

REGULATIONS

GOVERNING SEMI® STANDARDS PROGRAM

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Introduction

The SEMI Standards Program is business-based and independent of national borders. It is designed to facilitate global commercial transactions involving semiconductor-related products and services. Members of this Program are strongly urged to read and follow the SEMI Purpose and SEMI Standards Purpose directly below.

1 Objectives and Policies

1.1 *SEMI Purpose* — Part 2(a) of the SEMI Articles of Incorporation states the purpose of SEMI:

“The specific and primary purpose is to bring all persons connected with the semiconductor industry together to exchange ideas and work jointly toward solving common technical problems; to the improvement and stabilization of standards in the semiconductor industry; to promote and stimulate interest in and the demand for products and services in general of said semiconductor industry.”

1.2 *SEMI Standards Purpose* — SEMI Standards are intended to promote worldwide understanding between users and suppliers based on mutually agreed-upon definitions and product specifications related to the manufacturing of semiconductors and related products as defined in SEMI’s Charter. SEMI Standards are designed to define current practices for and to drive industry improvement in both quality and performance. Further, SEMI Standards are created through developing consensus in the industry and derived from the broadest possible international base, including representatives from all organizations active in semiconductor and related technologies.

1.3 *SEMI Standards Program Purpose* — The SEMI Standards Program (hereinafter referred to as Program) was established by the SEMI Board of Directors in 1973 to create international Standards for use in the manufacture of semiconductors and related products. The Program also supports technical problem-solving by providing a forum for the interchange of information and data about technical trends among suppliers and users.

1.4 *SEMI Standards Regulations Purpose* — The *Regulations: Governing SEMI Standards Program* (hereinafter referred to as the *Regulations*) is established by the authority of the SEMI Articles of Incorporation, Bylaws, and Board of Directors. The purpose is to ensure that SEMI Standards Documents (hereinafter referred to as Standards Documents) are developed under well-defined, consensus-based procedures. The *Regulations* provide rules for membership, organizational structure formation, and the conducting of business, voting, and consideration of objections. They also establish a procedural review process to ensure that the rules have been properly followed and an appeal procedure for use by those who feel that their interests have not been properly considered.

1.5 *Program Policy* — The *Regulations* are intended to promote the following policies regarding the development and use of Standards Documents:

1.5.1 *Open Forum* — Ensure that Program activities are open to all interested parties, including users, suppliers, trade organizations, and government agencies. Provide appropriate forums where suppliers and users from all nations may meet to exchange ideas and information regarding the impact of current and emerging technologies on existing and developing Standards Documents.

1.5.2 *Participation in SEMI Standards Meetings* — To participate in a SEMI Standards meeting, a person must be a SEMI Standards Program Member (see ¶ 2.1).

NOTE 1: SEMI Standards events such as educational programs do not require SEMI Standards Program membership.

1.5.3 *Global Participation* — Increase the global participation in the generation and promotion of Standards Documents, thereby ensuring that SEMI Standards represent an international consensus. Develop and maintain procedures to promote communication and interaction among all levels of the organization and amongst the various geographical areas.

1.5.4 *International Standards* — Strive to establish international Standards that promote equal access to worldwide and regional markets for all participating companies, and cooperate with other standards development organizations (SDOs) where it is mutually advantageous. The structure of the SEMI Standards organization shall reflect this policy. To this end, intensive discussions and negotiations among the Regional Standards Committees (RSC) shall be encouraged in order to resolve differences between geographical areas.

1.5.5 *Publications* — Provide the semiconductor and related industries with timely publication of Standards Documents developed through SEMI. Provide SEMI Members and SEMI Standards Program Members with information about the latest approved Standards Documents and pertinent information on Program activities.

1.5.6 *Restraint of Trade* — Conduct Standards Documents development in strict conformance with legal requirements, particularly those regarding antitrust and restraint of trade issues. There shall be no discussion of pricing, allocation of customers or market areas, marketing and sales policies or strategies, and the like. Participation in the Standards Documents development process with the intention of influencing that process in order to restrain trade or gain unfair competitive advantage is unacceptable and is not permitted.

1.5.7 *Intellectual Property* — Treat intellectual property with respect. Confidential information must not be discussed in a Standards Documents development environment without authorization from its owner. Conformance to § 16 of these *Regulations* regarding patent rights and copyrights is required.

1.5.7.1 The development of standards increasingly anticipates technology rather than following it, leading to unexpected conflicts between standards work and patents. SEMI Standards Program Members must be diligent in informing global technical committees (GTCs) promptly of published patent applications and newly issued patents that relate to those committees' work.

1.5.7.2 Concealing knowledge about an issued patent or published patent application that bears on the use of a Standard is unprofessional and may render the patent unenforceable.

1.5.8 *Policy Regarding Product Interchangeability* — One useful economic benefit of standards is that they limit the proliferation of similar but not identical products. For the purposes of this policy, therefore, interchangeable products are defined as being replaceable by one another without alteration of the product itself, the process being performed, or the system of which they are a part. Such products perform the same function, have the same form (e.g., connections and mounting provisions, software formats), and fit within the same physical space.

1.5.8.1 Interchangeable products may be the subject of only one SEMI Specification Standard (see ¶ 4.2.24.5).

1.5.8.2 Multiple similar but noninterchangeable products may not be included in one SEMI Specification Standard.

1.5.8.3 Requests for exceptions to this policy may be submitted by a TC Chapter, with the subsequent approval of its Global Coordinating Subcommittee (GCS) and its RSC, to the International Standards Committee (ISC).

1.5.9 *Interpretations of Standards Documents* — SEMI shall not, nor shall any person have the authority to, issue an interpretation of Standards Documents in the name of SEMI or any of its related ventures or activities. SEMI accepts no responsibility for such interpretations.

1.5.10 *Metric Policy* — The Système International d'Unités (SI) measurement units are the official units used within Standards or Safety Guidelines, and all numerical values shall be given in such units. Numerical values may also be provided in other units for informational purposes and are not considered binding. Such supplementary information shall be enclosed in parentheses following the SI measure.

1.5.11 *Use of Proper Names and Trademarks* — Names or graphical trademarks of specific companies or commercial organizations may not be included in the text of a Standard or Safety Guideline or in Appendix sections of such Documents. This includes lists of manufacturers or service providers, for example.

1.5.11.1 The use of trademarks in Standards and Safety Guidelines should be avoided. In certain cases, a trademark may be used by complying with the process defined in § 16.4. These cases include:

- a. it is part of a reference or citation to the source of an applicable object within the Standard or Safety Guideline;
- b. it is essential equipment, material, or services necessary to implement or determine compliance to a Standard or Safety Guideline; or
- c. required as a descriptor or in conjunction within other intellectual property with a Standard or Safety Guideline.

1.5.12 *Expenses of Committees* — Expenses for ISC, RSC, or GTC activities will not be assumed by SEMI unless expenditures are previously authorized by SEMI on recommendation of the appropriate committee chair and are within amounts specifically fixed by SEMI.

1.5.12.1 Committees or other bodies within the Program shall not pay salaries or professional fees in any form to any of their officers or members.

1.5.13 *Publicity, News Statements, or Responses to Agencies and Other Organizations* — Items covering the Program and its activities are regularly released by SEMI Headquarters.

1.5.13.1 If publicity releases or other statements are prepared by the ISC, RSCs, or GTCs and their subgroups (e.g., chapters, task forces [TFs]), they shall be cleared through SEMI Headquarters before release. A letter of transmittal shall also be prepared by the SEMI ISC or its chair.

1.5.13.2 Official statements or responses shall have achieved the consensus of the originating group, and the response should so state. The response should begin with a description of the organizational group submitting the response.

1.5.13.3 SEMI Standards Program Members who are representatives of the press shall clear news statements covering Standards Documents or Program activities with the appropriate committee officers and with SEMI Headquarters before publication.

1.6 *Revisions* — The ISC Subcommittee on the Regulations is responsible for developing, maintaining, and revising the *Regulations* (see ¶ 5.5.5).

1.6.1 Any SEMI Standards Program Member, other than a member of the ISC Subcommittee on the Regulations, may suggest revisions of the *Regulations*. SEMI Standards Program Member suggestions for revision, shall first be referred to the responsible RSC. The RSC shall review the suggestions and make recommendations on them. Standards staff shall then forward the suggestions along with the RSC's recommendations to the ISC Subcommittee on the Regulations for consideration.

1.7 *Disclaimer* — References in these *Regulations* to the *Procedure Manual: Detailing SEMI Standards Program Processes and Practices* (hereinafter referred to as the *Procedure Manual*) and to other SEMI guidance publications (e.g., *SEMI Standards Style Manual* [hereinafter referred to as the *Style Manual*]) are intended to supplement the *Regulations* and assist SEMI Standards Program Members and Standards staff in conducting SEMI Standards Program activities. If there is a conflict between the *Regulations* and the *Procedure Manual* or other SEMI guidance publications, the *Regulations* take precedence.

1.8 *Public Distribution* — This *Regulations* is published by Standards HQ staff on the SEMI Standards Web site.

1.9 *Effective Date* — This *Regulations* is effective 30 days after public distribution.

2 Individual Membership

2.1 *Establishment of SEMI Standards Program Membership* — To become a SEMI Standards Program Member (hereinafter referred to as Program Member), a person must complete an application form (available on the SEMI Standards Web site or from Standards staff) and agree to abide by these *Regulations*, particularly in regards to intellectual property. Program membership is available to any interested person without charge and is independent of any other SEMI membership.

2.2 *Global Technical Committee Membership* — GTC membership (hereinafter referred to as GTC membership) is a subset of Program membership and is necessary to properly classify the membership in order to assure that Letter Ballots are correctly issued, tallied, and reported. Formal membership also aids in evaluating the demographics of the member base and if there is balance. A Program Member may request to belong to any number of GTCs as a SEMI Standards GTC Member (hereinafter referred to as TC Member). A TC Member is recognized as being part of the GTC, regardless of whether a chapter of the GTC (hereinafter referred to as TC Chapter) exists within the member's standards Locale. TC Member applications are available on the SEMI Standards Web site.

2.2.1 *GTC Membership Benefits* — A TC Member receives notification of

- Letter Ballots available for voting,
- TC Chapter meetings in all Locales,
- issuance of TC Chapter meeting minutes for all Locales,

and is eligible to serve in leadership positions as defined in these *Regulations* for the GTC(s) to which the person belongs.

2.2.2 *TC Member Voting Requirement* — A TC Member is required to vote on all ballots issued by each GTC to which the person belongs.

2.3 *Termination of Program Membership* — Program membership is terminated by one or more of the following:

- a. Resignation

b. Change of Employer

2.3.1 Reinstatement of Program membership after a change of employment is automatic on SEMI's receipt of a new completed application form.

2.4 *Reinstatement of GTC Membership* — After reinstatement of Program membership, GTC membership is automatically reinstated as long as the updated interest category of the person does not violate the conditions of committee balance detailed in § 3.

2.5 *Termination of GTC Membership* — GTC membership is automatically terminated if a TC Member fails to submit Votes in three successive voting cycles in which ballots are issued by the GTC.

NOTE 2: Informational ballots, as defined in the *Procedure Manual*, are issued by a TF, not by a GTC.

2.5.1 *Reapplication for GTC Membership* — A Program Member, who has lost his/her GTC membership per ¶ 2.5, shall not be allowed to reinstate his/her GTC membership for a period of one year.

NOTE 3: Loss of GTC membership does not automatically result in the loss of Program membership. A Program Member may still vote on any Letter Ballot and participate and vote in TC Chapter meetings. Loss of GTC membership does result in the loss of benefits of GTC membership as defined in ¶ 2.2.1.

3 Voting Interests and Balance of Global Technical Committees

3.1 *Objectives* — Commercial interests are involved in SDOs. The preferred Program approach is to balance competing interests by forming GTCs consisting of TC Members of at least three Voting Interests that are direct suppliers and TC Members from a minimum total of four Voting Interests that are from the indirect supplier, end user, special interest, consultant, or general interest categories.

3.2 Voting Interests

3.2.1 *Voting Interest, n.* — A parent organization and all of its affiliates worldwide constitute a single Voting Interest, independent of whether or not they have a SEMI membership. A parent organization includes a business entity, an academic institution, a governmental organization, a consortium, another SDO, or an unaffiliated individual.

3.2.1.1 An 'affiliate' of a parent organization is any other entity that (1) is majority-owned or controlled by the parent organization or (2) is under common majority ownership or control of the parent organization.¹

3.2.2 *Recording of Voting Interests* — Standards staff maintains a list of Voting Interests for use in tallying Letter Ballots and Ratification Ballots, as well as for determining if the approval conditions of § 9.7 and § 10.5.2 are met as required.

3.2.3 *Corrections* — Any Program Member who feels that an error has been made in identifying Voting Interests under the procedures of this section should negotiate with Standards staff, as appropriate.

3.3 *Interest Categories of TC Members* — A TC Member is assigned one of the following categories in accordance with his/her employer's interest category. The interest categories for employers are:

3.3.1 *Direct Supplier* — A TC Member who represents a business entity that supplies materials, products, or systems used directly for the manufacturing of semiconductor devices and similar products (e.g., flat panel displays [FPD], micro electro-mechanical systems [MEMS] devices), and commonly is responsible for the system as a whole. An equipment or material supplier company that commonly supplies the above items primarily to direct suppliers shall be classified as an indirect supplier, as defined below.

3.3.2 *Indirect Supplier* — A TC Member who represents a business entity that primarily supplies materials, products, or systems for use in, or incorporation into, the materials, products, or systems of a direct supplier.

NOTE 4: Suppliers of products that are incorporated into manufacturing equipment are not direct suppliers even if such products may directly be purchased by ultimate users. Typical examples would be statistical analysis software, load port, dry pumps, and material-handling robots.

¹ 'Majority-owned' or 'majority ownership' means the parent organization holds more than 50% of the voting equity securities of another business entity. 'Control' may include a variety of factors that give the parent organization the right, regardless of whether such right is ever exercised, to materially influence or direct management policies or decisions of another entity.

3.3.3 *End User* — A TC Member who represents a business entity that designs or manufactures semiconductor devices and similar products (e.g., FPDs, MEMS devices).

3.3.4 *Consultant* — A TC Member (such as a consulting chemist/engineer or an employee of a consulting firm) who, for pay, advises others but is not their employee.

3.3.5 *Service Provider/Special Interest* — A TC Member who does not fit any of the preceding interest categories but represents one or more entities having a direct financial interest in the decisions of the Program, such as legal advisors, insurance companies, testing services, product evaluators, authorities having jurisdiction (AHJ), and semiconductor industry associations.

3.3.6 *General Interest* — A TC Member of academia, government, other SDOs, noncommercial enterprises, and other entities who do not fit into any of the preceding categories.

3.4 *Change in Interest Category* — A substantial change in a company's business focus may change a TC Member's interest category. Any such change must be reported to the local SEMI Standards Office promptly.

3.5 *Balance of Global Technical Committees* — A GTC's membership is considered balanced if the following requirements are met. The number of persons having GTC membership and employment by the same company is not limited.

3.5.1 Having no direct supplier TC Members is not acceptable.

3.5.1.1 The number of Voting Interests that are direct suppliers shall not be less than 50% of the number of Voting Interests that are indirect suppliers.

3.5.1.2 No single interest category may constitute more than 50% of Voting Interests to which TC Members belong.

3.5.2 Balance in GTCs dealing with Safety Guidelines additionally requires that no interest category constitutes more than one-third of Voting Interests to which TC Members belong.

3.5.3 A new TC Member may be accepted on a GTC if this does not place any interest category out of balance. If that is not possible, the applicant shall remain a Program Member until such time as he/she may be granted GTC membership. GTC membership shall be offered in the date order in which GTC membership applications were received.

3.5.4 If any interest category is out of balance within a specific GTC, Standards staff shall act to increase GTC membership in the necessary interest category(s) to regain balance. If a GTC is out of balance for longer than 30 days, Standards staff shall offer the TC Members in that interest category the option of Program membership to restore balance or to give reason to be reclassified into another interest category. If this does not bring that interest category into balance, a sufficient number of the most recently accepted TC Members of that interest category shall be requested to accept Program membership to achieve balance.

4 Standards Documents

4.1 *Standards Documents* — The SEMI Standards organization publishes Standards, Safety Guidelines, and other Standards Documents that are distinguished by their purpose, their completeness, the required level of consensus, or other attributes as defined in this section.

4.2 *Terminology* — Certain common English words have specific meanings in the context of Program activities. These meanings are defined below in logical, not alphabetical, order.

4.2.1 *Document, n.* — A generic term applied to any written work of the Program, whether published or not.

4.2.2 *Type, n.* — A term describing the three principal kinds of Documents (i.e., Auxiliary Information, Standard, and Safety Guideline) that are produced by the Program process.

4.2.3 *Auxiliary Information, n.* — A Type of Document that is independently published, not a part of a Standard or Safety Guideline, containing illustrative, explanatory, or supporting material (e.g., application information, examples) that has been developed according to these *Regulations* for publication by the SEMI Standards organization. Auxiliary Information is a category of Supplementary Material.

4.2.4 *Standard, (1) n.* — A Type of Document that has received one of two specified degrees of approval as required in these *Regulations* (see §§ 9, 10, 11, 13, and 16). *(2) n.* — when used without a modifier, a Type of Document

developed within the consensus principles of SEMI as a Full-consensus Standard as defined in these *Regulations*.
(3) *adj.* — A modifier preceding nouns describing the various Subtypes of SEMI Standards.

4.2.4.1 *Discussion* — SEMI may, if it has the legal right to do so, publish a Standard developed and accepted by another SDO. In such cases, a Notice shall be placed prominently on the title page describing the circumstances of publication and that the approval procedures used by the originating SDO are not necessarily those required by these *Regulations*.

4.2.5 *Safety Guideline, n.* — A Type of Document that is advisory in nature and meets all of the requirements for approval for a Standard (see §§ 9, 10, 11, and 16) as well as the additional requirements of § 15.

4.2.5.1 *Discussion* — For a Safety Guideline that also includes environmental- and health-related content, an alternate Type of Document name of Environmental, Health, and Safety Guideline is allowed and may be used in its title. The term Safety Guideline is used throughout the *Regulations*, *Procedure Manual*, and *Style Manual* to mean both names for this Type of Document.

4.2.6 *Complementary File, n.* — Official content required for using a Standard or Safety Guideline (e.g., extensible markup language [XML] schema files) that is a part of that Document, but is published separately and in a different file format (i.e., not .pdf).

4.2.6.1 *Discussion* — A Complementary File is an official part of the Standard or Safety Guideline with which it is associated and is balloted and approved with that Document.

4.2.7 *Appendix, n.* — Official material required for using a Standard or Safety Guideline, published as a separate and distinct section within that Document.

