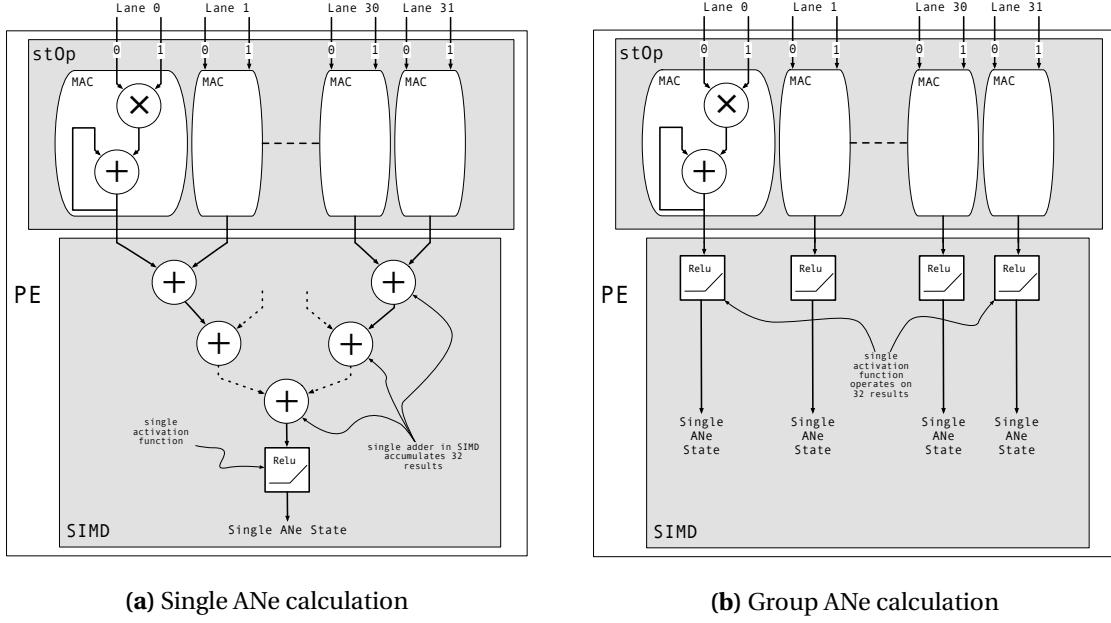
The PE is configured by the manager to perform operations on two operand data streams from the manager. The StOp is able to operate on this data directly from the manager at the full bandwidth rate of the stack bus and does not have to be stored in local SRAM prior to processing. There is a small FIFO to provide buffering to allow asynchronous configuration of the StOp block and the source of the streaming data in the manager. The FIFO also allows the two argument streams in each of the execution lanes to wander with respect to each other and with respect to the other lanes.

The architecture is expandable to allow various functions to be provided in the StOp. The current baseline implementation includes the MAC operation. There is a MACs per execution lane allowing up to 32 simultaneous pre-synaptic ANe *weight · state* computations on the two operands from the two streams in each execution lane. These computations can be for a group of up to 32 ANes or for a single ANe as shown in figure 3.10.

If it is for a group of ANes, the SIMD only has to perform the activation function on the 32 results from the StOp. If a single ANe is being processed, the SIMD must accumulate the result from each execution lanes StOp before applying the activation function. The activation function currently implemented is the ReLu. The ANe states can be sent back to the manager over the stack upstream bus or retained for further processing such as pooling or softmax calculations.

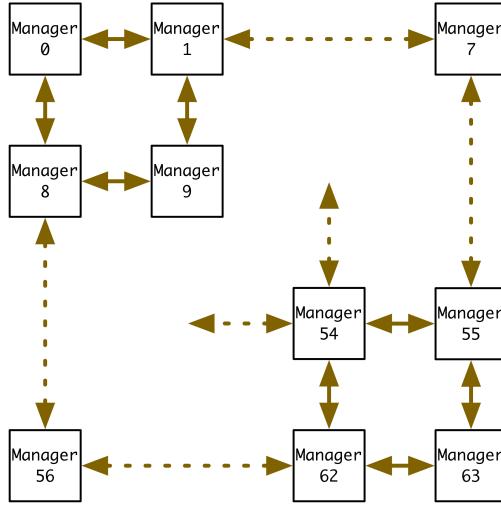
### 3.4.7 Inter-Manager Communication

During configuration and/or computations, it may be required to replicate data to other SSCs. During ANe computations, an SSC only reads ANN weights and states from its local DRAM and not DRAM of other SSCs. In some cases, such as fully connected layers and locally-connected layers with ROI



**Figure 3.10** PE ANe calculation

overlap, the ANe computation in an SSC for layer  $n$  may include ANe states from layer  $n - 1$  which were computed in another SSC. In this case, when ANes are being computed for layer  $n - 1$ , the operation instruction contains information as to where the result should be written back for computing ANes in layer  $n$ . If a particular layer  $n - 1$  ANe is required by another SSC when computing a layer  $n$  ANe, the result is sent to all dependent SSC via the NoC. The instruction contains one or more storage descriptors (see section 4.1.2.2) that identify the destination of the operation result. If the result must be replicated, there are multiple storage descriptors. When the result is returned by the PE, the manager examines the storage descriptors and determines which SSC the result should be sent. The manager creates an NoC header which includes information on all the destination SSCs. This is encoded as a 64-bit field although to provide extensibility the NoC header supports a multicast group. The multiple storage descriptors and the result data are placed in the data portion of the NoC packet. As the packet traverses the NoC, it is replicated to outgoing ports based on the destination

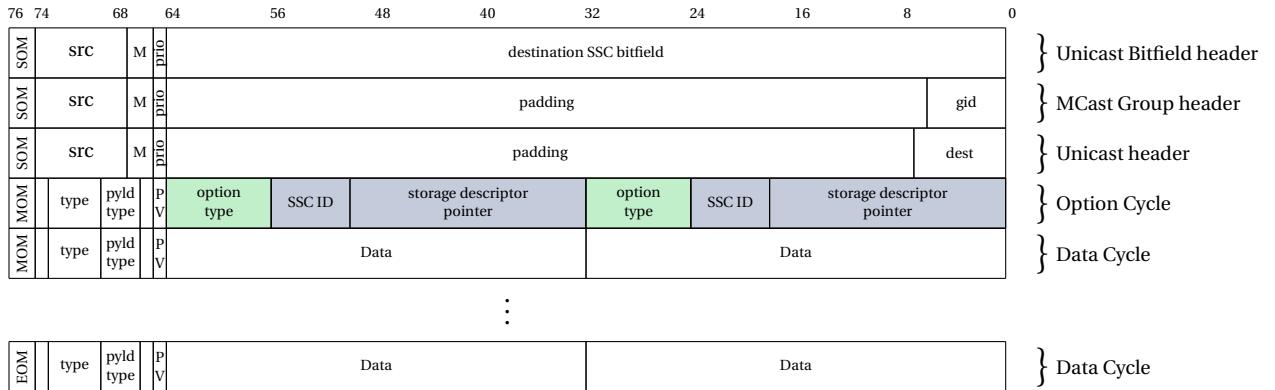


**Figure 3.11** NoC manager connectivity

bit field. When the destination SSC receives the packet, it extracts the storage descriptor and writes the data to its local DRAM. The NoC packet format can be seen in figure 3.12. This inter-manager communication is provided by an NoC with all managers connected in a mesh as shown in figure 3.11.

When computing an ANN across multiple processing sub-systems, often ANe activation data must be shared between these SSCs. The SSC includes the DRAM port, the manager and the PE. An NoC within each management block communicates with each adjacent manager using a mesh network. This NoC has a forwarding table that can be reconfigured to provide more efficient routing for a given processing step.

Each manager has an integrated NoC module that has four ports. The managers in the middle of the array use all four ports to connect to adjacent managers. The managers in the corners of the array connect to two adjacent managers. The managers at the edges connect to three adjacent managers. The host is connected to one (or more) of the managers at one edge of the array.



**Figure 3.12** NoC packet format

Source		Destination Type		Priority	
src[6:0]	Description	M[1:0]	Description	prio	Description
0…63	Destination SSC	00	Multicast bit-field	0	Low priority
64	Host	01	Multicast group	1	High priority
65…127	Unused	10	Unicast		

Unicast Destination	
Group ID	Description
gid[5:0]	Description
0…63	Group table pointer

**Table 3.1** NoC header cycle fields

Transaction Type	
type[3:0]	Description
0	NOP
1-4	NA
5	Storage Desc Write Data
8	Configuration DMA start
9	Configuration DMA
10	Configuration DMA end
11	Configuration Instruction start
12	Configuration Instruction
13	Configuration Instruction end
14	Configuration
15	Status

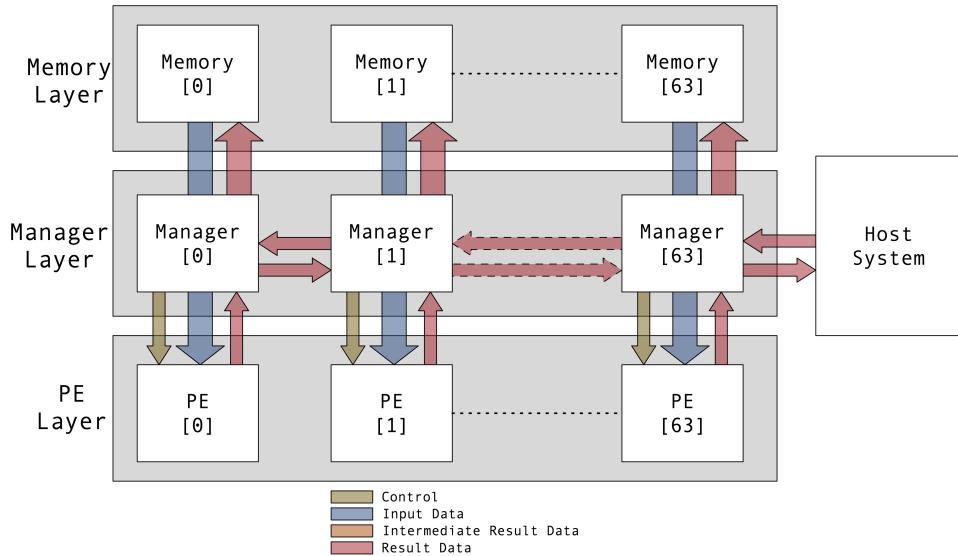
  

Payload Type	
pyld type[2:0]	Description
0	NOP
1	Option tuples
2	Data

Payload Valid	
PV	Description
0	One data word
1	Two data words

**Table 3.2** NoC option/data cycle fields



**Figure 3.13** System Flow Diagram

### 3.5 Summary

A control and data flow diagram of the stack showing the 64 sub-system columns can be seen in figure 3.13.

One of the primary objectives was to ensure the system can maintain the required average bandwidth (see table 1.2) whilst operating directly out of DRAM over a range of pre-synaptic fanins. To achieve this the system decodes instructions and concurrently sends configuration information to various system functions. It concurrently pre-fetches and pipelines data to absorb the latencies associated with DRAM. All system functions pipeline their configuration data to ensure the main processing pipeline is not starved of data and/or operations. This parallelism allows this system to constantly stream data whilst results from previous operations are being processed, broadcast to other SSCs and written back to SSC memory. The instructions, the structures for describing the operations and the structures describing how data is retrieved and stored have been architected to provide extensibility. A detailed description of the instruction architecture and data structures is given

in chapter 4. The baseline ANN described in table 1.1 was used to define a collection of presynaptic fanin tests and those tests were used to ensure the average bandwidth can be maintained. The results of those tests can be seen in chapter 6.

The second objective was to determine if an extensible 3DIC system could be designed employing a customized 3D-DRAM. The 3D-DRAM employed was the DiRAM4 and estimated areas were extracted from data provided by Tezzaron® [35]. The feasibility of the customizations were made with consultation with Tezzaron®. The physical details for the register-transfer level (RTL) design of the primary modules are given in chapter 5. The overall area details with respect to the 3DIC stack are shown in chapter 6.

