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12 and ATI Technologies ULC

13  
14 UNITED STATES DISTRICT COURT  
15 NORTHERN DISTRICT OF CALIFORNIA  
16 SAN FRANCISCO DIVISION  
17

18 SAMSUNG ELECTRONICS CO., LTD.

19 Counterclaim-Plaintiff,

20 v.

21 ADVANCED MICRO DEVICES, INC., et  
22 al.,

23 Counterclaim-  
24 Defendants.

Case No. CV-08-0986-SI

**DECLARATION OF THOMAS F. EDGAR,  
PH.D IN SUPPORT OF COUNTERCLAIM-  
DEFENDANTS' RESPONSIVE CLAIM  
CONSTRUCTION BRIEF**

1           1.       I make all of the statements in this Declaration of my own personal knowledge and  
2 in accord with 28 U.S.C. § 1746.

3       **I.       INTRODUCTION AND QUALIFICATIONS**

4           2.       My name is Thomas F. Edgar. I am a Professor of Chemical Engineering at the  
5 University of Texas, Austin. I have been retained by Advanced Micro Devices, Inc. (AMD) in  
6 this case. I make this Declaration in connection with AMD's papers relating to claim  
7 construction concerning U.S. Patent No. 5,740,065 (the '065 patent), which I understand  
8 Samsung is asserting against AMD in this case. The '065 patent is in the field of process control  
9 for semiconductor manufacturing.

10          3.       My qualifications include 40 years' experience in the field of process modeling  
11 and control, with 25 years' experience applying these principles to the manufacturing of  
12 semiconductor devices. In 1967, I received the B.S. degree in Chemical Engineering from the  
13 University of Kansas. In 1968, I received the M.A. degree in Chemical Engineering from  
14 Princeton University. In 1971, I received the Ph.D. degree in Chemical Engineering from  
15 Princeton University. I became Assistant Professor of Chemical Engineering at the University of  
16 Texas at Austin in that same year, and I became full professor in 1981. I currently hold the  
17 George T. and Gladys H. Abell Endowed Chair in Engineering at the University of Texas. I have  
18 also held administration positions at the University of Texas as Department Chair (1984-93),  
19 Associate Dean of Engineering (1993-96), and Associate Vice President for Computing (1996-  
20 2001).

21          4.       I have published over 200 journal papers in the field of process control since 1972,  
22 along with more than 150 proceedings articles. In 1989, I co-authored a book entitled "Process  
23 Dynamics and Control." A third edition will be published in late 2009. I have also supervised  
24 over 60 Ph.D. theses in process modeling, optimization, and control; since 1989, 22 dissertations  
25 have been concerned with control of semiconductor manufacturing. Among my honors in the  
26 field are the Warren K. Lewis Award (2005) and the Computing in Chemical Engineering Award  
27 (1995) from the American Institute of Chemical Engineers (AIChE), and the Control Engineering  
28 Prize from the International Federation of Automatic Control (IFAC) (2005). I have been named

1 an AIChE Fellow (1994), an IFAC Fellow (2008), and in 2007 was named to the Process  
2 Automation Hall of Fame by Control Magazine. I also have an extensive background in chemical  
3 engineering education at both the undergraduate and graduate levels, and I teach the required  
4 senior-level process control course for chemical engineering students each year.

5 5. I was the lead author of a survey paper published in 2000 about the use of process  
6 control in the semiconductor industry. T. Edgar, et al., "Automatic Control in Microelectronics  
7 Manufacturing: Practices, Challenges, and Possibilities," *Automatica*, Vol. 36, pp. 1567-1603  
8 (November, 2000). I personally participated in and followed the published literature in the field  
9 for 15 years before that survey was written, as I have continued to do ever since.

10 6. I have been collaborating with various process control researchers at AMD since  
11 1995. A number of my Ph.D. students have worked as interns at AMD and some of them  
12 subsequently accepted full-time employment there. AMD has periodically provided research  
13 grants to support graduate students in process control at the University of Texas, including a new  
14 project to be initiated in 2009. I have also had a number of consulting engagements with AMD,  
15 and have been contracted to teach short courses on advanced process control to AMD employees  
16 in the late 1990s.

17 7. I have also had ongoing research collaborations with other semiconductor  
18 companies, including Texas Instruments, Applied Materials, Tokyo Electron, and Samsung. In  
19 the case of Samsung, they sent a research engineer from Korea to reside in my research group for  
20 one year, where we worked on specific problems related to selection of measurement variables  
21 for process control of plasma etching. In return for my advising this engineer, Samsung made a  
22 financial contribution to my research program.

23 8. I am being compensated by AMD at my standard rate of \$400 per hour for my  
24 time spent working on this case. My compensation is not in any way related to the outcome of  
25 the case. Attached as Ex. A is my full CV including a list of my publications authored in the last  
26 10 years and a list of legal matters in which I have testified as an expert within the last four years.

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1     **II.     BASIS FOR OPINIONS**

2             9.     I have read the '065 patent, including the written specification, drawings, and  
3     claims, and the patent's file history which is the record of exchange between the applicant and the  
4     Patent Office. I understand the patent to be in the area of process control in semiconductor  
5     manufacturing, in particular, for the alignment and exposure of wafers in lithography. I have also  
6     reviewed the parties' Joint Claim Construction and Prehearing Statement. I have been actively  
7     involved in process control applied to semiconductor manufacturing since 1984 and thus am  
8     aware of the technical literature that is pertinent to this subject.

9     **III.    BACKGROUND OF THE TECHNOLOGY**

10            10.    Semiconductor manufacturing follows an assembly line format, with wafers of  
11    semiconductor material undergoing various processes in sequence. The goal of process control is  
12    to maintain the wafer properties at or near the target for each step of the process by measuring the  
13    errors introduced and adjusting manipulated variables in tools in both the upstream and  
14    downstream directions so that the wafer properties move toward the desired target properties.  
15    Two distinct approaches to process control have traditionally been used in semiconductor  
16    manufacturing.

17            11.    Statistical process control (SPC) is a technique in which the process output is  
18    monitored (usually by measurements external to the process, or ex situ) in order to detect an "out  
19    of control" process. A process is considered "out of control" if output variance can be attributed  
20    to an assignable cause. SPC does not define the control action necessary to return a process to an  
21    "in control" state. This decision is left to the control engineer. Tools such as SPC control charts  
22    discussed in the book "Statistical Quality Control" by D.C. Montgomery are examples of methods  
23    used in SPC.

24            12.    The second approach to process control is automatic process control (APC). APC  
25    uses measurements of process variables to implement feedback or feedforward control to keep the  
26    product on target. APC has its origins in industrial process applications during the 1940s, where  
27    feedback control was implemented using electronic and pneumatic devices known as PID  
28    controllers. The application of feedforward control to deal with disturbances was first carried out

1 in the 1960s. Computer control of industrial processes became more common during the 1970s,  
2 with the availability of inexpensive microprocessors. Thus a significant technology base for  
3 process control has been developed in the continuous process industries for petrochemicals  
4 manufacture, petroleum refining, and pulp and paper production. APC began to grow in  
5 importance in semiconductor manufacturing during the 1990s. Because most semiconductor  
6 tools operate as a batch process, a technique called run-to-run control (run-by-run control) has  
7 been used since at least 1993 to reduce product variability. See Butler and Stefani, "Application  
8 of Predictor Corrector Control to Polysilicon Gate Etching," from Proceedings of the 1993  
9 American Control Conference (June 2-4, 1993) (Ex. B). APC practitioners view run-to-run (RtR)  
10 control as a supervisory controller that manipulates the setpoints of underlying tool controllers.  
11 By analyzing the results of previous batches, the run-to-run controller is able to manipulate the  
12 batch recipe in order to reduce output variability for each batch.

13 13. Use of metrology information after a batch is processed on the same tool is  
14 generally referred to as "feedback control," while use of the same information for a subsequent  
15 processing tool is called "feedforward control." The purpose of run-to-run feedback control is to  
16 keep the controlled variable at or close to its target or set point. This task can be achieved by  
17 computing the difference between the set point and the measurement of the controlled variable at  
18 the end of the previous run and sending this as the input to the feedback controller. By its design,  
19 the feedback controller will take corrective action to reduce the size of the deviation from target.

20 14. A feedback controller can only take action after the controlled variable deviates  
21 from its desired set point and generates a non-zero error. However, the response to disturbances  
22 can require many successive corrections if the process or measurement changes very slowly. In  
23 such a situation a feedforward controller can improve the performance of the control system. The  
24 feedforward controller predicts the effect that the disturbances will have on the controlled  
25 variable and takes control action that will counteract the influence of the disturbances. Since this  
26 control action is taken based upon model predictions, it can minimize the effect that the  
27 disturbances have on the controlled variable before any unwanted deviations occur. As an  
28 example of feedforward control, if the entering film thickness for a plasma etcher is measured,

1 then the manipulated variable like etch time can be adjusted so that the desired film thickness can  
2 be obtained. In this case, the previous processing step generates the disturbance to be treated by  
3 feedforward control.

4 15. Lithography is one aspect of semiconductor manufacturing. The goals of  
5 lithography are to create a pattern on the surface of the wafer that satisfies the design  
6 requirements for each layer. A lithography tool carries out the following separate steps:

- 7 (a) deposition of photoresist;
- 8 (b) spinning (rotation) of the wafer to create a uniform film;
- 9 (c) heat treatment of the photoresist (soft bake);
- 10 (d) alignment of the layers of each device, also called "overlay";
- 11 (e) exposure of the photoresist using a light source; and
- 12 (f) development (dissolution) of the exposed photoresist and heat treatment (hard bake).

13 Alignment ensures the correct alignment of each layer with respect to a previous layer as well as  
14 the global position. It is but one of many process steps involved in lithography. The steps are  
15 repeated multiple times in order to build up a device consisting of multiple layers of different  
16 geometries.

17 16. After alignment and exposure, the wafer is moved to a different machine to  
18 perform etching. Other unit operations (tools) involved in semiconductor manufacturing besides  
19 lithography include chemical vapor deposition (CVD), plasma etching, oxidation, sputtering,  
20 doping followed by ion implantation, and chemical mechanical planarization.

21 **IV. LEVEL OF ORDINARY SKILL IN THE ART**

22 17. It is my opinion that a person with the level of skill in the field of the Jang '065  
23 patent would have an undergraduate degree in science or engineering and either graduate work in  
24 areas related to semiconductor manufacturing and process control or a comparable level of  
25 experience in implementing process control software and algorithms in semiconductor fabs.

1 V. HOW ONE OF ORDINARY SKILL IN THE ART WOULD VIEW THE JANG  
2 '065 PATENT

3 18. The '065 patent discloses a specific technique for process control in lithography,  
4 in which a new tool setting is calculated by an accumulative average over previous settings on  
5 that same machine, and adjusted by a correction term based on previous registration errors. The  
6 patent specifically describes the alignment step used in lithography. The patent presents  
7 equations to be used to correct the alignment of a given layer. Examples of parameters that can  
8 be corrected during alignment are focus offset, spatial shifts, scaling, wafer rotation, and  
9 orthogonality.

