UDNet: Up-Down Network for Compact and Efficient Feature Representation in Image Super-Resolution
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Abstract
Recently, image super-resolution (SR) using convolutional neural networks (CNNs) have achieved remarkable performance. However, there is a tradeoff between performance and speed of SR, depending on whether feature representation and learning are conducted in high-resolution (HR) or low-resolution (LR) space. Generally, to pursue real-time SR, the number of parameters in CNNs has to be restricted, which results in performance degradation. In this paper, we propose a compact and efficient feature representation for real-time SR, named up-down network (UDNet). Specifically, a novel hourglass-shape structure is introduced by combining transposed convolution and spatial aggregation. This structure enables the network to transfer the feature representations between LR and HR spaces multiple times to learn a better mapping. Comprehensive experiments demonstrate that, compared with existing CNN models, UDNet achieves real-time SR without performance degradation on widely used benchmarks.

1. Introduction
Single image super-resolution (SISR) is a typical inverse problem in low-level image processing, aiming at reconstructing a high-resolution (HR) output from a low-resolution (LR) input. SISR methods can be largely divided into three classes: interpolation based [1, 24], reconstruction based [22, 23], and learning based [5, 6, 7, 13, 14]. Among them, the learning-based methods are widely investigated, which either exploit internal similarities within the same image for self-learning [4, 32] or learn the LR-to-HR mapping from external image patches [18, 27, 29, 30, 31, 33]. As two representatives, Huang et al. [10] utilized the transformed self-similarity to achieve good performance in images with considerable internal patch redundancy, and Dong et al. [5] first trained an end-to-end convolutional neural network (CNN) for external example-based SR with state-of-the-art performance.

Following the seminal work of SRCNN in [5], increasingly more CNN-based methods begin to search for better regression functions in HR space. By introducing the successful deep CNN designed for image recognition (e.g., VGG-Net [21]) into SISR, high reconstruction accuracy has been achieved [13, 14]. In early CNN-based SR models, the LR image is first upsampled to HR space using bicubic interpolation and then the SR operation is performed in HR space. Recently, to accelerate the speed of SR and to avoid the sub-optimal bicubic interpolation, models that reconstruct the HR image directly from the LR image (without bicubic interpolation) become popular. In these models, a single transposed [7] or sub-pixel [20] convolutional layer is adopted as the last layer to transform the LR feature representations into the HR output. Alternatively, Romano et al. [19] decomposed the input image for individual processing and aggregated them into an output image with learned parameters. It notably reduced the computational complexity and can be used on mobile devices.

However, it is still a tradeoff that above models accelerate the speed at the cost of performance degradation. To achieve the real-time speed demanded by practical applications, the number of network parameters has to be reduced to the greatest extent possible. Such restrictions on parameters limit feature representation and learning. Thus, enhancing the efficiency of restricted parameters is important for practical usages. In this paper, we propose a compact and efficient feature representation for real-time SR, named up-down network (UDNet). In our UDNet, a novel hourglass-shape structure is introduced by combining transposed convolution and spatial aggregation. This structure enables the network to transfer the representations between LR and HR spaces multiple times to learn a better mapping. In comparison, existing fast CNN models have at most one transposed or sub-pixel convolution to directly transform LR feature representations to the HR output.

Specifically, we adopt a down-sampling convolutional layer to perform spatial aggregation subsequent to the transposed convolution for upsampling. This structure is named as Up-Down Network (UDNet). By controlling the number of filters in each layer, UDNet realizes a compact and efficient feature representation without additional parameters. Moreover, we investigate a few variants of UDNet for further improved reconstruction accuracy, by expanding it
both in width with more filters and in depth with a cascaded structure. Comprehensive experiments demonstrate the superiority of UDNet over previous CNN models on widely used benchmarks, in terms of either speed or performance. We also evaluate the performance of real-time SR of 720p videos, where UDNet outperforms the competitors by a large margin.

2. Related Work

CNN-Based SISR: SRCNN [5] is the first end-to-end convolutional network for SISR that brings the sparse coding algorithm [33] into a trainable network structure. After that, increasingly more network structures are designed for SISR [6, 7, 13, 14]. Although the detailed implementations of these models are different, they all have the same strategy following SRCNN, which contains three main stages: feature extraction, feature integration, and reconstruction. By focusing on designing various topology structures for better feature integration and reconstruction, CNN-based models for SISR have achieved promising results.