## CHAPTER

# 4

## SYSTEM OPERATIONS

As mentioned in section 3, an SSC has 32 execution lanes allowing the simultaneous processing of up to 32 ANes. When processing a group of ANes the basic operations to determine their states are:

- manager streams the states of the pre-synaptic ANes to the PE
- manager streams the weights of the pre-synaptic connections to the PE
- each execution lane in the PE operates directly on the two argument streams using the StOp block
- the PE SIMD block takes the 32 results from the StOp block and performs the activation function to generate the ANe states
- the PE SIMD packetizes the ANe states and sends the packet to the manager

- the manager replicates the ANe state data over the NoC to any dependent SSCs
- if the local SSC is dependent on the result, the manager saves the ANe state data in local SSC DRAM

Although the primary focus of this work is effective use of a novel 3D-DRAM along with an expansive system to process ANNs, a complete system needs to also provide support features for tasks such as downloading the ANN parameters to memory from a host system and a host system also needs to download new inputs and upload ANN outputs. This work has created a system and an infrastructure to include these support tasks. Although not all of the features required for an actual final product have been included in this works design and verification effort, however it is this works belief that the infrastructure provided in the architecture and the functions that have been designed and verified means adding these features in the future should not impose a significant burden on available silicon.

This work has developed an instruction architecture to support and describe the operations associated with the processing of an ANN along with the support tasks required when employing this work in a product implementation.

## **4.1 Instructions**

An instruction is coarse grained in as much as it provides the information to perform all the operations associated with a high level task. The manager is responsible for instruction decode and coordinating the various data flows and configuration of the modules throughout the SSC. The PE is responsible for the main algorithm operations using a combination of its StOp and SIMD blocks. The information in the instruction provides the information to control these finer grained functions within the manager and the PE along with the various system support tasks.

To provide the fine grained information, an instruction is partitioned into sub-instructions called descriptors. An instruction can contain one or more descriptors and each of these descriptors contain

the information to control a specific operation(s) within the SSC to perform the high level task. For example, to process a group of ANes, the instruction contains a descriptor to communicate where the pre-synaptic ANe states are stored, another to communicate where the connection weights are stored, another describes what activation function should be used and another where in memory should the resulting ANe states be stored.

#### **4.1.1 Instruction Types**

There are two instruction types currently defined, a **configuration** instruction and a **compute** instruction. The configuration instruction has been defined to deal with data downloads and uploads which includes ANN parameters and input, SSC instructions, SIMD and StOp operation pointers and SIMD instructions.

The compute instruction has been defined to deal with computing the states of a group of ANes.

Although this works focus has been on the compute instruction as it has the most influence on system performance, configuration instructions have been defined and tested to provide an extensible system.

A generic instruction is an n-tuple where the tuple elements are descriptors and the number of descriptors can vary based on the high level task being performed. These descriptors are decoded and used to configure the various functions in the SSC that will take part in completing the instruction. The contents of a single descriptor may be sent to multiple functions and in some cases the manager doesn't even parse the contents of the descriptor but immediately passes it to a dependent function. This allows the system to concurrently prepare for the tasks involved with the instruction.

#### **4.1.2 Compute Instruction**

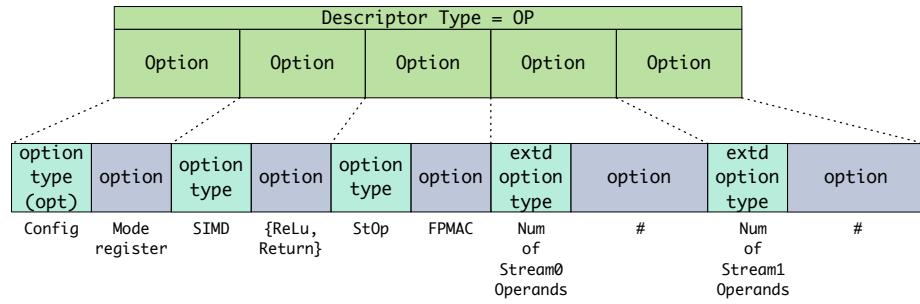
The compute instruction typically contains four descriptors for configuring the tasks associated with processing a group of ANes. The instruction can be seen in figure 4.1 and includes:

Operation Descriptor	arg0 Read Descriptor	arg1 Read Descriptor	Result Write Descriptor
----------------------	----------------------	----------------------	-------------------------

**Figure 4.1** Typical compute instruction (4-tuple)

- Operation descriptor containing:
  - StOp operation
  - SIMD operation
  - Number of active lanes
  - Operand Vector length
- Two memory read descriptors containing:
  - addresses for the pre-synaptic ANe states and connection weights for the two argument streams to the PE
  - how the read data is multiplexed to the execution lanes (broadcast/vectored)
- Memory write descriptor containing:
  - DRAM address for ANe states

The descriptor also employs an n-tuple format where the elements contain configuration options required by the operation. The option elements within a descriptor are a two-tuple with option and associated value and are referred to as option tuples. These option tuples include a type and value which contain information such as storage descriptor pointer (see section 4.1.2.2), PE operations and the number of operands. The length of the value field is currently eight bits or 24-bits. The 24-bit value field is referred to as an extended tuple and is currently used for memory address, number of operands and configuration options. In figure 4.2 we see the format of a 5-tuple operation descriptor and a list of option types are shown in table 4.3.

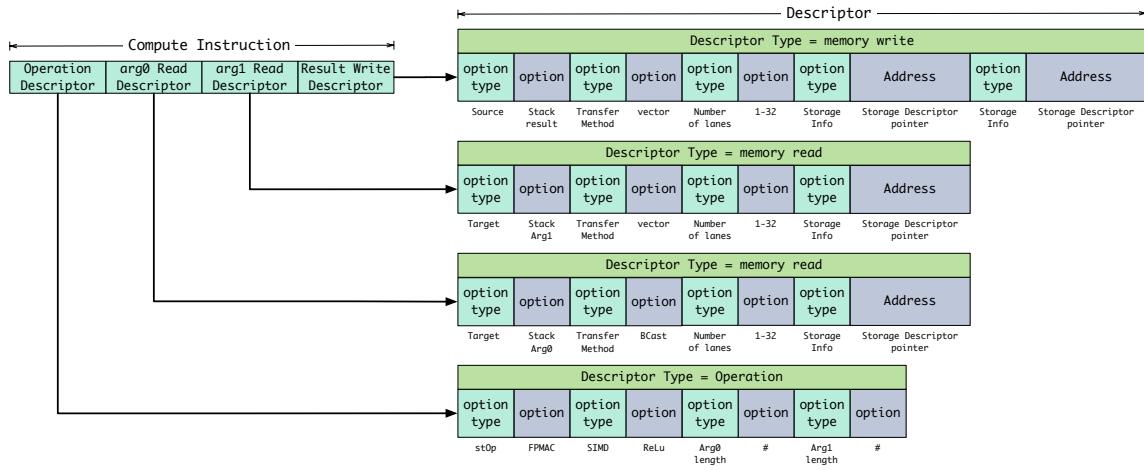


**Figure 4.2** Operation descriptor (5-tuple example)

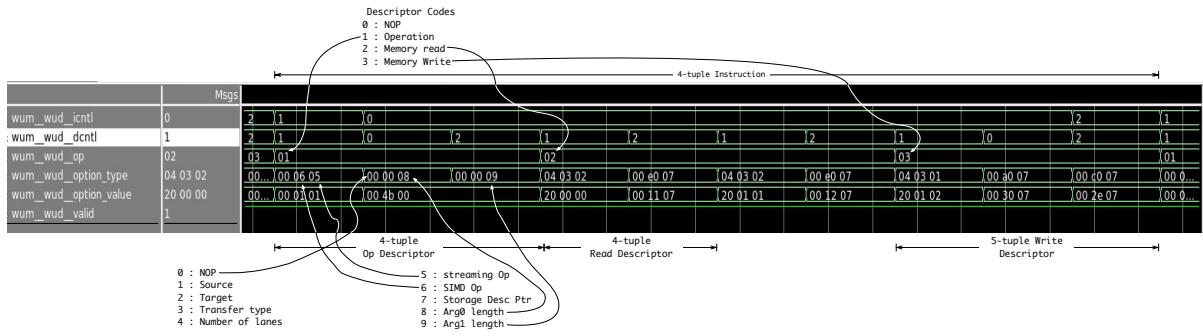
Source			
Type	Type Code	extd	Value Description
NOP	0	N	no operation
source	1	N	Used to define the source of any data, such as memory or PE
target	2	N	Used to define the target for any data, such as memory or PE
transfer type	3	N	How data will be directed, vector or broadcast
number of lanes	4	N	number of active execution lanes used in operation
StOp pointer	5	N	pointer to PE StOp operation table in PE controller
SIMD pointer	6	N	pointer to PE SIMD instruction memory
Memory storage descriptor	7	Y	pointer to storage descriptor used in memory read or write
num of arg0 operands	8	Y	number of operands sent to execution lane stream 0
num of arg1 operands	9	Y	number of operands sent to execution lane stream 1
config sync	10	Y	Synchronization
config data	11	Y	Data transfers
status	12	Y	status information

**Figure 4.3** Option tuple functions

To pull it all together, in figure 4.4 is shown a four-tuple compute instruction with details shown for each of the descriptors. In figure 4.4a shows the compute instruction which contains three 4-tuple and one 5-tuple descriptors. The memory write descriptor shows two storage option elements which indicates the resulting ANe states need to be saved in the memory of two SSCs. The waveform in figure 4.4b is from the verification environment and shows the instruction as it is read out of the managers instruction memory. The waveform also shows an example of the common interface signalling described in section with the signals `wum_wud_icntl` and `wum_wud_dcntl` being used to delineate the instruction and descriptors respectively. As can be seen in figure 4.4b, the instruction memory transfers three descriptor elements per cycle shown on the bus signals `wum_wud_option_type` and `wum_wud_option_value`.



(a) Compute instruction and descriptors



(b) Instruction memory waveform

Figure 4.4 Compute Instruction details

Note: The signal name convention used between blocks in the RTL use <src>\_<dest>\_<signal\_name>.

In figure 4.4b, wum and wud refer to "work unit memory" and "work unit decode" which correspond to the manager instruction memory and instruction decoder respectively.

#### 4.1.2.1 Accessing of Pre-synaptic ANe states and connection weights

A part of the research is determining how to store the ANN input and parameters in such a way to effectively make use of main DRAM bandwidth.

To provide parameters for the up to 32 execution lanes within the PE, the ANe parameters were stored in consecutive address locations. With one read to the DRAM, we access 128 words. This provides four weights for each of the 32 ANes being processed. These weights are sent to each lane of the PE over four cycles. We will discuss memory efficiency later, but by taking advantage of the multiple DRAM banks along with pre-fetching and buffering, we are able to achieve relatively high efficiency of the available maximum bandwidth.

Although ANe parameters (weights) are stored in contiguous memory locations, providing the input state to a particular ANe presents us with an interesting problem.

Most often DNNs are represented by layers of ANes whose pre-synaptic neurons are from the previous layer. These previous layers represent the input to a given layer. The first layers input is the actual input to the ANN.

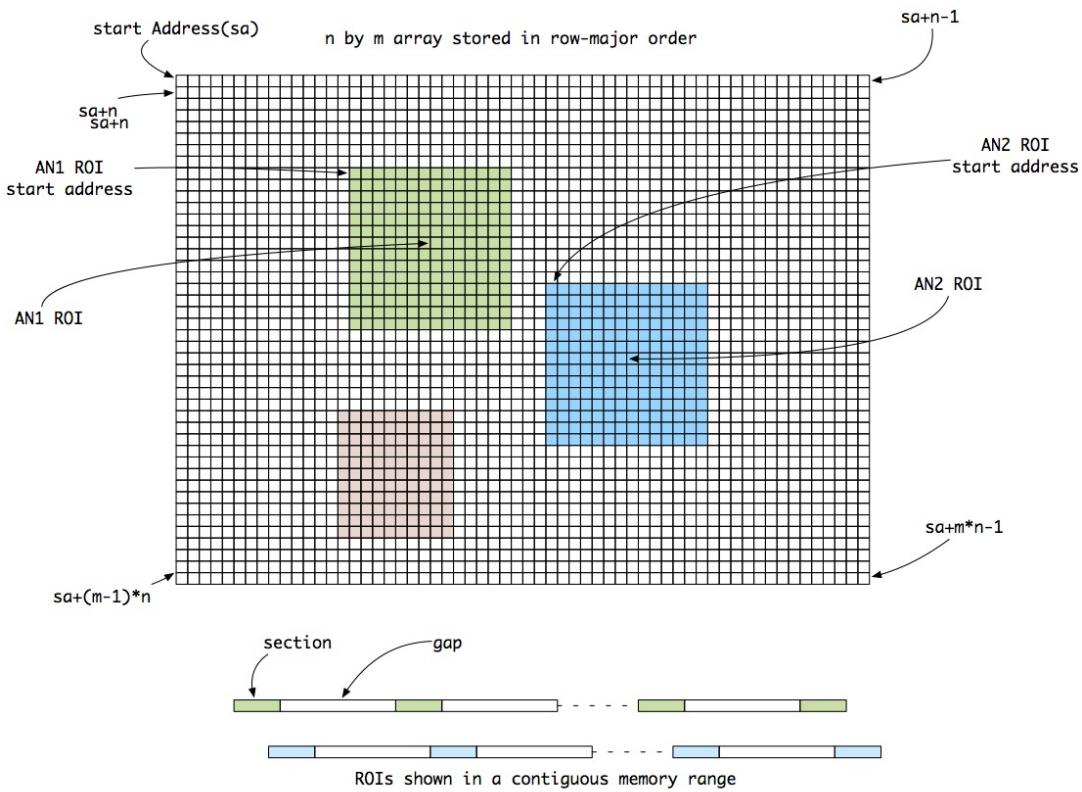
The input can be represented in the form of a 2-D array of ANe states. For the sake of generality, the input array elements are considered as ANe states.