10 19. One advantage cited by the inventors of the patent was the reduction of waste  
11 product by reducing or eliminating the need for test wafers, which would be used for calibration  
12 of a tool. Tool settings could be adjusted based on the measured results of these test wafers, but  
13 the wafers produced after the test were in turn often unfit for further processing and therefore  
14 discarded. When such test wafers are run, no product wafers are processed, which reduces the  
15 throughput or capacity of the fab. Adjusting process parameters based on results of previous runs  
16 allows for incremental reduction of the error from the target, which reduces the need for test  
17 wafers. The applicants also argued that a novel feature of their invention lay in the application of  
18 operating strategies to "lots" of wafers. For efficiency reasons, many processes in semiconductor  
19 manufacturing may be simultaneously applied to a large number of wafers known as a "lot." The  
20 patent teaches that lot sizes can range from 25 to 50 wafers. The '065 patent teaches processing  
21 an entire lot of wafers using one set of process parameters, and adjusting these parameters only  
22 between lots.

23 20. I understand that the term "extracting a correction condition" from the '065 patent  
24 claims is at issue. I also recognize that in the context of the '065 claims, the "correction  
25 condition" is related to information "corresponding to an alignment state," and that the correction  
26 condition is to be added to a value determined by "accumulatively averaging working  
27 conditions." I therefore also consider these other terms as they relate to "correction condition." I  
28 am not a lawyer and am not an expert in the legal complexities associated with patent

1 interpretation. However, I do understand that the words used in a patent are supposed to be  
2 interpreted as those words would be understood by a person skilled in the appropriate technical  
3 field, in the context of the patent specification and the patent file history.

4 **VI. CLAIM TERMS AT ISSUE IN THE JANG '065 PATENT**

5 21. Equation (1) of the '065 patent describes accumulative averaging over settings  
6 from a pre-specified number of previous runs (lots) on a particular tool as follows:

7

$$8 \quad X_m = \frac{1}{n-1} \sum_{i=1}^{n-1} (X_{ti} \pm \mathcal{E}) \quad (1)$$

9

10

11 where  $X_m$  is the  $n$ th value of the lithography variable,  $n-1$  is the number of previous runs, and  $\mathcal{E}$   
12 is the “correction element obtained by subtracting an objective value from a resultant value.”  
13 Equation (1) is an example of an “accumulative average,” where parameter values are  
14 individually summed and then the result is divided by the total number of terms in the summation.  
15 An “accumulative average” is one type of calculation. Moving averages, weighted averages, and  
16 exponentially weighted moving averages (“EWMA”) are recognized as distinct calculations that  
17 would have various similarities and differences from “accumulative averages” depending on the  
18 application.

19 22. The term “working condition” does not have a generally-accepted meaning in the  
20 field of process control. I understand “working conditions” as used in this patent to be equivalent  
21 to “operating conditions” for the tool, namely those variables (also referred to as “parameters” in  
22 the '065 patent) that are set by the operator or by the computer system that will yield the desired  
23 performance of the tool. There are four main types of variables in process control: measurement  
24 variables, controlled variables, manipulated variables and disturbance variables. In the  
25 specification of the '065 patent, parameters cited by the inventors as part of the “working  
26 condition” are all manipulated alignment variables, which are variables that can be directly  
27 programmed or “set” in a machine by a user. This is consistent with AMD’s construction of a  
28 working condition being “settable parameter values.”

1           23.    The term “correction condition” does not have a generally-accepted meaning the  
 2 field of process control. The ’065 patent also does not precisely define “correction condition.”  
 3 However, it is my opinion that AMD’s proposed construction is consistent with what one of  
 4 ordinary skill in the art would understand the patent to teach. Equation (1) of the ’065 patent  
 5 describes accumulative averaging over settings from a pre-specified number of previous runs  
 6 (lots) on a particular tool as follows:

$$X_m = \frac{1}{n-1} \sum_{i=1}^{n-1} (X_i \pm \mathcal{E}) \quad (1)$$

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 11 where  $X_m$  is the  $m$ th value of the lithography variable,  $n-1$  is the number of previous runs, and  $\mathcal{E}$   
 12 is the “correction element obtained by subtracting an objective value from a resultant value.”  
 13 Viewing Equation (1) as a control algorithm, it is unclear why epsilon does not have a subscript,  
 14 to denote it is changed at each run. Interpreted in terms of standard control terminology, it  
 15 appears that the “objective value” is the same as “target” or “set point,” and the “resultant value”  
 16 is the process variable measurement. Equation (1) thus includes both an accumulative average  
 17 component and a correction component.

18           24.    The “correction element” or term epsilon is applied in Equation (1). The  
 19 summation expression indicates that this term is applied at each step in the summation. The  
 20 sentence in 3:46-48 states that if a process is performed with the correction value applied, the  
 21 process can be performed without error. This suggests that epsilon is selected at each run to  
 22 compensate for the error, and if it is chosen exactly, the error is forced to zero. On the other  
 23 hand, the ideal correction may not be chosen at each step due to noise and other unmodeled  
 24 effects. This means that the arithmetic average in Equation (1) is not an average of the  $X_i$ ’s, but  
 25 rather an average of the parameters after the correction is applied.



1 process.” However, referring to Equations (1) and (2), the “correction element” (3:44) and the  
2 “correction value” (3:46) are defined mathematically in Equation (1), and the adjustment or  
3 correction to the alignment parameter is given in Equation (2), where presumably each alignment  
4 parameter can be adjusted based on the errors for those parameters in the previous layer. It is  
5 unclear what is meant by the word “expectation,” which in mathematical terms means arithmetic  
6 average. As pointed out earlier, the term in Equation (2), ( $E \times G$ ), is not clearly defined, although  
7  $G$  is determined from the correlation between reference layer and current layer. Practically  
8 speaking, this would be a user-selected parameter between zero and one that can be adjusted to  
9 give the best performance for each alignment parameter.

10 28. Samsung’s proposed construction fails to specify a particular “value or data set.”  
11 There are many examples of values or datasets that can affect the determination of an operating  
12 parameter, but not all would necessarily improve or correct it, and not all of them are consistent  
13 with the teachings of the ’065 patent. In fact, Samsung’s proposed construction overlaps  
14 significantly with its construction for “accumulatively averaging working conditions.” Equation  
15 (1) of the ’065 patent could be viewed both as “a mathematical operation on a set of working  
16 conditions to determine a value representative of the set” and as “creating a value or data set to be  
17 used to affect the determination of a current working condition.” In other words, this equation  
18 embodies both accumulative averaging and extracting a correction condition. An additional  
19 inconsistency in the construction refers to the creation of a “data set” to be used to determine a  
20 correction condition; this correction condition would need to be a single value in order to perform  
21 a correction in a given operating condition.

22 29. Samsung asserts in its brief that an identification of particular equipment can be a  
23 “correction condition.” The ’065 patent does not support this. The patent contains no teaching or  
24 explanation of how equipment identification could be used in process control, and no indication  
25 that this could be a “parameter” used in the calculations, e.g., in Equations (1) and (2). A  
26 parameter value identifying a piece of equipment could not be added (mathematically) to an  
27 “optimal working condition” to set a “current working condition” as required by the claims.  
28 Further, the patent contains no teaching on how to apply the information on equipment

1 identification in a control algorithm such as given in Equations (1) and (2).

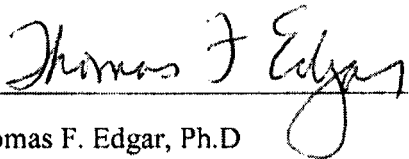
2 30. Claim 1 states that the correction condition is extracted “by extracting information  
3 corresponding to an alignment state.” As disclosed in the patent, the alignment state is  
4 determined by comparing the relative position of one layer as opposed to a different layer.  
5 Alignment can also refer to positioning a mask over a layer of semiconductor material and  
6 projecting a light pattern that can then be used to form new features on the device. This  
7 projection of light is referred to as “exposure,” and alignment and exposure together are two steps  
8 carried out in a “photolithography” tool. Proper positioning of the mask is critical so that the  
9 patterns on upper layers align well with patterns on lower layers. Further, in my review of the  
10 patent, I see no instances where an “alignment state” refers to anything other than  
11 photolithography. The term “working conditions” is not illustrated beyond its application to  
12 alignment and exposure. In fact, the particulars of the patent as embodied in Equations (1) and  
13 (2) would not be directly applicable to other semiconductor processing tools because the  
14 relationship between manipulated and controlled variables depends on process cause and effect,  
15 whereas in alignment the manipulated and controlled variables are both mechanical alignment  
16 (distance) errors. In essence, you select the manipulated variable adjustment to cancel out the  
17 alignment error (controlled variable), an extremely simple algorithm that would not be successful  
18 for other semiconductor control applications. The patent does not teach how to extend the  
19 disclosed control algorithm for alignment to other processes such as etching or chemical  
20 mechanical deposition, for example. Further, it would not have been apparent to one skilled in  
21 the art how to extend the disclosed control algorithm to these processes.

22 31. Samsung asserts in its brief that an identification of particular equipment can be  
23 “information corresponding to an alignment state.” The ’065 patent does not support this. The  
24 patent contains no teaching or explanation of how equipment identification could be used in  
25 process control, and no indication that this could be a “parameter” used in the calculations, e.g., in  
26 Equations (1) and (2). Identifying a piece of equipment is not information that quantifies how  
27 one layer aligns relative to another. The patent contains no teaching on how to apply the  
28 information on equipment identification in a control algorithm such as given in Equations (1) and

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(2). It would not have been apparent to one skilled in the art how to apply equipment identification information to these Equations.

The statements made in this declaration are made based on my personal knowledge and on my years of experience in the field of process control for semiconductor manufacturing. I declare under oath and under penalty of perjury that the foregoing is true and correct to the best of my knowledge, information and belief. Executed on this 30 day of March, 2009, at Austin, Texas.

