

# Record of Letter Ballot Review by TC Chapter for Procedural Review

Region/Locale: **North America**

Global Technical Committee: **Traceability**

TC Chapter Cochairs: **Yaw Obeng/NIST, Dave Huntley/PDF Solutions**

Standards Staff: **Michelle Sun**

	Scheduled in Background Statement	Actual
Date	3/30/2020	2/24/2021
Location	SEMI HQ	OVTCCM
Reason for Change of Date and/or Location (if changed)	The meeting was postponed due to the COVID-19 pandemic.	

Note: See *Regulations* ¶ 9.5 Exceptions for allowable reason to change.

## I. Document Number and Title

Document Number	Document Title
6605	Reapproval to SEMI T11-0703 (Reapproved 1014) SPECIFICATION FOR MARKING OF HARD SURFACE RETICLE SUBSTRATES

## II. Tally

Standards staff to fill in.

Voting Tally: **As-cast tally after close of voting period**

Note: A minimum of 60% of the Voting Interests that have TC Members within the global technical committee that issued the Letter Ballot must return Votes. (*Regulations* ¶ 9.6.2.1.1)

Voting Tally (with example values):

Voting Interest:	Returned Votes	Distribution	Return Rate	
Letter Ballot	46	÷ 65	= 70.8%	≥60%
Intercommittee Ballot	42			
Voting Interest Reject(s)	0	Total Voters with Rejects		0
Voting Interest Accept(s)	24			

Note: See *Regulations* § 3.2.1 for definition of Voting Interest.

### III. Rejects None.

### IV. Other Technical Issues None.

Note: 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 *Regulations* § 9.6.1.4.3 to make a technical change to the Document. (*Regulations* ¶ 9.6.1.4.2.5)

Technical Issue	Origin	*TF/TC Chapter to choose Comment # (Voter: Name and company) / A reason not addressed by a Vote response		
	Referenced Section/ Paragraph	*TF/TC Chapter to fill in including text in the ballot as appropriate.		
	Reason	*Original Comment text, if applicable, and problem statement, including justification and suggestion, should be copied.		
Handle technical issue identified above as a Negative.				
Related	Motion and Reason (check one)	<input type="checkbox"/>	'Related' is mutually agreed upon. (Needs no motion.)	GO TO "Persuasive" subsection
		<input type="checkbox"/>	Negative is not related and assigned to TF. (Needs ≥2/3 votes to pass.)	
		<input type="checkbox"/>	Negative is not related and placed on agenda of current TC Chapter meeting as new business. (Needs ≥2/3 votes to pass.)	
		<input type="checkbox"/>	Reason	XXXX
	Motion by/ 2nd by	Name (Company)/Name (Company)		
	Discussion			
	Result of Vote (check one)	<input type="checkbox"/>	XX Y-XX N; Motion passed/failed.	
<input type="checkbox"/>		[Negative is not related.] <2/3		GO TO "Persuasive" subsection
<input type="checkbox"/>		2/3 ≤ [Negative is not related] and assigned to TF.		GO TO "Final" subsection → (B)
<input type="checkbox"/>	2/3 ≤ [Negative is not related] and placed on agenda of current TC Chapter meeting as new business.			
Persuasive	Motion and Reason (check one)	<input type="checkbox"/>	Negative is related and persuasive. (Needs >1/3 votes to pass.)	
		<input type="checkbox"/>	Negative is related and not persuasive. (Needs ≥2/3 votes to pass.)	
	<input type="checkbox"/>	Reason	XXXX	
Motion by/ 2nd by	Name (Company)/Name (Company)			