Any given ANe operates on a ROI within the input array.

#### 4.1.2.2 Storage Descriptor

In figure 4.5, an input to a ANN layer in the form of a 2-D array along with the ROI of two ANes.

The various connection weights are stored in multiple contiguous sections. However, its not possible to arrange the input in such a way that each ANes ROI can be stored in contiguous memory locations. A typical ROI arrangement is shown in figure 4.5. Assuming the input array is stored in row-major order, an ROI is drawn from disjoint sections of memory. These disjoint sections contain a number of ANe states, in this case 14 and the sections are separated by a gap of a number of memory addresses. When the parameters are accessed when performing a particular operation, the memory controller within the manager must be informed of the start address and the lengths of the sections and gaps. In practice groups of ANes share a common ROI so often when reading an ROI from the DRAM it is broadcast across a group of execution lanes.



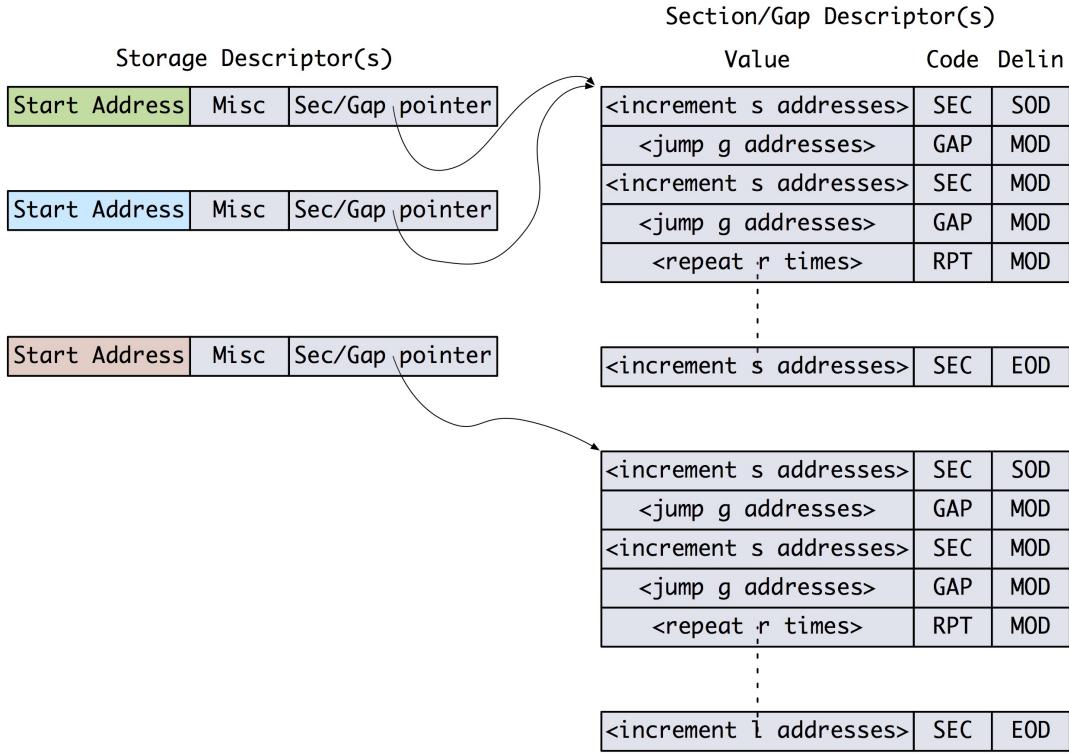
**Figure 4.5 ROI Storage**

The read efficiency problem is solved by again taking advantage of the DRAMs banks and pages.

This work proposes a data structure to describe these ROI storage locations.

Although disparate groups of ANes may have a different start addresses for their ROI, a commonality is observed in the ROI section lengths and gaps. So for each ANe group, the groups ROI starting address is stored along with a pointer to a common set of section length/gaps. This structure is termed a storage descriptor.

This storage descriptor contains, amongst other things the start address of the ROI and a pointer to a section/gap descriptor. Many storage descriptors point to a common section/gap descriptor. This avoids having to have a unique section/gap descriptors for each ANe group.



**Figure 4.6 Storage Descriptor**

Figure 4.6 shows the structure of the storage descriptor. The start of descriptor (SOD), middle of descriptor (MOD) and end of descriptor (EOD) are used to delineate each storage descriptor in memory.

#### 4.1.2.3 Writing ANe state results to memory

When the PE has processed the group of ANes, the new ANe states are sent back to the manager and stored to DRAM in the row-major array format described earlier. When an operation is complete, in almost all cases one word per lane is written back to DRAM. Considering a DRAM page contains 128 words, the system typically writes a 4th of a page and this is a relatively inefficient use of DRAM bandwidth. However, the pre-synaptic fanin typically far exceeds 100 elements and in the baseline

ANe shown in table 1.1 the average fanin is 1650. So the write to read ratio is very high and the inefficient write has little impact on the overall performance.

As discussed in section 3.4.7 in many cases the results have to be provided not only to the local SSC DRAM but also to other SSCs memory. This is handled by examining the write storage descriptors and if at least one storage descriptor address references another SSCs memory, all the write storage descriptors in the instruction are included in the NoC packet (see figure 3.12).

#### 4.1.3 Configuration Instruction

The configuration instruction is used to :

- Data transfer
  - Download Instructions from host to SSC manager instruction memory
  - Download Sync group data from host to SSC manager
  - Download ANN parameters and input from host to SSC memory
  - Upload ANN output to host from SSC memory
- System synchronization
  - Send a sync message to a group of SSCs
  - Wait for sync message from a group of SSCs or host
  - Pause instruction fetch
  - Flush PE operations

The configuration instruction contains one descriptor and there are two configuration types which are characterized by the descriptor option tuple contents. All configuration descriptors start with a configuration option tuple. There are two configuration tuple types, sync and data. The sync and data option types are extended types that have a 24-bit option value. The 24-bit option value

is used to define one of up to eight mode registers each of which defines the type of configuration operation and various options. The configuration option tuple can be seen in figure 4.7.

The data transfer configuration instruction is shown in figure 4.8a. The descriptor is a 2-tuple with a configuration data option type and a storage option type. The sync configuration instruction is shown in figure 4.8b and the descriptor is a 1-tuple with a sync configuration option type.



**Figure 4.7** Configuration tuple

The data option value mode register [40] defines the type of data transfer along with information to aid the transfer. The storage option type contains a storage descriptor pointer which specifies the address of memory transfers. An overview of the configuration instructions are show in sections 4.1.3.1 and 4.1.3.2 with additional details in section 5.1.2.2.

#### 4.1.3.1 Data Instruction

There are currently four mode registers defined, an instruction download register, a sync group download register, a memory download register and a memory upload register. The contents of the mode register specify the type of transfer, the size of the transfer and some additional flags. When transferring to or from memory, an additional descriptor element contains a storage descriptor defining where the data should read or written.

#### 4.1.3.2 Sync Instruction

The option element is a sync option whose value contains a mode register. There are currently four mode registers defined, a send, wait, pause and a flush register. The contents of the send and wait mode register specify the group of SSCs to be synchronized. The send causes a sync NoC packet to be

sent to all SSCs in the group. The wait causes the manager to wait for a NoC sync packet to be received from all SSCs in the group. The pause mode register cause the instruction fetch logic to pause the specified number of clock cycles. The flush mode register cause the instruction fetch logic to wait for all outstanding PE operations to be returned before continuing.

#### 4.1.4 Multiple Instruction Functions

When instructions or data is downloaded, in some cases there are tasks in the system that must be performed by chaining instructions together. This is the case when downloading the PE operation pointers and the SIMD instructions. In these cases, the host will have to first download the data to the SSC local DRAM in conjunction with a SSC configuration download instruction. The data is then transferred to the PE using an operation instruction with the StOp configured as a NOP so the data will pass through the StOp with the small local SRAM as the target. The PE controller will then transfer the contents of the SRAM to SIMD instruction memory or the operation pointer memory. As an example, loading the SIMD instruction memory requires the procedure described in algorithm 1.

## 4.2 Host Instructions

The host is responsible for transferring ANN parameters and input data to the SSC and for transferring ANN output data back to the host. It is also responsible for downloading configuration data including SSC instructions, PE SIMD instructions and configuration tables such as storage pointer tables and PE StOp and SIMD operation tables.

The host will use the NoC to carry the commands and data to accomplish the transfers. The commands will employ the same option tuple method as described in section 4.1.3.

A transfer of data to the SSC can be solicited or unsolicited. In the unsolicited case, the host initiates the transfer by sending the first NoC packet with two option tuples along with the first data as shown in figure 4.9. This first packet contains a configuration data option tuple (see figure 4.7) which

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**Algorithm 1** Load SIMD Instruction memory

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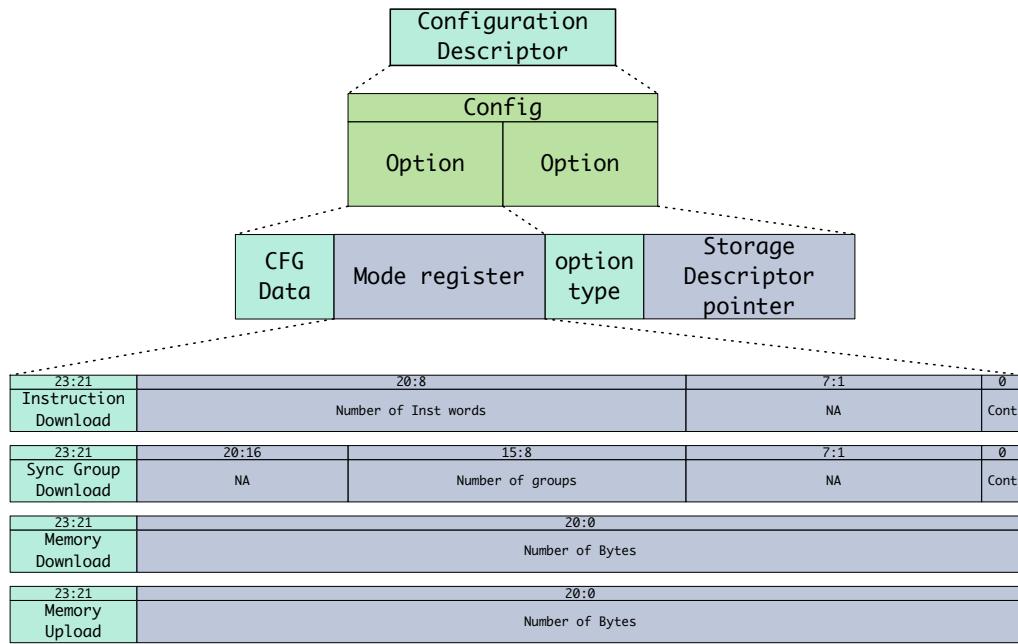
```
1: // last compute instruction
2: COM:[ [ op: [ stOp:fpmac , simd:relu , numop0:<n> , numop1:<n> ] ]
3:      [ mr: [ tgt:std0 , txfr:bcast , lanes:<l> , StoD:<ptr> ] ]
4:      [ mr: [ tgt:std1 , txfr:vec , lanes:<l> , StoD:<ptr> ] ]
5:      [ mw: [ src:stu , txfr:vec , lanes:<l> , StoD:<ptr> , StoD:<ptr> ] ]
6:
7: //----- Start download -----
8: // make sure all compute instruction are complete
9: CFG:[ [ cfg: [ sync: [ flush ] ] ]
10: CFG:[ [ cfg: [ sync: [ send: [host ] ] ] ]
11: CFG:[ [ cfg: [ sync: [ wait: [host ] ] ] ]
12: // Host sends release
13:
14: // Host starts simd instruction download to SSC memory
15: // Next SSC instruction prepares wr_ctrl for data from Host
16: CFG:[ [ cfg: [ data: [ mem_dn:<m> , StoD:<ptr> ] ]
17: CFG:[ [ cfg: [ sync: [ pause: [ind ] ] ] ]
18: // fetch paused waiting for release, wr_ctrl ready for Host data
19: // wr_ctrl releases fetch when data transfer complete
20: COM:[ [ op: [ stOp:ld_simd , simd:nop , numop0:<m> ] ]
21:      [ mr: [ tgt:std0 , txfr:bcast , lanes:1 , StoD:<ptr> ] ]
22: // manager sending instruction data to PE using compute operation with NOPs
23: // flush PE to ensure instruction data complete
24: CFG:[ [ cfg: [ sync: [ flush ] ] ]
25: //----- end of download -----
26:
27: // continue with compute instructions
28: COM:[ [ op: [ stOp:fpmac , simd:relu , numop0:<n> , numop1:<n> ] ]
29:      [ mr: [ tgt:std0 , txfr:bcast , lanes:<l> , StoD:<ptr> ] ]
30:      [ mr: [ tgt:std1 , txfr:vec , lanes:<l> , StoD:<ptr> ] ]
31:      [ mw: [ src:stu , txfr:vec , lanes:<l> , StoD:<ptr> , StoD:<ptr> ] ]
```