  
\_\_\_\_\_  
Thomas F. Edgar, Ph.D

**EDGAR  
EXHIBIT A**

**THOMAS F. EDGAR**  
Department of Chemical Engineering  
University of Texas, Austin, Texas 78712  
(512) 471-3080

**September, 2008**

## **PERSONAL**

Date of birth: April 17, 1945

Place of birth: Bartlesville, Oklahoma

## **EDUCATION**

Princeton University, Ph.D., Chemical Engineering, 1971

Princeton University, M.A., Chemical Engineering, 1968

University of Kansas, B.S., Chemical Engineering, 1967

## **EMPLOYMENT**

1968-1969	Process Engineer, Continental Oil Company, Baltimore, Maryland
1971-1976	Assistant Professor of Engineering, The University of Texas at Austin, Austin, Texas
1976-1981	Associate Professor of Chemical Engineering
1978 (Spring)	Visiting Professor of Chemical Engineering, University of California at Berkeley, Berkeley, California
1979-1985	Graduate Advisor
1981-1985	Professor of Chemical Engineering
1983-1991	The Paul D. and Betty Robertson Meek Centennial Professorship
1985-1993	Department Chairman, Chemical Engineering
1993-1996	Associate Dean for Academic Affairs, College of Engineering
1996-2001	Associate VP for Academic Computing & Instructional Technology Services
1991-present	George T. and Gladys H. Abell Endowed Chair in Engineering and Professor of Chemical Engineering

## **CONSULTING**

Advanced Micro Devices  
Camp, Dresser, McKee  
Chemstations  
E. I. DuPont de Nemours, Inc.  
Elgin-Butler Brick Company  
Fisher Controls  
Fulbright and Jaworski  
Heller - Ehrman  
Millipore  
Mobil Oil Corporation  
National Bureau of Standards  
Perkins - Coie  
Resource Assessments  
Renasas  
Ropes-Gray  
Teknekron  
Texas Instruments  
Tokyo Electron  
Tres-Ark  
United Nations Development Program  
Whitfield Law

**AWARDS**

- 1974 Outstanding Student Chapter Counselor Award, AIChE
- 1976 Outstanding Young Member, South Texas Section AIChE
- 1977 Honorable Mention, Best Paper Award, Joint Automatic Control Conference
- 1978 Outstanding Young Men of America
- 1978 Who's Who in the South and Southwest
- 1980 Allan P. Colburn Award for Excellence in Publications (AIChE)
- 1982 Katz Lectureship, University of Michigan
- 1984 Who's Who in America
- 1988 Amick Lecturer, Columbia University
- 1988 George Westinghouse Young Educator Award, (ASEE)
- 1988 Chemical College Lecturer, Institution of Engineers-Australia
- 1989 Joe J. King Professional Engineering Achievement Award
- 1990 Distinguished Engineering Service Award (University of Kansas)
- 1990 Meriam-Wiley Distinguished Author Award (ASEE)
- 1992 American Automatic Control Council Education Award
- 1993 Eckman Education Award (ISA)
- 1994 AIChE Fellow
- 1994 Who's Who in the U.S.
- 1994 Who's Who in Engineering
- 1995 Computing in Chemical Engineering Award (AIChE)
- 1996 Henske Lecturer, Yale University
- 1996 Union Carbide Lectureship - Chemical Engineering Division Award (ASEE)
- 1999 Phillips Lectureship, Oklahoma State University
- 1999 Wilbur Lecture, Rice University
- 1999 Chemical Engineering Academy Lecture, University Missouri-Rolla
- 2005 ASEE Fellow
- 2005 IFAC Control Engineering Prize
- 2006 Warren K. Lewis Award in Chemical Engineering Education (AIChE)
- 2007 Process Automation Hall of Fame (Control Magazine)
- 2008 International Federation of Automatic Control (IFAC) Fellow

**HONORARY SOCIETY MEMBERSHIPS**

Phi Lambda Upsilon  
 Omega Chi Epsilon  
 Omicron Delta Kappa  
 Tau Beta Pi  
 Phi Kappa Phi

**PROFESSIONAL SOCIETY MEMBERSHIPS**

American Institute of Chemical Engineers  
 Registered Professional Engineer, State of Texas  
 Trustee, CACHE Corporation  
 American Chemical Society  
 American Society of Engineering Education  
 Instrument Society of America

**A. PUBLICATIONS -- Journals**

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- [3] G. V. Reklaitis and T.F. Edgar. *Computers and Chemical Engineering*, Special Issue on Applications of Computer Graphics in Chemical Engineering.
- [4] D. E. Seborg and T.F. Edgar. Proceedings of the Engineering Foundation Conference on Chemical Process Control, 1981.

#### **G. PAPERS AND REPORTS**

- [1] T.F. Edgar. Optimal control of singular and bang-bang systems, Feb. 1972.
- [2] J.B. Riggs and T.F. Edgar. Simplification of linear diffusion models, March 1973.
- [3] J.M. Galland and T.F. Edgar. Analysis and modeling of underground coal gasification systems, Oct. 1973.
- [4] J.A. Restrepo, V. Krishnamoorthy, E.H. Wissler, and T.F. Edgar. Identification and estimation of z-transform models for a distillation column, March 1974.
- [5] T.F. Edgar. The potential of in situ gasification for the southwest united states, Sept. 1974.
- [6] C.O. Schwanke, J.O. Hougen, and T.F. Edgar. Problems in the application of optimal multivariable control theory to distillation columns, Nov. 1976.
- [7] J.M. Galland, B. Dinsmoor, T. Tsang, and T.F. Edgar. Analysis and modeling of underground coal gasification systems, Nov. 1976.
- [8] T.W. Thompson, K.E. Gray, and T.F. Edgar. In situ gasification of Texas lignite, Sept. 1976.
- [9] K. E. Gray, W. R. Kaiser, and T.F. Edgar. In situ conversion of Texas lignite to synthetic fuels, April 1975.
- [10] K.E. Gray, W.R. Kaiser, and T.F. Edgar. In situ conversion of Texas lignite, Nov. 1976.
- [11] T.W. Thompson, W.R. Kaiser, K.E. Gray, and T.F. Edgar. In situ conversion of Texas lignite to synthetic fuels, June 1976.
- [12] T.W. Thompson, W.R. Kaiser, K.E. Gray, M.J. Humenick, and T.F. Edgar. In situ conversion of Texas lignite to synthetic fuels, Jan. 1977.
- [13] T.W. Thompson, W.R. Kaiser, K.E. Gray, M.J. Humenick, and T.F. Edgar. In situ conversion of Texas lignite to synthetic fuels, July 1977.
- [14] G.H. Dunn and T.F. Edgar. Solution of some mixed integer programming problems arising in natural gas production and distribution, Nov. 1977.
- [15] T.F. Edgar. Particulate control technology, Report to EPA Jan. 1977.
- [16] T.F. Edgar. Analysis of low btu coal gasification/combined cycle technology and costs to develop input data for the project independence evaluation system, Nov. 1976.
- [17] T.F. Edgar. Analysis of the costs of control systems for total and fine particulate matter, Sept. 1977.

- [18] L.S. Tung and T.F. Edgar. A study of pole placement with incomplete state feedback for abinary distillation column, May 1978.
- [19] P. Cukor, L. Smith, and T.F. Edgar. A simple correlating function for analysis of esp performance in coal fired power plants, June 1978.
- [20] T.H. Tsang and T.F. Edgar. Modeling of pyrolysis and drying in underground coal gasification, April 1979.
- [21] L.S. Tung and T.F. Edgar. Model development and reduction for a distillation column, April 1979.
- [22] T.F. Edgar. Assessment of the use of process dynamics and control for influencing energy utilization in industrial processes, June 1979.
- [23] M. Rabins, H.H. Richardson, J. Zaborszky, and T.F. Edgar. Process and systems dynamics and control: High priority research needs relevant to energy, Dec. 1979.
- [24] V.L. Howell) H.B. Cooper. Impact of increased coal utilization on compliance with ozone ambient air standards in the Houston Galveston Metropolitan area, Oct. 1979.
- [25] C.D. Rao and T.F. Edgar. Air quality impacts of underground lignite gasification in Texas, 1980.
- [26] P.G. Christman and T.F. Edgar. Analysis of limestone-sulfur interactions for fluidized bed combustion, 1980.
- [27] T.F. Edgar. Cache survey on computer graphics in chemical engineering education, Aug. 1980.
- [28] P.G. Christman and T.F. Edgar. The kinetics and product distribution of the cao/so reaction, Nov. 1981.
- [29] H.P. Tseng and T.F. Edgar. Effective diffusivity in char combustion reactions, Nov. 1981.
- [30] E. Vogel and T.F. Edgar. An adaptive dead time compensator for process control, Nov. 1980.
- [31] P. Christman and T.F. Edgar. Distributed pore size model for the sulfation of limestone, Nov. 1980.
- [32] P. Christman and T.F. Edgar. The effect of temperature on sulfation of limestones, Nov. 1980.
- [33] H.P. Tseng and T.F. Edgar. Combustion properties of Texas lignite, April 1981.
- [34] E.F. Vogel and T.F. Edgar. An adaptive multivariable pole-zero placement controller for chemical processes with variable dead time, Nov. 1982.
- [35] H.P. Tseng and T.F. Edgar. The change of the physical properties of coal char during reaction, Nov. 1982.
- [36] R. Kochhar T. Westby and T.F. Edgar. Retention of sulfur by ash during fluidized bed combustion of Texas lignite, April 1983.
- [37] E.F. Vogel J. Gerry and T.F. Edgar. Adaptive control of a pilot scale distillation column, April 1983.
- [38] G.V. Reklaitis, R.S.H. Mah, and T.F. Edgar. Computer graphics in the che curriculum, 1983.
- [39] E.J. Jones, E.P. Hamilton, and T.F. Edgar. Application of a sawdust gasifier to produce low btu gas from lignite at a Texas brick plant, December 1982.
- [40] P. Pavlechko and T.F. Edgar. Pole placement adaptive control of processes described by discrete convolution models, June 1984.

- [41] W. Min and T.F. Edgar. Combustion tube studies on the influence of water influx on steam-oxygen gasification of lignite, May 1984.
- [42] D.E. Seborg, S.L. Shah, and T.F. Edgar. Adaptive control strategies for process control: A review, November 1983.
- [43] T.F. Edgar. Support research on chemical, mechanical and environmental factors in underground gasification of Texas lignite, 1983.
- [44] T.F. Edgar. Analysis of sulfur retention during fluidized bed combustion of Texas lignite, 1983.
- [45] W. Min and T.F. Edgar. The dynamic behavior of a fixed-bed steam oxygen coal gasifier disturbed by water influx, Nov. 1984.
- [46] B.W. Bequette and T.F. Edgar. Selections of process measurements in distillation column control to minimize multivariable interaction, Nov. 1984.
- [47] P. Pavlechko, M. Wellons, and T.F. Edgar. Multivariable adaptive control with the generalized analytical predictor, Nov. 1986.
- [48] W. Bequette, R. Horton, and T.F. Edgar. Multivariable control of a complex distillation unit,, April 1987.
- [49] J. Rawlings, N. Bell, and T.F. Edgar. Control of a water gas shift reactor with dynamic inlet conditions, April 1987.
- [50] T.F. Edgar. Nonlinear control of a high purity distillation column by the use of partial linearization, April 1987.
- [51] P. D. Pavlechko and T.F. Edgar. Multivariable adaptive control with the generalized analytical predictor, November 1987.
- [52] D. T. Dalle Molle, B. J. Kuipers, and T.F. Edgar. Qualitative modeling of dynamic systems, November 1987.
- [53] G. Munkvold, I. Kim, J. Beaman, and T.F. Edgar. Analysis of radial gradients in pressure swing adsorption, August 1988.
- [54] D. T. Dalle Molle, I. Trachtenberg, and T.F. Edgar. Qualitative modeling of a plasma etcher, (1988).
- [55] S.W. Butler, I. Trachtenberg, and T.F. Edgar. Mechanisms and modeling of plasma polymerization, June 1990.
- [56] D. T. Dalle Molle and T.F. Edgar. Building qualitative models of dynamic chemical systems, March 1990.
- [57] T.F. Edgar. Will computers control the world?, 1990.
- [58] J.C. Hoskins, K.J. McLaughlin, D.M. Himmelblau, and T.F. Edgar. Artificial neural network of plasma etching, August 1989.
- [59] M.J. Liebman and T.F. Edgar. Data reconciliation for dynamic processes using nonlinear programming techniques, March 1990.
- [60] S.W. Butler, K.J. McLaughlin, I. Trachtenberg and T.F. Edgar, SPIE Technical Symposium on Microelectronic Processing Integration, SPIE - The International Society for Optical Engineering, Santa Clara 1990.