<b>Discussion</b>						
<b>Result of Vote (check one)</b>		XX Y-XX N; Motion passed/failed.				
		<input type="checkbox"/>	[Negative is related and persuasive.] > 1/3	<b>Is a technical change recommended? (check one)</b>	<input type="checkbox"/> Y	GO TO "Address by Technical Change Option" subsection
		<input type="checkbox"/>	[Negative is related and not persuasive.] < 2/3	<input type="checkbox"/>	N	GO TO "Final" subsection → (E)
		<input type="checkbox"/>	2/3 ≤ [Negative is related and not persuasive.] < 90%	GO TO "Final" subsection → (C)		
<b>Technical Change Recommendations</b> Original section/paragraph number and at least one full sentence are required in "FROM" and "TO" fields.						
<b>Address by Technical Change Option</b>	<b>Technical Changes</b>	1	FROM: Section/Paragraph XXX			
			TO: Section/Paragraph xxx			
			Justification (if necessary)			
	2	FROM: Section/Paragraph XXX				
		TO: Section/Paragraph xxx				
		Justification (if necessary)				
<b>Motion</b>		Negative is addressed by the technical change(s).				
<b>Motion by/2<sup>nd</sup> by</b>		Name (Company)/Name (Company)				
<b>Discussion</b>						
<b>Result of Vote (check one)</b>		XX Y-XX N; Motion passed/failed.				
		<input type="checkbox"/>	2/3 ≤ [Negative is addressed by the technical change(s).]	GO TO "Incorporation of the Technical Change" subsection		
		<input type="checkbox"/>	[Negative is not addressed by the technical change(s).] < 2/3	GO TO "Final" subsection → (E)		
<b>Incorporation of the Technical Change</b>	<b>Motion</b>		To incorporate the technical change(s).			
	<b>Motion by/2<sup>nd</sup> by</b>		Name (Company)/Name (Company)			
	<b>Discussion</b>					
	<b>Result of Vote (check one)</b>		XX Y-XX N; Motion passed/failed.			
			<input type="checkbox"/>	90% ≤ [Agree to incorporate.]	GO TO "Final" subsection → (F)	
<input type="checkbox"/>	[Disagree to incorporate.] >10%	GO TO "Final" subsection → (E)				
<b>Final</b>	<b>(check one)</b>	<input type="checkbox"/>	(B)	Not related		
		<input type="checkbox"/>	(C)	Related and not persuasive		
		<input type="checkbox"/>	(E)	Related and persuasive and not addressed by technical change	DOCUMENT FAILS	
		<input type="checkbox"/>	(F)	Addressed by technical change		
	<b>(check if applicable)</b>	<input type="checkbox"/>	Comment generated. See Section V-(ii) Comment # X.			

## V. Comments

None.

### V- (i) Voters' Comments

Commenter 1 (Name/Company) - Comment 1

Comment	*TF/TC Chapter to fill in section/paragraph #, if necessary.	
Action	The TC Chapter agreed to do one of the following actions.	
	*No motion is required in this step.	
	<input type="checkbox"/>	Already addressed by Commenter #, Comment #
	<input type="checkbox"/>	No further action was taken by the TC Chapter.
	<input type="checkbox"/>	Refer to the TF for more consideration.
	<input type="checkbox"/>	New Business
	<input type="checkbox"/>	Editorial Change
Options for editorial change (check one)	<input type="checkbox"/>	<b>Case 1: No vote in this section:</b> To be included and voted on as a group in § VI. <i>Editorial Changes Other than Those Voted on in § V.</i>
	<input type="checkbox"/>	<b>Case 2: Voted in this section:</b> Original section number and at least one full sentence are required in "FROM" and "TO" fields.
	1	FROM: Section/Paragraph xxx
		TO: Section/Paragraph xxx
Justification (If necessary)		
2	FROM: Section/Paragraph xxx	
	TO: Section/Paragraph xxx	
	Justification (If necessary)	
Editorial Changes	Motion	To approve above editorial change(s)
	Motion by/2 <sup>nd</sup> by	Name (Company)/Name (Company)
	Discussion	XXXX
	Vote	XX Y-XX N; Motion passed/failed.

*This table is needed for each Comment accompanied a Vote*

Commenter 2 (Name/Company) - Comment 1  
 Commenter 3 (Name/Company) - Comment 1

**V-(ii) Comments Created by Handling Negative**

Comment (Created by Handling Negative) NC – 1

Comment	*TF/TC Chapter to fill in	
Action	The TC Chapter agreed to do one of the following actions.	
	*No motion is required in this step.	
	<input type="checkbox"/>	Already addressed by Commenter #, Comment #
	<input type="checkbox"/>	No further action was taken by the TC Chapter.
	<input type="checkbox"/>	Refer to the TF for more consideration.
	<input type="checkbox"/>	New business
<input type="checkbox"/>	Editorial change	
Editorial Changes	Options for editorial change (check one)	<input type="checkbox"/> <b>Case 1: No vote in this section:</b> To be included and voted on as a group in § VI. Editorial Changes Other than Those Voted on in § V.
		<input type="checkbox"/> <b>Case 2: Voted in this section:</b> Original section number and at least one full sentence are required in "FROM" and "TO" fields.
	1	FROM: Section/Paragraph xxx
		TO: Section/Paragraph xxx
Justification (If necessary)		
2	FROM: Section/Paragraph xxx	
	TO: Section/Paragraph xxx	
	Justification (If necessary)	
Motion	To approve above editorial change(s)	
Motion by/2 <sup>nd</sup> by	Name (Company)/Name (Company)	

Discussion	XXXX
Vote	XX Y-XX N; Motion passed/failed.