---

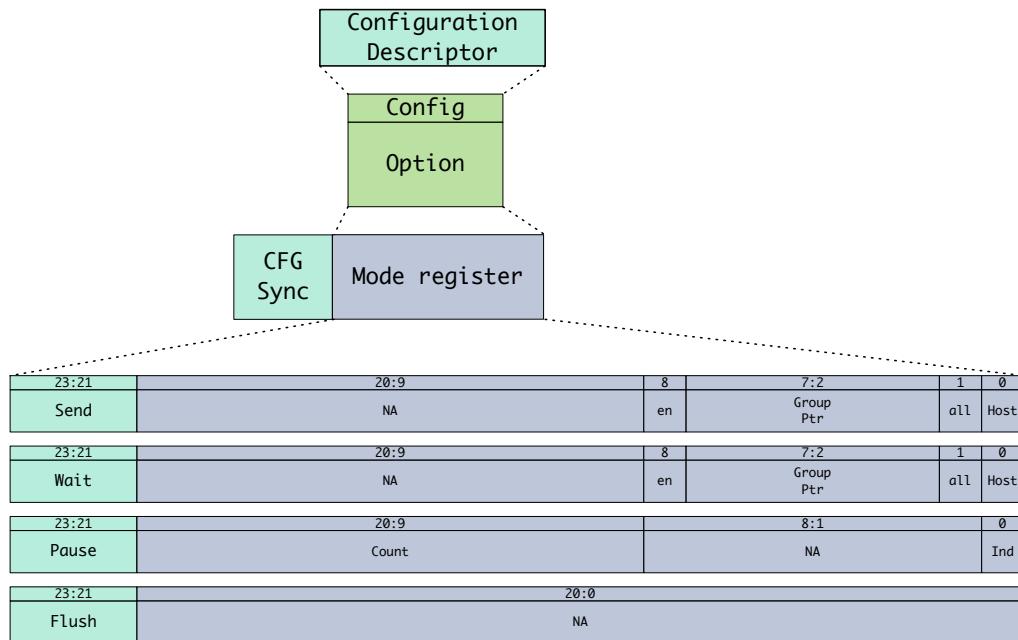
contains a mode register used to define the type of transfer. The second tuple has a storage descriptor pointer defining where in memory to write the data. Once the first packet has been received, the SSC expects only to receive data packets as shown in figure 4.10. In the solicited case, the transfer is initiated from a configuration data transfer instruction in which case the main controller receives the mode register and storage descriptor from the instruction decoder. An example instruction can be seen in figure 4.8a. In this case, the host will only send data packets as shown in figure 4.10. Additional information on the configuration data option tuple mode registers can be found in sections 5.1.2.2.7 and 5.1.2.2.8.

In the case of a data download, the main controller sends the storage tuple to the memory write controller and indicates its a DMA. This will inform the memory write controller to expect further data packets and associate those with the current storage descriptor. In the case of a data upload, the main controller will check the status of the instruction decode and if it has not been halted by a sync instruction, will halt the instruction decoder. The main controller then sends the storage tuple to the lane 0 memory read controller.

The data to be transferred is included in separate packets as shown in figure 4.10. For downloads, the host sends the data and the main controller passes the packets to the memory write controller. In the case of reads, the main controller receives data from the memory read controller, packetizes the data and sends to the host. If the amount of data exceeds the 32 data word maximum transmission unit (MTU) of the NoC, the data will be fragmented.

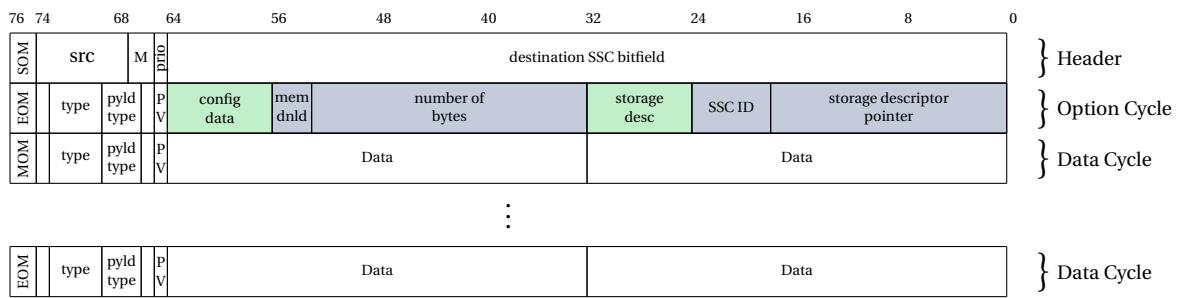


**(a)** Data transfer instruction

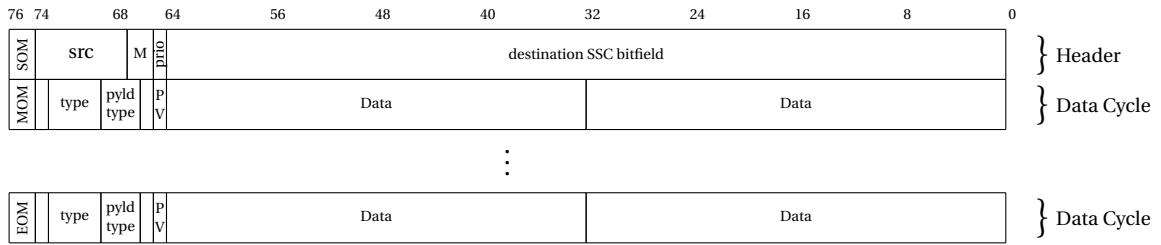


**(b)** Sync instruction

**Figure 4.8** Configuration Instruction types



**Figure 4.9** Host unsolicited download first NoC packet



**Figure 4.10** Host transfer NoC data only packet

## CHAPTER

# 5

## DETAILED SYSTEM DESCRIPTION

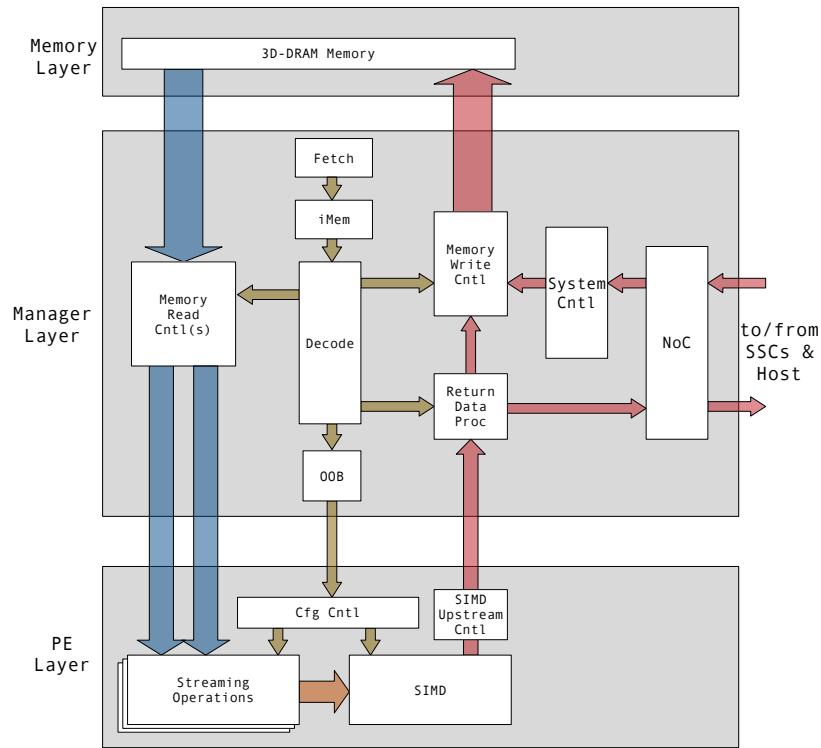
A detailed flow diagram and block diagram of the sub-system column can be seen in figures 5.1 and 5.12 respectively.

### **5.1 Manager**

A block diagram of the manager can be seen in figure 5.2.

#### **5.1.1 System controller**

The system controller is responsible for initialization and general system configuration. A block diagram can be seen in figure 5.3.

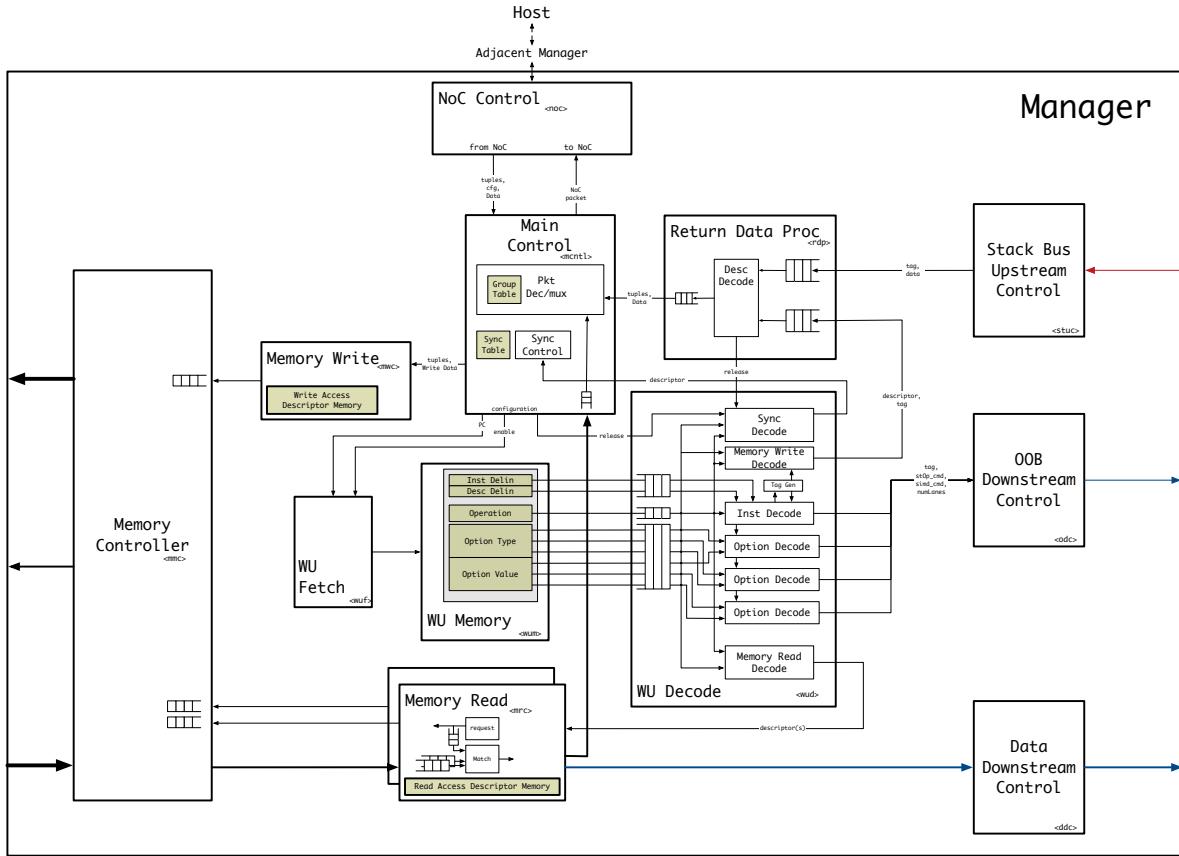


**Figure 5.1 Sub-System Column (SSC) Flow Diagram**

### 5.1.1.1 Initial Boot

The system controller is responsible for performing the initial Bootstrap Protocol (BOOTP) process. This involves quiescing the system after reset and downloading the initial boot instructions from the host.