- [61] S.W. Butler, I. Trachtenberg, and T.F. Edgar. Modeling of selective etching of silicon dioxide over silicon in  $cf_4/h_2$ , June 1990.
- [62] J. Bushman, I. Trachtenberg, and T.F. Edgar. Process control and modeling of plasma etching reactors, November 1992.
- [63] S. Chatterjee, I. Trachtenberg, and T.F. Edgar. Surface energy estimation techniques applied to single wafer rapid thermal processing systems, November 1992.
- [64] J. Choi, V. Manousiouthakis, and T.F. Edgar. On  $h_0$  simultaneously optimal decentralized controller design, November 1992.
- [65] Y.L. Huang and T.F. Edgar. An artificial intelligence approach to the design of a process for waste minimization, September 1992.
- [66] Y.L. Huang and T.F. Edgar. An artificial intelligence approach for integrated process design and control: Case study on synthesizing cost-effective and highly controllable heat-integrated reactor networks, November 1992.
- [67] Y.L. Huang and T.F. Edgar. Simultaneous recovery of waste chemicals and energy in an oil refinery, September 1993.
- [68] T. Soderstrom, T.F. Edgar, L. Russo and R. Young. Plantwide Dynamic Data Reconciliation Applied to Environmental Monitoring. *AIChE National Meeting*, April 1997.
- [69] T. Soderstrom, L. Russo, R. Young, and T.F. Edgar. Practical Implementation Issues in the Large Scale Application of Nonlinear Dynamic Data Reconciliation. *AIChE Meeting*, March, 1999, Houston, Texas.
- [70] W.J. Campbell, C. Reader, V. Wenner, and T.F. Edgar. Multivariate Run-to-Run Control of Arm-to-Arm Variations in Chemical Mechanical Planarization. *AIChE Annual Meeting*, 1998.
- [71] T.F. Edgar. Vision 2020 and Distillation Modeling, Operations, and Control. *AIChE, 2000*, pp. 93-98, Atlanta, 2000.
- [72] J. Hahn, S. Lextrait and T.F. Edgar. Nonlinear Balanced Model Residualization via Neural Networks. Presented at Annual *AIChE Meeting*, Los Angeles, November, 2000.
- [73] C.A. Bode, A.J. Toprac, R.O. Edwards, and T.F. Edgar. Linear Model Predictive Control with Extensions for Lithography Overlay, *AEC/APC Symposium XII*, pp. 953-962, S. Lake Tahoe, CA, September, 2000.
- [74] T.F. Edgar, "Process Modeling and Control in Semiconductor Manufacturing: Challenges and Opportunities", *Applied Materials*, Sunnyvale, CA, June, 2004.
- [75] T.F. Edgar, "Chemical Engineering Education and the Role of Cyberinfrastructure", *AIChE Mtg.*, New Orleans, LA, April, 2004.

## H. ORAL PRESENTATIONS

Over 400 presentations made, 1971 – present.

## OTHER PUBLISHING ACTIVITIES

- [1] A research plan for the Department of Energy in process dynamics and control, (1978)

- [2] Author of DOE report "Research Needs in Energy Engineering: Systems, Instrumentation and Control" (1986).
- [3] Editorial Board, *Chemical Engineering Reviews* (Freund Publishing) (1985-present).
- [4] Editorial Board, *AIChE Journal* (1984-85), (2003 – present).
- [5] Editorial Board, *Computers and Chemical Engineering* (1987-present).
- [6] Founding General Editor, *In Situ*, (1977-90).
- [7] Editorial Board: *Journal of Process Control* (1990-1999).
- [8] Area Editor, *Chemical Engineering Education*, (1990-2004).
- [9] Chemical Engineering Advisory Board, John Wiley and Sons, (1990-present).
- [10] Encyclopedia of Science and Technology (Chemical Engineering Editor) 7<sup>th</sup> Edition, (1995).
- [11] Chemical Engineering Advisory Board, McGraw-Hill (1998-2004).
- [12] Editorial Board, *Transactions Control, Automation and Systems Engr.* (Korea), (2000-present).
- [13] Editorial Board, *Interactive Journal of Robust and Nonlinear Control* (2008-present)

#### **STUDENT THESES AND DISSERTATIONS SUPERVISED**

##### **Master's Theses**

- [1] J. A. Restrepo, 12/72, Discrete and Continuous Dynamic Modeling of a Distillation column.
- [2] J. B. Riggs, 5/73, A Survey of the Model Reduction Problem.
- [3] J. M. Galland, 12/73, Analysis and Modeling of Underground Coal Gasification Systems.
- [4] J. Schwartz, 5/74, Analytical and Computational Simplification of Linear Dynamic Models.
- [5] D. R. Oakley, 5/75, Multivariable Control of a Distillation Column.
- [6] D. A. Westbrook, 5/76, Design of a Combustion Tube for Experimentation on In Situ Gasification of Texas Lignite.
- [7] J. E. Murray, 5/77, Two Methods for the Optimum Development of Petroleum Reservoirs.
- [8] S. J. Hsia, 8/77, Oxidation Kinetics of Texas Lignites.
- [9] G. Valeri, 8/77, Production of Methane and Other Chemicals from Texas Lignite.
- [10] F. Ozturegen, 12/77, An Economic Study of In Situ Gasification of Texas Lignites.
- [11] J. A. Cadwell, 12/78, Pyrolysis Properties of Texas Lignite Under Conditions of In Situ Gasification.
- [12] D. W. Webb, 12/78, Multivariable Modeling and Decoupling Control of a Distillation Column.
- [13] B. Dinsmoor, 12/79, The Modeling of Channel Systems in Underground Coal Gasification.
- [14] S. M. Matteson, 12/79, Pyrolysis Kinetics of Texas Lignite.
- [15] M. J. Singer, 12/79, A Mathematical Model for the Fluidized Bed Combustion of Texas Lignite.
- [16] A. N. Dasgupta, 5/80, Analysis and Design of a Fluidized Bed Gasification System for Texas Lignite.

- [17] W. C. Hunt, Jr., 5/80, Cracking of Low Heating Rate Pyrolysis Products Obtained from Texas Lignite.
- [18] C. M. Johnson, 8/80, A Three-Dimensional Numerical Simulation for Underground Coal Gasification.
- [19] R. C. Heeb, 8/80, Computer-Aided Multivariable Controller Design for Distillation Columns.
- [20] S. M. Berg, 8/80, Stability of DDC Control Algorithms Subject to Process Control Inaccuracies.
- [21] D. Grittmann, 8/82, Application of On-line Closed-Loop Identification to a Pilot-Scale Distillation Column.
- [22] G. H. Dunn, 12/80, Optimal Design of Gas Transmission Networks.
- [23] T. A. Wellborn, 8/81, Linear Burning Rates of Texas Lignites.
- [24] M. Athans, 12/80, The Fate of Sulfur During Pyrolysis of Texas Lignite.
- [25] F. Zybert, 8/81, Energy Conservation in Distillation.
- [26] H. Jimenez, 8/81, A Process Economics Model for In Situ Gasification of Texas Lignite.
- [27] K. Y. Park, 5/82, Design of Surface Facilities for Underground Gasification of Texas Lignite.
- [28] S. Joshi, 5/83, Fate of Sulfur in Underground Coal Gasification.
- [29] J. K. Ponnampuram, 12/82, The Design and Operation of Combustion Tube for Studying the In-Situ Gasification of Texas Lignite.
- [30] J. Gerry, 12/82, Application of the Vogel-Edgar Controller to a Distillation Column.
- [31] E. Bass, 8/83, Gasification Kinetics of Texas Lignite: A Study of the Steam-Char Reaction.
- [32] M. Mai, 5/84, An Investigation of the Factors Governing Early Cavity Growth During In Situ Gasification of Texas Lignite.
- [33] R. Cook, 8/84, Design and Operation of a Combustion Tube for Gasification of Texas Lignite.
- [34] M. Wellons, 5/85, A Generalized Analytical Predictor for Process Control.
- [35] S. Poon, 8/85, Measurement and Analysis of Burning Rates for Lignite Cores.
- [36] D. Little, 8/85, A New Computational Approach for Constrained Dynamic Matrix Control.
- [37] E. Lopez, 12/84, Characteristics and Measurements of Two-Phase Slug Flow Through An Orifice Meter.
- [38] S. Santivisat, 5/89, Boiler Simulation and Control on Fisher PROVOX.
- [39] R. Ranly, 8/91, The Application of Quadratic Dynamic Matrix Control to a Pilot Scale Distillation Column.
- [40] H. Ouarti, 8/92, The Use of Approximate Models and Exact Linearization for Control of Nonlinear Processes
- [41] A. Sabharwal, 6/95, Design and Controllability Analysis of Heat and Mass Exchanger Networks.
- [42] B. Mull, 5/95, Digital Control of Rapid Thermal Processes.
- [43] R. Chong, 8/05, Adaptive Run-to-run control of semiconductor processes.

#### **Ph.D. Dissertations**

- [1] V. Krishnamoorthy, 12/76, On Line Identification and Multivariable Control of a Distillation Column.
- [2] L. S. Tung, 8/79, Analysis and Control of Large Scale Processes with Limited Measurements.
- [3] T. H. Tsang, 5/80, Modeling of Heat and Mass Transfer During Coal Block Gasification.