4.2.7.1 *Discussion* — An Appendix is an official part of the Standard or Safety Guideline in which it appears and is balloted and approved with that Document.

4.2.8 *Related Information, n.* — A category of Supplementary Material that is not required for using the Standard or Safety Guideline and is published as a separate and distinct section within that Document.

4.2.8.1 *Discussion* — Related Information is not an official part of the Standard or Safety Guideline in which it is published.

4.2.9 *Supplementary Material, n.* — A term describing the three categories of Documents or portion of a Document (i.e., Related Information, Various Materials, Auxiliary Information) that are produced by the Program process but are not official content.

4.2.10 *Various Materials, n.* — A category of Supplementary Material that is published separately from and is a part of a Standard or Safety Guideline, containing supporting material (e.g., Excel files that include macros) that cannot be published in the same format as the rest of the Document and has been developed according to these *Regulations* for publication by the SEMI Standards organization.

4.2.11 *Primary Standard, n.* — A Standard that includes one or more Subordinate Standards, and common concepts or criteria that are relied upon by its Subordinate Standards.

4.2.12 *Subordinate Standard, n.* — A term characterizing one or more Standards depending on another Standard (i.e., the Primary Standard), which provides the common criteria for the Subordinate Standard(s).

4.2.12.1 *Discussion* — Subordinate Standards should only be used if there is no other way to present the information clearly or when it is necessary to address multiple similar, but noninterchangeable, options for a technical aspect of a product or method. Refer to *Procedure Manual* § 3.7 for the details.

4.2.13 *State, adj.* — A term characterizing Standards Documents according to their completeness and required level of consensus. Recognized State names are: Draft, Preliminary, and Full-consensus.

4.2.13.1 *Discussion* — A Standard usually passes through at least some of the following States over time: Draft, Preliminary Standard, and Full-consensus Standard. The Preliminary State is not available for use with Safety Guidelines.

4.2.14 *Draft, (1) adj.* — A State of a Standards Document intended for publication by the SEMI Standards organization that has not yet been approved to be published. (2) *n.* — A Standards Document in Draft State.

4.2.14.1 *Discussion* — Drafts may not be released for use outside the Program without approval of the ISC or its chair, except that Drafts may be sent to cooperating standards committees outside SEMI (e.g., ASTM International [ASTM], Japan Electronics and Information Technology Industries Association [JEITA], Deutsches Institut für Normung [DIN]) for information or comment with the approval of a chair for the Originating TC Chapter (see ¶ 9.1.3).

4.2.15 *Preliminary, adj.* — A State of a Standard that has been approved by a single TC Chapter for temporary publication for information and comment for further development prior to issuing a Letter Ballot for its approval as a Full-consensus Standard.

4.2.15.1 *Discussion* — A Preliminary Standard (see § 13) is a Standard that is required urgently by the industry and therefore cannot wait the usual time necessary for Letter Ballot procedures prior to publication. A Preliminary Standard is not intended to serve in the place of a Full-consensus Standard. This is the reason a Preliminary Standard has only a two-year publication period. TC Chapters are encouraged to proceed with the letter balloting process simultaneously with the action to approve a Preliminary Standard or as soon as possible thereafter.

NOTE 5: Following the scope section of a Preliminary Standard, a Notice shall contain a statement describing the limited status of the Standard, the approval means, and its date of expiration. It shall also request suggestions for improvements, to be submitted by a specified date.

4.2.16 *Full-consensus, adj.* — A State of a Standard or Safety Guideline that has been approved for publication by formal agreement of a GTC through the issue of a Letter Ballot.

4.2.17 *Status, n.* — A term characterizing a Standard or Safety Guideline according to its availability, possibility of changing Status, and level of GTC support. Once a Standard or Safety Guideline has been published, there are six Statuses. These are: Current, Inactive, Replaced, Superseded, Withdrawn, and Removed. A Preliminary Standard cannot receive Inactive, Replaced, Superseded, or Withdrawn Status.

4.2.18 *Current, adj.* — Status of a Standard or Safety Guideline that is supported by a GTC.

4.2.18.1 *Discussion* — A Standard or Safety Guideline is ‘supported’ by a GTC when:

- within five years of the latest publication or reapproval date, its Status has not been changed to Replaced, Withdrawn, Superseded, or Removed;
- by the end of the fifth year after the latest publication or reapproval date, action has been taken to reapprove, revise, or replace the Standard or Safety Guideline (see ¶ 8.9.1);
- by the end of the sixth year after the latest publication or reapproval date, the Standard or Safety Guideline has been reapproved; or
- in the sixth and following years after the latest publication or reapproval date, a TC Chapter has issued replacement or revision Letter Ballots each year (see ¶ 8.9.1.2) or otherwise reviews the TF’s progress report and finds the activity to be continued at every meeting held by the TC Chapter having primary responsibility for the Standard or Safety Guideline.

4.2.19 *Inactive, adj.* — Status of a Standard or Safety Guideline that is not currently supported by the GTC.

4.2.19.1 Inactive Standards and Inactive Safety Guidelines are still available from SEMI.

NOTE 6: Inactive Standards and Inactive Safety Guidelines will receive an ‘INACTIVE’ watermark and Notice, but will still be available in the ‘Current Standards’ section of the SEMI Standards Web site.

4.2.19.2 *Discussion* — The Status of a Standard or Safety Guideline becomes Inactive when no reapproval, revision, or replacement action is taken by the originating GTC by the end of the fifth year after the latest publication or reapproval date (see § 8.9.1) or that GTC has been dissolved (see § 6.6). The Status of a Standard or Safety Guideline also becomes Inactive when the originating GTC’s chosen action results in either:

- failure to achieve reapproval by the end of the sixth year after the latest publication or reapproval date (see ¶ 8.9.1.1); or
- following the beginning of the sixth year after the latest publication or reapproval date until successful revision, replacement, or no Letter Ballot issuance for such action at least once per year (see ¶ 8.9.1.2).

4.2.19.3 *Reinstatement of Inactive Standard or Safety Guideline* — An Originating TC Chapter that was previously responsible for an Inactive Standard or Safety Guideline may issue a Letter Ballot to reinstate the Inactive Standard

or Safety Guideline to Current Status. If such a Letter Ballot is approved by the GTC per § 9.7 and passed ISC Subcommittee on Audits and Reviews (ISC A&R SC) procedural review (hereinafter referred to as procedural review), the Standard or Safety Guideline is published as a Current Standard or Safety Guideline.

4.2.19.4 *Revision or Replacement of Inactive Standard or Safety Guideline* — An Originating TC Chapter responsible for an Inactive Standard or Safety Guideline may choose to revise or replace the Inactive Standard or Safety Guideline. If such action is successful, the Status of the previously Inactive Standard or Safety Guidelines will change to Superseded or Replaced.

4.2.20 *Replaced, adj.* — Status of a Standard or Safety Guideline that has been discontinued in favor of a new Standard or Safety Guideline bearing a different designation.

4.2.20.1 *Discussion* — The transition to a Replaced Standard or Safety Guideline will occur automatically upon publication of the new Standard or Safety Guideline. A Replaced Standard or Safety Guideline may still be purchased from SEMI and used in commerce of older generation products.

NOTE 7: Replaced Standards and Safety Guidelines will receive a ‘Replaced’ watermark and be available in the ‘Replaced Standards’ section of the SEMI Standards Web site. A notice will also be added to the SEMI Standards Web site explaining that it has been replaced.

4.2.21 *Superseded, adj.* — Status of a Standard or Safety Guideline that has been replaced by a newer version of the Standard or Safety Guideline bearing the same designation number but a newer date.

4.2.21.1 *Discussion* — The transition to a Superseded Standard or Safety Guideline will occur automatically upon publication of the newer version. A Superseded Standard or Safety Guideline may still be purchased from SEMI and used in commerce of older generation products.

NOTE 8: Superseded Standards and Safety Guidelines will receive a ‘Superseded’ watermark and be available in the ‘Superseded Standards’ section of the SEMI Standards Web site.

4.2.22 *Withdrawn, adj.* — Status of a Standard or Safety Guideline that has been discontinued and had its designation number retired.

4.2.22.1 *Discussion* — A Standard or Safety Guideline may be withdrawn by Letter Ballot if it has been found by the GTC to be technically defective or obsolete. Although a Withdrawn Standard or Safety Guideline will be kept available, it is not recommended to use these Standards or Safety Guidelines, even in commerce of older generation products.

NOTE 9: Once a Standard or Safety Guideline has been changed to Withdrawn Status, it may not be returned to Current Status. A Withdrawn Standard or Safety Guideline will retain its last published designation number and a designation date indicating the year and month it was changed to Withdrawn Status; and also receives a Notice describing the year of withdrawal. Withdrawn Standards and Safety Guidelines will be available in the ‘Withdrawn Standards’ section of the SEMI Standards Web site.

4.2.23 *Removed, adj.* — A Status of a Standard or Safety Guideline that is no longer available from SEMI due to a technical flaw or legal issues.

4.2.23.1 *Discussion* — A Standard or Safety Guideline may be removed by SEMI when it can cause intellectual property issues. A Standard or Safety Guideline may also be removed by Letter Ballot if it has been found by the GTC to be technically defective and to pose a significant risk for Standards Documents users. It shall not be used in commerce or available from SEMI.

4.2.24 *Subtype, n.* — A term defining specific varieties of Standards; for example, Classification, Guide, Miscellaneous, Practice, Specification, Terminology, or Test Method.

4.2.24.1 *Classification, n.* — A Subtype of Standard that defines a systematic arrangement or division of materials, products, systems, or services into groups based on similar characteristics such as origin, composition, properties, or use.

4.2.24.2 *Guide, n.* — A Subtype of Standard providing a series of options or instructions intended to increase the awareness of the user to available techniques in a given subject area and to provide information from which subsequent evaluations and standardization can be derived. Guides may or may not suggest a particular course of action.

4.2.24.3 *Miscellaneous, n.* — Other Subtypes of Standards, such as definitions (of complex concepts), formats, matrices, charts, tables, and reference photographs, which are relatively few and are self-explanatory. Use of such Subtypes of Standards should be decided upon by the Originating TC Chapter with approval from its GCS.

4.2.24.4 *Practice, n.* — A Subtype of Standard providing a definitive procedure for performing one or more specific operations or functions that does not produce a test result. (Compare to Test Method.)

4.2.24.5 *Specification, n.* — A Subtype of Standard providing a set of requirements that must be satisfied by a material, product, system, or service. A Specification must indicate the procedures used to determine whether each of the requirements is satisfied.

4.2.24.6 *Terminology, n.* — A Subtype of Standard comprising definitions of terms, explanations of symbols, abbreviations, or acronyms.

4.2.24.7 *Test Method, n.* — A Subtype of Standard providing a definitive procedure for the identification, measurement, and evaluation of one or more qualities, characteristics, or properties of a material, product, system, or service that produces a test result. (Compare to Practice.)

4.3 *Using Copyrighted Material in Standards Documents* — Inclusion of copyrighted text, figures, or other material in any Standards Document described in this section is allowed only if a copyright release has been obtained from the owner of the copyright. Further information on intellectual property matters is given in § 16 of these *Regulations*.

4.4 *Publications* — SEMI publishes SEMI International Standards, which contains all of the Standards, Preliminary Standards, and Safety Guidelines approved according to these *Regulations*. SEMI also publishes all Auxiliary Information approved for publication according to these *Regulations* separately from the SEMI International Standards.

4.5 *Official Language* — English is the official language of all Standards Documents that are approved through the consensus procedures detailed within these *Regulations*. These Standards Documents may from time to time be translated into other languages as a convenience. Translations are inevitably inaccurate due to differing vocabulary and grammar between languages. For this reason, if differences should exist between the English version of a Standards Document and a version in any other language, the English text is the authoritative version.

4.5.1 *Translation Notice* — Any Standards Document that has been translated into a language other than English must contain a heading in English and in the language of the translation stating that the translated copy of the Standards Document is a REFERENCE COPY ONLY and that the English original is the official, authoritative version.

4.6 *Required End Notice* — Every Standard or Safety Guideline produced under these *Regulations* and published by the Program shall include a Notice at the end of it, unless the Notice of ¶ 16.3.5.2 or ¶ 16.4.6 is required to be used instead.

5 SEMI Standards Organization, Management, and Functions

5.1 *General* — Overall management of the Program is the responsibility of the ISC. Technical development of Standards Documents is done by GTCs. An RSC provides administrative oversight for the Program activities in a Region and other Locales as appropriate. The purpose, membership, and functions of each of these groups are defined in this section.

5.2 *Terminology*

5.2.1 *Locale* — A geographical area authorized to have Program activity.

5.2.2 *Region* — A Locale having a Regional Standards Committee.

5.3 *Limitation of Number of Members*

5.3.1 *Administrative Committees* — The number of members on administrative committees and subcommittees is limited. Members of the Board of Directors assigned to such committees serve at the pleasure of the Board.

5.3.2 *Technical Committees* — There is no limitation on the number of participants on a GTC, TC Chapter, subcommittee, or TF. However, per § 1.5.2, participants must be Program Members. Official membership lists of each GTC and subordinate units (see ¶ 5.7.3) established by the GTC and its TC Chapters must be maintained at SEMI Headquarters and at appropriate regional offices.

5.4 *Authority* — The SEMI Board of Directors is authorized to appoint Board Members to oversee the Program by Article 5 of the SEMI Bylaws, which states (in part):

“5. EXECUTIVE COMMITTEE AND OTHER COMMITTEES

“5.1 The Board of Directors may ... create such committees, each consisting of two (2) or more directors appointed by the Board, as it may from time to time deem advisable to perform such general or special duties as may from time to time be delegated to any such committee by the Board of Directors ...”

By this authority, the SEMI Board of Directors has established a Standards Committee, composed of SEMI Board Members appointed by the Board. This is an administrative committee, closed to all but the SEMI Board of Directors.

5.5 *International Standards Committee (ISC)*

5.5.1 *Purpose* — The ISC is an administrative committee and functions as the principal policy-making body of the Program, subject only to the approval of the SEMI Board of Directors. It serves as a resource for, and provides advice, counsel, and oversight to, the RSCs; promotes interregional balance and coordination; adjudicates interregional differences; and is the communication channel between the Program and the SEMI Board of Directors. The ISC assists the Board of Directors Standards Committee in overseeing the costs of the Program.

5.5.2 *Membership* — The ISC shall be composed of:

5.5.2.1 The members of the SEMI Board of Directors Standards Committee.

5.5.2.1.1 One of these members is appointed chair (voting) of the ISC by the SEMI Board of Directors.

5.5.2.1.2 One SEMI Board of Directors Standards Committee Member per each Region is selected as a voting member.

5.5.2.1.3 The remaining members of the Board of Directors Standards Committee serve as nonvoting members.

5.5.2.2 The senior staff member (nonvoting cochair) of the Program;

5.5.2.3 Two cochairs (voting) of each RSC;

5.5.2.3.1 An RSC cochair may delegate an RSC vice-chair (see § 5.6.2.2.1) to attend and vote in an ISC business meeting if he/she cannot attend.

5.5.2.4 One member from a Locale without an RSC.

5.5.2.4.1 If a Locale without an RSC has up to three TC Chapters, the chairs of those chapters may recommend a candidate from among themselves to become an ISC member (nonvoting). The ISC chair may appoint the candidate as a member of the ISC.

5.5.2.4.2 If a Locale without an RSC has more than three TC Chapters, the chairs of those TC Chapters may elect an ISC member (voting) from among themselves.

5.5.2.5 Members-at-large (voting) as needed, but no more than one per Region, to be appointed to a two-year term by the ISC chair;

5.5.2.6 Liaison members (nonvoting) as needed, to be appointed by the ISC chair;

5.5.2.7 Advisors (nonvoting) as needed, to be appointed to a two-year term by the ISC chair;

5.5.2.8 Chairs of subcommittees (voting) of the ISC, appointed by the ISC chair; and

5.5.2.9 Recording secretary (nonvoting).

5.5.3 *Functions* — The ISC has the following functions:

5.5.3.1 Develops and maintains the *Regulations*. This function is delegated to the ISC Subcommittee on the Regulations.

5.5.3.2 Approves the revisions of these *Regulations* as presented by the ISC Subcommittee on the Regulations.

5.5.3.3 Serves a judicial function for SEMI in the interpretation and enforcement of these *Regulations*.

- 5.5.3.4 Recommends policies regarding the conduct of the Program to the Board of Directors.
- 5.5.3.5 Recommends establishment of RSCs to the Board of Directors.
- 5.5.3.6 Approves the selection and appointment of chairs of RSCs.
- 5.5.3.7 Oversees Program coordination among geographical areas.
- 5.5.3.8 May grant permission to publish Standards or Safety Guidelines when justified on technical grounds, if the holder of the potentially material patented technology or owner of the copyrighted items does not provide a statement, as defined in § 16, regarding the availability of the included intellectual property on nondiscriminatory terms. This action is not permitted for American National Standards (ANS).
- 5.5.3.9 May approve, after consultation with SEMI Headquarters, petitions for submission of Standards or Safety Guidelines to the American National Standards Institute (ANSI) to become ANSs. See ¶ 8.9.2 and §§ 9.10 and 17 for other limitations related to ANS.
- 5.5.3.10 May grant permission to extend the length of publication of a Preliminary Standard.
- 5.5.3.11 Considers and approves RSC recommendations on the formation of new GTCs and the dissolution of existing GTCs.
- 5.5.3.12 Considers and approves recommendations on the formation of new TC Chapters in Locales where no TC Chapter currently exists.
- 5.5.3.13 Administers the appeals process.
- 5.5.3.14 Meets at least twice annually; one of these to be at SEMICON® West.
- 5.5.3.15 Conducts a planning meeting as necessary; determines the function of that meeting and who attends.
- 5.5.4 *Audit and Control Functions* — The ISC may conduct audits and reviews of any function or operation of the Program that it considers necessary to assure the proper conduct of this Program. The ISC Subcommittee on Audits and Reviews (ISC A&R SC) is assigned these activities.
- 5.5.4.1 *Purpose* — The ISC A&R SC performs an audit function on the review or approval procedures taken by TC Chapters to assure that those actions conform to the *Regulations*.
- 5.5.4.2 *Membership* — The ISC A&R SC shall be composed of:
- a chair (voting) appointed by the chair of the ISC;
 - up to four members (voting) chosen by each RSC; and
 - from each Locale without RSC having one or more TC Chapters, up to one member (voting) for the first two TC Chapters or up to two members (voting) if there are three or more TC Chapters. From such Locales, the number of End User members shall not exceed the number of supplier members.
- 5.5.4.3 Members serve for terms of not more than four years.
- 5.5.4.4 The ISC A&R SC reaches decisions by a majority vote (i.e., greater than 50%) of the total number of members of the ISC A&R SC. Proxy votes are not authorized.
- 5.5.4.5 *Functions* — The ISC A&R SC has the following functions:
- Performs a judicial function for the Program in the interpretation and enforcement of these *Regulations* by means of a procedural review of Letter Ballots issued by all GTCs and reviewed by all TC Chapters. This procedural review includes a review of the Safety Check List accompanying Safety Guidelines.
 - Approves publication of Preliminary Standards originated by TC Chapters.
 - Approves the publication of unballoted Related Information and Auxiliary Information originated by TC Chapters.
 - Approves editorial changes that are approved by a TC Chapter outside of the balloting process.
 - Returns Documents not approved to the TC Chapter for corrective action, with recommendations for improvement as appropriate.