After reset, the controller keeps the instruction fetch logic disabled and expects unsolicited NoC packets from the host which contain the initial boot code. The host will unsolicitedly send the BOOTP code over the NoC to each SSC. The controller in each SSC decodes the NoC packets and writes the data directly into instruction memory. Currently each NoC MTU packet contains 16 instruction memory entries (see figure 5.4). The number of initial instruction entries is hard-coded but it is anticipated a standard on-chip protocol such as Joint Test Action Group (JTAG) will be used to set

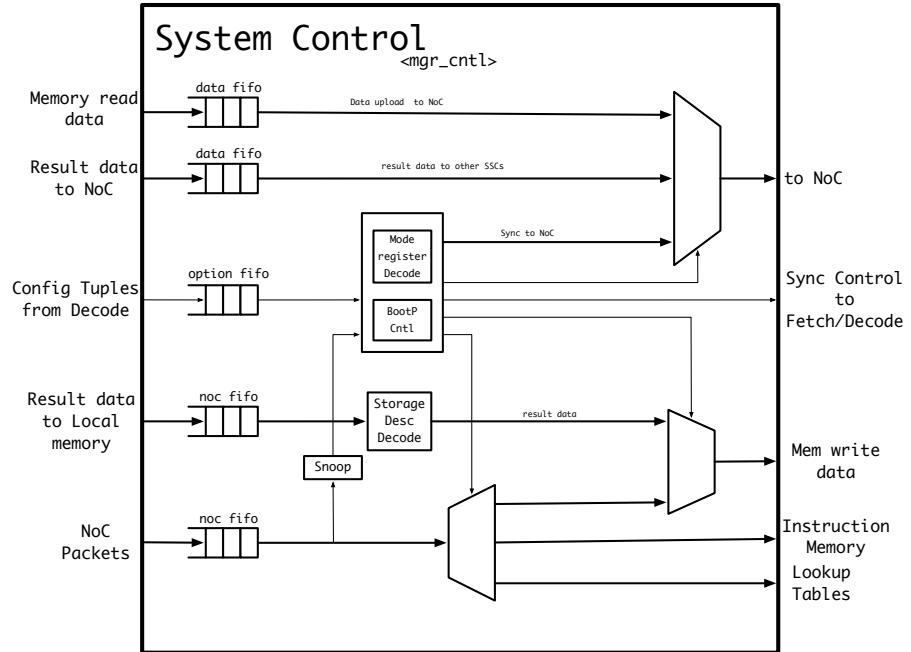


**Figure 5.2 Manager block diagram**

initial BOOTP configuration. Once the host has sent the BOOTP code, each SSC controller releases its instruction fetch block.

It is anticipated that the initial BOOTP code will not contain operational instructions but only configuration instructions to download configuration tables, the PE SIMD instruction memory and the ANN parameters. For example, to download the ANN parameters, the BOOTP instructions will include a configuration sync and a configuration data download.

The first BOOTP instruction will be a configuration sync sent to the host to indicate the initial BOOTP is complete and ANN parameters are ready to be received. After the configuration sync is sent to the host, the configuration data instruction will prepare the SSC to receive data from the



**Figure 5.3** System controller

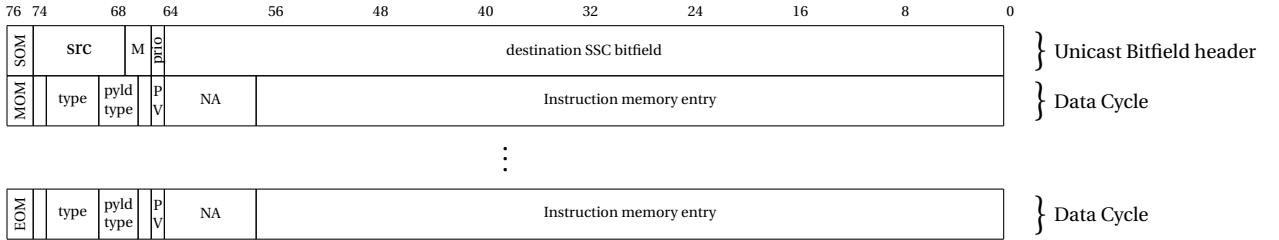
host and the host will then start sending configuration data. The size of the data is known by both the SSC via the instruction and the host. The ANN parameters can be downloaded using multiple downloads. Once ANN parameters and system tables are downloaded, the last instruction can be another configuration data instruction download to load operational code.

### 5.1.2 Instruction Decoder

In figure 5.2, instructions are read from WU memory by the WU fetch block and the output of the memory is passed to the WU decoder block.

#### 5.1.2.1 Compute Instructions

The operation descriptor is decoded and a StOp pointer and a SIMD Program Counter (PC) pointer are extracted. A sequential tag is generated and along with the StOp and SIMD pointers and immediately



**Figure 5.4** Host boot code download NoC packet

sent to the PE inside an OOB control packet. The StOp pointer specifies what streaming operation is to take place on the data directly streamed to the PE. The SIMD pointer is essentially a PC counter that the SIMD will jump to to process the result from the StOp. The PE will immediately start preparing for downstream operand data. If the SIMD operation includes result data being returned to the manager, the tag will be included in the upstream result data packet.

The memory read descriptors are decoded to identify the target memory read controller and the storage descriptor pointer directed to the appropriate memory read block. There is a memory read block associated with each of the operand streams and are responsible for generating memory requests and directing the DRAM data to all the execution lane streams. A request block inside the memory read block immediately starts pre-fetching the memory data by sending memory requests to the DRAM. A stream block inside the memory read block immediately starts waiting for data from the DRAM and will direct DRAM data to the appropriate execution lane.

The memory write descriptor is decoded and the storage descriptor pointer extracted and along with the tag are sent to the return data processor. The tag is sent to match with the returned data. Currently the system only allows in-order data but the tag is provided for extensibility.

At this point all the blocks that take part in a compute operation on a group of ANEs are performing the various tasks. As mentioned in section 4.1.2, the inputs to many blocks employ FIFOs. This allows blocks to pipeline tasks to absorb any latencies, they also allow blocks to start sending data to a

destination block before that block has been configured to receive the data. The FIFO will assert a flow control signal until the block is ready to receive. In practice, the instruction decode logic batch decodes up to eight instructions and sends descriptor contents to dependent blocks where they are also pipelined.

### 5.1.2.2 Configuration Instructions

The configuration instructions are responsible for :

- performing synchronization between the SSC and other SSCs or the host system.
- performing data download and upload operations

The configuration packets are broken into two types, configuration data and configuration sync.

The configuration instruction contains a single descriptor with one, two or three option tuples.

The sync instruction descriptor contains a single configuration sync option tuple. The 24-bit option value contains a 3-bit mode register identifier and a 21-bit mode register. There are currently four mode registers defined, "Send", "Wait", "Pause" and "Flush". Each register has fields specific to the mode as seen in figure 4.8b.

The data configuration instruction descriptor contains a configuration data option tuple and a storage descriptor tuple and optionally a target tuple. The configuration data option value is 24-bits with a 3-bit mode register identifier and a 21-bit mode register. There are currently four mode registers defined, "instruction download", "sync group download", "memory download" and "memory upload". Each register has fields specific to the mode as seen in figure 4.8a.

#### 5.1.2.2.1 Sync Send

The register fields can be seen in register 5.1. The decoder sends the sync option tuple to the system controller. A sync NoC packet is constructed based on the register contents sent over the NoC. If the group pointer enable bit is set, the system controller uses the pointer to index into a 64 table. Each

table entry is a 64-bit bitfield indicating which SSCs are a part of the group. If the all flag is set, the sync packet will be sent to all SSCs. if the host flag is also set, the host bit in the NoC packet will be set.

**Register 5.1** SYNC SEND MODE REGISTER

Mode Reg ID	Not used	Group Pointer enable	Sync Group pointer	Send to all SSCs	Send to host
23 21   20		9   8   7		2   1   0	
0 0 0   NA		en	gPtr	all	host

### 5.1.2.2.2 Sync Wait

The register fields can be seen in register 5.1. The decoder sends the sync option tuple to the system controller. The instruction decoder will stop processing any more instructions until the release signal is asserted from the system controller. The wait option informs the system controller to start expecting sync send packets from other SSCs and/or the host. Based on the register values, the system controller will assert the release signal to the instruction decoder only once sync send packets have been received from all specified sources. If the group pointer enable bit is set, the system controller uses the pointer to index into a 64 table. Each table entry is a 64-bit bitfield indicating from which SSCs a sync send packet should be received. If the all flag is set, all sync send packets are expected from all SSCs. if the host flag is also set, a sync send packet is expected from the host.

**Register 5.2** SYNC WAIT MODE REGISTER

Mode Reg ID	Not used	Group Pointer enable	Sync Group pointer	Receive from all SSCs	Receive from host
23 21   20		9   8   7		2   1   0	
0 0 1   NA		en	gPtr	all	host

### 5.1.2.2.3 Sync Pause

The register fields can be seen in register 5.3. The decoder sends the sync option tuple to the system controller and ceases decoding instructions. If the indefinitely flag is set, instruction decode will not restart until the release signal is asserted from the system controller, otherwise the decoder will wait a number of clock cycles specified by the count field and then restart decoding instructions.

**Register 5.3** SYNC PAUSE MODE REGISTER

Mode Reg ID		Wait <count> cycles		Not used		Indefinitely	
23	21	20	9	8	1	8	
0	1	0	count	NA		Ind	

### 5.1.2.2.4 Sync Flush

There are currently no fields implemented in the sync flush register. This instruction is designed to pause instruction decode until all outstanding commands sent to the PE have been returned to the manager. The decoder sends the sync option tuple to the return data processor and pauses processing instructions. When the return data processor receives all outstanding tags, it asserts a release signal to the decoder.

### 5.1.2.2.5 Instruction download

The register fields can be seen in register 5.4. The decoder sends the data option tuple to the system controller. The system controller will ensure the fetch and decode blocks are disabled and then expects to receive the number of instruction entries from the host over the NoC. Once the instruction memory is loaded, the system controller will enable the fetch and decode logic.

**Register 5.4** INSTRUCTION DOWNLOAD MODE REGISTER

Mode Reg ID		Number of entries		Not used		continue
23	21	20	8	7	1	0
0	0	0	number	NA	en	

#### 5.1.2.2.6 Sync group table download

The register fields can be seen in register 5.5. The decoder sends the data option tuple to the system controller. The system controller will ensure the fetch and decode blocks are disabled and then expects to receive the number of sync groups from the host over the NoC. The group table entry is 64-bits and eight are contained in an NoC packet. Once the sync group table is loaded, the system controller will enable the fetch and decode logic.

**Register 5.5** SYNC GROUP TABLE DOWNLOAD MODE REGISTER

Mode Reg ID		Number of groups		Not used		continue
23	21	20	16	15	8	7
0	0	1	NA	number	NA	en

#### 5.1.2.2.7 Memory download

The register fields can be seen in register 5.6. The decoder sends the data option tuple to the system controller. The system controller will ensure the fetch and decode blocks are disabled and then expects to receive the number of bytes from the host over the NoC. As each data packet is received, it is passed to the memory write controller along with the storage descriptor for writing to DRAM.

**Register 5.6** MEMORY DOWNLOAD MODE REGISTER

Mode Reg ID			Number of bytes
23	21	20	0
0	1	0	number

#### 5.1.2.2.8 Memory upload

The register fields can be seen in register 5.7. The decoder sends the data option tuple to the system controller. The system controller will ensure the fetch and decode blocks are disabled. The controller sends the storage descriptor and target option tuples to the the stream 0 memory read controller. The read controller generates read requests to the DRAM and sends the corresponding read data to the system controller. The system controller the data and embeds the data in an NoC packet and send it to the host. The data is fragmented and sent using multiple data NoC packets.