- [4] P. Christman, 12/81, Analysis of Simultaneous Diffusion and Chemical Reaction in the Calcium Oxide-Sulfur Dioxide System.
- [5] E. Vogel, 5/82, Adaptive Control of Chemical Processes with Variable Dead Time.
- [6] H. P. Tseng, 12/82, Identification of the Combustion Behavior of Coal Char Between 350 C and 900 C.
- [7] R. Kochhar, 5/84, Mechanisms of Sulfur Retention by Lignite Ash During Isothermal Sulfation.
- [8] K. Park, 12/84, Investigation of Cavity Growth Mechanisms for Underground Gasification of Western Coals.
- [9] H. Chang, 12/84, Process Analysis and Simulation of Underground Coal Gasification.
- [10] T. Westby, 12/84, Carbon Combustion Efficiency and Sulfur Oxide Emissions During Fluidized Bed Combustion of Texas Lignite.
- [11] W. Min, 5/85, Studies of the Influence of Water Influx on Steam-Oxygen Gasification of Lignite.
- [12] T. Yount, 5/86, Simulation of the Performance of an Atmospheric Pressure Fluidized Bed Combustor.
- [13] W. Bequette, 11/86, Measurement Selection and Control System Design for Multivariable Interacting Processes.
- [14] A. Alsop, 4/87, Nonlinear Chemical Process Control by Means of Linearizing State and Input Variable Transformations.
- [15] R. Horton, 5/87, Multivariable Control of an Energy Integrated Distillation Column.
- [16] M. Mai, 1/87, Analysis of Simultaneous Calcination, Sintering, and Sulfation of Calcium Hydroxide under Furnace Sorbent Injection Conditions.
- [17] P. Pavlechko, 5/87, An Adaptive Generalized Analytical Prediction for Process Control.
- [18] K. McLaughlin, 5/89, Development of Techniques for Real-Time Monitoring and Control of Plasma Etching.
- [19] D. Dalle Molle, 8/89, Qualitative Simulation of Dynamic Chemical Processes.
- [20] In-Won Kim, 8/90, Robust Errors in Variables Estimation Using Nonlinear Programming Techniques.
- [21] Noel Bell, 5/90, Steady-State and Dynamic Modeling of a Fixed Bed Water-Gas Shift Reactor.
- [22] K. Allred, 8/91, Modeling, Optimization, and Control of Selective Plasma Etching of Silicon and Silicon Dioxide
- [23] G. Munkvold, 12/90, A Multicomponent Predictive Model for Pressure Swing Adsorption Applied to Air Separation
- [24] S. Butler, 5/91, Etching and Polymerization in Fluorocarbon-Hydrogen Plasmas: Mathematical Modeling and Experimental Investigation
- [25] M. Liebman, 5/91, Reconciliation of Process Measurements Using Statistical and Nonlinear Programming Techniques
- [26] A. Patwardhan, 5/91, Modeling and Control of a Packed Distillation Column
- [27] A. Toprac, 8/92, Modeling and Experimentation in the Chemical Vapor Deposition of Silicon in a Single Wafer Rapid Thermal System
- [28] G. T. Wright, 5/92, Modeling and Nonlinear Predictive Control of a Fixed-Bed Water-Gas Shift Reactor
- [29] T. Badgwell, 12/92, Modeling and Optimization of Multiwafer Low Pressure Chemical Vapor Deposition Reactors

- [30] S. Chatterjee, 12/93, Modeling and Parameter Estimation in a Single Wafer Rapid Thermal Reactor
- [31] C. Ling, 12/93, A Study of New Model-based Fuzzy Control Techniques and their Verifications
- [32] J. Bosley, 5/94, An Experimental Investigation of Modeling, Control, and Optimization
- [33] T. Breedijk, 12/94, Model Identification and Nonlinear Predictive Control of Rapid Thermal Processing Systems.
- [34] S. Bushman, 12/95, Process Monitoring, Modeling, and Control of Plasma Etch Systems.
- [35] K. McBrayer, 2/96, Detection and Identification of Bias in Nonlinear Dynamic Processes.
- [36] J. Stuber, 9/96, Modeling Control and Temperature Measurement in Rapid Thermal Processing.
- [37] R. Dunia, 5/97. A Unified Geometric Approach for Process Monitoring and Control.
- [38] K. Edwards, 12/97. Kinetic Model Reduction Utilizing Optimization and Variable Selection Techniques.
- [39] S. Morrison, 5/98. Scheduling Methods for Batch Digestors, Batch Process Plants, and Job Shops with the Conveyor Algorithm.
- [40] K. Balakrishnan, 5/98. Temperature and Process Uniformity Control in Rapid Thermal Processing.
- [41] K. Teague, 5/99. Productive Dynamic Model of a Small Nonisothermal Pressure Swing Air Separation Process.
- [42] J. Campbell, 8/99. Run-to-Run Control of Chemical Mechanical Planarization.
- [43] C. Pfeiffer, 12/99. Analysis and Design of Heterogeneous Control Laws for Nonlinear Chemical Processes.
- [44] B.S. Ko, 5/00. On Performance Assessment of Feedback Control Loops.
- [45] T. Soderstrom, 5/01. Integration of On-Line Data Reconciliation and Bias Identification Techniques.
- [45] C. Bode, 5/01. Run-to-Run Control of Overlay and Linewidth in Semiconductor Manufacturing.
- [46] S. Alici, 8/01. Dynamic Data Reconciliation using Process Simulation Software and Model Identification Tools.
- [47] A. Pasadyn, 10/01. Simultaneous Run-to-Run Control and Identification for Multiple Products and Process Environments.
- [48] J. Hahn, 5/02. A Balancing Approach to Analysis and Reduction of Nonlinear Systems.
- [49] S.B. Hwang, 5/02. Modeling of RTCVD of SiGe.
- [50] J. Schell, 5/02. Modeling and Control of Reactive Distillation Column.
- [51] S.K. Firth, 12/02. Just-in-Time Adaptive Disturbance Estimation for Run-to-Run Control in Semiconductor Processes.
- [52] V.M. Martinez, 12/02. Adaptive Run-to-Run Control of Overlay in Semiconductor Manufacturing.
- [53] J. Peng, 5/03. Modeling and Control of Packed Reactive Distillation Columns.
- [54] S. Lextrait, 5/04. Packed Reactive Distillation Columns, Modeling, Simulation, and Control Analyses.
- [55] J. Hedengren, 5/05. Real-time Estimation and Control of Large-scale Nonlinear DAE Systems.
- [56] W. Cho, 5/05. Modeling and Control of Rapid Thermal Chemical Vapor Deposition Reactor.
- [57] L. Rueda, 12/05. Modeling and Control of Multicomponent Distillation Systems Separating Highly Non-Ideal Mixtures.
- [58] D. Castiniera, 5/06. Modeling of Flare Combustion Systems Using Computational Fluid Dynamics.

- [59] S. Harrison, 5/06. First-principles Modeling of Arsenic and Fluorine Behavior Ultrashallow Junction Formation.
- [60] K. Chamness, 12/06. Integrated Methods for Semiconductor Process Monitoring and Fault Detection.
- [61] T. Farmer, 5/07. Intravenous Closed-Loop Glucose Control In Type I Diabetic Patients.
- [62] A. Prabhu, 8/08. Performance Monitoring of Run-to-Run Control Systems used in Semiconductor Manufacturing.
- [63] Y. Zhang, 8/08. Improved Methods in Statistical and First Principles Modeling for Batch Process Control and Monitoring.
- [64] H. Lee, 8/08. Advanced Process Control and Optimal Sampling in Semiconductor Manufacturing.

### PROFESSIONAL ACTIVITIES

Program Chairman, Symposium on Process Automation, 1971-72  
 Finance Chairman, 1974 Joint Automatic Control Conference, Austin  
 AIChE National Program Committee, Systems and Process Control Area, (Chairman), 1975-78  
 AIChE National Membership Committee, Vice-Chairman, 1973-77  
 Editor, Modules in Process Control, CACHE Corporation  
 Steering Committee, Minority Engineering Workshop, Dallas, 1975  
 Equal Opportunity in Engineering Program, Director, 1974-1976  
 Trustee, CACHE Corporation, 1975-  
 Vice-President, CACHE Corporation, 1980-1981  
 President, CACHE Corporation, 1981-1984  
 Co-organizer, Texas Workshop on Minorities in Engineering, Oct., 1975, Dallas  
 Director, American Automatic Control Council, 1978-80  
 Chairman, Computer Graphics Task Force, CACHE Corp., 1978-80  
 Program Chairman, 1979 Joint Automatic Control Meeting, Denver  
 Assistant Chairman, Ch.E. Department, 1978-1979  
 Graduate Advisor, Ch.E. Department, 1979-1985  
 Director, CAST Division of AIChE, 1979-83  
 Co-Chairman, Engineering Foundation Conference on Process Control, 1981  
 Finance Chairman, 1982 American Control Conference, Washington, D.C.  
 Coordinator of Computing Sessions, 1982, ASEE Summer School, Santa Barbara, California  
 Second Vice Chairman, CAST Division, AIChE, 1984  
 First Vice Chairman, CAST Division, AIChE, 1985  
 Chairman, CAST Division, AIChE, 1986  
 General Chairman, American Control Conference, 1987  
 Vice-Chairman, Applications Committee, International Federation of Automatic Control,  
 1981-1985  
 Chairman, Awards Committee, American Automatic Control Council, 1984-85  
 Chairman, Research Panel for U.S. Dept. of Energy, Systems (Instrumentation and Control, 1985  
 Accreditation Visitor, AIChE/ABET, 1984-present  
 Steering Committee, "Chemical Process Control" Conference, 1986, 1991

Board of Judges, 1987 Kirkpatrick Chemical Engineering Achievement Award  
Session Chairman at 20 technical meetings (AIChE, ASEE, SPE, IEEE, JACC, ACC)  
Director, AIChE, 1989-92  
Director, AIChE Foundation, 1990-94, 1997-2001  
President: American Automatic Control Council, 1989-91  
Advisory Committee, Department of Chem. Engr. – University of Maryland  
Advisory Committee, Technology Based Engineering Education Consortium  
Advisory Committee, Department of Chemical Engineering, MIT  
Advisory Committee, Department of Chemical Engineering, University of Kansas  
Advisory Committee, Department of Chemical Engineering, UCLA  
Advisory Panel, U. S. Department of Energy Basic Energy Engineering, 1989-90  
Governing Board and Executive Committee, Council for Chemical Research, 1989-92  
Vice Chair, Council for Chemical Research, 1991-92  
Managing Board, AIChE Center for Waste Reduction Technology, 1992  
Program Chair, CCR Annual Meeting, 1992  
Chair, Council for Chemical Research, 1992-93  
Academic Advisory Board, Dow Chemical Company, 1992-  
National Research Council Committee Impact of Critical Technologies in Chemistry/Chemical Engineering, 1992.  
Vice President, AIChE, 1996  
President, AIChE, 1997  
Executive Officer, CACHE Corporation, 2000 - present  
Chair, Board of Trustees, AIChE Foundation, 2004-2005  
Commissioner, ABET Educational Advisory Committee, 2005-2011  
College of Engineering Committees:  
    College of Engineering - Computer (Chair, 1981-84)  
    Equal Opportunity in Engineering  
    Engineering Advisory Council  
    Graduate Studies  
    Word Processing  
    AIChE Student Chapter Advisor  
    Omega Chi Epsilon Sponsor  
    Dean Search Committee  
    Information Technology

University Committees:  
    Housing  
    Faculty Senate  
    University Council  
    Faculty Computing  
    Project QUEST (personal computers)  
    Calendar  
    Athletics Advisory  
    Multimedia Instruction Committee (Chair, 1995-)  
    Technology Enhanced Learning (1999-2000)  
    Graduate Assembly

## CONTINUING EDUCATION

1973-74 Participated in lecture series, "Introduction to Chemical Engineering" for DuPont de Nemours Co., Inc. plant at Victoria, Texas.