Scheme for Acceleration: To accelerate the inference speed for practical applications, the LR image is directly fed into the network, rather than operating on the bicubic interpolated image in HR space. Therefore, a transposed convolution [34] is mostly employed as the last layer to perform upsampling. Dong et al. proposed the FSRCNN model [7] which is a representative. On the other hand, as a notable alternation of transposed convolution, the sub-pixel convolution proposed in ESPCN [20] shifts pixels in a fixed order to perform upsampling. Due to the non-parametric characteristic, a convolution with a kernel size of $1 \times 1$ is often adopted to adjust the channels of features. Following the scheme for acceleration, we also adopt an LR image as input. With the proposed UDNet, we alleviate the degradation in a large degree without additional parameters.

Deep residual learning: The concept of residual learning, which is first proposed in ResNet [9] for image classification, has been successfully introduced into image SR [13]. By directly adding the bicubic interpolated image to the output of network, it enables the whole network to learn the residual information. Inspired by that, we introduce an identical connection across the whole network to apply the residual learning.

3. Up-Down Network

UDNet is a fully convolutional network with a lightweight structure (as shown in Fig. 1). Let “Conv.” denote the convolutional layer and “$T$.Conv.” denote the transposed convolutional layer. We use three parameters (i.e., kernel size, stride, and the number of filters) to represent each layer in UDNet. Since all of the convolutional layers adopt paddings to keep the boundary from cropping, we omit them for simplifying the expression. Additionally, except for the last layer for residual image reconstruction,
each layer adopts ReLU [17] as the activation function. We divide the components of UDNet into six classes: feature extraction, shrinking, upsampling, expanding, spatial aggregation, and residual reconstruction.

To better clarify the structure of UDNet, we use FSR-CNN [7] for reference. Both of them has a lightweight structure and the number of filters is restricted to control the computational complexity for real-time applications. The main different between them is the implementation of mapping. In FSR-CNN, the same convolutional layers are stacked for mapping in LR space only. While our proposed UDNet transfers the feature representations between LR and HR spaces. We describe the details of implementation as follows.

**Feature extraction and shrinking:** UDNet adopts two convolutional layers to extract features, which is a widely used approach in existing CNN-based SR models [5, 6, 7, 13, 14, 20]. These two layers can be represented as $\text{Conv}(3, 1, n_1)$ and $\text{Conv}(3, 1, n_2)$. To avoid the sub-optimal bicubic interpolation and reduce the computational complexity, UDNet extracts features in LR space directly. The shrinking strategy aims to reduce the dimension of the extracted features and accelerate the speed of subsequent inference.

**Upsampling and expanding:** Most existing fast models (e.g., FSR-CNN [7]) operate the mapping in LR space only and perform upsampling in the last layer with a single transposed convolutional layer. To better model the inverse one-to-many mapping, we introduce another transposed convolutional layer before the final reconstruction to transform the representations from LR space to HR space. The setting of stride is related to the scale factor. For instance, we adopt $\text{Conv}(4, 2, n_3)$ for 2x SR and $\text{Conv}(5, 3, n_3)$ for 3x SR. The expanding strategy is implemented by two convolutional layers which can be represented as $\text{Conv}(3, 1, n_2)$-$\text{Conv}(3, 1, n_3)$. Inspired by [7], it is designed to refine the mapped HR feature representations in the contextual area.

**Spatial aggregation and residual reconstruction:** A single convolutional layer is adopted to learn spatial aggregation (i.e., down-sampling). The value of stride is related to the scale of factor. The residual reconstruction is composed of two parts: bicubic interpolated image and predicted residual image. It not only facilitates the convergence but also prevents the low-frequency context from copying through the entire network.

**Loss function and visualization:** Let $x$ denote the input LR image and $y$ denotes the ground truth. The predicted image is represented as $\hat{x}$, which is the approximation of $y$ (i.e., $\hat{x} \rightarrow y$). Then, the inference can be represented as:

\[ \hat{x} = R_\Theta(x) + B(x). \]  

where $R_\Theta(\cdot)$ stands for the residual output from the network with parameters $\Theta$ and $B(\cdot)$ stands for the bicubic interpolated image. Following the majority of previous works, the loss function chosen for optimizing the parameters is the mean square error (MSE):

\[ \mathcal{L}(\Theta) = \frac{1}{2N} \sum_{i=1}^{N} ||\hat{x}_i - y_i||^2 \]  

where $\Theta$ stands for the parameters in UDNet and $N$ denotes the size of mini-batch for the algorithm of stochastic gradient descent.