**Register 5.7** MEMORY UPLOAD MODE REGISTER

Mode Reg ID			Number of bytes
23	21	20	0
0	1	1	number

#### 5.1.3 Main memory controller (MMC)

The MMC is responsible for taking read requests from the two MRCs and write requests from the MWC.

The read requests the MMC receives from the MRCs includes channel, bank, page and cacheline addresses. The request also contains an operation identifier. The write requests from the MWC

includes channel, bank, page and cacheline addresses.

The MMC processes the three requestors providing a small priority to write requests. In addition, the MMC processes all read requests associated with an operation before processing requests from the next operation. This is because memory requests are pre-fetched and memory requests for the next operation will be received before the MRC has streamed data for the previous operation. This avoids the case where a request from the next operation could block a request from the previous operation causing a deadlock.

The MMC does not reorder requests to improve DRAM efficiency. the MMC does keep track of open pages within banks to avoid unnecessary page open and page close commands. It should be noted that refresh has yet to be implemented but this is not anticipated to be a significant impact and will be done in future work.

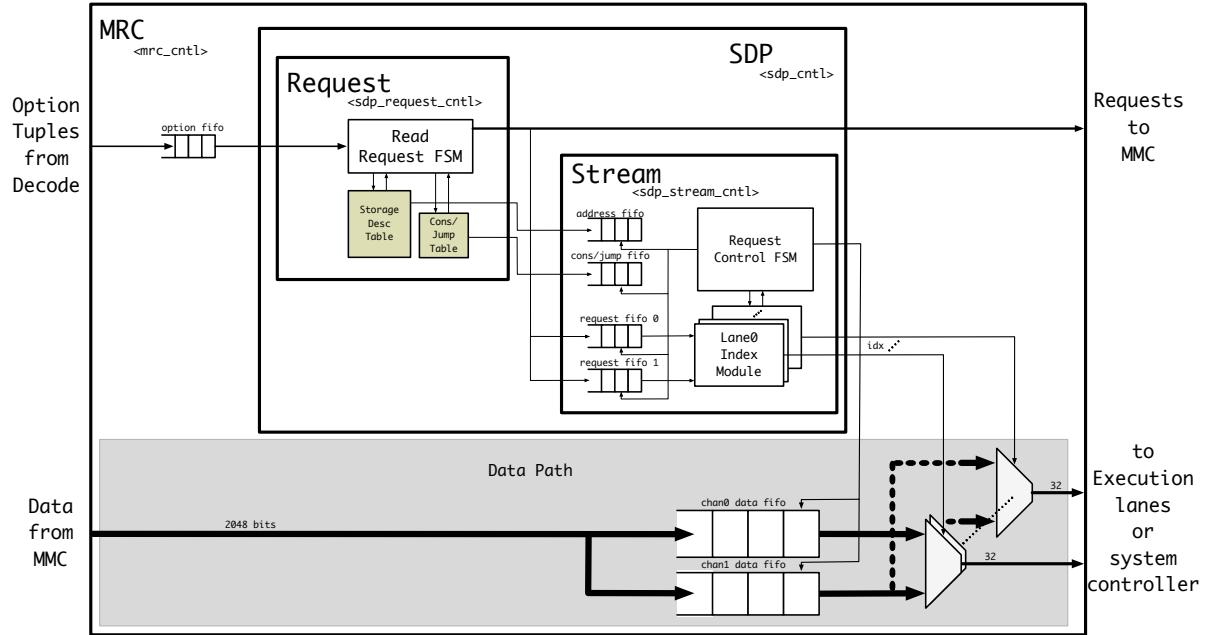
The MMC ensures the DRAM protocol is observed and this was verified using the Tezzaron DiRAM4 verilog models during simulation.

#### 5.1.4 Memory read controller (MRC)

The MRC is provided with multiple option tuples by the decoder block, a storage descriptor pointer, the number of execution lanes, the target for read data and the transfer type. The MRC contains the DRAM read FIFOs described in section 3.4.4 and shown in figure 3.7. A block diagram of the MRC can be seen in figure 5.5.

The MRC is one of the most complicated blocks in the system, it is also the largest but mainly because of the size of the data path FIFOs. There are two MRC blocks instantiated in the manager, one for stream 0 and one for stream 1 in the execution lanes.

The MRC uses the storage descriptor to identify the start address of the data and how the address should be incremented. The storage data processor (SDP) block contains a request block and a stream block. The request block uses the storage descriptor pointer to index into a small memory containing the actual storage descriptor. As described in section 4.1.2.2, the storage descriptor itself contains a



**Figure 5.5** MRC block diagram

start address and a pointer to a table containing consecutive and jump fields. The starting address and consecutive/jump fields allow the request generator to make disjoint memory requests based on the ROI of the data. If the ROI is contiguous in memory, then there is one consecutive field and no jump field.

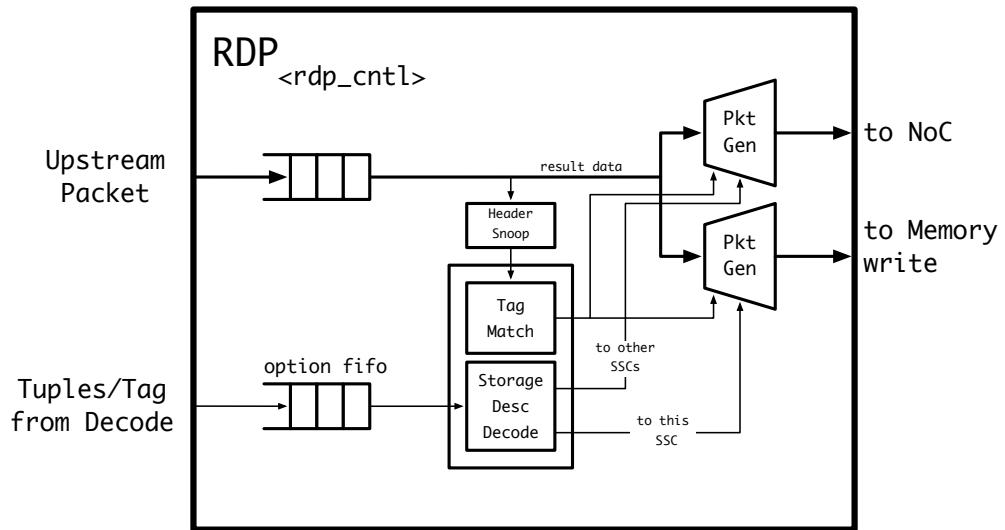
The request block generates memory requests based on the storage descriptor contents and number of lanes and sends the requests to the MMC. The request information is also sent to the stream block. As the request block processes the storage descriptor start address and consecutive/jump fields it also send the information to the stream block.

The stream block is responsible for taking the 2048-bit memory data from the MMC and directing words to each execution lane. As the data is returned from the MMC, it is placed in a channel 0 FIFO and a channel 1 FIFO. The stream block has a per execution lane index module each of which generates an index to the channel and word. The index is used to multiplex the data to the execution lane stream.

The per execution lane index module is required to account for bank and page boundaries in the ROI as described in sections 4.1.2.1 and 4.1.2.2. The lane index module uses the storage descriptor information to generate a memory location address which includes channel, bank, page and word addresses. The location address is then matched to the request at the head of the two request FIFOs, and if a match occurs, the data is passed to the execution lane bus. If there is no match, the index module requests the request and data FIFOs are read. The request control finite-state machine (FSM) will only read the FIFO if all lane index modules make a read request. This is done because as data is stored in memory, if the data crosses a bank, page or cacheline boundary the execution lanes must be allowed to get out of sync.

### 5.1.5 Return data processor (RDP)

The RDP is responsible for taking the result data from the PE and determining which SSC it should be stored (see figure 5.6).



**Figure 5.6** Result data processor

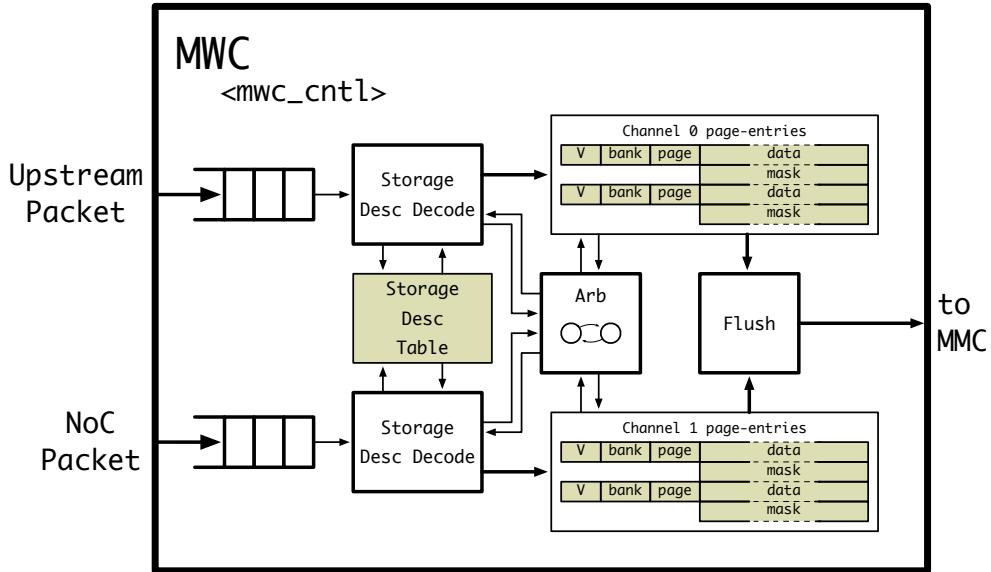
The RDP receives a descriptor from the decoder which includes storage descriptor information and the tag associated with an operation sent to the PE. The information is stored in a FIFO and as data is returned to the manager over the upstream stack bus, the RDP matches the return data tag with the head of the FIFO. Currently the return data is in order but to support an expansive architecture the tag is provided to and checked by the RDP.

When the data is matched to the tag, the RDP examines all the storage descriptor pointers. The pointers include SSC index in the Most Significant Bits (MSBs) and the RDP constructs an SSC bit-field. Once the descriptors have been parsed, if one of the destinations is the local SSC DRAM, the RDP passes the descriptor and data to the system controller which in turn passes it to the MWC. If the destination(s) include other SSCs, the RDP provides the SSC bitfield along with the data to the NoC.

### **5.1.6 Memory write controller (MWC)**

The memory write controller (MWC) receives data from two sources, the NoC via the system controller and the RDP. The MWC uses the storage descriptor provided with the data to identify the write address. The MWC does not store the data immediately, it places the data in a small crude cache which has enough storage for two pages per channel. A block diagram of the MWC can be seen in figure 5.7. As data is received from the RDP or NoC, the addresses are compared to the cache entry and if page address match occurs and the corresponding word is invalid, the data is stored in the cache. If a page miss occurs, the contents of one of the entries is written to memory and the new data stored in the cache.

This crude cache was provided for two reasons, first even though write efficiency was not anticipated to be an issue, as described in section 4.1.2.3, it was anticipated that the addresses from multiple operations may occur in consecutive address and by coalescing data would make writes more efficient. The more important reason was to provide expansibility and by accounting for a small cache future work, such as host data downloads would have less of an impact on logic area.



**Figure 5.7** MWC block diagram

## 5.2 Processing Engine

A block diagram of the PE can be seen in figure 5.8.