May 1974 Organized short course, "Computer Process Modeling and Control" and presented lectures

May 1976 Organized short course, "Computer Process Modeling and Control," and presented lectures

May 1977 Organized short course, "Computer Process Modeling and Control," and presented lectures

Jun 1978 Participated in short course, "In Situ Energy Recovery Technology" at University of New Mexico

Mar 1979 Participated in a short course, "Underground Coal Gasification" at University of California, Los Angeles

May 1979 Was course moderator and instructor for short course "Combustion Evaluation in Air Pollution Control"

Jul 1979 Helped teach a course on "Process Control" at University of California, Santa Barbara

Oct 1979 Presented lectures on pipeline optimization to visiting Egyptian students

Jan 1980 Course Director of 3-day short course "Automatic Process Control" in Houston

May 1980 Participated in short course "Distillation Control" at Lehigh University

July 1980 Helped teach a course "Process Control" at University of California, Santa  
July 1981 Barbara

Sept 1982 Course Director of 3-day short course "Automatic Process Control" in Houston

Apr 1983 Organized and helped teach short course "Automatic Process Control", Amsterdam, Netherlands

May 1983 Helped teach course (same title), Kuwait Petroleum Co, Kuwait.

May 1983 Helped teach course (same title), College Park, MD

Dec 1983 Gave program on "The Inquiring Mind," KUT-FM & Texas Radio Network, Austin, TX.

Nov 1983 Prepared six hours of videotapes on digital control, Univ. of Maryland, automatic process control, College Park, MD.

Mar 1984 Lectured in short course, "Advanced Process Control," Wilmington, DE (DuPont).

Jun 1984 Lectured in short course, "Advanced Process Control," Cincinnati, OH (Proctor & Gamble).

Sept 1984 Short course, "Automatic Process Control," E. I. DuPont de Nemours, Parkersburg, WV 1984.

Oct 1984 Short course, "Automatic Process Control," E. I. DuPont de Nemours, Orange, TX.

Nov 1984 Short course, "Advanced Process Control," E. I. DuPont de Nemours, Parkersburg, WV.

Dec 1984 Short course, "Advanced Process Control," E. I. DuPont de Nemours, Orange, TX.

May 1985 Short course, "Application of Advanced Control in the Chemical Process Industries, University of Maryland, College Park, MD.

Sept 1985 Short course, "Advanced Process Control," E.I. DuPont de Nemours, Wilmington, DE.

May 1987 Short course, "Application of Advanced Control in the Chemical Process Industries, University of Maryland, College Park, MD.

Sept 1988 Short course, "Adaptive Control," American Cyanamid, Pensacola, FL

July 1988 Short course, "Introduction to Coal Utilization," Energy Course for Science Teachers, Austin, TX

Jan 1989 Short Course, "Optimization of Chemical Processes," University of Texas at Austin, Austin, TX.

May 1989 Short Course, "Digital Control," University of Maryland, College Park, MD.

July 1989 Short Course, "Introduction to Coal Utilization," Energy Course for Science Teachers, Austin, TX.

June 1990 Short Course, "Introduction to Coal Utilization," Energy Course for Science Teachers, Austin, TX.

Jan 1990 Short Course, "Optimization of Chemical Processes," University of Texas, Austin, TX.

Jan 1991 Short Course, "Optimization of Chemical Processes," University of Texas, Austin, TX.

May 1989 Short Course, "Advances in Digital Control Algorithms," University of Maryland, College Park, MD.

Jan 1992 Short Course, "Optimization of Chemical Processes," University of Texas, Austin, TX.

May 1993 Short Course, "Digital Process Control," University of Maryland, College Park, MD.

Mar 1993 Short Course, "Process Control," Monterrey Autonoma University., Monterrey, Mexico.

Jan 1994 Short Course, "Optimization of Chemical Processes," University of Texas, Austin, TX.

Nov 1995 Short Course, "Advanced Process Control I," Advanced Micro Devices, Austin, TX

Jan 1996 Short Course, "Advanced Process Control II," Advanced Micro Devices, Austin, TX

April 1996 Short Course, "Advanced Process Control II," Advanced Micro Devices, Austin, TX

Feb 1996 Short Course, "Advanced Process Control III," Advanced Micro Devices, Austin, TX

May 1996 Short Course, "Advanced Process Control III," Advanced Micro Devices, Austin, TX

Sept, 2000 Short Course, "Run-to-Run Process Control, AEC/APC Symposium, Reno, NV

Oct, 2000 Short Course, "Run-to-Run Process Control, Applied Materials, Salt Lake City, UT

Oct 2004 Short Course, "Run-to-Run Process Control and Monitoring", AEC/APC Symposium, Westminster, CO.

May, 2006 Short Course, "Run-to-Run Process Control and Monitoring", Renesas Co., Landshut, Germany.

**SUMMARY OF RESEARCH AND OTHER FUNDING**

Project Title and Associate Investigators	Agency	Beginning and Ending Dates	Total Grant
Selection of Process Measurements for Control of Mass Transfer Processes	NSF	7/73-3/75	\$ 17,000
Real-Time Computing of Chemical Engineering Processes (with E.H. Wissler, J.O. Hougen, and Project C-BE)	NSF	1/73-6/75	\$ 6,058
Modeling and Control of Physical Processes (with J.O. Hougen)	Bur. of Engr. Res.	9/72-9/73	\$ 5,000
Energy Research/Optimization Research	DuPont	9/72-9/73	\$10,000
The Optimum Scheduling of Drilling and Production for Gas Production	Bur. of Engr. Res.	9/73-8/74	\$ 2,340
Analysis and Modeling of Underground Gasification of Texas Lignite	Bur. of Engr. Res.	9/74-8/75	\$ 2,225
Gasification and Liquefaction of Texas Lignite--Governor's Energy Advisory Council	NSF/RANN	5/74-5/75	\$ 12,100
In Situ Conversion of Texas Lignite to Synthetic Fuels (with K.E. Gray, C.G. Groat)	NSF/RANN	9/74-3/76	\$ 59,800
In Situ Gasification of Texas Lignite	Various Donors	9/74-3/76	\$ 35,000
In Situ Conversion of Texas Lignite to Synthetic Fuels (with K.E. Gray, W.R. Kaiser)	NSF/RANN	9/75-7/78	\$231,000
Travel Grant from Ofc. of International Programs to visit the Univ. of Technical Sciences, Budapest, Hungary, to explore potential for cooperative research in aeration of biological waste Lignite Gasification	NSF	2/74	\$ 2,000
	Various Donors	9/75-8/78	\$ 35,000
In Situ Gasification of Texas Lignite (with T.W. Thompson, K.E. Gray, M.J. Humenick)	Texas Utilities	9/75-8/80	\$ 125,000
The Generation of Hydrocarbons by Pyrolysis During In Situ Lignite Gasification	Texas Petroleum Research Committee	9/77-8/78	\$ 10,000
Lignite Gasification	Various Donors	9/77-8/78	\$ 50,000

Fluidized Bed Combustion	Tex. Energy Dev. Fund	4/78-12/79	\$ 44,000
Underground Coal Gasification (with T.W. Thompson, M.J. Humenick)	DOE	4/78-9/80	\$220,000
Fluidized Bed Combustion	Bur. Engr. Research	9/77-8/78	\$ 3,000
Lignite Gasification	Various Donors	9/77-8/79	\$ 65,000
Mining and Mineral Resources Fellowships (with R.S. Schechter and M.M. Backus)	HEW	9/78-8/79	\$148,000
Associated Western Universities Fellow	DOE	10/78-8/79	\$ 9,000
Environmental Effects of In Situ Coal Gasification (with M.J. Humenick and W.R. Kaiser)	EPA	10/78-3/80	\$ 52,950
Lignite Gasification and Combustion	Various Donors	9/79-8/80	\$ 84,000
Mining and Mineral Resources Fellowships (with R.S. Schechter and M.M. Backus)	HEW	9/79-8/80	\$ 90,000
Assoc. Western Universities Fellowships	DOE	9/79-8/80	\$ 10,000
Mining and Mineral Resources Fellowships	DOI	9/79-4/80	\$ 9,000
Analysis of Sulfur Retention in Ash During Fluidized Bed Combustion of Texas Lignite	TENRAC	9/80-9/81	\$ 30,000
Mining and Mineral Resources Fellowships (with R.S. Schechter and M.M. Backus)	HEW	9/80-8/81	\$150,000
Lignite Gasification and Combustion	Various Donors	9/80-9/81	\$ 85,000
Underground Coal Gasification (with T.W. Thompson, M.J. Humenick)	U.S. DOE	4/78-9/81	\$220,000
Mining and Mineral Resources Fellowships (with R.S. Schechter and M.M. Backus)	U.S. Dept. Education	9/80-9/81	\$ 90,000
Assoc. Western Universities Fellowships	U.S. DOE	9/80-9/81	\$ 10,000
Environmental Effects of In Situ Coal Gasification (with M.J. Humenick)	U.S. EPA	10/80-9/81	\$ 46,272
Mining and Mineral Resources Research Fellowships	U.S. DOI	9/80-9/81	\$ 5,000

Analysis of Sulfur Retention in Ash During Fluidized Bed Combustion of Texas Lignite	TENRAC	6/80-9/81	\$ 46,382
Analysis of Sulfur Retention in Fluidized Bed Combustion of Texas Lignite	U.S. DOE	8/80-8/82	\$ 58,900
Engr. Fdn. Conference on Chemical Process Control (with D.E. Seborg)	NSF	11/80-5/81	\$ 18,000
Lignite Gasification and Combustion	Various Donors	9/31-9/82	\$ 75,000
Underground Coal Gasification (with T. W. Thompson, M. J. Humenick)	U.S. DOE	9/81-1/84	\$311,904
Underground Coal Gasification (with T. W. Thompson, M. J. Humenick)	TENRAC	9/81-9/83	\$ 59,050
Assoc. Western Universities Fellowships	U.S. DOE	9/81-9/83	\$ 21,000
Analysis of Sulfur Retention in Fluidized Bed Combustion of Texas Lignite	TENRAC	9/81-9/83	\$ 91,250
Advanced Control Strategies for Distillation	NSF	12/81-5/85	\$152,941
Lignite Gasification and Combustion	Various Donors	9/82-9/85	\$ 52,000
Lignite Fellowships	Texas Mining & Mineral Resources Research Institute	9/84-6/86	\$ 20,000
Process Control	Various Donors	9/83-9/85	\$ 30,000
Research on Chemical Factors in Underground Coal Gasification	U.S. DOE	8/84-8/85	\$ 77,845
Algorithm Development for Computer Control of Chemical Processes	NSF	6/85-6/88	\$204,176
Process Control	Various Donors	9/85-9/89	\$ 97,000
Lignite Gasification and Combustion	Shell Development	9/85-8/88	\$ 30,000
Performance Modeling of Molecular Sieves in an On Board Oxygen Generation System (with J. Beaman)	U.S. Army U.S. Air Force McDonnell-Douglas	9/85-12/86	\$ 91,000
Development of New Etch Processing Technologies (with I. Trachtenberg, J.R. Brock, A.J. Bard)	Texas Advanced Technology Research Program	11/85-8/87	\$560,000