To visually understand the feature representations in UDNet, we illustrate the typical feature mappings selected from intermediate layers of UDNet and the predicted image in comparison with the residual image (as shown in Fig. 1).

### 4. Variants of UDNet

In this section, we explore the variants of UDNet in three aspects: increased number of filters, deeper network structures with cascading and the different scale factors.

**UDNet with added filters:** The number of filters is an essential parameter of CNN-based models. Let three variables $n_1$, $n_2$ and $n_3$ denote the number of filters as described in Sec. 3. In UDNet, we set $n_1 = 24$, $n_2 = 12$ and $n_3 = 6$. With additional filters, we design five settings for these variables to explore the expansibility of filters: $n_1 = 32$, $n_1 = 48$, $n_1 = 64$, $n_1 = 80$ and $n_1 = 96$. Corresponding to the setting of $n_1$, $n_2$ is set as $n_1/2$ and $n_3$ is set as $n_1/4$. We name this series of variants as UDNet-$n_1$. The experimental results in Sec. 5.5 show that UDNet can achieve higher reconstruction accuracy by releasing the restriction on parameters.
**UDNet with cascaded structures:** Cascading is widely used in several methods [4, 29] to further enhance the performance. Our proposed UDNet is also suitable for cascading. We design the network based on the UDNet-64 and name this series of variants as UDNet-C_k, where k represents the number of cascaded structures. We illustrate the structure of UDNet-C_1 in Fig. 2 for a better understanding. In contrast to the method proposed in [29], the cascaded structure of UDNet only works at a fixed scale factor.

Meanwhile, with the cascaded structure, the depth of network is increased. It thus results in difficulty in convergence. To make the network converge to a stable equilibrium point, batch normalization (BN) [11] is appended after each layer following [9]. Experimental results demonstrate that the cascaded variants of UDNet achieve state-of-the-art reconstruction accuracy on widely used benchmarks.

**Applying recursion for large scale factors:** Facility of different scale factors is often required in SISR. UDNet supports larger scale factors by setting the value of stride in the transposed convolutional layer. For instance, when the scale factor is 3, we set the stride as 3 correspondingly. However, the dimensionality gap between LR and HR spaces will increase along with the scale factors. Thus, inspired by [29], we apply recursion to UDNet for alleviating this issue. For instance, to scale up the input LR image at a factor of 4, we first pass the input image into UDNet and obtain the HR image with a scale factor of 2 as output. Then, we feed the output image as the input into the same UDNet to obtain the target result. As for the scale factor of 3, we obtain it by down-sampling from the 4x image.

5. Experiments and Results

5.1. Datasets

**Training datasets:** There are four main datasets for training: 91 images from Yang et al. [33], 100 images from “General-100” [7], 200 images from “BSD200” [16], and millions of images from ImageNet. We assume that more training data stands a better probability of achieving state-of-the-art performance. However, various methods have proposed their best results which are trained on different datasets. For eliminating the influence of different training datasets, we train our models on the “General-100” dataset to evaluate the real-time performance following [7] and train on the 291 images (i.e., containing 91 images from [33] and 200 images from [16]) for comparison with state-of-the-art methods following [13]. Moreover, detailed results trained on each dataset can be found in the supplementary document.

As for the implementation, we convert all of the image patches into HDF5 format to adapt for the I/O interface of Caffe [12]. We partition them into the sub-image patches with a size of 96\times96. And we set the number of each mini-batch as 32 for stochastic gradient decent.

**Benchmarks:** Four commonly used datasets, “Set5” [2], “Set14” [35], “BSD100” [16] and “Urban100” [10], are employed as benchmarks for SISR. To evaluate real-time SR in videos, we adopt six 720p videos from Xiph ¹ as the testing dataset.

### 5.2. Settings for Training

We adopt “Adam” [15] as our solver for optimization with $\beta_1 = 0.9$ and $\beta_2 = 0.999$, and the coefficient of weight decay ($l_2$ norm) is set at 0.0001. The global basic learning rate is set at 0.001, and we multiply by 0.1 for biases in each layer in particular. The decay policy of the learning rate follows a polynomial function:

$$ l_b \times (1 - i/N)^p, \quad (3) $$

where $l_b$ stands for the basic learning rate, $i$ denotes the current time of iterations, $N$ denotes the total number of iterations, and we set $p = 1$. We stop the training procedure when no notable improvement can be observed after $1.2 \times 10^6$ iterations. For initialization, we use the method proposed in [8] to initialize the weights and set zeros for the initialization of biases.