- f. Determines validity of written appeals (see § 12).
- g. Provides detailed minutes of its actions to SEMI Headquarters for retention.
- h. Performs other Audits and Reviews functions as assigned by the ISC.

5.5.5 *Development and Maintenance of SEMI Standards Regulations and Other Documentation* — The ISC is responsible for the development and maintenance of the *Regulations* and other Program procedural documentation as necessary. The ISC Subcommittee on the *Regulations* is assigned these activities.

5.5.5.1 *Purpose* — The ISC Subcommittee on the *Regulations* periodically reviews the *Regulations* and other procedural documentation (e.g., the *Procedure Manual: Detailing SEMI® Standards Processes and Practices* [hereinafter referred to as *Procedure Manual*]) to ensure their currency as well as to resolve procedural issues that have arisen within the Program.

5.5.5.2 *Procedure Manual* — The *Procedure Manual* allows worldwide Program Members with different cultural backgrounds to accomplish their activities efficiently by using the same procedures and by following the examples provided.

5.5.5.2.1 *Scope of Procedure Manual* — The *Procedure Manual* shall provide clear guidance consistent with the requirements of the *Regulations*, particularly on specific activities not defined there. Specific parts of the *Regulations* may be referenced, if necessary. Quoted text from the *Regulations* may be included only when reference is not sufficient. The *Procedure Manual* shall be written in such language that legal review is not required. It shall describe activities of Standards staff only in terms of the desired results, not detailed actions. The *Procedure Manual* shall be revised promptly to reflect changes both in the *Regulations* and in Standards staff operations.

5.5.5.2.2 *Official Language* — The English text of the *Procedure Manual* is the official text. Translations into other languages are encouraged.

5.5.6 *Voting*

5.5.6.1 Members of the ISC are expected to exercise their voting duties individually as responsible managers and not as representatives of their employers.

5.5.6.2 Decisions by the ISC shall require an affirmative vote of a majority of the voting membership unless otherwise specified in these *Regulations*.

5.5.6.3 Voting members of the ISC who are unable to attend a meeting in person may delegate another voting member to vote for him or her by proxy. A proxy may, at the option of the member whose vote is to be cast by proxy,

- a. specify that the vote shall support the decision of the majority of the voting members present at the meeting, or
- b. allow the member holding the proxy to vote as he/she chooses, or
- c. clearly state any other preference of the member.

5.5.6.4 Votes by proxy shall count toward the total number of voting members in attendance at the meeting in the same manner as if the member giving the proxy were present in person. The proxy authorization shall be:

- a. in writing, signed by the member granting the proxy;
- b. valid for only one specified meeting; and
- c. given to the recording secretary at, or preferably before, the meeting.

5.5.6.5 Proxies are subject to the following limitations:

- a. One member may exercise no more than two proxies for other voting members at any given meeting.
- b. The total number of proxies voted at any meeting shall not exceed one-third of the voting membership of the ISC, as calculated by rounding to the nearest integer.

5.6 *Regional Standards Committees (RSCs)*

5.6.1 *Purpose* — RSCs are administrative committees established by the ISC, with the concurrence of the Board of Directors, in order to provide continuing supervision of Standards Documents development work in a given geographical area.

5.6.2 *Membership* — RSCs shall be composed of:

5.6.2.1 SEMI Board Members (nonvoting) from that Region serving as members of the Board of Directors Standards Committee;

5.6.2.2 Two regional cochair (voting), elected by the members of the RSC, subject to the approval of the ISC;

5.6.2.2.1 RSC cochair may appoint up to two vice-chairs from members of the RSC, subject to RSC approval, for the following purposes:

- for smoother transition to successor,
- to share workloads,
- to represent the Region in case chairs are not available, and
- to attend and vote in ISC meetings if an RSC cochair is not available, and if so delegated by that RSC cochair (see § 5.5.2.3.1). In this case, the vice-chair (or vice-chairs) may not receive proxies.

5.6.2.3 Subject to approval by the RSC, up to two cochair (voting) from each TC Chapter that reports to the RSC;

5.6.2.3.1 Subject to approval by the RSC, a TC Chapter may optionally elect, for a term of two years, up to two TC Members to be its voting representative(s) instead of the cochair.

5.6.2.4 Members-at-large (voting) as needed, nominated by the RSC chairs and approved by the RSC, for a renewable term of two years;

5.6.2.5 Liaison members (nonvoting) as needed, appointed by the RSC chairs;

5.6.2.6 Advisors (nonvoting) as needed, to be appointed to a two-year term by the RSC chairs; and

5.6.2.7 Recording secretary (nonvoting).

5.6.3 *Functions* — An RSC has the following functions:

5.6.3.1 Pursues the policy objectives of § 1.5.

5.6.3.2 Provides advice and counsel to Standards Documents development work of TC Chapters in the Locales without an RSC, as directed by the ISC.

5.6.3.3 Provides continuing supervision of Standards Documents development work of TC Chapters that report directly to the RSC.

5.6.3.4 Appoints chairs for the TC Chapters that report directly to the RSC.

5.6.3.5 Aids and assures appropriate global communication and cooperation among TC Chapters having common interests.

5.6.3.6 Proposes formation of new GTCs and their TC Chapters to the ISC.

5.6.3.7 Proposes formation of a new TC Chapter in a Locale where no TC Chapter currently exists to the ISC.

5.6.3.8 Provides recommendations on a dissolution proposal for an existing GTC to the ISC.

5.6.3.9 Disbands TC Chapters for which it is responsible.

5.6.3.10 Appoints liaison persons to coordinate activity with regional cooperating standards committees outside SEMI such as those in JEITA, DIN, ASTM, etc.

5.6.3.11 Submits policy and unresolved Program issues to the ISC for resolution.

5.6.3.12 Meets regularly.

5.6.3.13 Coordinates the training of chairs of TC Chapters that report directly to the RSC.

5.6.3.14 Coordinates the selection of candidates to be its chairs with the ISC.

5.6.3.15 Conducts an annual planning meeting and determines the function of that meeting and attendees.

5.6.4 *Voting*

5.6.4.1 Members of RSCs are expected to exercise their voting duties individually as responsible managers and not as representatives of their employers.

5.6.4.2 Decisions by an RSC shall require an affirmative vote of a majority of the voting membership unless otherwise specified in these *Regulations*.

5.6.4.3 Voting members of an RSC who are unable to attend a meeting in person may delegate another voting member to vote for him or her by proxy. A proxy may, at the option of the member whose vote is to be cast by proxy,

- a. specify that the vote shall support the decision of the majority of the voting members present at the meeting, or
- b. allow the member holding the proxy to vote as he/she chooses, or
- c. clearly state any other preference of the member.

5.6.4.4 Votes by proxy shall count toward the total number of voting members in attendance at the meeting in the same manner as if the member giving the proxy were present in person. The proxy authorization shall be

- a. in writing, signed by the member granting the proxy;
- b. valid for only one specified meeting; and
- c. given to the recording secretary at, or preferably before, the meeting.

5.6.4.5 Proxies are subject to the following limitations:

- a. one member may exercise no more than two proxies for other voting members at any given meeting and
- b. the total number of proxies voted at any meeting shall not exceed one-half of the voting membership of the RSC, as calculated by rounding to the nearest integer.

5.7 *Global Technical Committees (GTCs)*

5.7.1 *Purpose* — GTCs provide the technical expertise in the Program process and are the consensus bodies of the Program. Each GTC covers a specific technical field of interest.

5.7.2 *Structure* — GTCs are virtual committees. It is not intended that a GTC would ever meet as a whole in a single location. Instead, a GTC is comprised of TC Chapters having the same fields of interest. Each TC Chapter can conduct a meeting for the GTC to which it belongs.

5.7.2.1 A new TC Chapter may be formed (in accordance with § 6.3) in any Locale provided that:

- there are sufficient numbers of TC Members who have actively participated in the GTC,
- SEMI Headquarters agrees to provide necessary Standards staff support, and
- an RSC agrees to provide administrative support and approves establishment of the TC Chapter for the Locale.

5.7.3 *Subordinate Units* — GTCs and their TC Chapters may establish TFs to work on specific topics. They may also establish subcommittees to fill a gap between the committee (decision-making) level and TF (hands-on working) level. These subcommittees or TFs may be established in a TC Chapter, between more than one TC Chapter, or globally, as appropriate. Any Program Member may become a member of a subcommittee or TF. In addition, TC Chapter or subcommittee chairs, or TF leaders, as appropriate, may appoint Program Members who have specific expertise or who will improve the balance of interests of subcommittees or TFs.

5.7.3.1 *Subcommittees* — A subcommittee's main function is to provide advice or oversight on the quality and consistency of the TFs that work in the topical area of its responsibility or to assist in the coordination of activities between related TFs within a GTC. Subcommittees are not allowed to directly develop any Standards Documents.

5.7.3.2 *Task Forces (TFs)* — A TF's main function is to develop Standards Documents. A TF works on focused areas within the charter and scope of its parent GTC.

5.7.3.3 *Reporting* — Subcommittees and TFs report to the relevant TC Chapter. Global subcommittees and TFs report to all relevant TC Chapters.

5.7.4 *TC Chapter Leadership* — Each TC Chapter is led by two or more cochairs. The cochairs are appointed by the responsible RSC. Other officers for the TC Chapter may include a secretary and a technical editor.

5.7.4.1 *TC Chapter Management Functions* — TC Chapter cochairs have the following responsibilities for the TC Chapter that they lead:

- a. chair meetings of the TC Chapter impartially and in accordance with these *Regulations*;
- b. coordinate activities with related GTCs in the same Locale/Region;
- c. assure that actions taken at meetings are properly documented;
- d. with the agreement of the TC Chapter, appoint secretaries, technical architects, technical editors, and leaders of subordinate units, as needed;
- e. inform the relevant GCS of leadership appointments for the TC Chapter;
- f. with the agreement of the TC Chapter, establish and discharge its subordinate units;
- g. oversee the activities and documentation of its subordinate units;
- h. report accomplishments and problems to the RSC; and
- i. provide information needed by Standards staff to carry out their responsibilities.

5.7.5 *Global Coordinating Subcommittee (GCS)* — Up to two² cochairs from each TC Chapter that constitute a GTC are also the voting members of a GCS responsible for coordination of the activities of the TC Chapters. The GCS is not expected to meet physically in one place, but generally conducts its business by email, teleconference, or other means.

5.7.5.1 *Global Coordination Functions* — The GCS has the following global responsibilities:

- a. coordinates the activities of its TC Chapters;
- b. coordinates its TC Chapter activities with other related GCSs;
- c. establishes and discharges global subcommittees or TFs;
- d. with agreement by the cochairs of the Originating TC Chapter, designates a Responsible TC Chapter to conduct Letter Ballot review when requested prior to that ballot issuance or if necessary in the force majeure case of ¶ 9.5 Exception;
- e. approves new TF activities between meetings and asks Standards staff to notify its TC Members of this action;
- f. authorizes Letter Ballots between meetings of TC Chapters and asks Standards staff to notify its TC Members of this action;
- g. confirms approval of Preliminary Standards by a TC Chapter;
- h. confirms approval of unballoted Related Information and Auxiliary Information originated by a TC Chapter; and
- i. reviews each Minority Report (MR) and judges if any of the Negatives contained in the MR are worthy of reconsideration, and if so, issues such a recommendation to the relevant TC Chapter.

5.7.6 *TC Chapters*

5.7.6.1 *Functions* — A TC Chapter:

- a. establishes and discharges subcommittees and TFs;
- b. approves Standard New Activity Report Form (SNARF);
- c. approves Standards Document Development Project Period extension;
- d. writes Standards Documents by collective effort;
- e. develops consensus;

² If there are more than two cochairs, only the two longest-tenured cochairs are voting members. The remaining cochairs are members of the GCS but without vote. A different arrangement may be selected by the cochairs of each TC Chapter, but only when there is a change in the cochairs eligible to be voting members.

- f. authorizes Letter Ballots leading to the technical approval of Standards or Safety Guidelines;
- g. performs Letter Ballot review as detailed in § 9;
- h. periodically reviews its published Standards or Safety Guidelines;
- i. authorizes publication of Preliminary Standards;
- j. requests permission from the ISC to extend the publication period of a Preliminary Standard;
- k. authorizes publication of unballoted Related Information and Auxiliary Information;
- l. determines if a Standards Document is or is not a Safety Guideline and, if it is, follows the procedures of § 15;
- m. when disclosed patented technology or copyrighted items might be material to a Standard or Safety Guideline under development, follows the procedures in § 16;
- n. as necessary, petitions the ISC for submission of Standards or Safety Guidelines to ANSI to become ANSs; and
- o. clears any publicity releases or other public statements it may prepare with SEMI Headquarters before publication.

5.7.6.2 *Proposals for Standards Documents Development* — Topics for standardization may be suggested by anyone. They may be directed to any SEMI regional office, which will send the suggestion to the cochairs of an appropriate TC Chapter for consideration, sent directly to the cochairs of the TC Chapter, or presented during a meeting of the TC Chapter.

5.7.6.2.1 The proposal to initiate Standards Document development activity shall be submitted in a SNARF.

5.7.6.2.2 If the proposer of the SNARF is not a Program Member, he/she will be asked to become a Program Member prior to submitting the SNARF.

NOTE 10: If the work is deemed not appropriate for the GTC, an alternative GTC may be recommended, or the formation of a new GTC may be proposed.

5.7.6.3 *Initiating Ballot Actions* — The Originating TC Chapter initiates each ballot action including review of that ballot (see § 9).

EXCEPTION: The review may be changed to a meeting of a Responsible TC Chapter when agreed upon by the cochairs of the Originating TC Chapter and authorized by the GCS if the change in review is (1) requested prior to ballot issuance or (2) deemed necessary in the force majeure case of ¶ 9.5 Exception.

5.7.6.4 All Document development activity shall be conducted by a TF.

EXCEPTION: Reapproval and withdrawal Letter Ballots do not require a TF. However, revision activity started after a reapproval or withdrawal Letter Ballot fails is considered a Document development activity and must be conducted by a TF.

5.7.6.5 *Coordination with Other Global Technical Committees* — In the development of Standards or Safety Guidelines, GTCs must cooperate with other GTCs having mutual interests. GTCs may also request reviews of Documents from other GTCs that have particular expertise on some or all of the content of a Document.

6 Formation and Disbandment of Global Technical Committees and TC Chapters

6.1 *Reason for Forming a New Global Technical Committee* — New GTCs are usually formed to address a new technical area not currently addressed by the Program.

6.2 *Formation of a New Global Technical Committee*

6.2.1 *Establishment of Need* — A name, a proposed charter and scope, and a plan of activities for the new GTC must be developed. These items must be well-defined in order to receive the approval of the ISC. SEMI Headquarters, the relevant SEMI office and the relevant RSC, if the proposal is from a Locale with an RSC, may be helpful in establishing a suitable plan.

6.2.2 *Submission of the Proposal* — The proposer, who desires to form a new GTC, drafts and submits a proposal to Standards staff, specifying the technology field and the Locale where the activity is expected to be initiated. Standards

staff checks if a new technology field is introduced by the proposal or if the proposed activity fits within the charter and scope of an existing GTC.

NOTE 11: If the proposed activity fits within the charter and scope of an existing GTC, the proposal should be considered in accordance with § 6.3.

6.2.2.1 *RSC Review*

6.2.2.1.1 Standards staff forwards the proposal to form a new GTC to the responsible RSC if the proposal is from a Locale with an RSC.

6.2.2.1.2 If the proposal is from a Locale without an RSC, Standards staff selects a candidate to serve as the responsible RSC from the existing RSCs, then asks it to review the proposal.

6.2.2.1.2.1 If the RSC selected does not accept to perform an RSC review of the proposal, Standards staff asks the ISC to assign a responsible RSC.

6.2.2.1.2.2 The responsible RSC reviews the proposal to form a new GTC, as well as the proposed TC Chapter that will be formed automatically in the Locale of the proposer if the proposal is approved. If the RSC supports the proposal, it is submitted to the ISC. Otherwise, it is sent back to Standards staff, who reports the RSC rejection to the proposer and other concerned parties.

6.2.2.2 *ISC Approval*

6.2.2.2.1 The ISC shall consider the following conditions when deciding to approve the formation of a new GTC:

- the technology field to be addressed by the proposed GTC is within the scope of the Program,
- an appropriate number and balance of Program Members will support the proposed GTC (see § 3.5), and
- SEMI can provide appropriate Standards staff support globally and for the Locale.

6.2.2.2.2 If the ISC approves the proposal, Standards staff announces the formation of the new GTC and TC Chapter.

NOTE 12: Once a new GTC is formed, additional TC Chapters may be formed in other Regions/Locales per § 6.3.

6.2.2.2.3 If the ISC does not approve the proposal, Standards staff reports the ISC rejection to the proposer and concerned parties.

6.3 *Formation of a New TC Chapter of an Existing Global Technical Committee*

6.3.1 *Preparation Stage* — A TC Chapter Formation Group (CFG) shall be formed (see *Procedure Manual* ¶ 6.5) prior to a proposal for establishing a new TC Chapter in a new Locale.

EXCEPTION: A proposal may be made without forming a CFG if the Locale is one of the Locales with an RSC or a Locale without an RSC where at least one TC Chapter exists, and documented proof is available to show that a significant number of TC Members from the Locale have been actively involved in Document development in the GTC for at least one year.

6.3.2 *Proposal Stage*

6.3.2.1 *Contents of the Proposal* — The proposal shall include the following items as a minimum:

- a. Locale of the TC Chapter to be established;
- b. charter and scope of the GTC;
- c. planned activities;
- d. the proposed cochairs and other officers;
- e. a representative number of companies supporting the proposal, distributed among interest categories;
- f. record of CFG activity, including meeting minutes;
- g. record of prospective members' involvement in the GTC, especially active participation on Document development; and
- h. justification why the Locale should have a TC Chapter.