Novel Approaches to the Growth of Refractory Metal Silicides (with J.M. White, R. Bene, D.M. Kwong, I. Trachtenberg, J.W. Lagowski)	Texas Advanced Technology Research Program	11/85-8/87	\$350,000
Shell Modernization Grant (with D.R. Paul, I. Trachtenberg, J.G. Ekerdt, W. Koros)	Shell Companies Foundation	9/87-8/89	\$296,800
Process Control Laboratory Endowment	Dow Chemical Co.	9/86-8/88	\$ 50,000
Process Control Research	Shell, E. I. DuPont de Nemours, Exxon	9/86 - 9/88	\$ 64,000
On Board Oxygen Generation System (J. Beaman)	U. S. Air Force, McDonnell-Douglas	9/85 - 9/89	\$138,000
Advanced Control Strategies for Distillation Columns	NSF	7/85 - 7/88	\$ 171,000
Development of Mathematical Models and Control Strategies for Solid State Device Processing (I. Trachtenberg)	NSF	7/88-7/91	\$ 299,864
Etching Technologies for Microelectronics Manufacturing and Other Fine Line Applications (J. R. Brock, I Trachtenberg)	Texas Advanced Technology Program		\$ 331,025
Understanding and Modeling of Unit Operations (A. Tasch, I. Trachtenberg, et al.)	SEMATECH Center of Excellence	9/1/88-9/1/93	\$4,060,000
Intelligent Control of Microelectronics manufacturing (I. Trachtenberg, K. Astrom)	Texas Advanced Technology Program	1/1/90-8/31/92	\$ 349,880
Process Control Research (D. M. Himmelblau, J. B. Rawlings)	E.I. DuPont de Nemours, Exxon Chemical, Shell Development, Rhone Poulenc, International Paper, Mobil Oil	9/1/88- 9/1/93	\$ 288,000
Intelligent Control of Microelectronics Manufacturing	Texas Instruments	1/1/91- 1/1/93	\$ 19,000
Generic Equipment Models for Process Control of Microelectronics Manufacturing (with I. Trachtenberg)	Texas Advanced Technology Program	1/1/92- 1/1/94	\$ 295,880
Modeling and Control of Single Wafer Microelectronics Processes (with I. Trachtenberg)	National Science Foundation		\$ 272,613

Process Control Research (with J.B. Rawlings and D.M. Himmelblau)	Weyerhaeuser, Intevep, Mobil, Exxon, Amoco, Union Carbide	9/1/93- 9/1/94	\$ 129,000
Gain Scheduled Control for Rapid Thermal Processors (with I. Trachtenberg)	SEMATECH	9/1/94-8/31/95	\$ 61,000
Development of a Design Methodology for Waste Minimization	Environmental Protection Agency	6/1/94-5/31/95	\$ 44,800
International Travel Grant for PSE'94 (Kyongju, Korea) and ADCHEM'94 (Kyoto, Japan)	NSF Travel	10/1/93-9/30/94	\$ 22,000
Advanced Control of Rapid Thermal Processing (with I. Trachtenberg)	SEMATECH	9/1/95-3/31/96	\$ 28,000
Process Control Research (with J. Qin and D.M. Himmelblau)	Exxon, Amoco, DMC, Matrix Integrated Systems, Air Products, Texas Instruments, AMD, DuPont	9/1/95-8/31/96	\$167,000
Process Control Research (with J. Qin)	Exxon, Amoco, Simulation Sciences, DuPont, AMD, Motorola, Union Carbide, Yield Dynamics, Texas Instruments, Aspentech, Condea-Vista, Tokyo Electron	9/1/96-9/1/01	\$500,000
Model-based Control of Microelectronics Processing (with I. Trachtenberg)	NSF	9/1/96-9/1/00	\$291,000
Cross-Training of Technicians and Engineers in Microelectronics Manufacturing	NSF/University of New Mexico subcontract	7/1/98-4/1/01	\$95,000
Process Control Research	Exxon, AMD, Texas Instruments, SensArray, Emerson Process Management, Chemstations, Tokyo Electron, Samsung	9/1/01 – 9/1/08	\$710,000
Flare Combustion Emission Modeling and Control	EPA	9/1/05 – 9/30/06	\$60,000
State Partnerships to Save Energy Now Through Training, Landfill Gas Feasibility	Department of Energy (CEER)	7/31/06 – 7/31/08	\$50,000

Legal Cases Involving  
Thomas F. Edgar as Expert Witness

1. AMAT vs. INSYST  
(Superior Court – California, 2007-2008)
  
2. Fisher Rosemount Systems vs. Control Systems International  
(U.S. District Court 2006-2007)

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# Application of Predictor Corrector Control to Polysilicon Gate Etching

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## Abstract

A modification of Internal Model Control (IMC) was developed which produces excellent response when a process drift is present. The new controller, termed Predictor Corrector Control (PCC), employs a double exponential forecasting filter. Simulations were used to demonstrate that the PCC controller is quicker to respond to step changes and better tracks drifts than traditional controllers (which utilize single exponential filters). Thus, PCC is ideal for supervisory control of microelectronics manufacturing processes, which are known to suffer from machine aging. PCC was demonstrated on a polysilicon gate etch process with encouraging results. For this process, a single wavelength ellipsometer monitored the etch rate at the center of the wafer, and models were employed to relate the etch rate at other sites on the wafer with process conditions and the measured etch rate at the center. The supervisory controller produced setpoints (settings) for the equipment regulatory controllers which achieved a high etch rate process with a maximum specified nonuniformity.

## 1. Introduction

Polycrystalline silicon (polysilicon) gate etch is a critical step in manufacturing MOS devices. It determines the tolerance limits on MOS circuit performance. The polysilicon gate etch process used in the Microelectronics Manufacturing Science and Technology (MMST) program is comprised of three steps (Figure 1).

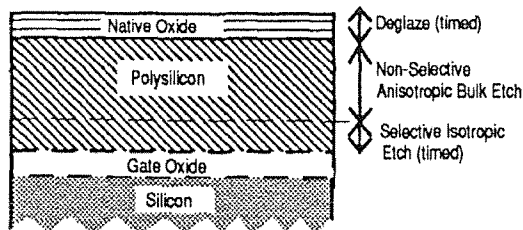


Figure 1: Films and Sequence of Steps  
(not drawn to scale)

The first step removes the native oxide. The bulk of the polysilicon is etched in the reactive ion etch (RIE)

second step. It is anisotropic so as to maintain straight sidewalls, but has low polysilicon to oxide selectivity. Therefore, the second step is stopped prior to etching through to the underlying oxide. The final step of the process, which removes the remaining polysilicon, is selective to oxide. However, it is slow and isotropic.

The overall objective of this process is to produce a desired critical dimension without damaging the underlying gate oxide. The key step in the polysilicon gate etch process is the second step. The bulk of the polysilicon is removed in this step while sustaining straight sidewalls so that undercutting is avoided during the isotropic third step. Due to lithography considerations, growth of the line must be kept minimal. In addition, the line profile must be maintained uniformly across the wafer. The etch rate must also be uniform across the wafer. Otherwise, too much polysilicon may be left at some points on the wafer, while at other points the polysilicon will be completely removed and the underlying oxide damaged. In order to maximize factory throughput, a high etch rate is also beneficial. This process is known to drift due to aging of the reactor. Therefore, performing the bulk etch for the same time with fixed process setpoints for all wafers would produce unsatisfactory results.

In order to achieve better control of this process, a single wavelength *in situ* ellipsometer, the STE 70 manufactured by Sofie Instruments (1), is used for robust automated endpointing. The ellipsometer is also an element of an intelligent model-based control system. Such a system is composed of many components, which are presented in Figure 2.

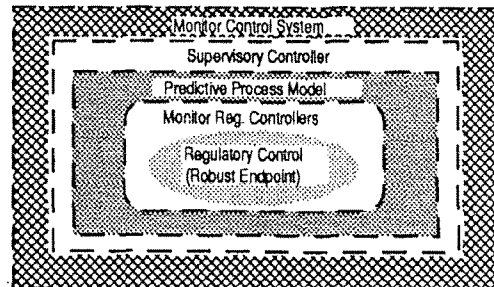


Figure 2:  
Intelligent Model-Based Control System

The fundamental component is the control of the machine, termed regulatory control. These controllers include the pressure controller, as well as the mechanism for shutting off the machine at the end of the process (endpointing). For robustness, these controllers must be monitored to determine if they are functioning correctly and whether maintenance is required. The information obtained from the machine, including that from the endpointing algorithm, is used to create models which predict future process performance. Such models are utilized by a supervisory control system which determines the setpoints for the regulatory controllers. These setpoints are commonly referred to as *settings* or *the recipe*. Supervisory control in microelectronics manufacturing is commonly called *run-by-run control* (2). Finally, the entire control system is observed to decide if its performance is satisfactory. Communication can flow in both directions between any two components of the system. This paper will concentrate on the supervisory controller.

## 2. Supervisory Control System Design

A good controller must meet the following objectives:

1. The ability to track the target without lag.
2. The ability to prevent disturbances from influencing the output.
3. The ability to reject noise, i.e., to not respond to spurious fluctuations.

It is known that objectives 1 and 3 are somewhat mutually exclusive. Thus, a controller that improves the speed of response with better noise rejection is difficult to achieve. Traditional run-by-run controllers utilize a Response Surface Model, whose offset (constant) is estimated ("tuned") when a Statistical Quality Control (SQC) failure is detected (2,3). The "tuned" model is then optimized to generate the new recipe. A single exponential filter is used to estimate the model offset, which causes a corresponding lag in the controller driving the output to target. The filter is required to remove the impact of spurious process fluctuations (noise) upon parameter estimation. However, because the model is not tuned until a SQC failure is detected, the amount of filtering required is not as large as would be necessary if the models were continuously tuned.

This filtered offset controller is equivalent to Internal Model Control (IMC) with a static model and a single exponential filter, as shown in Figure 3. This controller's name is based upon its structure which has a process model block internal to its block diagram (4). IMC has been used recently for supervisory control of the exposure step in a lithography process (5). When a single exponential filter is used to estimate the model

offset, the resulting controller reduces to a pure integral controller (2). An IMC controller with a single exponential filter can not produce the target setpoint if the process suffers from a drift. As described earlier, the polysilicon gate etch process is known to drift as the reactor ages. Thus, a supervisory controller was developed that would account for process drift.