### 5.2.1 Configuration

The manager sends configuration information to the PE over the downstream OOB bus. The OOB packet contains option tuples used by the PE controller to configure functions within the PE. The controller extracts the StOp and SIMD operation pointers from the appropriate option tuple value. The StOp pointer is used to point to a local StOp configuration which contains the various configuration data required by the StOp function. The configuration data includes:

- StOp operation type
- Number of active execution lanes
- Source of the argument data, which can be downstream data from the manager or from the

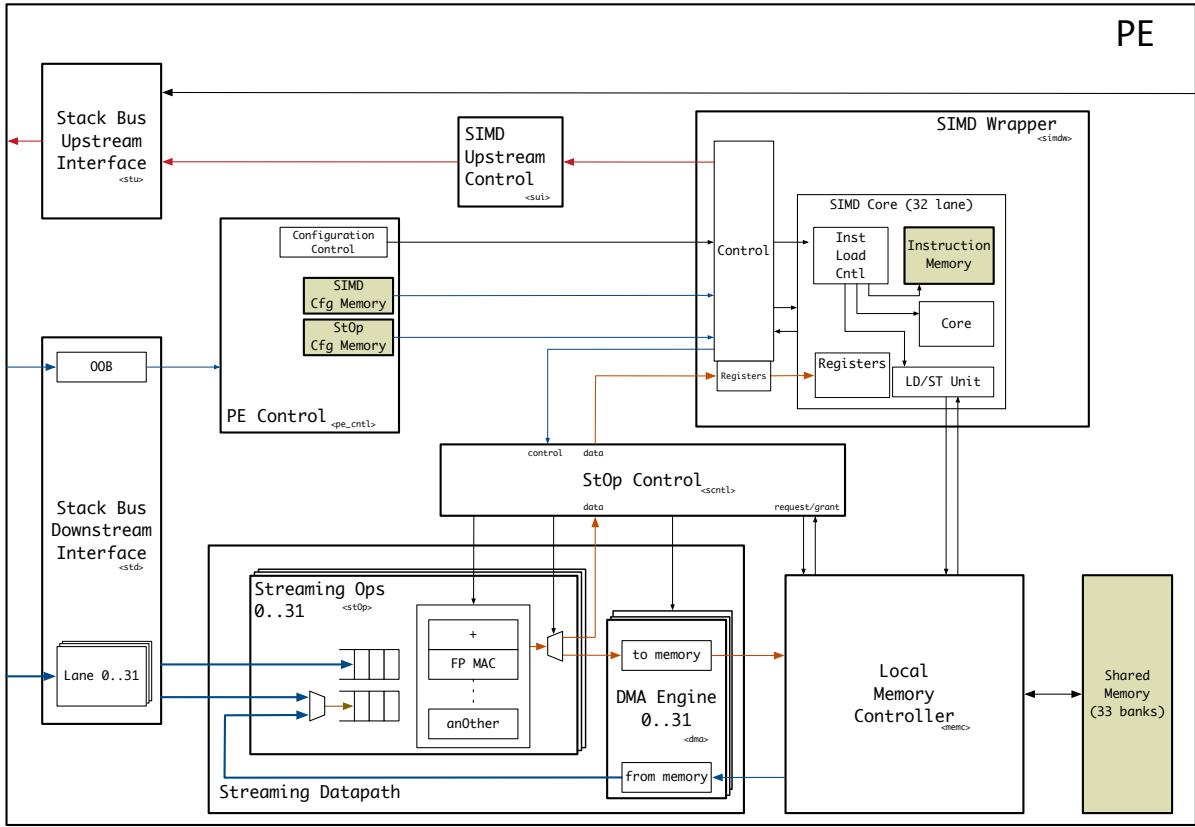
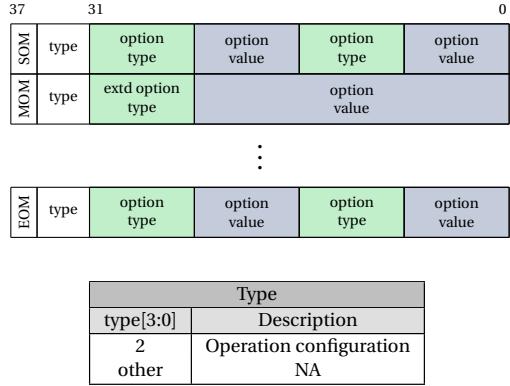


Figure 5.8 PE block diagram

small local SRAM

- Destination of the result data, which can be the SIMD and/or the small local SRAM

Once the information is provided to the StOp block and the pointer provided to the SIMD, the operation is immediately started. Currently only StOp and SIMD pointer option tuples are used. An example of the downstream OOB transactions can be seen in figure 5.9. This example shows both normal and extended option tuples.



**Figure 5.9** Downstream OOB data transactions



**Figure 5.10** Downstream OOB simulation waveform

## 5.2.2 PE Controller

### 5.2.3 Streaming Operations

The streaming Operations are designed to operate on data passed from the manager at or near line-rate. If line-rate cannot be maintained, a flow-control mechanism is employed to slow the data from the manager. Once the StOp has processed the data, it passes the result to the SIMD. Note in some cases the result can be placed in local SRAM or sent to both SRAM and SRAM.

It should also be stated that while the StOp is processing the current data, the SIMD may be operating on the result of the previous operation. It is expected the SIMD will have completed the previous operation before the StOp completes the current operation, but again, if necessary a flow control mechanism between SIMD and StOp will be engaged if the SIMD is not ready.

### **5.2.4 DMA Controller**

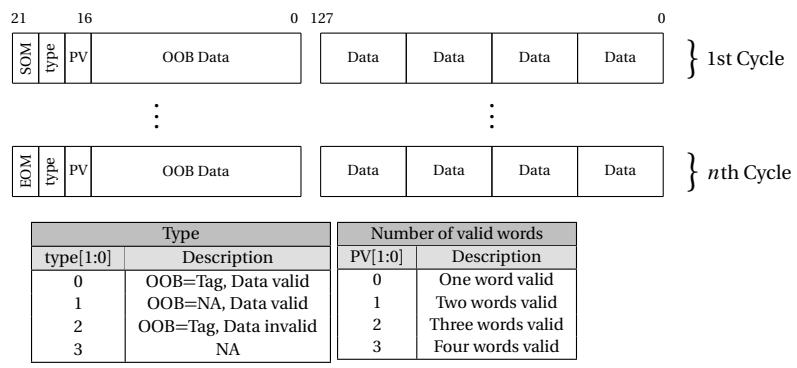
### **5.2.5 Local Memory**

### **5.2.6 SIMD**

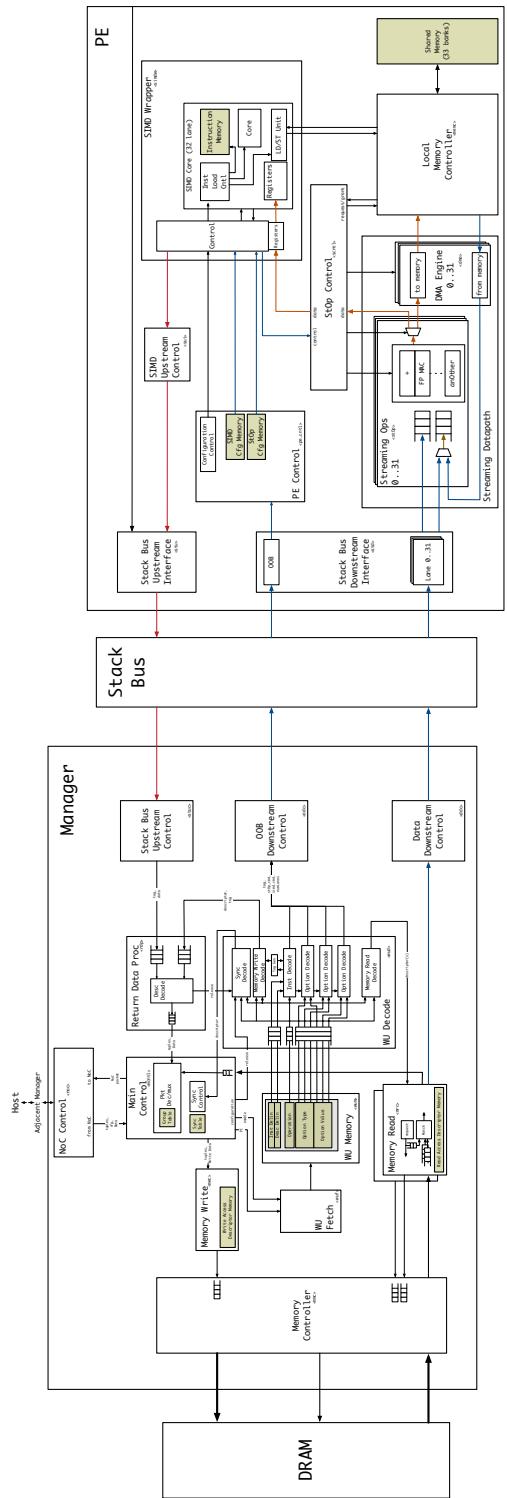
This work does not put a high level of importance on the SIMD as the functionality provided by the SIMD is relatively straightforward. However, it was important to include the SIMD in the area portion of the study. Therefore an actual SIMD was not simulated and the data from the StOp was processed by logic in a SIMD wrapper block that incorporated a dummy SIMD instance. To account for the dummy SIMD instance, in the area layout study a placement blockage was used based 32 lane, 32-bit SIMD from [38]. In practice, the SIMD will take the result data from the StOp and perform the operation starting at the PC indicated by the SIMD operation pointer provided by the PE controller. The SIMD performs the specified operation on the data provided by the StOp which can be passed directly to the SIMD or provided indirectly in SIMD local memory. In most cases, the SIMD operation ANe activation function which in the baseline system is the ReLu function. When the SIMD has completed its operation, it passes the result to the upstream controller to be returned to the manager.

### **5.2.7 Upstream controller**

The upstream controller takes the data from the SIMD and a tag from the PE controller and sends it to the manager. The format of the upstream transactions can be seen in figure 5.11. The upstream packet format accomodates both data and tag to be transmitted or just the tag. The upstream format allows sending tag only is to accomodate a sync flush operation without data being returned to the manager. Currently only the tag and data mode has been implemented.



**Figure 5.11** Upstream data transactions



**Figure 5.12** Sub-System Column (SSC) Block Diagram

## CHAPTER

# 6

## RESULTS

The objectives of this work was to design a system able to accelerate multiple disparate ANNs in embedded systems. Given that these systems cannot effectively utilize SRAM, the main objective was to demonstrate a system that can operate efficiently using 3D-DRAM.

To demonstrate such a system, this work targeted 3DIC technology including 3D-DRAM. This work proposes that if a system can be purely in 3DIC, the system can take advantage of the benefits of 3DIC which includes reduced energy, area and high bandwidth. In addition, this work proposes that given the system is 3DIC, then a customized DRAM would provide a significant bandwidth boost over typical implementations using standard DRAM.

Therefore, the objective of this work is to demonstrate the proposed system can maintain the required data bandwidth all whilst staying within the physical footprint of the 3D-DRAM.

The target technology node was 28 nm, mainly because its the technology node employed for some recent GPUs and other ASICs such as [23]. A full 28 nm technology node was not available to this team because the logic library did not have compiler support for register files. Therefore, the design was synthesized using an available 65 nm technology node, which does have SRAM and register file compiler support and then scaled to 28 nm.

## 6.1 Power and Area Scaling estimates

To obtain scaling numbers, portions of the design were synthesized using the 28 nm library. The area and power results from these synthesis runs are shown in table was used to generate the power and area scaling numbers shown in table 6.2. The final scaling numbers are shown in table 6.1a.

Node	Type	Frequency	Internal	Net switching	Leakage
65 nm	Logic	100 MHz	66.9 mW	1.53 mW	2.02 nW
28 nm	Logic	100 MHz	13.2 mW	1.26 mW	4.9 $\mu$ W

(a) Example logic only design synthesis power

Node	Type	Frequency	Internal	Net switching	Leakage
65 nm	Memory	100 MHz	2.36 mW	0.6 $\mu$ W	5.4 pW
28 nm	Memory	100 MHz	43.8 $\mu$ W	NR	443 $\mu$ W

(b) Example design with memory synthesis power

Node	Type	Area from synthesis	Area from Datasheet
65 nm	Logic	879 593 $\mu$ m <sup>2</sup>	NA
28 nm	Logic	327 822 $\mu$ m <sup>2</sup>	NA
65 nm	Memory	210 230 $\mu$ m <sup>2</sup>	57 014 $\mu$ m <sup>2</sup>
28 nm	Memory	75 605 $\mu$ m <sup>2</sup>	20 281 $\mu$ m <sup>2</sup>

(c) Example design area

**Table 6.2** Example design area and power

Logic Area	Memory Area	Logic power			Memory power		
		Internal	Net switching	Leakage	Internal	Net switching	Leakage
2.68	2.78	5.07	1.21	$4.12 \times 10^{-4}$	5.07 <sup>a</sup>	NA	NA

<sup>a</sup>this number is conservative based on table 6.1b

**Table 6.3** 68 nm to 28 nm scaling numbers

## 6.2 Physical Placement

Based on the DiRAM4 layout shown in figure 3.4, the dimensions of the area available for each SSC is 1470  $\mu\text{m}$  by 1656  $\mu\text{m}$  or approximately 2.43  $\text{mm}^2$ . Using the logic and memory scaling numbers from table 6.3, the effective dimensions at 65 nm is 2431  $\mu\text{m}$  by 2738  $\mu\text{m}$  providing a design area at 65 nm of approximately 6.66  $\text{mm}^2$ .