6.3.2.2 *Procedure for a TC Chapter Establishment Proposal from a Locale with an RSC or a Locale Without an RSC Where at Least One TC Chapter Exists* — A proposal for formation of a TC Chapter is made to the RSC if it is made from a Locale with an RSC. If it is made from a Locale without an RSC, the proposal is made to the preferred responsible RSC.

6.3.2.2.1 *Conditions of Approval* — An RSC may approve the formation, provided the proposal meets the conditions of ¶ 6.3.2.1 and Standards staff responsible for Program operation agrees to support the proposed TC Chapter.

6.3.2.2.2 Following RSC approval, Standards staff reports the formation to the ISC.

6.3.2.2.3 If the RSC does not approve the proposal, Standards staff reports the RSC rejection to the proposer and concerned parties.

6.3.2.3 *Procedure for a TC Chapter Establishment Proposal from New TC Chapter in a Locale Where No TC Chapter Exists*

6.3.2.3.1 Proposals must be submitted to Standards staff.

6.3.2.3.2 Standards staff selects a responsible RSC candidate for the proposed TC Chapter and asks that RSC to consider the proposal.

6.3.2.3.2.1 If the RSC agrees to consider the proposal, it determines whether to recommend to the ISC formation of a TC Chapter affiliated with the RSC.

6.3.2.3.2.2 If the RSC does not agree to consider the proposal, Standards staff reports the rejection to the ISC and the concerned parties. The ISC may assign a different RSC for consideration of the proposal.

6.3.2.3.3 The RSC bases its recommendation on its willingness to provide oversight and its judgment about whether the proposal meets the conditions of ¶ 6.3.2.1.

6.3.2.3.4 If the RSC decides to recommend to the ISC formation of the proposed TC Chapter affiliated with that RSC, it makes a petition to the ISC.

6.3.2.3.5 *Conditions of Approval* — The ISC may approve formation of a TC Chapter in a new Locale provided that the proposal meets the conditions of ¶ 6.3.2.1, an RSC has agreed to be the responsible RSC and Standards staff responsible for Program operation agrees to support the proposed TC Chapter.

6.4 *Organization of a New TC Chapter* — After the formation of a new TC Chapter is approved, the new TC Chapter may perform any of the GTC activities listed within the *Regulations*.

6.5 *Disbandment of a TC Chapter* — The responsible RSC may disband a TC Chapter either on completion of the work for which it was established or for other reasons such as when a TC Chapter is shown to be inactive by failing to:

- hold meetings for two consecutive years,
- report activity to its RSC for two consecutive years, or
- initiate new Standards Documents activities or promote activities that are consistent with the purpose of SEMI Standards.

6.5.1 *Investigatory Procedure* — If a TC Chapter has been shown to be inactive and has failed to request disbandment, the responsible RSC will investigate.

6.5.1.1 The TC Chapter cochairs will be advised in writing that disbandment appears to be in order.

6.5.1.2 Failing further action by the TC Chapter cochairs, the TC Members in the Locale where the TC Chapter has been established will be surveyed to determine if any interest remains.

6.5.1.3 If the TC Member survey indicates insufficient interest to keep the TC Chapter, an industry survey may be conducted to gather further opinion.

6.5.2 *Disbandment of CFG* — The responsible RSC or Standards staff shall disband a CFG when a CFG is shown to be inactive by failing to:

- hold meetings for a year,

- report activity to other Locales where the GTC has a TC Chapter for a year, or
- show its members involvement in Document development after one year from formation or for a year.

6.6 *Dissolution of Global Technical Committees*

6.6.1 A GTC may be considered for dissolution due to one of the following cases:

- a TC Member proposes the dissolution of their GTC,
- a TC Member of a TC Chapter proposes disbandment of the TC Chapter in his/her Locale and no other Locale has a TC Chapter of their GTC, or
- no TC Member of the GTC remains.

6.6.1.1 *A TC Member Proposes Dissolution of the Global Technical Committee*

6.6.1.1.1 Standards staff receives the proposal and notifies the cochairs of all the TC Chapters in the GTC of the dissolution proposal.

6.6.1.1.2 Each TC Chapter considers the proposal and decides if it agrees to the proposal.

6.6.1.1.3 If all of the TC Chapters agree to the dissolution, Standards staff reports this agreement to the RSCs.

6.6.1.1.4 Each RSC may form its own recommendation on whether the proposal should be accepted or not.

6.6.1.1.5 The ISC decides if it approves the dissolution proposal by considering the justification provided by the proposer, recommendations from the RSCs, and other relevant information.

6.6.1.1.6 The ISC's decision is reported to Standards staff, who announces the decision to the proposer and concerned parties.

6.6.1.2 *A TC Member of a TC Chapter Proposes Disbandment of the TC Chapter in His/Her Locale and No Other Locale has a TC Chapter of their Global Technical Committee*

6.6.1.2.1 Standards staff receives the proposal and determines if there is any TC Chapter in another Locale affiliated with the GTC.

6.6.1.2.2 If there is at least one other TC Chapter affiliated with the same GTC, the proposal shall be addressed in accordance with § 6.5.

6.6.1.2.3 If there is no other TC Chapter, Standards staff forwards the proposal to disband the TC Chapter and its consequence (i.e., dissolution of the GTC) to the responsible RSC. The RSC reviews the proposal and decides if it recommends to the ISC to accept the proposal.

6.6.1.2.4 Standards staff reports the RSC's recommendation to the ISC.

6.6.1.2.5 The ISC shall determine if it is appropriate to approve the proposal based on the RSC's recommendation and other available information.

6.6.1.2.6 The ISC's decision is reported to Standards staff, who announces the decision to the proposer and concerned parties.

6.6.1.3 *No TC Member of the Global Technical Committee Remains*

6.6.1.3.1 If Standards staff determines that all TC Chapter(s) have been inactive for a long period of time, then the situation is reported to the responsible RSC of each TC Chapter, who determines if conditions in ¶ 6.5 are applicable.

6.6.1.3.2 If all RSCs have disbanded the TC Chapters of a GTC, then Standards staff recommends to the ISC to dissolve the GTC.

6.6.1.3.3 If the ISC confirms the dissolution of the GTC, Standards staff announces the dissolution of the GTC.

NOTE 13: Any CFG under the GTC is also disbanded.

6.6.2 The status of all Documents maintained by the dissolved GTC will automatically be changed to Inactive (see § 4.2.19).

7 Conduct of Business in Meetings

NOTE 14: Information about Votes submitted in the Letter Ballot process is located in § 9.

7.1 *Majority Vote* — In all Standards meetings, all matters are decided by a simple majority vote of all persons (individuals) or Voting Interests (see § 3.2) voting on the action, except for the following TC Chapter actions:

- authorization of publication of Preliminary Standards,
- authorization of publication of unballoted Related Information,
- authorization of publication of unballoted Various Materials,
- authorization of publication of Auxiliary Information,
- finding Negatives contained in Reject Votes to be not related or not persuasive,
- finding a Negative to be addressed by a technical change, and
- approving a proposed technical change in a Ratification Ballot.

7.2 *Voting in TC Chapter, Subcommittee, and TF Meetings*

7.2.1 *Voting Privilege* — Each Program Member physically in attendance at a TC Chapter meeting or participating in an Official Virtual TC Chapter Meeting is entitled to one vote unless interest voting (see § 7.2.2) is used. Each Program Member attending online or face-to-face meetings of TC Chapter subcommittees or TFs is entitled to one vote unless interest voting (see § 7.2.2) is used.

NOTE 15: Votes in TC Chapter meetings often represent decisions of the GTC, while votes in subcommittee and TF meetings are votes only to recommend action to the parent TC Chapter(s) or the GTC.

7.2.2 *Interest Voting* — A cochair of a TC Chapter shall, at the request of any participant or at his/her discretion, require a vote to be tallied by Voting Interest (see § 3.2). When this is done, the decision is recorded in the minutes of the meeting, and each Voting Interest represented has a single vote.

NOTE 16: Votes at meetings of subordinate units of a TC Chapter should be handled in a similar manner if it is requested by a participant or is deemed necessary by the leader.

7.2.2.1 *Avoidance of Undue Influence* — Interest voting is appropriate if it appears that the number of persons in a meeting from any Voting Interest could have a disproportionately large influence on the outcome of a vote.

7.3 *Open Meetings* — Meetings shall be open to any Program Member when technical matters relating to the development of Standards Documents are to be discussed.

7.4 *Virtual Meetings*

7.4.1 *Definitions*

7.4.1.1 *Virtual Meeting* — Any meeting that has any participant who is not physically present in person in the meeting room.

7.4.1.1.1 *Discussion* — Except for Official Virtual TC Chapter Meetings, any officially acknowledged committee, subcommittee, TF, etc. may choose to conduct a Virtual Meeting on a case-by-case basis or to make conducting Virtual Meetings their standard practice.

7.4.1.2 *Official Virtual TC Chapter Meeting* — A TC Chapter Meeting that allows virtual participants equivalent rights with those who participate in person toward decisions of the TC Chapter and that is conducted in accordance with the procedures in *Procedure Manual* §§ 4.2 and 4.3.

7.4.1.2.1.1 *Discussion* — An Official Virtual TC Chapter Meeting is a type of Virtual Meeting that is differentiated from others by its significance in the development process of Standards Documents and its compliance to applicable procedural requirements.

7.4.2 *Limitations* — When the infrastructure necessary to conduct Official Virtual TC Chapter Meetings has been implemented by SEMI and is ready for use, each GTC shall conform to § 7.4.3. However, prior to infrastructure implementation, the TC Chapters of each GTC with at least three TC Chapters can discuss and vote if they do not want to adopt Official Virtual TC Chapter Meetings (see ¶ 7.4.3.1 Exception).

7.4.3 Adoption of Official Virtual TC Chapter Meeting

7.4.3.1 Every GTC is required to adopt Official Virtual TC Chapter Meetings for all of the TC Chapter meetings of every TC Chapter under a GTC.

EXCEPTION: With at least a two-thirds majority of its TC Chapters' agreement, a GTC that has more than two TC Chapters can decide not to adopt Official Virtual TC Chapter Meetings.

7.4.3.1.1 When a GTC has decided not to adopt Official Virtual TC Chapter Meetings, only those Program Members physically present in the meeting room may vote and those votes be counted towards a committee action.

7.5 *Virtual Participation* — Virtual participants (via SEMI-specified online meeting) in an Official Virtual TC Chapter Meeting shall have the same opportunity to participate in the decision-making activities of the meeting as participants physically present in the meeting room. Participation includes, but is not limited to, the following: discussions, making presentations, viewing of all presented materials, making and seconding motions, and voting.

7.5.1 To ensure this opportunity, an Official Virtual TC Chapter Meeting shall be conducted by following the procedures defined in *Procedure Manual* § 4.3.4.

7.5.2 The template-lead, documented procedures as detailed in *Procedure Manual* § 4.3.5 shall be followed for decisions in an Official Virtual TC Chapter Meeting.

7.6 *Closed Meetings* — Meetings of the ISC and of RSCs may be closed when discussion of procedures, organization, or other committee business not related to technical matters occurs.

7.7 *Notification* — All TC Members shall receive notice of meetings, minutes, and related material for the GTC to which they belong.

7.8 Minutes and Records

7.8.1 Minutes of all TC Chapter meetings shall be taken.

7.8.2 TC Chapter minutes shall include all actions of the TC Chapter, as well as materials provided to the TC Chapter meeting by its units.

7.8.3 Official minutes shall be in English.

7.8.4 Copies of TC Chapter minutes shall be on file at all SEMI offices in Locales in which the same GTC is active. A complete set of all official minutes and attachments, regardless of the Region of activity, shall be maintained at SEMI Headquarters until January 1 of the seventh year after the end of the year in which the meeting occurred or the Letter Ballot closed. Safety Check Lists and records related to intellectual property issues shall be maintained as long as the relevant Document is available from SEMI. All other records no longer to be maintained at SEMI Headquarters and its regional offices shall be destroyed within 30 days of this date.

EXCEPTION: SEMI Standards that are proceeding with approval or have been accepted as ANSs will have all applicable records retained at SEMI Headquarters for the life of such Standards in accordance with ANSI audit practices.

7.8.5 Other documentation regarding Letter Ballot development, such as statements regarding patented technology or copyrighted items (see § 16) and annotated Safety Guideline development Safety Check Lists and associated documentation (see § 15) shall be maintained on file for the period specified in their respective sections. If not specified, the documentation in question will be handled per ¶ 7.8.4.

7.9 *Standards Staff Attendance* — At least one member of the Standards staff shall be present in all ISC, RSC, and TC Chapter meetings and will record the official minutes. Attendance of a member of the Standards staff at subcommittee and TF meetings is encouraged to the extent permitted by available resources, but is not mandatory.

8 General Practices on Program Documents

8.1 *Actions Requiring SNARF Submission and Approval* — The following Document development activities require SNARF submission and approval to initiate:

- new Standard or Safety Guideline,
- revision of Standard or Safety Guideline,

- reapproval of Standard or Safety Guideline,
- withdrawal of Standard or Safety Guideline,
- removal of Standard or Safety Guideline via Letter Ballot,
- new Auxiliary Information,
- modification of existing Auxiliary Information,
- new Preliminary Standard,
- reinstatement of a Standard or Safety Guideline, and
- publication of an existing Standard or Safety Guideline as an American National Standard.

NOTE 17: Addition or revision of a Complementary File is covered under a revision of a Standard or Safety Guideline.

NOTE 18: Addition of Supplementary Materials that are a part of a Standard or Safety Guideline that is to be approved by Letter Ballot is covered under a revision of a Standard or Safety Guideline.

NOTE 19: Addition of a Subordinate Standard is covered under a revision of a Standard or Safety Guideline.

8.2 *SNARF Submission and Approval Process* — Refer to *Procedure Manual* (see § 2.2) for the detailed process for SNARF submission and approval.

8.2.1 A SNARF for a new, or a major revision (see *Procedure Manual* § 3.5) of an existing, Standard or Safety Guideline shall be made available to all members of the GTC to which it was submitted for a period of two weeks for TC Member review and comment prior to its approval.

8.2.2 The Document is considered under development once the SNARF is approved.

8.3 *Standards Document Development Project Period*

8.3.1 *Standards Document Development Project Period, n.* — The period between initial SNARF approval and approval by the TC Chapter of the Document identified in the SNARF.

8.3.2 The Standard Document Development Project Period shall not exceed three years. The SNARF becomes invalid and the Document development activity defined by the SNARF must be discontinued after this period.

EXCEPTION: If the Document development activity is found to be continuing, but cannot be completed within the current project period, the TC Chapter may grant a one-year extension at a time, as many times as necessary.

8.4 *Actions Requiring Letter Ballot* — The following actions require Letter Ballot issuance to the entire GTC (see § 9) and procedural review (see § 10) following successful review by a TC Chapter of the GTC:

8.4.1 *Creation of New Standards or Safety Guidelines*

8.4.1.1 If the new Standard or Safety Guideline is to replace an existing Standard or Safety Guideline, that fact shall be clearly stated in a prominent Notice before the background of the Letter Ballot. In addition, the Notice shall clearly state that the Standard or Safety Guideline to be replaced will be given Replaced Status per § 8.10.2.

8.4.1.2 Related Information and Various Materials that are developed with a new Standard or Safety Guideline are balloted with the new Standard or Safety Guideline.

8.4.2 *Revision of Standards or Safety Guidelines*

8.4.2.1 The parts of the Standard or Safety Guideline being revised shall be clearly identified in the Letter Ballot.

8.4.2.2 A Letter Ballot to revise a Standard or Safety Guideline may be issued only after the Standard or Safety Guideline being revised is approved and published.

EXCEPTION: A Line-Item Letter Ballot (see *Procedure Manual* § 3.4) to revise part of a Standard or Safety Guideline may be issued even if other Line Items revising other parts of the Standard or Safety Guideline are in progress (i.e., between SNARF approval and publication), provided the new Line Item and the Line Items in progress are technically independent.

8.4.2.3 Related Information and Various Materials that are developed or revised with a revised Standard or Safety Guideline are balloted with the revised Standard or Safety Guideline.

EXCEPTION: Related Information or Various Materials may be approved without a Letter Ballot per ¶ 8.5.2.

8.4.3 Reapproval of Standards or Safety Guidelines

NOTE 20: Normally, reapprovals only allow editorial changes for compliance with the *Style Manual* as well as correcting spelling errors.

8.4.4 Reinstatement of Inactive Standards or Safety Guidelines

8.4.5 Withdrawal of Standards or Safety Guidelines

8.4.6 *Removal of Standards or Safety Guidelines* — If a Standard or Safety Guideline has been found by a TC Chapter to be technically defective and to pose a significant risk to Standards or Safety Guideline users, the originating GTC can remove the Standard or Safety Guideline by a Letter Ballot. The use of removal Letter Ballots is limited to cases where keeping the Standard or Safety Guideline can cause significant risk for users.

8.4.7 Any ANSI Standards and those intended to become ANS are handled as above, with any additional requirements that may be required by ANSI.

8.5 Actions Not Requiring Letter Ballot

8.5.1 Publication of Preliminary Standards

8.5.2 Publication of a Related Information section or Various Materials that did not accompany a Letter Ballot for the Standard or Safety Guideline to which it belongs

8.5.3 Publication of Auxiliary Information

8.6 *Voting on Letter Ballots* — Each TC Member is required to vote on Letter Ballots issued by the GTC and is subject to the conditions listed in ¶ 2.5.

8.7 *Determination that a Document Is a Safety Guideline* — TC Chapters shall apply the following test to each Document developed under their responsibility to determine if it is a Safety Guideline or not:

8.7.1 If, when all safety-related information is removed from the Document, the Document is still technically sound and complete, the Document is NOT a Safety Guideline.

8.7.2 If, when all safety-related information is removed from the Document, the Document is not technically sound and complete, the Document must be developed as a Safety Guideline and meet the additional requirements of § 15.

8.8 Identification of Potentially Material Patented Technology or Copyrighted Items

8.8.1 The cochair of the TC Chapter must ask the participants of the TC Chapter meeting if they are aware of any potentially material patented technology or copyrighted items in the Standard, Safety Guideline, or Auxiliary Information.

8.8.1.1 If the question is answered in the affirmative, refer to § 16.

8.9 Review of Standards

8.9.1 *Frequency of Review* — Standards and Safety Guidelines should be reviewed regularly by the Originating TC Chapter and recommended for the appropriate action. At a minimum, the Originating TC Chapter shall review its Standards or Safety Guidelines and decide whether to ballot the Standards or Safety Guidelines for reapproval, revision, replacement, or withdrawal by the end of the fifth year after their latest publication or reapproval dates.

NOTE 21: If the TC Chapter decides to take no action, the Standard or Safety Guideline will be given Inactive Status per § 4.2.19.