*This table is needed for each Comment created by handling Negative.*

**Comment (Created by Handling Negative) NC – 2**

**Comment (Created by Handling Negative) NC – 3**

## VI. Editorial Changes Other than Those Voted on in § V None.

*Original section/paragraph number and at least one full sentence are required in “FROM” and “TO” fields.*

1	Origin of this editorial change (Check one)	<input type="checkbox"/>	Committer(s) / Comment(s) #
		<input type="checkbox"/>	Other [ ]
	FROM: Section/Paragraph XXX		
	TO: Section/Paragraph XXX		
Justification: (if necessary)			
2	Origin of this editorial change (Check one)	<input type="checkbox"/>	Committer(s) / Comment(s) #
		<input type="checkbox"/>	Other [ ]
	FROM: Section/Paragraph XXX		
	TO: Section/Paragraph XXX		
Justification: (if necessary)			
Motion	To approve the above editorial change(s).		
Motion by/ 2 <sup>nd</sup> by	Name (Company)/Name (Company)		
Discussion	XXXX		
Vote	XX Y-XX N; Motion passed (or failed)		

## VII. Approval Conditions Check

### VII. - (i). Approval Rate

**APPROVAL CONDITION 1:** All Negatives have been discussed and were withdrawn, found not related, found not persuasive, or addressed by a technical change. (Regulations ¶ 9.6.2.1.2)

**APPROVAL CONDITION 2:** At least 90% of the sum of valid Voting Interest Accept and Voting Interest Reject Votes must be Accept. (Regulations ¶ 9.6.2.1.3)

Note: If both approval conditions are not satisfied, the Document fails.

		Accepts		(Accepts + Valid Rejects)					
Approval Rate	=		/		=	#DIV/0!		≥90%	

## VII. – (ii) Approval Level (check one)

Note: See Regulations § 9.6.2 for further information.

### Globally Approved (No Ratification Ballot needed):

The Letter Ballot meets the Letter Ballot approval conditions for the global technical committee.

### Need a Ratification Ballot:

The Letter Ballot meets the Letter Ballot approval conditions for the TC Chapter and a Ratification Ballot will be issued to validate technical changes.

## VIII. Safety Check

Note: See Regulations § 15 for further information.

Motion	<input checked="" type="checkbox"/>	<b>This is not a Safety Document</b> , when all safety-related information is removed, the Document is still technically sound and complete. ( <i>Regulations ¶ 8.7.1</i> )
	<input type="checkbox"/>	<b>This is a Safety Document</b> , when all safety-related information is removed, the Document is not technically sound and complete. ( <i>Regulations ¶ 8.7.2</i> )
	<input type="checkbox"/>	Safety Checklist ( <i>Regulations ¶ 15.3</i> ) is complete and has been included with the Document throughout the balloting process. ( <i>Regulations ¶ 15.1.2</i> )
<b>Motion by/2<sup>nd</sup> by</b>		Albert Fuchigami (PEER Group)/Nick Infelise (Omron Electronics)
<b>Discussion</b>		None
<b>Vote</b>		4 Y-0 N; Motion passed

## IX. Intellectual Property (IP) Check

**Note: This Letter Ballot may cover all or part of a Standard or Safety Guideline. Regardless of the coverage, this IP check applies to the entire Standard or Safety Guideline\*. See Regulations § 16 for further information.**

x	The TC Chapter meeting chair asked those participating, if they were aware of any patented technology that might be relevant (see <i>Regulations</i> ¶ 16.3.1.1) to the Standard or Safety Guideline; or, any copyrighted items or trademarks that are used/reproduced (see <i>Regulations</i> ¶ 16.4.1.2) in the Standard or Safety Guideline. (Also see, <i>Regulations</i> § 8.8)			
x	The question is NOT answered in affirmative (No potentially material patented technology or use/reproduction of copyrighted items/trademarks is known.)	<b>GO TO SECTION X.</b>		
	The question is answered in affirmative	Is any of the known IPs a patented technology?	Yes, at least one of them is a patented technology	<b>GO TO IX (a) "Patented Technology" subsection</b>
			No	<b>GO TO IX (b) "Copyright items" subsection</b>

### IX(a) Patented Technologies subsection

#### IX(a1) Total numbers of Patented Technologies to be dealt with

<b># Fill number</b>	(l) Known Patented Technology that might be relevant to the Standard/Safety Guideline	<b># Fill number</b>	(m) Number of patented technologies first became known to the TC Chapter on or after the day of the issuance of this Letter Ballot	<b>Postpone assessment of such patented technologies to be performed at the next scheduled TC Chapter meeting.</b>
		<b># Fill number</b>	(n) Number of patented technologies first became known to the TC Chapter before the day of the issuance of this Letter Ballot	<b>GO TO IX (a2)</b>