The area contribution of each block within the Manager and PE can be seen in table 6.4.

The layout utilization for the manager and PE are 81.5 % and 50 % respectively. The utilization suggests the manager is clearly more challenging to place and route. To get a sense of the physical feasibility of the system, both the manager and PE were placed and routed without design rule check (DRC) using Synopsys® IC Compiler™. A route congestion analysis was performed which indicated very few congested areas, which was most likely due to the wide datapath nature of the design. A preliminary place and route for the Manager and PE are shown in figure 6.1. The physical placement and congestion of the manager and PE suggests a relatively low risk of completing a full detailed place and route.

## 6.3 Synthesis

To determine the appropriate frequency scaling between 28 nm and 65 nm, an example logic-only design was synthesized using the 28 nm and 65 nm libraries. In each case, the frequency was increased

**Table 6.4** Area contribution

Block name	Instances	Percentage contribution
Memory Controller	1	20.5 %
NoC	1	6.9 %
Read Control	2	46.8 %
Write Control	1	7.2 %
Instruction Proc	1	1.7 %
Return Data Proc	1	1.6 %
System Controller	1	1.6 %
TSV	NA	6.9 %
Misc	NA	%

(a) Manager

Block name	Instances	Percentage contribution
Operation Decode	1	3.4 %
Return Data Control	1	1.5 %
SIMD Control	1	8.1 %
SIMD	1	19.3 %
Streaming Operations	32	43.3 %
Streaming Op Control	1	2.1 %
Local Memory + Control <sup>a</sup>	1	17.7 %
TSV	NA	4.0 %
Misc	NA	0.5 %

(b) PE

---

<sup>a</sup>A small amount of scratchpad memory was provided between StOps and SIMD but in practice could be much smaller. It is not used in any of the fanin tests.

until negative timing slack was observed. This suggested that to achieve an operating frequency of 500 MHz at 28 nm the design should be synthesized at 65 nm using a frequency of 193 MHz. All blocks in the system were synthesized using a typical library and no blocks had issues synthesizing using the typical library at this relatively low frequency suggesting a target frequency of 500 MHz at 28 nm is relatively low risk.

## 6.4 Logic Verification

The primary control and datapaths of the system have been simulated in a system verilog environment using Mentor Graphics® ModelSim™. To ensure a high bandwidth utilization can be maintained, a group of tests representing convolutional and fully connected layers were simulated. The operations simulated were based on the expected lower and upper limits of pre-synaptic fanin. These testcases were based on layers similar to CONV2 and FC-7 from [27] which represent a pre-synaptic fanin of 225 and 4000 respectively. Additional testcases were employed representing pre-synaptic fanins of 294, 300, 500 and 1000. Both locally connected (CONV) and fully connected (FC) type fanins were tested. To understand the test notation, the tests labelled CONV-500 and FC-500 represent convolutional and fully-connected tests respectively both with a pre-synaptic fanin of 500. The results showing sustained average bandwidth can be seen in table 6.5.

**Table 6.5** Fanin bandwidth tests

Test	Average Bandwidth at frequency	
	500 MHz	700 MHz
CONV2 [27]	~ 22 Tbit/s	~ 30 Tbit/s
CONV-294	~ 23 Tbit/s	~ 31 Tbit/s
CONV-300	~ 25 Tbit/s	~ 34 Tbit/s
CONV-500	~ 26 Tbit/s	~ 38 Tbit/s
CONV-1000	~ 30 Tbit/s	~ 41 Tbit/s
FC-350	~ 26 Tbit/s	~ 36 Tbit/s
FC-500	~ 27 Tbit/s	~ 38 Tbit/s
FC-1000	~ 30 Tbit/s	~ 42 Tbit/s
FC-7 [27]	~ 31 Tbit/s	~ 43 Tbit/s

## 6.5 Power Estimates

To estimate power consumption, the parasitics were extracted from the preliminary layouts and simulated against a representative testcase. The power testcase employed was the CONV2. The simulation generated an activity file which was then used by the Synopsys® Primetime-PX™ power analysis tool to obtain power and bandwidth estimates. The DRAM accesses were captured and DRAM power dissipation calculated from [14]. The power dissipated in the TSVs were estimated from [29]. These estimates were scaled using the scaling numbers from table 6.2 and used to estimate power dissipation for operating frequencies of 500 MHz and 700 MHz using a 28 nm technology node. The estimated overall power along with per block contribution are shown in table 6.6.

**Table 6.6** Power Estimates

Technology node	Clock frequency	Total expected power	Testcase
28 nm	500 MHz	72.5 W	CONV-294
28 nm	700 MHz	96.5 W	CONV-294

(a) Power Dissipation

Block name	Percentage contribution
Manager	61.8 %
PE	33.6 %
DRAM	1.7 %
DRAM TSVs	1.8 %
Stack Bus TSVs	1.1 %

(b) Power Contribution

## 6.6 Summary

The bandwidth performance shown in table 6.5 shows a sustained average bandwidth that exceeds the requirement shown in table 1.2. When using this work in a full system with data transfers between a host and the SSC, there will be idle times but this should have a relatively low impact as it involves mostly input download and result upload. The focus of the verification environment was the ANe processing which involves the most complex operations in the system, including memory management, flow control etc. The BOOTP process was simulated along with host memory upload and download, mainly to ensure the major datapath infrastructure was in place to ensure further features would have minimal impact on the area study. The list of features implemented and verified are shown in table 6.7.

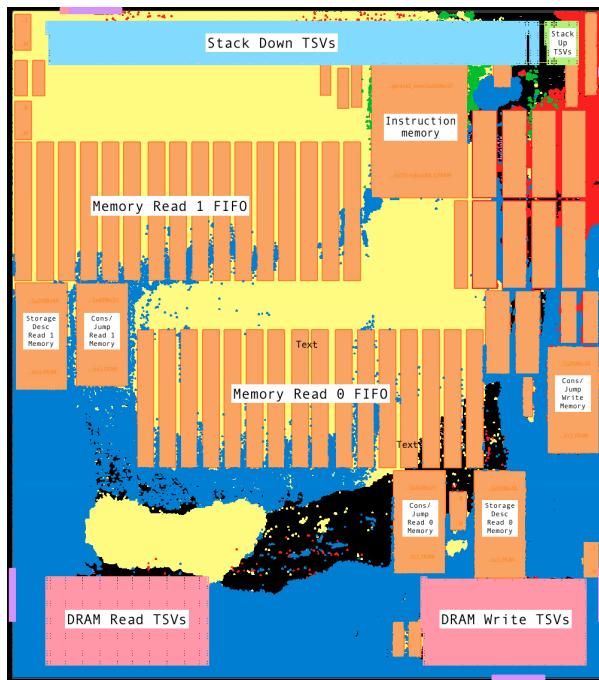
Feature	Limitations	Method	Comment
Major processing data-paths	N	Self checking	Instructions generated using python scripts
Sync Send	Host only	Visual	Instructions manually generated
Sync Wait	Host only	Visual	Instructions manually generated
Memory Upload	Host from DRAM	Visual	Instructions manually generated
Memory Download	Host to DRAM	Visual	Instructions manually generated
BootP	N	Visual	Instructions manually generated

**Table 6.7** Features implemented

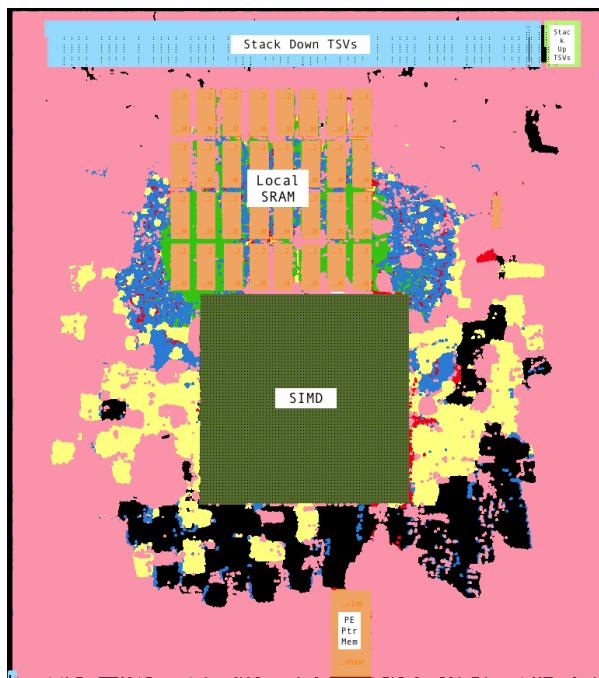
The design has been conservatively coded to ensure there are opportunities for logic reduction. For example, in all the modules FIFOs have been employed at primary interfaces and the depths of those FIFOs are generous to avoid debugging flow control issues rather than debugging the system as a whole. In the design of FSMs, again the number of states has been assigned conservatively. The major interfaces between blocks are all registered but this is considered a requirement when designing

a system of this size. The area scaling numbers employed are within a reasonable range based on [39] and perhaps a little low based on [38]. Therefore the place and route feasibility study suggests that embarking on productizing a system based on this work would be relatively low risk.

The power numbers were higher than expected but the power still within a number that is still considered manageable when the design is run at 500 MHz. The power per unit area of 193 mW and 257 mW at 500 MHz and 700 MHz respectively appears to be a little high especially when compared to the 133 mW at 700 MHz inferred from [1]. There is unlikely opprtunities for clock gating because most of the logic is active during the processing of an ANN.



(a) Manager



(b) PE

**Figure 6.1** Manager and PE Die layouts

## CHAPTER

# 7

## CONCLUSIONS AND FUTURE WORK

### 7.1 Conclusions

There have been many attempts to accelerate ANNs. Many have shown excellent performance mainly when implementing CNNs. The improvement mostly comes from the ability to hold kernel weights and/or ANe states in local SRAM. Another method of employing local memory is often due to pooling of batch requests, especially in server applications. This local storage allows the system to take advantage of the low latency and random access benefits of SRAM whilst performing multiple operations on that data. When considering applications where this local storage cannot be used effectively, all these implementations suffer a degradation in performance.

This work considers embedded applications where a system is processing requests with a dis-

parate set of ANNs. A further assumption is that in embedded applications there are restrictions on power consumption and area. This target application means that local SRAM would not be effective and performance is based on DRAM bandwidth. This work considers Three-Dimensional Integrated Circuit (3DIC) technology and a customized three-dimensional dynamic random-access memory (3D-DRAM) is proposed. The customized 3D-DRAM combined with a design based on custom instructions and operation descriptors allows the this works system to achieve high levels of usable memory bandwidth. There is no doubt existing CNN accelerators that take advantage of batch processing achieve a performance that is difficult to better, but applying these systems to this works target application exposes those systems DRAM bandwidth limitations. This work demonstrates a 3DIC system that at the surface has a relatively low floating point operations per second (FLOPS), but considering the target application is memory bound this work potentially provides a 10-50X improvement over existing ASICs/ASIPs or GPUs.

## 7.2 Future Work

This work focused on providing the infrastructure for an expansive architecture. The design infrastructure implemented was designed to allow additional functionality to be added without a high logic area impact to maintain the validity of the current area study. This work focused on the ANe state calculations and assumed instructions and configuration tables are preloaded. Therefore future work should include adding the data transfer functionality described in 3.

The choice of using binary32 was in some part convenient and half-precision floating-point (binary16) might have been a better choice especially as there is a level of acceptance that lower precision is acceptable in ANN inference. Therefore, further work should include manager and PE changes to support binary16. In the manager, supporting binary16 would require additional muxing logic when directing words in the wide DRAM bus to execution lanes as shown in 5.1.4, but the bulk of the design should remain relatively intact. Supporting binary16 in the PE would be relatively

straighforward.

This work does not put a high level of importance on the PE as the functionality provided by the PE is relatively straightforward and primary emphasis was ensuring the PE fits within the 3DIC footprint. However, there is opportunity to research different PE architectures such as systolic arrays and a more function rich SIMD.

This work focused on providing an array of SSCs to match the array of DRAMs interfaces provided by the DiRAM4, but further research should include ganging DRAM interfaces to a coarser array of SSCs. In practice, this may also be synergistic with alternative PE architectures, such as employing a PE with a large systolic array [1].

The instruction decode logic is currently coded using an FSM, in accordance with creating an expansive architecture it might be a better to use a small processor to decode and control system functions.

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