8.9.1.1 If the Originating TC Chapter chooses to issue a reapproval, withdrawal, or removal Letter Ballot, balloting and subsequent review must be completed by the end of the sixth year after the latest publication or reapproval date. If that TC Chapter is not able to complete reapproval, withdrawal, or removal by then, the Standard or Safety Guideline will be given Inactive Status.

8.9.1.2 If the Originating TC Chapter chooses to revise or replace the Standard or Safety Guideline, and start TF activities towards that goal, the existing Standard or Safety Guideline keeps its Current Status as long as the TF activity

continues until a Standard or Safety Guideline superseding or replacing the existing Standard or Safety Guideline is published.

NOTE 22: The TF activity is considered to be continued if at least one Letter Ballot is issued per year. Another example of the activity being continued is the TC Chapter reviewing the TF's progress report and finding the activity to be continuing.

8.9.2 *Extension of Standard* — Extensions for Standards that have been adopted as ANS must be requested of ANSI by the fourth anniversary date of approval as ANS.

8.9.3 *Unsuccessful Letter Ballot* — If a TC Chapter cannot successfully ballot a Standard or Safety Guideline for revision or replacement and decides to discontinue the effort, the existing Standard or Safety Guideline will be given Inactive Status at the next available publication cycle after the TC Chapter decision.

8.9.4 *Editorial Changes that Are Made Independently from a Letter Ballot* — Editorial changes to a Standard or Safety Guideline may be made by a TC Chapter independently from a Letter Ballot.

EXCEPTION: Correction of obvious formatting or typographical errors (such as misspellings) through Publication Improvement Proposal (PIP) inputs may be made by Standards staff and does not require TC Chapter review or approval.

8.9.5 *Editorial Change Types* — Editorial changes are of two types:

- those that introduce no change in technical content, but correct minor typographical errors; modify editorial style; change nontechnical information; change existing Notes, Related Information, or Various Materials; add or delete Notes; or reduce ambiguity; and
- those that correct typographical errors in substance.

In the latter case, the year designation of the Standard or Safety Guideline is changed. For ANS, the ANSI approval date remains unchanged.

8.10 *Publication*

8.10.1 *Format and Style* — The current edition of the *Style Manual* shall be used in the writing of Standards and Safety Guidelines.

8.10.2 *Replaced Standards or Safety Guidelines* — A Standard or Safety Guideline that has been replaced by a new Standard or Safety Guideline shall be given Replaced Status when the new version is published. In addition to a Notice explaining the no-longer-supported-by-GTC status of the Standard or Safety Guideline, a Notice directing the reader to the replacement Standard or Safety Guideline shall be printed in its place.

8.10.3 *Superseded Standards or Safety Guidelines* — A Standard or Safety Guideline that has been superseded by a revision of the Standard or Safety Guideline shall be given Superseded Status automatically when the new version is published.

8.10.4 *Removed Standards or Safety Guidelines* — Following ISC A&R SC approval of a Letter Ballot for removal or SEMI Headquarters decision to remove a Standard or Safety Guideline, the Standard or Safety Guideline shall be immediately removed from publication. Notification of removal due to technical flaw or legal issue, whichever is applicable, shall appear in the place where the Standard or Safety Guideline used to be.

9 Letter Ballots

NOTE 23: For ANS Letter Ballots, see § 9.10.

9.1 *Terminology*

9.1.1 *Letter Ballot, n.* — A ballot issued to reach a decision on whether or not to implement a proposal or proposals to newly publish, reapprove, withdraw, or remove a SEMI Standard or Safety Guideline, or to revise one or more SEMI Standards or Safety Guidelines.

9.1.2 *Intercommittee Ballot, n.* — A Letter Ballot sent to other GTCs in addition to the GTC issuing the Letter Ballot.

9.1.3 *Originating TC Chapter, n.* — TC Chapter that receives and approves initial SNARF for Document development. The Originating TC Chapter is normally responsible for a Standards Document for its entire

development process from approving its initial SNARF proposal through publication including maintaining it afterwards as required.

9.1.4 *Responsible TC Chapter, n.* — A TC Chapter other than the Originating TC Chapter that is approved to perform Letter Ballot review, is designated to maintain an existing Document, etc. Under special circumstances, another TC Chapter may become responsible for a portion of the development process and becomes the ‘Responsible TC Chapter’ for that portion. An example is when an alternate TC Chapter is approved to conduct Letter Ballot review (see ¶ 5.7.6.3 Exception).

NOTE 24: The terms Originating TC Chapter and Responsible TC Chapter are used when it is necessary to specify which specific one is applicable. Otherwise, the term TC Chapter is used and may apply to both the Originating TC Chapter and a Responsible TC Chapter as applicable.

9.1.5 *Abstain, n.* — A type of Vote selected to indicate the Voter refrains from taking a position of approval or disapproval of the contents of a Letter Ballot.

9.1.6 *Abstain with Comment, n.* — Counted as a Vote of Abstain with any text or material submitted with this Vote treated as a Comment. This option is normally provided to a Voter to reduce ambiguity about how the material submitted with a Vote should be treated.

9.1.7 *Accept, n.* — A type of Vote selected to indicate approval of the contents of a Letter Ballot.

9.1.8 *Accept with Comment, n.* — Counted as a Vote of Accept with any text or material submitted with this Vote treated as a Comment. This option is normally provided to a Voter to reduce ambiguity about how the material submitted with a Vote should be treated.

9.1.9 *Comment, n.* — The text or other supporting material, submitted with a Vote other than Reject, or clearly marked as Comment when submitted with a Reject Vote. If the intention of the Reject Voter cannot be easily determined, the text or other supporting material shall be treated as a Negative.

9.1.10 *Negative, n.* — The text or other material submitted with a Vote of Reject on a Letter Ballot. Examples of material that can be included are:

- technical evidence refuting any part of the item being balloted,
- ambiguity or lack of clarity causing the perception of a technical or procedural error, and
- procedural evidence that these *Regulations* have not been followed.

NOTE 25: The term ‘item’ as used in § 9 means the entire Document or the entire portion of a Document that is defined in § 9.2.6 as the material to which the Vote applies. An ‘item’ must be dealt with as a whole, and may not be subdivided or considered only in part.

9.1.11 *Minority Report (MR), n.* — A report filed by a person not in agreement with a TC Chapter’s decision to find a Negative not related or not persuasive, on how a Negative was addressed by a technical change, or on how a technical issue other than one raised by a Negative was resolved by a technical change or addressed by a technical change, containing details of that person’s disagreement with the decision.

9.1.12 *Reject, n.* — A type of Vote selected to indicate disapproval with part or all of a Letter Ballot’s technical content. A Reject Vote must be accompanied by supportive material indicating the reason(s) for disapproval (i.e., Negative).

9.1.13 *Vote, n.* — An expression of a Voter’s position in regard to the contents of a Letter Ballot.

9.1.14 *Voter, n.* — A person who submits a Vote on a Letter Ballot.

9.2 *Issuing Letter Ballots* — Letter Ballots for which a GTC has responsibility may be ordered by a motion passed at a TC Chapter meeting or initiated by the GCS. Other interested GTCs should be issued an Intercommittee Ballot.

9.2.1 *Conduct of Letter Ballots* — Letter Ballots shall be conducted by SEMI Headquarters.

9.2.2 *Announcement* — A Letter Ballot shall be announced to the public in a prominent place on the SEMI Standards Web site and in a SEMI communication to TC Members within twenty-four hours of the issuance of the Letter Ballot.

9.2.2.1 The SEMI Standards Web site announcement shall describe the items to be balloted by title, the closing date of the Letter Ballot, and where to find the date and location of the meeting at which that ballot will be discussed by the TC Chapter.

9.2.3 *Voting Period for Letter Ballot* — The closing date of the voting period shall be not less than 30 days from the day of issuance of that ballot.

9.2.4 *Letter Ballot Web Pages* — These Web pages shall clearly state:

- exactly what is to be voted upon; in each case, the Vote may apply to the full text or only to specified portions of it;
- the closing date of the voting period of the Letter Ballot(s); and
- a place to indicate the type of Vote (at a minimum: Accept, Reject, or Abstain) for each item on the Letter Ballot form.

9.2.5 *Contents of Letter Ballot* — A complete set of the contents of all Letter Ballots shall be in English. Additional sets may be provided in local languages when authorized by the TC Chapter responsible for the Locale. The Letter Ballot shall include the Background Statement and material that is to be voted upon.

9.2.5.1 *Background Statement*

9.2.5.1.1 *Notices* — The background shall be preceded by the following Notices:

9.2.5.1.1.1 **NOTICE:** This Background Statement is not part of the balloted item. It is provided solely to assist the recipient in reaching an informed decision based on the rationale of the activity that preceded the creation of this ballot.

9.2.5.1.1.2 **NOTICE:** For each Reject Vote, the Voter shall provide text or other supportive material indicating the reason(s) for disapproval (i.e., Negative[s]), referenced to the applicable section(s) and/or paragraph(s), to accompany the vote.

9.2.5.1.1.3 **NOTICE:** Recipients of this ballot are invited to submit, with their Comments, notification of any relevant patented technology or copyrighted items of which they are aware and to provide supporting documentation. In this context, ‘patented technology’ is defined as technology for which a patent has been issued or has been applied for. In the latter case, only publicly available information on the contents of the patent application is to be provided.

9.2.5.1.2 *Explanation of Background* — The Background Statement for each Letter Ballot action shall include background explaining the reasons why the action is needed and any additional information that may help the Voter understand why that ballot is being conducted. See *Procedure Manual* § 2.6.4 for more information.

9.2.5.1.2.1 The background shall be on a separate page or pages that precede the material to be voted upon.

9.2.5.1.3 *Safety Check List* — For Safety Guidelines, a copy of the Safety Check List shall be included at the end of the Background Statement. See ¶ 15.1.3.

9.2.5.1.4 *Voting Prohibited on Background Statement* — In all cases, material within the Background Statement is not part of the material to be voted upon.

9.2.5.2 *Ballot Content* — A copy of each Document (e.g., clean Draft copy, revised Draft copy with mark ups) or other matter to be voted upon (e.g., intent to withdraw or remove Document) shall be included.

9.2.6 *Issuance of Letter Ballots* — Letter Ballots are provided in a prominent, easily accessible place on the SEMI Standards Web site. If the Web site requires a password, Standards staff shall provide a means for access by the general public upon request.

9.3 *Return of Letter Ballots*

9.3.1 *Sufficient Return of Votes* — For the purpose of determining whether the 60% return rate requirement has been met, all Votes returned on time by Voting Interests of the GTC, registered prior to the start of the Letter Ballot period, shall be accumulated and counted as one Vote (i.e., one Voting Interest).

9.3.2 *Failure to Meet 60% Return Rate Requirement By the Closing Date*

9.3.2.1 If a Letter Ballot has not attained a 60% return rate by its closing date, that ballot is automatically held open until 30 days after the initial voting period, until the return rate reaches 60%, or until 3 business days before the date

of the scheduled TC Chapter meeting, whichever comes first. If a 60% return rate still has not been achieved past this date, the Draft is returned to the TC Chapter for further work, for rebalot, or for the Document's development to be discontinued.

9.3.2.2 Follow-up efforts may be made after the initial closing date to obtain Votes from delinquent Voters.

9.4 *Consideration of Votes*

9.4.1 *Validity of Votes Cast* — Valid votes are either:

- a. Votes cast by TC Members of the GTC that issued the Letter Ballot, or
- b. Votes by Program Members interested in the GTC that are not Abstains.

NOTE 26: Any person interested in a Letter Ballot can vote, but the person must first register as a Program Member.

9.4.2 *Precedence of Votes* — When Votes are received from more than one TC Member of a Voting Interest and any such Vote is a Reject, the Vote of the Voting Interest is recorded as Reject. If no Reject Votes are submitted and one or more Votes are Accept, the Vote of the Voting Interest is recorded as Accept.

9.4.3 *Validity of Reject Votes* — A Reject Vote will be considered procedurally valid if it contains at least one Negative.

NOTE 27: Actions on Negatives, as described below, may cause a Reject Vote to become invalid.

9.4.3.1 *Reject Votes Not Accompanied by Negatives* — If efforts to obtain a Negative for a Reject Vote that was submitted without a Negative are unsuccessful, the Vote will automatically be recorded in the minutes of the TC Chapter meeting as not valid. No further consideration is required. The Voter shall be notified in writing of this action.

9.4.3.2 Reject Votes received after the closing date shall be considered not valid, and shall automatically be taken up as new business at the next meeting of the Originating TC Chapter. The Voter shall be notified in writing of this action.

9.4.3.3 If all of the Negatives included with a Reject Vote are either withdrawn, determined to be not related, or determined to be not significant, the Reject Vote is not valid. The Voter shall be notified in writing of this action.

9.5 *Letter Ballot Review Timing* — Letter Ballot review shall be completed at the scheduled date and location of the Originating TC Chapter meeting as described in the Background Statement of the Letter Ballot (see *Procedure Manual* ¶ 2.6.4.1).

EXCEPTION: If Standards staff decides to postpone a set of scheduled Standards meetings due to force majeure (e.g., natural disaster, war), Letter Ballot review in question shall be completed during the rescheduled TC Chapter meeting. If rescheduling is not practical, review may be changed to a meeting of a TC Chapter other than the Originating TC Chapter (i.e., this TC Chapter would become the Responsible TC Chapter) if agreed upon by the cochairs of the Originating TC Chapter, and approved by the GCS (see ¶ 5.7.5.1d).

9.6 *Handling Negatives from Reject Votes*

9.6.1 *Acknowledgment of Rejects* — The Reject Vote shall be acknowledged within 30 days of its receipt. The acknowledgment shall state when and where the Vote will be considered. Voters casting Reject Votes are encouraged to appear in person or send a representative to support their views.

9.6.2 *Consideration* — Unless the exception in ¶ 9.6.4.2.5 applies, all Negatives accompanying valid Reject Votes must be discussed and be withdrawn, found not related, found not technically persuasive, or found technically persuasive in order to complete adjudication of the Letter Ballot.

NOTE 28: Adjudication refers to the TC Chapter process of handling Negatives, Comments, and proposed technical changes associated with a Letter Ballot. Review refers to the entire TC Chapter process of approving or failing a Letter Ballot that includes performing adjudication, the safety check (see § 8.7), and the potentially material patented technology or copyrighted items (i.e., intellectual property) check (see § 8.8).

9.6.3 *Resolution by Negotiation* — All reasonable efforts shall be made to reach an agreement between Voters casting Reject Votes and the Originating TC Chapter members in favor of that ballot item (e.g., TF members developing the Document). Reject Votes resolved through agreement may be recorded as either Abstain or Accept, at the option of the Voter initially casting the Reject Vote. If the Voter is not physically present at the TC Chapter meeting when the agreement of resolution is announced, he/she shall be notified in writing of this action.

9.6.4 *Decisions on Negatives* — If the Reject Vote is not withdrawn as a result of negotiations, the TC Chapter must first, prior to making any editorial changes related to the Negative being adjudicated, decide whether each Negative of a valid Reject Vote is related or not related to the Letter Ballot item, and then, if it is related, whether it is persuasive or not persuasive.

9.6.4.1 *Finding a Negative Not Related to Item* — A Negative that contains an explanation not related to the item being voted upon can be recorded as not related.

9.6.4.1.1 A decision to find a Negative not related to the item requires an affirmative vote of at least two-thirds of the persons voting on the action during a scheduled meeting of the TC Chapter (see § 7.2.2 for a discussion of when interest voting may be appropriate).

9.6.4.1.2 A statement of the reasons for the action and a numerical record of the vote shall be placed in the TC Chapter meeting minutes.

9.6.4.1.3 The TC Chapter is required to either assign the not-related Negative to a TF or place it on the agenda of the current TC Chapter meeting for consideration as new business.

9.6.4.1.4 If the Negative is found to be related, the TC Chapter must next decide whether it is persuasive or not persuasive.

9.6.4.2 *Finding a Negative Persuasive* — A decision to find a Negative persuasive requires only an affirmative vote of greater than one-third of the persons voting on the action during a scheduled meeting of the TC Chapter (see § 7.2.2 for a discussion of when interest voting may be appropriate).

9.6.4.2.1 The TC Chapter meeting minutes shall record the votes cast. A statement of the reasons for the action and a numerical record of the vote shall be included in the TC Chapter meeting minutes.

9.6.4.2.2 Alternatively, the presiding cochair may rule the Negative to be persuasive if no one opposes this ruling. In this case, the minutes shall show the TC Chapter's decision as unanimously in favor of the Negative being persuasive.

9.6.4.2.3 If a Negative is found to be persuasive, the TC Chapter may choose to address the Negative in accordance with the procedure in § 9.6.4.3.

9.6.4.2.4 If there is any Negative that is found persuasive and the TC Chapter chooses not to address it during adjudication, the balloted item is regarded as having failed GTC review and shall be returned to the responsible TF for further work or abandonment.

9.6.4.2.5 TC Chapter may choose to address a technical issue that is not part of a Negative received on a Letter Ballot (i.e., a Comment or a reason not addressed by a Vote response) by handling it as a Negative and finding it related and technically persuasive. The TC Chapter may then fail the Document or address such technical issue by using the procedure defined in § 9.6.4.3 to make a technical change to the Document.

9.6.4.2.5.1 If a technical change is proposed for a technical issue within a Line-Item, such a technical change may only be made to the content that is covered by that Line Item.

9.6.4.3 *Option to Address a Negative by Technical Change During Adjudication* — The TC Chapter may choose to introduce a necessary technical change that would address the Negative in accordance with the following procedure.

9.6.4.3.1 For a Negative that is found persuasive, the TF may recommend a technical change that would resolve the issues raised by the Negative.

9.6.4.3.2 If the TC Chapter agrees that the proposed technical change is acceptable, it then makes a decision by not less than a two-thirds majority if the Negative is addressed (i.e., technical issues raised by the Negative are resolved) by implementation of the proposed technical change.

9.6.4.3.3 If the TC Chapter agrees that the Negative is addressed by the proposed technical change, then it makes a decision on whether to implement the proposed technical change in the Document by not less than a 90% majority.

9.6.4.3.3.1 If the proposed change is not approved for implementation by the TC Chapter, the persuasive finding remains and the Letter Ballot fails.

9.6.4.3.4 When a Negative that was initially found persuasive becomes no longer persuasive by implementing a technical change during adjudication, it is recorded as a ‘Negative addressed by a technical change’ in the minutes of the TC Chapter.

9.6.4.3.5 For efficiency, once a TC Chapter finds a Negative to be persuasive, the TC Chapter may choose to send the remainder of the Reject Votes and issues to the responsible TF for further consideration, thus fulfilling the GTC’s obligation to act on the Negative.