#### IX(a2) Assessment of disclosed patented technologies

<b>Disclosed patented technology #1</b> (Brief description, e.g., patent title and number):		<b>Date of Assessment (If different from the date of Letter Ballot adjudication)</b> MM/DD/YYYY		
Is disclosed patented technology #1 found to be "might be material" to the Standard/Safety Guideline?	YES (It is a PMPT)	Is the use of this PMPT technically justified?	YES	<b>PROCEED to assess NEXT one, or if this is the last one, GO TO IX(a3)</b>
			NO	<b>The Document is failed and returned to the TF</b>
	NO	No further action is needed for patented technology #1		

*This table is needed for each disclosed patented technology.*



**IX(a3) LOA status check of PMPT of which inclusion assessed to be justified**

LOA Status of PMPT #1					
Has an LOA for this patented technology been received from every owner ?		YES	PROCEED to check NEXT one, or if this is the last one, GO TO IX(b)		
		NO	MOTION		Ask ISC for special permission to publish.
					Quit activity. The Document is failed and returned to the TF
					Wait for LOA PROCEED to check NEXT one, or if this is the last one, GO TO IX(b1)
			Motion by/ 2 <sup>nd</sup> by	Name (Company)/Name (Company)	
			Discussion	XXXX	
			Vote	XX Y-XX N; Motion passed (or failed)	

*This table is needed for each PMPT of which inclusion assessed to be justified.*

**IX(b1) Total numbers of copyrighted items to be dealt with**

# Fill number	(o) Known copyrighted items that are used or reproduced to the Standard/Safety Guideline	o > 0	There is at least one known copy righted items that might be relevant to the Standard/Safety Guideline	GO TO IX (b2)
		o = 0	There is no disclosed copyrighted item	GO TO IX (c)

**IX(b2) Assessment of disclosed copyrighted items**

Disclosed copyrighted item #1 (Brief description of its use in the Document):					
Is disclosed copyrighted item #1 used or reproduced in the Standard/Safety Guideline?		YES	Is the use/reproduction of this copyrighted item technically justified?	YES	PROCEED to assess NEXT one, or if this is the last one, GO TO IX(b3)
				NO	The Document is failed and returned to the TF
		NO	No further action is needed for copyrighted item #1		

*This table is needed for each disclosed copyrighted item.*

**IX(b3) Copyright release status check of copyrighted item of which inclusion assessed to be justified**

Copyright release Status of copyrighted item #1					
Has the copyright release been received from its owner ?.		YES	PROCEED to assess NEXT one, or if this is the last one, GO TO IX(c)		
		NO	≤	Ask ISC for special permission to publish.	

			Quit activity.	The Document is failed and returned to the TF
			Wait for copyright release letter	PROCEED to check NEXT one, or if this is the last one, GO TO IX(c)
			Motion by/ 2 <sup>nd</sup> by	Name (Company)/Name (Company)
			Discussion	XXXX
			Vote	XX Y-XX N; Motion passed (or failed)

This table is needed for each copyrighted item of which use/reproduction assessed to be justified.

### IX(c) Assessment of disclosed (identified) trademark

Is there any trademark in the Standard/Safety Guideline?		YES	Is every instance of trademark use technically justified?	YES	GO TO IX(d)
				NO	The Document is failed and returned to the TF
		NO	GO TO IX(d)		

### IX(d) IP check completion condition check

The co-chair checks if any Patented Technologies first become known to the TC Chapter on or after the day of the issuance of this Letter Ballot? i.e., m>0 in IX(a1)		YES	Sections IX(a2) and IX(a3) shall be completed and recorded for such patented technologies at next scheduled meeting of the TC Chapter. Until then, the TC Chapter shall NOT go to X (making motion to pass/fail this Document) (see Regulations ¶ 16.4.1.2) Until then this Letter Ballot Review is on hold.
		NO	GO TO X

## X. Action for This Document

Motion	<input checked="" type="checkbox"/>	This Document passed TC Chapter review as balloted and will be forwarded to the ISC A&R SC for procedural review.
	<input type="checkbox"/>	This Document passed TC Chapter review with editorial changes and will be forwarded to the ISC A&R SC for procedural review.
	<input type="checkbox"/>	This Document passed TC Chapter review with technical changes and with or without editorial changes and will be forwarded to the ISC A&R SC for procedural review. A Ratification Ballot will be issued to verify the technical changes.
	<input type="checkbox"/>	This Document failed TC Chapter review and will be returned to the TF for rework.
	<input type="checkbox"/>	This Document failed TC Chapter review and work will be discontinued.
Motion by/ 2 <sup>nd</sup> by		Albert Fuchigami (PEER Group)/Nick Infelise (Omron Electronics)
Discussion		None
Vote		5 Y-0 N
Final Action		<input checked="" type="checkbox"/> Motion passed
		<input type="checkbox"/> Motion failed

Note: If the use of PMPT or copyrighted item is justified by the TC Chapter, LOA or release form must be received before publication can proceed.