### 5.3. Ablation Experiments of UDNet

In this section, we discuss a plain network for comparison with UDNet. We replace the intermediate transposed convolution with a standard convolution of same hyperparameters to derive the plain network (named as PNet). As listed in Table 1, we decompose the overall structure into three stages: feature extraction, feature integration, and reconstruction. The PNet operates the feature integration

¹Xiph.org Video. https://media.xiph.org/video/derf/
in LR space only, which is similar to F SRCNN [7]. While the UDNet transfers the feature representations between LR and HR spaces. We train both of them on the “General-100” dataset following [7] and evaluate the results on the dataset “Set5” [2] at the scale factor of 3 on the uniform test platform. The mean running times are calculated using a single CPU following [20].

5.4. UDNet with Restricted Parameters

Uniform test platform: We establish a uniform platform based on the libraries of MatConvNet2 [28] for evaluating CNN-based models with publicly available implementations. We convert the trained filters of various models into the same format to prevent error in evaluating the running time on different platforms. To measure the running time of each model exactly, we repeat the testing procedure of each model 20 times and report the average running time. For evaluation, we crop the boundary of each image in the benchmarks as the same pixel as the scale factor following the majority of previous works. We calculate the PSNR and SSIM using only the luminance components, following the evaluation platform first established in [25].

<table>
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<tbody>
<tr>
<td>Input</td>
<td>$I_{HR}$</td>
<td>$I_{HR}$</td>
<td>$I_{HR}$</td>
<td>$I_{LR}$</td>
<td>$I_{LR}$</td>
<td>$I_{LR}$</td>
</tr>
<tr>
<td>Stage 1</td>
<td>$C(9,64,1)$</td>
<td>$C(9,64,1)$</td>
<td>$C(5,4,1)$</td>
<td>$C(5,100,4)$</td>
<td>$C(5,64,1)$</td>
<td>$C(5,56,1)$</td>
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<tr>
<td>Stage 2</td>
<td>$C(1,32,64)$</td>
<td>$C(5,32,64)$</td>
<td>$3 \times \text{linear layers}$</td>
<td>$C(3,32,64)$</td>
<td>$4 \times C(3,12,12)$</td>
<td>$C(3,12,6)$</td>
</tr>
<tr>
<td>Stage 3</td>
<td>$C(5,1,32)$</td>
<td>$C(5,1,32)$</td>
<td>$C(1,25,1)$</td>
<td>$C(5,1,25)$</td>
<td>$C(1,56,1)$</td>
<td>$C(1,56,1)$</td>
</tr>
<tr>
<td>Parameters</td>
<td>57,184</td>
<td>57,184</td>
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<td>22,624</td>
<td>12,464</td>
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<tr>
<td>Time (s)</td>
<td>0.2648</td>
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<td>1.1302</td>
<td>0.1016</td>
<td>0.1004</td>
<td>0.1004</td>
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<tr>
<td>PSNR/SSIM</td>
<td>32.75/0.9090</td>
<td>32.75/0.9090</td>
<td>33.10/0.9144</td>
<td>33.01/0.9121</td>
<td>33.16/0.9140</td>
<td>33.27/0.9165</td>
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</table>

Figure 3. Convergence curves of UDNet and its variants. We display the change of mean PSNR on “Set5” at a scale factor of 2.

<table>
<thead>
<tr>
<th>Models</th>
<th>UDNet</th>
<th>UDNet-32</th>
<th>UDNet-48</th>
<th>UDNet-64</th>
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<tr>
<td>PSNR</td>
<td>27.88</td>
<td>27.93</td>
<td>28.02</td>
<td>28.05</td>
</tr>
<tr>
<td>Models</td>
<td>UDNet-80</td>
<td>UDNet-96</td>
<td>UDNet-C 1</td>
<td>UDNet-C 2</td>
</tr>
<tr>
<td>PSNR</td>
<td>28.08</td>
<td>28.07</td>
<td>28.10</td>
<td>28.14</td>
</tr>
</tbody>
</table>

Table 2. Comparisons of mean PSNR (dB) and SSIM between UDNet and existing CNN-based methods. We decompose the overall structure into three stages: feature extraction, feature integration, and reconstruction. The linear layers in CSCN [29] are related to the over-complete dictionary. We train UDNet on the “General-100” dataset following [7] and evaluate the results on the dataset “Set5” [2] at the scale factor of 3 on the uniform test platform. The mean running times are calculated using a single CPU following [20].