9.6.4.4 *Finding a Negative Not Persuasive* — A decision to find a Negative not persuasive requires an affirmative vote of equal to or greater than two-thirds of the persons voting on the action during a scheduled meeting of the TC Chapter (see § 7.2.2 for a discussion of when interest voting may be appropriate).

9.6.4.4.1 A statement of the reasons for the action and a numerical record of the vote shall be included in the TC Chapter meeting minutes.

9.6.4.4.2 Additionally, if the TC Chapter finds a Negative not persuasive by a vote equal to or greater than 90% of the persons voting on the action, the TC Chapter may choose to term the Negative not significant. A Negative addressed by a technical change is automatically considered to be not significant.

9.6.5 *Notice of Action* — Each Voter casting a Reject Vote shall be promptly notified of the final disposition of the Negatives within his/her Vote and advised of the right to submit an MR on this decision. Actions on a Negative taken at a meeting of the TC Chapter require a summary of the action, including reasons and the numerical record of the vote, to be included in the TC Chapter meeting minutes.

9.7 *Letter Ballot Approval Conditions*

9.7.1 The following conditions must be met for a Letter Ballot to be approved by the TC Chapter.

9.7.1.1 A minimum of 60% of the Voting Interests that have TC Members within the GTC that issued that Letter Ballot return Votes.

9.7.1.2 All Negatives have been discussed and were withdrawn, found not related, found not persuasive, or addressed by a technical change by the TC Chapter.

9.7.1.3 At least 90% of the sum of the valid Accept and Reject Votes must be Accept.

9.7.2 The following conditions must be met for a Letter Ballot to be approved by the GTC.

9.7.2.1 If no technical change was made to the Document during adjudication of the Letter Ballot by the TC Chapter, the Letter Ballot is regarded to be approved by the GTC.

9.7.2.2 Where at least one Negative is addressed by a technical change, or any technical issue within the balloted item other than raised by a Negative is resolved by a technical change for the Letter Ballot and passed TC Chapter review, a Ratification Ballot was issued and accepted per § 10.5 in addition to approval by the TC Chapter per § 9.7.1.

NOTE 29: A Ratification Ballot is not required for a Letter Ballot that passed TC Chapter review without a technical change.

9.8 *Record of Letter Ballot Review* — The following information on each Letter Ballot passing the requirements of § 9 shall be included in the record of Letter Ballot review to the ISC A&R SC (see *Procedure Manual* ¶ 2.14.2.1 for more details and items):

- a. the number of Voting Interests casting Votes;
- b. the number of Accept, Reject, and Abstain Votes on the Letter Ballot;
- c. all Negatives from the Reject Votes;
- d. a record of the TC Chapter actions taken on the Negatives; and
- e. all editorial changes made in the process of adjudicating the Letter Ballots.

9.9 *Minority Reports Process* — Any person not in agreement with the TC Chapter’s decision to find a Negative not related or not persuasive, on how a Negative was addressed by a technical change, or on how a technical issue other than one raised by a Negative (i.e., handled as a Negative per ¶ 9.6.4.2.5) was resolved by a technical change may submit an MR to Standards staff. The ISC A&R SC shall not receive MRs.

9.9.1 Submission of an MR shall be made within two calendar weeks of the record of Letter Ballot review being made publicly available.

NOTE 30: TC Chapter meeting minutes or Committee Express Reports that include the record of Letter Ballot review are considered publicly available once they are published to the SEMI Standards Web site.

9.9.2 If an MR is submitted to Standards staff within two calendar weeks of the record of Letter Ballot review being made publicly available,

- Standards staff responsible for the TC Chapter that reviewed the Letter Ballot receiving the MR shall forward the MR to the GCS along with a motion to find the MR not technically persuasive (i.e., the GCS voter recommends that the TC Chapter does not need to reconsider at least one of the Negatives cited in the MR);
- the GCS members shall vote, within two calendar weeks; and
- the motion passes if a simple majority of the total GCS voting membership (i.e., not just those who return votes) approve the motion.

9.9.3 If the motion to the GCS fails, (i.e., the GCS recommends that the TC Chapter should reconsider at least one of the Negatives cited in the MR), the TC Chapter will decide on its response to the GCS recommendation at the next meeting of the TC Chapter that performed the review.

9.9.3.1 If that TC Chapter, upon reconsideration of the Negatives cited in the MR, overturns its previous decision on at least one of the Negatives, then the Document shall be returned to the TF for rework.

NOTE 31: For a Line-Item Ballot, only those Line Items that include Negatives for which the TC Chapter overturns its previous decision are returned to the TF.

9.9.3.1.1 If the Document (or Line Item) is returned to the TF, the procedural review decision to pass the Document (or Line Item) shall be nullified.

9.9.3.2 If the TC Chapter, upon reconsideration of the Negatives cited in the MR, does not overturn its previous decision on any of the Negatives, then Standards staff shall inform the MR submitter of the TC Chapter's decision.

9.9.3.3 If the MR submitter does not accept the TC Chapter's decision, the matter can be escalated to the ISC.

NOTE 32: § 9.10 will not go into effect until accreditation of these *Regulations* has occurred by ANSI. At that time, this Note will be editorially removed.

9.10 *Letter Ballots for American National Standards* — Letter Ballots for ANSs are conducted under the following:

9.10.1 Letter Ballots shall be issued in accordance with ¶ 9.2 and meet the general approval conditions listed in § 9.7.

9.10.2 Reject Votes and Negatives shall be handled in accordance with § 9.6, except that:

- Negatives contained in Reject Votes may not be considered not significant, and
- technical changes during adjudication per § 9.6.4.3 may not be used.

9.10.3 All written remarks (i.e., Negatives and Comments defined in § 9.1) received by Letter Ballot or from an ANSI public call for comment shall be discussed in the TC Chapter meeting. All actions taken from this discussion, if any, shall be recorded and reported with that ballot's results both in the TC Chapter meeting minutes and to the submitter of the written remarks.

NOTE 33: 'Comments,' as used by ANSI in public call for comment, is distinct from 'Comments' as defined in ¶ 9.1.9.

9.10.4 The provisions listed in §§ 9.8 and 9.9 shall be used, with the additional reporting of the number of Votes cast per each interest category to be included with the Letter Ballot report.

10 Ratification Ballot

10.1 Terminology

10.1.1 *Ratification Ballot, n.* — A ballot issued to validate any technical changes made by a TC Chapter during adjudication.

10.1.2 *Primary Global Technical Committee, n.* — The GTC that issued the Letter Ballot requiring a Ratification Ballot (hereinafter called Primary GTC).

10.1.3 *Advisory Global Technical Committee, n.* — Any GTC that received an Intercommittee Ballot for the Letter Ballot requiring a Ratification Ballot (hereinafter called Advisory GTC).

10.1.4 *Approve* — A type of Vote selected to indicate acceptance of a Ratification Ballot for the Draft Document to be published as shown in this ballot.

10.1.5 *Disapprove* — A type of Vote selected to indicate that a Ratification Ballot for the Draft Document to be published as shown in this ballot is not acceptable.

10.2 *Ratification Ballot* — A Ratification Ballot shall be issued when any technical change is made to a Letter Ballot during adjudication by the TC Chapter.

10.3 *TC Members Eligible to Vote on a Ratification Ballot* — Only TC Members of the Primary GTC or Advisory GTC who are registered on the issue date of the Letter Ballot for which the Ratification Ballot is issued are eligible to vote on the Ratification Ballot.

10.4 *Conduct of Ratification Ballots* — Ratification Ballots shall be conducted by SEMI headquarters.

10.4.1 *Notification* — Eligible TC Members of the Primary GTC and all Advisory GTCs shall be notified of the Ratification Ballot within 24 hours of the issuance of this ballot.

10.4.1.1 The notification shall describe the Ratification Ballot by title, the closing date of the Ratification Ballot, and where to find the date and location of the TC Chapter meeting at which all of the technical reasons provided with Disapprove Vote(s) will be discussed to determine a new course of action regardless of acceptance or failure of this Ratification Ballot.

10.4.2 *Obligation to Vote on Ratification Ballot* — All TC Members of the Primary GTC who are eligible to vote on the Ratification Ballot are obligated to vote.

NOTE 34: Eligible TC Members of any Advisory GTCs may vote on the Ratification Ballot, but they are not obligated to vote.

10.4.3 *Voting Period for Ratification Ballot* — The voting period shall be not less than 30 days from the issuance of the Ratification Ballot. If the required approval rate of the acceptance condition for ratification in ¶ 10.5.2.1 has not been met by its closing date, that ballot is automatically held open for 30 days after the end of the initial voting period or until the approval rate criterion in ¶ 10.5.2.1 is met, whichever comes first.

10.4.3.1 Follow-up efforts may be made after the initial closing date to obtain Votes from delinquent Voters.

10.4.4 *Ratification Ballot Web Pages* — These Web pages shall clearly state:

- exactly what is to be voted upon; in each case, the Vote may apply to the full text or only to specific portions of it;
- the closing date of the voting period of the Ratification Ballot; and
- a place to indicate the type of Vote (at a minimum: Approve, Disapprove, or Abstain) for the Ratification Ballot form.

10.4.5 *Contents of a Ratification Ballot* — The Ratification Ballot shall include the Background Statement and contents of the ballot that is to be voted upon.

10.4.5.1 *Background Statement*

10.4.5.1.1 *Notices* — The background shall be preceded by the following Notices:

10.4.5.1.1.1 **NOTICE:** This Background Statement is not part of the balloted item. It is provided solely to assist the recipient in reaching an informed decision based on the rationale of the activity that preceded the creation of this ballot.

10.4.5.1.1.2 **NOTICE:** For each Disapprove Vote, the Voter shall provide text or other supportive material indicating the reason(s) for disapproval (i.e., Negative[s]), referenced to the applicable section(s) and/or paragraph(s), to accompany the vote.

10.4.5.1.1.3 **NOTICE:** Recipients of this Ratification Ballot are invited to submit, with their Comments, notification of any relevant patented technology or copyrighted items of which they are aware and to provide supporting documentation. In this context, ‘patented technology’ is defined as technology for which a patent has been issued or has been applied for. In the latter case, only publicly available information on the contents of the patent application is to be provided.

10.4.5.1.1.4 **NOTICE:** This Document was approved with additional technical change(s) during adjudication of Letter Ballot # [ballot number] by the [Locale] Chapter of the [GTC name] Global Technical Committee during its meeting on [date]. This Ratification Ballot is issued in order to satisfy the conditions for Letter Ballot approval by the [GTC name] Global Technical Committee in accordance with § 9.7.2 of the *Regulations*. If the Ratification Ballot voting response meets the minimum acceptance conditions per *Regulations* § 10, then it will be automatically published.

10.4.5.2 One copy of the revised Draft Document is included to show the intended final published version. Only these proposed additional technical changes are shown in the other copy of the Draft Document with revision markups showing these intended changes, as an aid to the voter. Additions are indicated by underline and deletions are indicated by ~~strikethrough~~.

10.4.5.3 Contents for vote are limited to only considering these proposed additional technical changes. All content for a new Standard and Safety Guideline or all proposed technical and editorial changes for revisions of Standards and Safety Guidelines that were included in the original Letter Ballot and passed TC Chapter review, including the ones passed with editorial changes, are incorporated, without revision markups, in both copies. All other editorial changes, if any, made and approved during the TC Chapter review are incorporated also, without revision markups, in both copies.

10.4.5.3.1 *Explanation of Background* — The Background Statement for each Ratification Ballot shall include background listing all of the additional technical changes approved by the TC Chapter and why each change is needed.

10.4.5.3.1.1 The background shall be on a separate page or pages that precede the revised Draft Documents.

10.4.5.3.2 *Safety Check List* — For Safety Guidelines, a copy of the Safety Check List (updated as needed) shall be included at the end of Background Statement. See ¶ 15.1.3.

10.4.5.4 *Ballot Content* — Two copies of the revised Draft Document are included.

10.4.5.4.1 A copy of the Draft Document showing the intended final published version.

10.4.5.4.2 A copy of the Draft Document incorporating any editorial changes approved during adjudication of the Letter Ballot by the TC Chapter with revision markup showing only the intended technical changes.

NOTE 35: In the case of a Ratification Ballot for technical changes made to Line Items, the term Draft Document applies to individual Line Items.

10.4.6 *Issuance of Ratification Ballots* — Ratification Ballots are provided in a prominent, easily accessible place on the SEMI Standards Web site accessible for TC Members of the Primary GTC and all Advisory GTCs, if any, who are eligible to vote on the Ratification Ballot.

10.5 *Acceptance Condition of Ratification Ballots*

10.5.1 *Counting of Votes*

10.5.1.1 *Precedence of Votes* — When Votes are received from more than one TC Member of a Voting Interest and any such Vote is Disapprove, the Vote of the Voting Interest is recorded as Disapprove. If no Disapprove Votes are submitted and one or more Votes are Approve, the Vote of the Voting Interest is recorded as Approve.

10.5.1.2 For the purpose of determining the approval rate, all valid Votes returned by a Voting Interest that has at least one TC Member of the Primary GTC who is eligible to vote on the Ratification Ballot shall be accumulated and counted as one Vote (i.e., one Voting Interest).

10.5.1.3 For the purpose of determining the disapproval rate, all valid Votes returned by a Voting Interest that has at least one TC Member of the Primary GTC or any Advisory GTC who is eligible to vote on the Ratification Ballot shall be accumulated and counted as one Vote (i.e., one Voting Interest).

10.5.2 *Acceptance Conditions* — The following conditions must be met for a Ratification Ballot to be accepted.

10.5.2.1 The total number of primary GTC Voting Interest Votes that are recorded as Approve per ¶ 10.5.1.2 shall be equal to or greater than 30% of the Primary GTC Voting Interests that have at least one eligible TC Member.

10.5.2.2 The total number of valid Disapprove Votes counted per ¶ 10.5.1.3 shall be less than 10% of the total number of Voting Interests that received the Ratification Ballot.

10.5.3 *Exclusion of an Invalid Disapprove Vote*

10.5.3.1 A Disapprove Vote that is

- a. not accompanied by at least one technical reason, or
- b. only accompanied by text that is not relevant to the technical change(s) included in the Ratification Ballot.

is regarded as invalid and is not included for the calculation of the acceptance condition.

10.5.3.1.1 Assessment per ¶ 10.5.3.1a shall be made by Standards staff.

10.5.3.1.2 *Additional TC Chapter Cochairs' Assessment* — Assessment per ¶ 10.5.3.1b shall be made by the TC Chapter cochairs if the Disapproval rate is greater than or equal to 10% after invalid Disapprove Votes are excluded per ¶ 10.5.3.1a. A Disapprove Vote that has all its accompanying text found not relevant to the balloted item is regarded as invalid and is not included for the calculation of the acceptance condition.

10.5.3.1.2.1 The TC Chapter cochairs shall provide the reason(s) for their assessment in writing.

10.6 *Action on Ratification Ballot Results* — If a Draft Document requiring a Ratification Ballot has not met the acceptance condition in § 10.5.2 within the voting period, the Draft Document is regarded as having failed GTC review and shall be returned to the responsible TF for rework.

10.6.1 If a Draft Document is returned to the TF due to unsuccessful ratification, the procedural review decision to pass the Document shall be nullified.

10.6.2 The Originating TC Chapter is required to either assign the technical reasons accompanying Disapprove Votes on the Ratification Ballot either to a TF or place it on the agenda of the earliest TC Chapter meeting after the Ratification Ballot is concluded for consideration as new business regardless of whether or not the Ratification Ballot is accepted.

10.7 *Additional Procedural Review on Ratification Ballot Results* — A report on the Ratification Ballot containing the following information, at a minimum, shall be reviewed by the ISC A&R SC:

- a. the number of Voting Interests that have at least one eligible TC Member in the Primary GTC
- b. the total number of Primary GTC Voting Interest Votes that are recorded as Approve;
- c. the total number of Voting Interests that have at least one TC Member eligible to vote per § 10.3;
- d. the number of Disapprove Votes from eligible TC Members that are regarded as valid;
- e. the number of Disapprove Votes regarded as invalid per § 10.5.3; and
- f. details of any assessment required per ¶ 10.5.3.1.2 (e.g., who performs the assessment, reason for the finding) that finds a Disapprove Vote to be invalid.

11 Procedural Review

11.1 *Responsibilities* — The ISC A&R SC shall determine whether the procedural requirements of these *Regulations* have been met and whether a satisfactory consensus has been reached on the following actions taken by a TC Chapter:

- approval of a Letter Ballot per § 9,
- results of a Ratification Ballot issued per § 10,
- approval of a Supplementary Material made outside the Letter Ballot process per § 14.3, and
- approval of editorial changes by a TC Chapter made independently from a Letter Ballot per ¶ 8.9.4.

11.2 *Procedural Review Report* — A separate report covering any one of the above actions shall be submitted to the ISC A&R SC not later than 28 calendar days after completion of the action. The report shall use the appropriate procedural review template, defined in the *Procedure Manual*, to facilitate reaching a decision on the report.

11.3 *Voting* — Each voting member of the ISC A&R SC is entitled to one vote on each procedural review report.

NOTE 36: Line Items may be reviewed individually.

11.4 *Approval* — If the ISC A&R SC approves the TC Chapter actions, the Document is approved and published. Approval requires a simple majority vote of the ISC A&R SC.

11.5 *Reports of Results* — After conclusion of the procedural review, an announcement shall appear on the SEMI Standards Web site. All actions of the ISC A&R SC shall be reported for information to the ISC. In addition, the ISC A&R SC shall report its actions to the RSCs. Notification of TC Chapter actions failed by the ISC A&R SC shall be provided to the Originating TC Chapter and Responsible TC Chapter, if applicable, and its GCS. This notification shall include the reason for the failure and recommendations for action to avoid such problems in the future.

12 Appeal Process

12.1 *Who May Appeal* — Any person who considers himself adversely affected by the development, interpretation, or use of SEMI Standards or Safety Guidelines (hereinafter referred to as the appellant) is invited to submit a written statement explaining the concern to Standards staff, who will forward the concern to the ISC A&R SC, with a copy to the ISC. The statement shall include a proposal defining the remedial action desired.

12.1.1 *Scope of the Process* — This appeal process is intended only for appeals on procedural issues. Such issues include procedural actions or procedural inactions. Technical issues are dealt with through the Letter Ballot process and are not considered as a basis for an appeal, unless extraordinary circumstances exist.

12.1.2 *Personal Presentation Option* — The appellant may elect to present the appeal to the ISC A&R SC. This decision must be made within 10 business days after acknowledgement of receipt of the appeal by Standards staff. If this option is selected, the hearing must be held within 10 business days of the decision. This hearing may take place virtually, via teleconference and/or online meeting, or if it is convenient for both the appellant and members of the ISC A&R SC, in person during a regularly scheduled Program event. In the case of a hearing, Standards staff must be present to document the proceedings. If the appellant does not choose the personal appearance option, the ISC A&R SC will make its determination based solely on the content of appellant's written statement.

12.1.3 *Evidence* — The appellant may present any evidence relevant to the appeal.

12.2 *Timing of the Appeal Process* — After a written appeal is received by Standards staff, Standards staff will format the appeal in a consistent manner and forward it to the ISC A&R SC within 10 business days. If the appellant declines to present the appeal, the ISC A&R SC will make its judgment within 20 business days of receiving the appeal from Standards staff. If the appellant chooses to present the appeal, the ISC A&R SC will make its judgment within 10 business days of hearing the appeal presentation.

12.3 *Sequence of the Appeal Process* — The sequential order of the appeal process is to be strictly followed. Each stage must be completed before proceeding to the next stage. Adequate written records of each hearing shall be maintained.

12.4 *Higher Appeals* — If the ISC A&R SC does not support the appellant's position, the appellant may elect for the appeal to be carried to higher levels as follows (in order):

12.4.1 ISC

12.4.2 SEMI Board of Directors

12.5 *Responsibility for Action* — The ISC is responsible for taking any corrective action that becomes necessary or advisable as a result of an appeal.

12.6 *Documents Under Appeal* — An appeal may be issued before, during, or after procedural review.

12.6.1 If an appeal is issued prior to official publication of the Document in question, SEMI Standards shall refrain from publishing the Document until the appeal has been resolved.

12.6.2 If an appeal is issued after the Document in question has been officially published, SEMI shall not alter or remove the publication until after the appeals process is concluded and such action is warranted.

13 Preliminary Standards

NOTE 37: The procedures of this section are not applicable to Safety Guidelines and proposed ANSs.

13.1 Approval Process

13.1.1 Publication of a Preliminary Standard requires:

- a. the approval of two-thirds of the persons voting on the action during a scheduled meeting of a TC Chapter (see ¶ 7.2.2 for a discussion of when interest voting may be appropriate),
- b. the approval of the GCS of the GTC, and
- c. the approval of the ISC A&R SC.

13.1.2 A report of the action(s) by the TC Chapter, including a record of the vote and the record of the GCS vote, shall accompany the Preliminary Standard when it is submitted to the ISC A&R SC for approval of its publication.

13.2 *Limitation* — A Preliminary Standard may be replaced by a Full-consensus Standard. A Full-consensus Standard may only be replaced by a Full-consensus Standard.

13.2.1 A Preliminary Standard may be superseded by a Full-consensus Standard if a Letter Ballot to revise the Preliminary Standard into a Full-consensus State is approved by the GTC per § 9.7 and procedural review before expiration. In this case, the designation number of the Preliminary Standard is inherited by the Full-consensus Standard.

13.2.1.1 A Preliminary Standard shall not be superseded by another Preliminary Standard.

13.2.2 A Preliminary Standard may be replaced by a Full-consensus Standard if a Letter Ballot to replace the Preliminary Standard with a Full-consensus Standard is approved by the GTC per § 9.7 and procedural review before expiration. In this case, the designation number of the Preliminary Standard is not inherited by the Full-consensus Standard.

13.2.2.1 A Full-consensus Standard shall not be superseded by a Preliminary Standard.

13.3 *Use of Patented Technology or Copyrighted Item* — Preliminary Standards making use of patented technology or copyrighted item may be published only if all of the requirements of § 16 are met.

13.4 *Expiration* — After being published for a period of two years, Preliminary Standards expire. Expired Preliminary Standards are immediately no longer available from SEMI unless an extension is requested of and granted by the ISC. Notification of expiration shall appear in the place where the Preliminary Standard used to be.

13.5 *Extension* — The Originating TC Chapter for a Preliminary Standard may decide to request the ISC to grant an extension of the publication period, for not more than one year, of a Preliminary Standard only when all the following conditions are met:

- the Preliminary Standard has at least one month before expiration;
- at least one Letter Ballot that tried to revise or replace the Preliminary Standard has failed; and
- it becomes procedurally impossible for any Letter Ballot revising or replacing the Preliminary Standard to be approved by the GTC per § 9.7 and procedural review before expiration.

13.5.1 The TC Chapter's request for extension shall be submitted by the Standards staff responsible for the TC Chapter to the Standards staff responsible for the ISC at least one month prior to the expiration date.

14 Supplementary Materials

14.1 *Identification of Supplementary Material* — Supplementary material (i.e., Related Information, Various Materials, Auxiliary Information) may or may not:

- be a part of a Standard or Safety Guideline, but is not official content;
- accompany a Standard or Safety Guideline during the balloting process; and

- be published with a Standard or Safety Guideline.

NOTE 38: Appendices are an official part of a Standard or Safety Guideline and are NOT Supplementary Materials. They always accompany the Standard or Safety Guideline to which they belong through the balloting process.

14.2 *Notices for Supplementary Material* — To avoid misunderstanding, each item of such material, whether published with or referenced by a Standard or Safety Guideline, must be clearly identified with a Notice preceding the text of the information as to:

- a. that it is not official content of a Standard or Safety Guideline,
- b. whether or not it is part of a Standard or Safety Guideline,
- c. the origin of the information, and
- d. the authorization for its publication.

14.3 *Authorization for Publication*

14.3.1 Related Information is published within, but is not official content of, a Standard or Safety Guideline.

14.3.1.1 Related Information that accompanies the Standard or Safety Guideline through the balloting process is published automatically within the Standard or Safety Guideline upon successful approval.

14.3.1.2 Related Information that does not accompany the Standard or Safety Guideline through the balloting process may be authorized for publication with the Standard or Safety Guideline by a two-thirds majority of persons voting on the action (see ¶ 7.2.2 for a discussion of when interest voting may be appropriate) during a scheduled TC Chapter meeting, and subsequent approval by both the GCS and the ISC A&R SC.

14.3.2 Various Materials are published separately from and are a part of, but not official content of, a Standard or Safety Guideline.

14.3.2.1 Various Materials that accompany the Standard or Safety Guideline through the balloting process are published automatically with the Standard or Safety Guideline upon successful approval.

14.3.2.2 Various Materials that do not accompany the Standard or Safety Guideline through the balloting process may be authorized for publication with the Standard or Safety Guideline by a two-thirds majority of persons voting on the action (see ¶ 7.2.2 for a discussion of when interest voting may be appropriate) during a scheduled TC Chapter meeting, and subsequent approval by both the GCS and the ISC A&R SC.

14.3.3 Auxiliary Information is not published with a Standard or Safety Guideline. It may be authorized for publication as a separate Document by a two-thirds majority of persons voting on the action (see ¶ 7.2.2 for a discussion of when interest voting may be appropriate) during a scheduled TC Chapter meeting, and subsequent approval by both the GCS and the ISC A&R SC.

14.4 *Removal from Publication*

14.4.1 Removal of Related Information or Various Materials may be authorized through Letter Ballot or by a two-thirds majority of persons voting on the action (see ¶ 7.2.2 for a discussion of when interest voting may be appropriate) during a scheduled TC Chapter meeting, and subsequent approval by both the GCS and the ISC A&R SC.

14.4.2 Auxiliary Information may only be removed from publication by a two-thirds majority of persons voting on the action (see ¶ 7.2.2 for a discussion of when interest voting may be appropriate) during a scheduled TC Chapter meeting, and subsequent approval by both the GCS and the ISC A&R SC.

15 **Safety Guideline Development and Review**

15.1 *Special Treatment of Safety Guidelines*

15.1.1 Safety Guidelines should be developed with due consideration for known legal and other requirements that may vary between jurisdictions. In addition, the various aspects of the Safety Guideline must be considered from the point of view of many different safety-related specialties.

15.1.2 These considerations shall be documented in an annotated Safety Check List, which shall be included in the Letter Ballot through the balloting process as part of the Background Statement.

15.1.2.1 If a Ratification Ballot is required to complete the approval of the Letter Ballot per ¶ 9.7.2.2, the annotated Safety Checklist, updated as needed for any new technical changes, shall be included in the Ratification Ballot through the balloting process as part of the Background Statement.

15.1.3 When the Letter Ballot is approved for publication of the Document as a Safety Guideline, the annotated Safety Check List together with list(s) showing name, title, and affiliation of all contributing members of the TF and all other individuals who made Comments that have technical content in addition to Negatives on the Letter Ballot during balloting and review shall be retained in SEMI Standards organization's files of the Safety Guideline until the Safety Guideline is revised or withdrawn.

15.1.4 Safety Guidelines may not be published as Preliminary Documents.

15.1.5 Revisions of Safety Guidelines shall also be treated in accordance with § 8.

15.1.6 The ISC A&R SC shall review the completed, annotated Safety Check List for adequacy during the procedural review process.

15.2 *Considerations when Developing Safety Guidelines*

15.2.1 The following items shall be considered by the TF and Originating TC Chapter during the course of developing a Safety Guideline:

15.2.1.1 Any known inconsistencies between the Document and other safety-related codes, standards, and practices cited in the Document;

15.2.1.2 Other applicable safety-related codes, standards, and practices used in developing the Document, especially codes, standards, and practices from all countries with active semiconductor and related products manufacturing to the extent practical; and

15.2.1.3 Other conflicts with known codes, standards, and practices or with commonly accepted safety and health principles to the extent practical.

15.3 *Contents of Safety Check List* — The annotated Safety Check List shall contain:

- title of the Safety Guideline;
- name of the TF that developed or revised the Safety Guideline;
- names and affiliations of leader(s) of the TF and primary author, writer, or editor of the Document, if different;
- author(s) of the Safety Check List, if different from above;
- safety-related codes, standards, and practices used in developing a Safety Guideline, including those cited in the Safety Guideline, and the manner in which each item was considered by the GTC;
- known inconsistencies between the Safety Guideline and any other safety-related codes, standards, and practices cited in the Safety Guideline; and
- names and affiliations of participants and contributors.

16 Patent and Copyright References in SEMI Documents

NOTE 39: Throughout § 16, the term 'Document' is used as defined in ¶ 4.2.1. Once a Standard, Safety Guideline, or Auxiliary Information is published, it is referred to as a Published Document in this section regardless of its Status (see ¶ 4.2.17).

NOTE 40: Please be aware that, under the current law of the United States and numerous other countries, the use of a copyright Notice is not necessary in order for a work to have copyright protection. Such protection is available to all subject matter entitled to copyright protection from the moment it is 'fixed in a tangible medium of expression.' Therefore, unless the work has been published with a statement from the author that it may be freely reproduced, it should be assumed that all referenced works have copyright protection.

16.1 *Patented Technology or Copyrighted Items Used to Comply with or Copyrighted Items Reproduced in Published Documents* — It is desirable for a Published Document to be implemented in innovative ways that adapt it to the technological progress of the industry. Therefore, Published Documents should be written in such a way that the use of patented technology or reproduction of copyrighted items is not necessary. However, when technical reasons require the use of a patented technology as the only means to apply a Published Document, or reproduction of copyrighted

items in the Published Document is the only means to provide technical clarity to the Published Document, the procedure described in this section shall be followed. For the purposes of this section, ‘patented technology’ is defined as technology for which a patent has been issued or has been applied for. In the latter case, only publicly available information on the contents of the patent application is to be considered by the GTC in fulfilling the requirements of this section.

16.2 *Process for Patented Technology Known Prior to Start of Document Development (i.e., SNARF Approval)*

16.2.1 If it is known that patented technology is intended to be included in the proposed Document(s), then the proposer shall inform Standards Staff. Standards staff shall then request and obtain a letter of intent (LOI) from the holder(s) of the patented technology (hereinafter called patent holder(s)).

NOTE 41: The proposer of the Document can be any Program Member or an existing TF.

16.2.1.1 An LOI will be sent to the patent holder(s) asking whether the patent holder(s):

- a. intends to permit the use of the patented technology for the purpose of implementing the Published Document without specific license and without payment of royalty or other charge, or
- b. intends to negotiate licenses under the patent holder’s rights with applicants throughout the world wishing to use the patented technology in complying with the Published Document on reasonable and nondiscriminatory terms and conditions.

16.2.1.2 If any proposer represents the patent holder, the LOI must first be obtained before the SNARF is approved.

16.2.1.3 If no proposer represents the patent holder, the status of obtaining the LOI shall be reported at the TC Chapter meeting where the decision on SNARF approval will be made, so that the TC Chapter can make an informed decision.

NOTE 42: The SNARF can be approved by the TC Chapter or by the GCS.

16.3 *Process for Patented Technology After Start of Document Development*

16.3.1 *Responsibility to Disclose Relevant Patented Technology* — Any Program Member involved in the development of a Document has the continuous responsibility, at any and all times, to inform the GTC of the existence of any patent rights that may be relevant to the Document.

16.3.1.1 In this context, patented technology might be material to the Document when there is a reasonable likelihood that use of such patented technology will be necessary to use, implement, or comply with the Published Document or combination of Published Documents including the Published Documents.

16.3.1.2 This responsibility does not extend to the disclosure of confidential or unpublished information without the permission of the owner of such information. Unpublished information disclosed in a SEMI Standards meeting has been publicly disclosed because such meetings are open forums.

16.3.2 *Assessment of Possible Relevance of Patented Technology to Documents Under Development* — The Originating TC Chapter shall assess if patented technology disclosed during the course of developing a Document might be material to the Document.

EXCEPTION: In cases where review is assigned to another TC Chapter (see ¶ 5.7.6.3 Exception), the assessment shall be done in that particular meeting in which responsibility is temporarily assigned to that Responsible TC Chapter for any patented technology disclosed in that Letter Ballot response.

16.3.2.1 If the existence of potentially material patented technology is first reported to a TF of the TC Chapter, the TF report to the TC Chapter at its next meeting shall include the findings.

16.3.2.2 If the TC Chapter finds that the patented technology might be material to the Document, the TC Chapter shall examine the potentially material patented technology to determine whether its use is justified on technical grounds. The conclusions reached in these examinations shall be reported to a meeting of the TC Chapter and recorded in the minutes of this meeting.

16.3.2.3 If the TC Chapter finds the use not to be justified on technical grounds, the TC Chapter will return the Document to the TF for further work to remove the content related to the potentially material patented technology. In this case, Standards staff shall not request a letter of assurance (LOA) from the holder of the potentially material patented technology. The TF may choose to recommend to the TC Chapter to abandon the activity.

NOTE 43: A TF may provide a recommendation on the assessment of the patented technology, but only the TC Chapter validates the assessment.

16.3.3 *Presentation of Inquiry to Patent Holder(s)* — If the TC Chapter determines on technical grounds that use of the potentially material patented technology is justified, the TC Chapter shall direct the responsible Standards staff to ask the patent holder(s) for an LOA.

16.3.3.1 An LOA request will be sent to the patent holder(s) that was assessed by the TC Chapter as potentially material to the Document asking the patent holder(s) whether the patented technology is material and, if so, if the patent holder(s):

- a. will permit the use of the patented technology for the purpose of implementing the Published Document without specific license and without payment of royalty or other charge; or
- b. will negotiate licenses under the patent holder's rights with applicants throughout the world wishing to use the patented technology in complying with the Published Document on reasonable and nondiscriminatory terms and conditions; or
- c. will, without conditions, not enforce any present or future Material Patent Claims against any person or entity using the patented technology for the purpose of implementing the Published Document.

Any negotiations regarding licensing shall be conducted between the interested parties outside the SEMI Standards Documents development process.

16.3.3.2 *Actions if No Response Is Received Six Months After the LOA Request*

16.3.3.2.1 If any such patent holder does not respond to an LOA request within six months, the Document is automatically referred back to the Originating TC Chapter for reassessment of the technical justification to include the potentially material patented technology in the Document.

16.3.3.2.2 If the Originating TC Chapter reaffirms its previous decision, that use of the potentially material patented technology is justified on technical grounds, the LOA submission deadline is extended for six months from the date of the decision to reaffirm.

16.3.3.2.3 If the Originating TC Chapter overturns its previous decision, the Document shall be sent back to the TF to remove the content related to the potentially material patented technology. Alternatively, the TC Chapter may decide to abandon further activity and to discontinue the Document. In either case, SEMI shall inform the patent holder that the LOA is no longer needed.

16.3.3.3 *Validity of an LOA Received After Six Months from the Request*

16.3.3.3.1 An LOA is valid if it is submitted to SEMI before the Originating TC Chapter makes its reassessment of technical justification to include the patented technology in the Document. No decision is necessary by the TC Chapter.

16.3.3.3.2 An LOA is not valid if it is submitted to SEMI after the Originating TC Chapter makes its reassessment of technical justification to include the patented technology in the Document and decides to overturn its previous decision.

16.3.4 *Disposition of LOA* — The completed LOA will be sent by the Standards staff to the responsible GCS within one week after receipt, and then reported by the Standards staff to the Originating TC Chapter at its next meeting. LOAs are placed and retained, for inspection by interested parties, in SEMI's files of the Document or Documents affected.

16.3.5 *Condition of Publication* — A Document shall not be published until all of the following conditions have been met:

- LOAs from the patent holders of all identified patented technology have been received, and
- each patent holder of all identified patented technology
 - agrees to license with terms,
 - believes its patented technology is not material,
 - agrees to give free license or equivalent, or
 - agrees not to enforce any patent claims.

16.3.5.1 If no reply is received from the patent holder(s), or if the reply is other than described in ¶ 16.3.5, the ISC may grant special permission to publish the Document. In this case, the ISC will instruct Standards staff to modify appropriately the required Notice in ¶ 16.3.5.2. This exemption is not available for a Published Document that will become a proposed ANS.

16.3.5.2 *Required Notice* — Published Documents containing reference to patented technology must include the required Notice as stipulated by the *Style Manual*.

16.4 *Process for Copyrighted Items*

16.4.1 *Responsibility to Disclose Relevant Copyrighted Items*

16.4.1.1 Any Program Member involved in the development of a Document has the continuous responsibility to inform the GTC of the existence of any copyrighted items that may be relevant to the Document.

16.4.1.2 If a copyrighted item that may be relevant to the Document is reported to the GTC, the Originating TC Chapter shall examine the Document and the copyrighted item.

EXCEPTION: In cases where review is assigned to another TC Chapter (see ¶ 5.7.6.3 Exception), the assessment shall be done by that Responsible TC Chapter for any copyrighted item disclosed in that Letter Ballot response.

16.4.1.3 If the TC Chapter finds that the copyrighted item has been reproduced in the Document, it shall decide if the reproduction is justified on technical grounds. The conclusions reached in these examinations shall be reported to a meeting of that TC Chapter and recorded in the minutes of this meeting.