Enhancing performance without adding parameters: Let “$C$” denote the convolution and “$TC$” denote the transposed convolution. We use three values inside the brackets to represent the primary variables of convolutional layers (kernel size ($S$), output channels ($C_{out}$), input channels ($C_{in}$)). The number of parameters ($P$) is the product of these three values: $P = S^2 \times C_{out} \times C_{in}$. Although the parameter number is quite essential for measuring the capacity of a model, it cannot exactly represent the computational complexity in practice. Thus, we further evaluate the average running time on the uniform test platform using a single kernel of a general CPU running at 4GHz (as listed in Table 2). We adopt “Set5” [2] as the testing dataset and train our model on the “General-100” dataset following [7].

We list the experimental results of the comparison with several CNN-based models in Table 2. By receiving the LR image $I_{LR}$ directly as input without pre-interpolation, UDNet has a clear advantage in performance compared to previous models. It has neither additional parameters nor an increase in computational complexity.

5.5. Comparison between UDNet and its Variants

Investigation of variants with added parameters: As shown in Fig. 3, UDNet and its variants converge fast and achieve high accuracy after a few iterations. By releasing the restriction on parameters, even better performance is achieved. According to the results shown in Table 3, a moderate number of parameters can help to achieve better performance. However, too many parameters (such as UDNet-96) is not an efficient choice since it may cause redundancy.

2MatConvNet. http://www.vlfeat.org/matconvnet/
in the feature representation.

Cascading – the deeper, the better: The hyperparameters of each layer for cascading are the same as UDNet-64, where $n_1 = 64$, $n_2 = 32$ and $n_3 = 16$. As shown in Fig. 3, it is more difficult for the UDNet-C_k to find a stable way to converge at the beginning of training due to the increase of depth. Along with the gradual reduction of learning rate during training, they have a notable tendency to achieve better performance than the variants with added parameters. This result suggests that by optimizing the policy of learning rate, the reconstruction accuracy of the cascaded variant can be further improved. Moreover, according to the results listed in Table 3, we believe that the deeper the cascaded structure is, the larger improvement can be achieved.

5.6. Comparison with State-of-the-Art Methods

Single image super-resolution: As shown in Table 4, we adopt six representative models for comparison. Among these models, A+ [27] is a representative of traditional SR methods. RAISR [19], ESPCN [20] and FSRCNN [7] are typical models with compact structures for real-time performance. CSCN [29] and VDSR [13] are models with high reconstruction accuracy. The experimental results show that the cascaded variants of UDNet achieve state-of-the-art performance at various scales on four widely used benchmarks. As shown in Table 4, we further evaluate the efficiency of various models considering both performance and running time evaluated using a single GPU 980Ti. Among them, additional models (i.e., DRCN [14], IA [26], ANR [25] and NE+LLE [3]) are adopted for comparison.
Figure 5. Comparisons of the image “barbara” from the “Set14” [35] dataset at a scale factor of 2.

Figure 6. Illustration of the trade-off between accuracy and speed for various models. We evaluate the average running time and mean PSNR on “Set5” at a scale factor of 2. From this figure, we can have the following conclusions. Compared with fast (real-time) SR models, our methods can largely boost the reconstruction accuracy. When compared with SR models which have high reconstruction accuracy, our methods can greatly accelerate the speed without performance degradation.

Also, several examples of visual comparison are presented. As shown in Fig. 4, with the same training dataset, UDNet-C2 has a distinct advantage over VDSR [13] in the areas with streaks. In Fig. 5, previous methods do not perform well in the pinstripe areas, and UDNet-C2 is the only model that reconstructs them with correct directions. More comparisons can be found in the supplementary document.

Toward real-time SR for 720p videos: To evaluate real-time (> 24 FPS) SR in videos, SRCNN [5], FSRCNN [7] and the bicubic interpolation are employed for comparison, as listed in Table 5. We adopt six 720p videos from Xiph database for evaluation. UDNet and UDNet-32 achieve 38.1 and 27.8 FPS on a single GPU 980Ti, respectively. Under the premise of real-time speed for 720p videos, UDNet outperforms the competitors by a large margin.
6. Conclusion

In this paper, we propose a novel Up-Down Network for compact and efficient feature representation in real-time SR. By transferring the feature representations between LR and HR spaces multiple times, UDNet learns a better mapping for this inverse problem. Comprehensive experiments demonstrate the superiority of UDNet and its variants over previous CNN models on widely used benchmarks, in terms of either speed or performance. These results make it a solid step for exploring more efficient feature representation and learning in SISR.

References