16.4.1.3.1 If the TC Chapter finds the reproduction not to be justified on technical grounds, the TC Chapter shall return the Document to the TF for further work to remove the reproduced material. In this case, Standards staff shall not request a copyright release from the copyright holder. The TF may choose to recommend to the Originating TC Chapter to abandon the activity.

NOTE 44: Making reference to a copyrighted item does not, of itself, require reporting to or decisions from the Originating TC Chapter or that a copyright release must be obtained by SEMI. This also applies to recommending or requiring the use of a copyrighted item by the user of a Published Document in carrying out the purposes of the Published Document. The user of the Published Document is responsible for obtaining any necessary copyright release from the copyright owner, usually by purchase of the copyrighted item.

16.4.2 *Request for Copyright Release from Copyright Owner*

16.4.2.1 If the TC Chapter determines on technical grounds that reproduction of the copyrighted item is justified, a request for a copyright release letter will be sent to the owner of the copyrighted items (hereinafter the copyright owner) that were reproduced in the Document asking the copyright owner if they will permit the reproduction of the copyrighted items in the Published Document with copyright ownership attribution.

16.4.3 *Disposition of Copyright Release Letter* — The completed copyright release letter is sent by Standards staff to the responsible GCS within one week after receipt, and then reported by Standards staff to the Originating TC Chapter at its next meeting. Such letters are placed and retained, for inspection by interested parties, in SEMI's files of the Document or Documents affected.

16.4.4 *Condition of Publication* — A Document shall not be published until the following condition has been met:

- if copyrighted items are being reproduced in the Document, the Document may be published when copyright release letters from the copyright owners of all identified copyrighted items have been received and recorded by SEMI (see ¶ 16.4.3).

16.4.5 If no reply is received from the copyright owner of any copyrighted item that is reproduced in the Document, the TC Chapter shall decide to either abandon publication of the Document or publication of the Document without reproduction of the copyrighted item.

NOTE 45: The latter will require rebalot of the Document.

16.4.6 *Required Notice* — Published Documents that include reproduction of copyrighted items must include the required Notices as stipulated by the *Style Manual*.

16.5 *Discovery of Relevant Patented Technology or Copyrighted Items After Publication* — If previously undisclosed patented technology or copyrighted items are discovered in a Published Document that may impact the Published

Document, or if technology disclosed in a published patent application and previously used in the Published Document becomes the subject of an issued patent, the Published Document shall be referred back to the Originating TC Chapter for reconsideration in accordance with ¶¶ 16.3.1 through 16.4.6.

17 Option to Designate a Standards Document as an American National Standard

17.1 *Limitations* — When the Program has been accredited by ANSI, certain published SEMI Standards may be selected for submission to ANSI for acceptance as ANSs. This option is currently unavailable in other countries unless or until it is appropriate to seek such approval from other national accreditation bodies.

NOTE 46: Accreditation to ANSI and submission of Standards to ANSI involve significant costs.

17.2 *Petition* — Upon recommendation from one of its TFs, any TC Chapter may petition, through its RSC, the approval of the ISC for submission of a published, publicly available, and current Standard or Safety Guideline into the ANS approval process.

17.2.1 The petition must be submitted in writing and clearly describe the need, impact, and other reasons to support this decision.

17.2.2 The ISC, if it wishes to approve the request, will first seek agreement from SEMI Headquarters.

17.3 *Application to ANSI* — Upon approval by the ISC, the following shall occur:

17.3.1 A Letter Ballot is issued by the petitioning TC Chapter's GTC in accordance with ¶ 9.10.

17.3.1.1 The content of the Letter Ballot is the published SEMI Standard named in the petition, without any attached Related Information sections, and a Background Statement including the text of the petition approved by the ISC.

17.3.1.1.1 A Letter Ballot for an ANS may only be reviewed in accordance with § 9 during face-to-face TC Chapter meetings at major SEMI events due to the significance of the action. Additionally, that ballot must be issued no less than 60 calendar days prior to the TC Chapter meeting listed in that Letter Ballot as the place for review.

17.3.1.2 For ANS Letter Ballots, the GTC's registered Voting Interests will be considered to be the consensus body.

17.3.2 Standards staff shall coordinate the Letter Ballot to be issued in parallel with a public call for comment and a Notice to be placed within ANSI's *Standards Action*.

17.3.2.1 This public call for comment shall be open for 45 days and close no later than 14 days prior to the TC Chapter meeting at which the Letter Ballot requirements of this section shall be discussed.

NOTE 47: 'Comments,' as used by ANSI in 'public call for comment,' is distinct from 'Comments' as defined in ¶ 9.1.9.

17.3.3 Additionally, the applicable procedures given in ANSI Essential Requirements: Due process requirements for American National Standards³ shall be followed.

³ American National Standards Institute, 25 West 43rd Street, New York, NY 10036, USA; Telephone: +1.212.642.4900, Fax: +1.212.398.0023, <http://www.ansi.org>

APPENDIX 1

A1-1 Acronyms

- A1-1.1 *A&R SC* — Subcommittee on Audits and Reviews
- A1-1.2 *AHJ* — authorities having jurisdiction
- A1-1.3 *ANS* — American National Standard
- A1-1.4 *ANSI* — American National Standards Institute
- A1-1.5 *ASTM* — ASTM International
- A1-1.6 *CFG* — Chapter Formation Group
- A1-1.7 *DIN* — Deutsches Institut für Normung
- A1-1.8 *FPD* — flat panel display
- A1-1.9 *GCS* — Global Coordinating Subcommittee
- A1-1.10 *GTC* — global technical committee
- A1-1.11 *ISC* — International Standards Committee
- A1-1.12 *JEITA* — Japan Electronics and Information Technology Industries Association
- A1-1.13 *LOA* — letter of assurance
- A1-1.14 *LOI* — letter of intent
- A1-1.15 *MEMS* — micro electro-mechanical system
- A1-1.16 *PIP* — Publication Improvement Proposal
- A1-1.17 *MR* — minority report
- A1-1.18 *RSC* — Regional Standards Committee
- A1-1.19 *SDO* — standards development organization
- A1-1.20 *SI* — Système International d'Unités
- A1-1.21 *SNARF* — Standards New Activity Report Form
- A1-1.22 *TC* — global technical committee (only when used in 'TC Member' and 'TC Chapter')
- A1-1.23 *TF* — task force
- A1-1.24 *XML* — extensible markup language

Revision Record

<i>Description</i>	<i>Authority^{#1}</i>	<i>Date of Action</i>
Final draft prior to submission to Standards Committee	Regulations TF	Feb. 1988
Sections 3.1 and 3.2 modified, <i>Regulations</i> accepted	Standards Committee	May 24, 1988
Section 8.6 modified	Int'l. Stds. Comm.	Nov. 22, 1988
Section 4.2.8 modified	Int'l. Stds. Comm.	March 8, 1989
Section 11.3 modified	Int'l. Stds. Comm.	March 8, 1989
Section 1.6.2 modified	Int'l. Stds. Comm.	Nov. 14, 1989
Section 1.7 new	Int'l. Stds. Comm.	Nov. 14, 1989
Section 1.8 (old 1.7 re-numbered)	Int'l. Stds. Comm.	Nov. 14, 1989
Section 6.1.8 modified	Int'l. Stds. Comm.	Nov. 14, 1989
Section 13 replaced in entirety	Int'l. Stds. Comm.	Nov. 14, 1989
General revision to conform with current practice	Int'l. Stds. Comm.	May 24, 1990
Editorial error corrected in section 10.3.2	R.I. Scace	Jan. 14, 1991
Sections 4 and 13 modified; sections 5 and 6 combined; new section 12 added; numerous small changes for clarity and consistency	Int'l. Stds. Comm.	Dec. 6, 1991
Section 5.3.1 slightly modified	Int'l. Stds. Comm.	March 10, 1992
Sections 15.2 and 15.4 modified; new section 16.4	Int'l. Stds. Comm.	March 30, 1993
Section 4.4 added	Int'l. Stds. Comm.	July 18, 1993
Sections 5.3.2.3 through 5.3.2.5 changed	Int'l. Stds. Comm.	July 18, 1993
Section 10.1.3 modified to add English requirement	Int'l. Stds. Comm.	Dec. 1, 1993
New section 5.4.3.7; modification to section 11.1	Int'l. Stds. Comm.	April 12, 1994
New section 4.5 provides general patent notice	Int'l. Stds. Comm.	Nov. 30, 1994
Section 8.1 modified to clarify committee voting practices	Int'l. Stds. Comm.	Nov. 30, 1994
Section 10.1.3 (2) modified to cover specific-item voting	Int'l. Stds. Comm.	Nov. 30, 1994
Section 14 modified to cover copyrights	Int'l. Stds. Comm.	Nov. 30, 1994
Section 5.4.2.3 modified to clarify RSC voting rules	Int'l. Stds. Comm.	April 5, 1995
Section 8.1.1 modified to define voting by multinationals	Int'l. Stds. Comm.	April 5, 1995
Sections 10.1.3 (1) and 10.2.1 changed to fix ballot close date	Int'l. Stds. Comm.	March 28, 1996
General revision to internationalize technical structure	Int'l. Stds. Comm.	April 28, 1997
Revision of selected paragraphs to clarify meaning	Int'l. Stds. Comm.	Dec. 5, 1997
Revision of sections 13 and 14 and other selected paragraphs to simplify procedures; editorial deletion of old section 16	Int'l. Stds. Comm.	July 15, 1998
Revision of sections 5.4.1, 5.4.2.1, 5.4.3.7, 5.5.2.3, 9.3.1, 10.3.1, 14.1, and 14.5 and addition of sections 1.7, 4.3, 5.4.5, 5.5.4, and 9.3.1.1	Int'l. Stds. Comm.	July 14, 1999
Major revision of section 5.7; minor revisions of sections. 9.5 and 10.3.1	Int'l. Stds. Comm.	Dec. 2, 1999
Minor revisions of sections 1.5.4, 4.1.7, 5.7.5, 5.7.7.1, 10.1.2, 10.3.6, 12.2.3, 12.2.4, 15.2	Int'l. Stds. Comm.	Dec. 7, 2000
Major revision of section 8; and removal of Appendices A and B	Int'l. Stds. Comm.	Dec. 7, 2000
Editorial correction of an error in section 5.5.4.3	N. Tani, W. M. Bullis	Dec. 7, 2000
Editorial correction of errors in sections 1.2, 5.7.7.1(d) & (j) and 13.3.1.2	R. I. Scace	Dec. 7, 2000
Revision of section 14 and other selected paragraphs for clarification	Int'l. Stds. Comm.	April. 26, 2001
Revision to section 15.6.1 to speed publication withdrawal process	Int'l. Stds. Comm.	April. 26, 2001
New section 1.5.8 provides policy on product interchangeability	Int'l. Stds. Comm.	July 17, 2001

Description	Authority ^{#1}	Date of Action
Revision of section 5.4.3.14; editorial correction to sections 4.1.7, 5.5.3.9 and 12.2.5.	Int'l. Stds. Comm.	Dec. 6, 2001
New section 4.1.1.1, Revisions to section 9, 10.1, 10.2, and 15.5 to provide clarification of five year review, and letter ballots.	Int'l. Stds. Comm.	July 16, 2003
New section 7.3, Revision to section 8.1 to clarify meetings and attendance.	Int'l. Stds. Comm.	July 14, 2004
Revision of section 5.4.4, 5.5.3.5, 15, Minor revisions of sections 4.2.7, 9.1, 9.3, 10.4, 10.5, 11.1, 12.2.3, 12.2.4, 13.2.6, and 16, addition of sections to 5.4.4, removal of sections 5.5.3.6, 6.3.2.4, Moving of sections 15.5 and 15.6 to sections 9.6 and 9.7 to add Subcommittee on Audits and Reviews in ISC and change responsibility of procedural review to said body.	Int'l. Stds. Comm.	July 14, 2004
Editorial Corrections to sections 1.2, 1.3, 1.5.5, and 5.7.4 to match changes to SEMI's charter.	R. I. Scace, B. Weiss	Dec. 1, 2004
Section 5.5.2.3 and 5.5.2.4 to clarify membership of members-at-large and committees reporting directly to Regional Standard Committees.	Int'l. Stds. Comm.	April 13, 2005
Major revision of section 4, modification of Document types, editorial changes to correct references to section 4.	Int'l. Stds. Comm.	July 14, 2005
Revision of section 5.4.3.1, <i>Regulations</i> delegated to ISC Regulations Subcommittee	Int'l Stds. Comm.	May 1, 2006
Addition of option for National Standard (sections 9.7 and 16). Major revision to interest categories, balance, and letter ballots. Addition of Auxiliary Information, removal of Appendices, and Related Information. Major and extensive editorial changes. Major section movement and renumbering to increase readability.	R. I. Scace, Int'l Stds. Comm., SEMI Standards Staff	Dec. 6, 2006
Clarification of Rejects and Negatives. Major editorial changes. Addition of Appendix of Acronyms.	Int'l Stds. Comm.	June 1, 2007
Revision of Minority Report and other minor changes to improve clarity.	Int'l Stds. Comm.	December 6, 2007
Addition of IP checks for Auxiliary Information and Related Information, deletion of balance requirement, and clarification of minority report.	Int'l Stds. Comm.	January 22, 2008
Introduction of Standards membership requirement. Modifications to appeals process, handling of intellectual property, member recommendations for <i>Regulations</i> revision, and Document Status. Clarification on A&R SC membership. Clarification of considerations when developing Safety Guidelines and contents of Safety Check List. Elimination of division structure. Creation of RSC vice chair position.	Int'l Stds. Comm.	July 2, 2009
Addition to Note 19: second example of TF activity being "continuing."	Regulations Subcommittee	November 2, 2009
Introduction of SNARF. Reduction in required ISC meeting frequency. Elimination of Interim Standard. Clarification of procedure to revise Preliminary Standards to Full-consensus Standards. Clarification of deadline for extension of Preliminary Standards. Clarification of minutes archiving and destruction. Clarification of ISC membership from locales without an RSC.	Int'l Stds. Comm.	March 2, 2010
Addition of Letter of Intent. Addition of Subordinate Standards. Clarification of IP procedures and ISC responsibilities in this area. Clarification of revision to Standards. Clarification of rescheduling of announced committee meetings. Clarification of handling Negatives from Reject Votes. Clarification of extension of ballot period. Clarification of role of task forces. Addition of discussion on Preliminary Standards. Relocation of notices to <i>Style Manual</i> . Clarification of use of trademarks. Clarification of procedures on Withdrawn Standards. Clarification on function of <i>Procedure Guide</i> and other SEMI guidance publications. Clarification of approval of editorial changes outside the balloting process.	Int'l Stds. Comm.	June 24, 2011
Minor editorial changes and reference updates.	Standards staff/Regulations Subcommittee	November 30, 2011

Description	Authority ^{#1}	Date of Action
<p>Reorganization and clarification of content throughout entire Document.</p> <p>This major revision of the <i>Regulations</i> aligns the technical and administrative relationships of regional technical committees to fit the international scope of the SEMI Standards Program and its expansion to related technologies. All regional and local technical committees become chapters of a global technical committee and have equal standing and responsibilities with regard to their functions in it, regardless of their administrative tie with a regional standards committee (RSC). The procedures for formation and disbandment of TC Chapters and global technical committees are refined to fit within this structure. Also, Regional Standards are eliminated from the <i>Regulations</i>.</p> <p>Section 15 on procedures to treat intellectual property (IP) issues is rearranged to follow chronological order. A procedure is added to deal with the situation where a letter of assurance is not timely received from the IP owner.</p> <p>Definitions are added for several terms already used in the <i>Regulations</i>, including some previously defined only in the <i>Procedure Guide</i>, and for the new terms Locale, Region, Various Materials, Originating TC Chapter, and Responsible TC Chapter. Various Materials is used to describe Supplementary Material, such as XML schema files, which is part of a Standard or Safety Guideline but cannot be published in standard format.</p> <p>Appendices are removed from belonging to Supplementary Material, as they are an official part of the standard to which they are appended. The remaining categories of Supplementary Material (i.e., Related Information, Auxiliary Information, Various Materials) are redefined and their uses are clarified.</p> <p>In response to changes requested by the NA RSC, paragraphs 7.2.3 and 8.3.2.2 have been revised.</p> <p>In addition to numerous editorial changes (e.g., for better compliance with the <i>Style Manual</i>), an attempt has been made to use certain terms, such as Standards Document and those in the added definitions, in a consistent manner throughout.</p>	Int'l Stds. Comm.	November 28, 2012
<p>Added new Complementary Files as official material that is published separately from and is an official part of a Document (like an Appendix), containing supporting material (e.g., XML schema files) that cannot be published in the same format as the rest of the Document (like Various Materials).</p> <p>Made some editorial changes for improved clarity and better consistency with the <i>Procedure Guide</i> and <i>Style Manual</i> (e.g., location of voting/nonvoting designations for members of committees, defining MR as acronym for Minority Report, defining Program for SEMI Standards Program).</p>	Int'l Stds. Comm.	March 19, 2013
<p>Added new SNARF Review Period and Standards Document Development Project Period.</p> <p>Added initial changes for Official Virtual TC Chapter Meetings that will allow virtual participants to officially vote, but these changes will not apply until the infrastructure to conduct them has been implemented by SEMI and is ready for use.</p> <p>Added improvements to the GCS voting process for MRs.</p> <p>Removed ambiguities in and improvement of the definition of Voting Interest.</p> <p>Updated definition of the Miscellaneous Subtype and Safety Guideline and added a new Appendix 4 with a new procedure for correcting noncompliant Document titles.</p> <p>Added new procedures to prevent SNARFs and TFOFs from being approved that are outside the charter and scope of the global technical committee.</p> <p>Formalized the entire procedure for forming a TC Chapter and for disbanding an inactive TC Chapter Formation Group (CFG).</p> <p>Clarification of usage of Originating TC Chapter and Responsible TC Chapter.</p>	Int'l Stds. Comm.	December 1, 2014

<i>Description</i>	<i>Authority^{#1}</i>	<i>Date of Action</i>
Added new Ratification ballot. Clarification and improvement on GCS voting period for Minority Report. Rename <i>Procedure Guide</i> to <i>Procedure Manual</i> . Clarification on Standards Document Development Project Period. Clarification on TC membership requirement. Revision to procedural review for consistency.	Int'l Stds. Comm.	March 27, 2015
New ¶ 1.7 to introduce that revised <i>Regulations</i> becomes effective 30 days after public distribution. Clarification on Minority Report and record of Letter Ballot review. Clarification on organizational/technical standing of subcommittees. Paper ballot elimination and clarification for Background Statement accompanying Letter Ballot. Clarification on adjudicating Negatives. Clarification on Ratification Ballot.	Int'l Stds. Comm.	November 10, 2016

#1 Name of group having authority is that in effect on the given date.

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