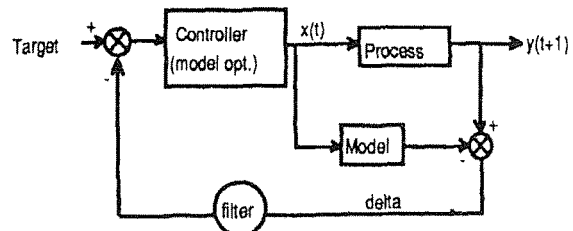


Figure 3  
Internal Model Control

### 2.1 Double Exponential Forecasting Filter

A forecasting filter is one which provides a forecast (prediction), rather than merely smoothing the current data. A double exponential forecasting filter consists of a filter to estimate the true output, as well as a filter to estimate the trend. The forecast is equal to the smoothed value plus the smoothed trend:

Current Smoothed Value =

$$(1-\alpha)(\text{Data at time } t) + \alpha(\text{Best previous estimate}) \quad [1]$$

Current Smoothed Trend =

$$(1-\beta)(\text{Estimate of Trend at } t) + \beta(\text{Previous trend})$$

Forecast =

$$\text{Current Smoothed Value} + \text{Current Smoothed Trend}$$

where  $\alpha$ ,  $\beta$  are the tuning constants

The single exponential filter traditionally used in IMC was replaced with a double exponential filter in order to create a controller which could compensate for a drifting process. This resulting modified IMC controller has been termed Predictor Corrector Control (PCC). In the case of the PCC, the data to be filtered is the model error ( $\Delta_t$ ):

$$\Delta_t = Y_t - \text{Model0 Prediction}_t \quad [2]$$

where Model0 is the original Response Surface Model. The current smoothed value is the filtered model error (called FDelta). The current smoothed trend is termed the filtered prediction error (FPE). The estimate of the trend is the Prediction Error (PE). Holt's filter is synonymous with double exponential forecasting filter (6). Holt's forecasting filter is used predominately in financial planning, rather than in process control. However, Holt developed his filter for the exact reasons that PCC was developed. We have investigated several possible variations of double exponential filtering by considering different calculations for the trend (PE) and the value used for the best previous estimate in the calculation of the current smoothed value (FDelta). We

preferred one particular variation of the filter based upon tuning considerations. The resulting controller with this filter is termed PCC(b(t)) and is depicted in Figure 4.

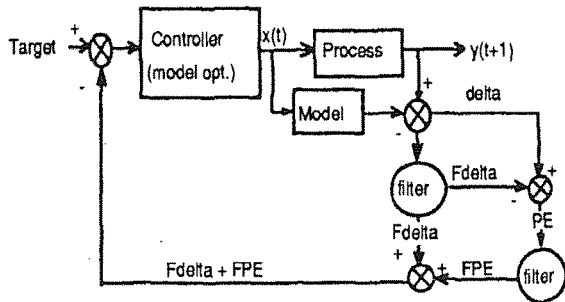


Figure 4  
Predictor Corrector Control (PCC)

The filter equations are:

PCC(b(t))

$$\begin{aligned} F\Delta_t &= (1-\alpha)\Delta_t + \alpha * F\Delta_{t-1} \\ PE_t &= \Delta_t - F\Delta_{t-1} \\ FPE_t &= (1-\beta)PE_t + \beta * FPE_{t-1} \end{aligned} \quad [3]$$

The following equations for FDelta and PE would produce equivalent results for the same tuning values:

$$\begin{aligned} F\Delta_t &= (1-\alpha)\Delta_t + \alpha(FPE_{t-1} + F\Delta_{t-1}) \\ PE_t &= \Delta_t - \Delta_{t-1} \end{aligned} \quad [4]$$

One variation of the filter was produced to reduce lag. It will not achieve target if a process drift is present. However, it will achieve an output that is offset by exactly the drift rate, while IMC will produce an offset equal to the drift rate divided by the filter factor. The controller with this filter has been termed PCC(b(t+1)). The equations for this modified double exponential filter are:

PCC(b(t+1))

$$\begin{aligned} F\Delta_t &= (1-\alpha)\Delta_t + \alpha * F\Delta_{t-1} \\ PE_t &= \Delta_t - F\Delta_t \\ FPE_t &= (1-\beta)PE_t + \beta * FPE_{t-1} \end{aligned} \quad [5]$$

## 2.2 Simulations

Extensive simulations were performed to analyze the controller and compare its performance to traditional IMC. A linear single input-single output (SISO) system was selected for testing the controller. A single input-single output system is a system that has one manipulated variable (x) and one measured/controlled variable (y). The true process model for this process is:

$$y = a_{true} * x + b_{true}$$

The following process control model was used:

$$model0 = a * x$$

where

$b_{true}$  the true value of the model offset  
(includes disturbance)  
for drift,  $b_{true}(t) = b_{true}(t-1) + \text{drift value}$

Figure 5 shows the controllers' responses to a sudden shift followed by a rapid drift whose rate is slowed after several wafers are processed. This situation might arise due to a machine maintenance, which causes a shift, followed by machine aging. Machine aging occurs rapidly at first but then slows as more wafers are processed. The filters have been tuned equivalently with respect to integral action. Table I gives the common process control system performance metrics, Integral Square Error (ISE) and Integral Absolute Error (IAE) (4). Both PCC controllers perform better than IMC. PCC(b(t)) eliminates the offset due to drift, but suffers more overshoot than does PCC(b(t+1)) when the drift rate changes. Additional simulations found PCC to be robust to both noise and model mismatch.

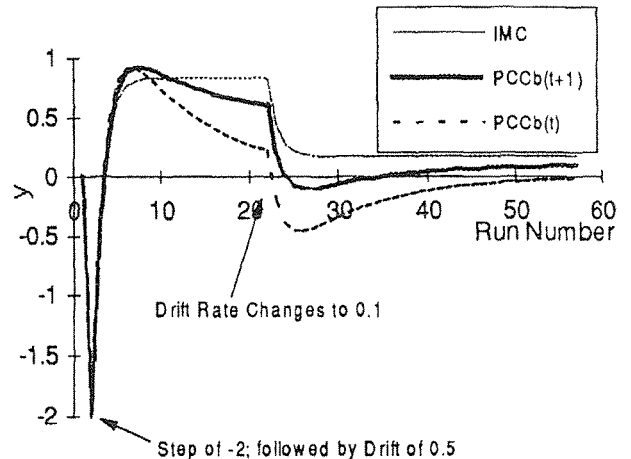


Figure 5: Controller Response to Step and Drifts  
Tuning: PCC(b(t+1)) and PCC(b(t))  $\alpha=0.5$  and  $\beta=0.9$ ;  
IMC  $\alpha=0.4$

Table I: Performance Measures

Controller	ISE	IAE
IMC	17.5	24.0
PCC(b(t+1))	14.9	18.8
PCC(b(t))	12.5	18.6

## 2.3 Implementation

NPSOL was incorporated into the controller for optimization purposes. A controller action is generated for each wafer, i.e., the models are continuously "tuned" and optimized. Heavier filtering is used than would be used if controller actions were based upon SQC failures. To prevent wandering around the operating space, the controller selects the closest solution to the current

operating point. To prevent small insignificant changes in the controller action, a deadband is employed; the setpoints for the last wafer are used if they will produce a process which is within 1-sigma of the target and meets all the constraints. If no solution is possible, the operator has the option to process with the setpoints for the last wafer. Because we are trying to control a process which drifts with time, the PCC(b(t)) controller was used with tuning of  $\alpha=0.5$  and  $\beta=0.9$ . These tuning values were selected based upon simulations with noise estimated from actual data.

### 3. Process Models

A necessary component of a run-by-run process control strategy is a model which relates the measurable variables to the manipulated variables. The models are often empirical (low-order polynomial expressions), derived using statistically designed experiments. In order to be beneficial, the *in situ* sensors must provide information that is related to the process goals (7). An ellipsometer measures in real time the thickness of the polysilicon at a small spot near the center of the wafer. Obviously, endpointing the bulk etch step will guarantee that this spot will have neither too much nor too little polysilicon remaining at the end of the bulk etch step. Unfortunately, the ellipsometer is only measuring one small area on the wafer. If the uniformity of the process is not maintained, other locations on the wafer may have too much or too little polysilicon remaining. Therefore, only controlling the response at the center of the wafer does not achieve all the objectives for this process. Consequently, a novel modeling scheme is utilized to try to relate the results at the center with process performance elsewhere on the wafer (8). Using off-line measurements, as well as the *in situ* sensor data, we have modeled the responses at various sites across the wafer. The important distinction of our modeling technique is that these site models are functions of the process factors as well as the behavior at the center of the wafer measured by the ellipsometer. Details about creating the models are given elsewhere (8). The uniformity of the etch process for any wafer may be inferred using the etch rate measured by the ellipsometer and these models. Consequently, run-by-run control of the uniformity becomes feasible.

### 4. Controller Performance

In order to use an optimizer with the models, the goals stated in the introduction must be expressed mathematically. A target was set for the etch rate measured by the ellipsometer. In addition, when the ellipsometer stopped the bulk etch step with a target value of polysilicon remaining, the constraint on the remaining polysilicon at site *i*, thickness<sub>*i*</sub>, was:

$$|\text{thickness}_i - \text{thickness at center}| \leq 300 \text{ \AA}$$

An additional constraint was set for the line growth at the wafer center. A response surface model for line growth was derived using off-line measurements. Since there was no *in situ* sensor, the model was not updated during the experiment.

### 4.1 Experimental Results

The samples were 6-inch diameter P<100> silicon wafers with doped polysilicon on top of 500 Å undoped thermal gate oxide. The wafers were patterned with a benchmark gate reticle. The etcher is a single wafer Advanced Vacuum Processor (AVP) manufactured by Texas Instruments. Figure 6 is a plot of Ln Data/Ln Target versus run number. The data is presented in the Log space because the initial modeling results indicated that a Ln transformation was necessary. Thus, feedback and SQC must be performed in the Log space. The three lines correspond to the observed etch rate, filtered model predictions, and model0 (original Response Surface Model). The difference between the model prediction and model0 in Figure 6 represents the amount of model tuning that has occurred since the controller was initialized (in this case prior to start of this experiment). There were many delays and hardware and software problems during the experiment which caused erratic behavior. However, overall, the controller did a good job of satisfying the constraints on remaining polysilicon thickness and achieving the target etch rate. For the 43 wafers etched, the etch rate deviated less than 4.5 Å/sec from the target. The change in predicted etch rate away from the target was partly due to the need to meet the constraints on etch uniformity and linewidth gain. Only three wafers had uniformities which violated the constraints. These results are satisfactory considering that in this experiment the optimization was not necessarily global. That is, global optimization was sacrificed for local

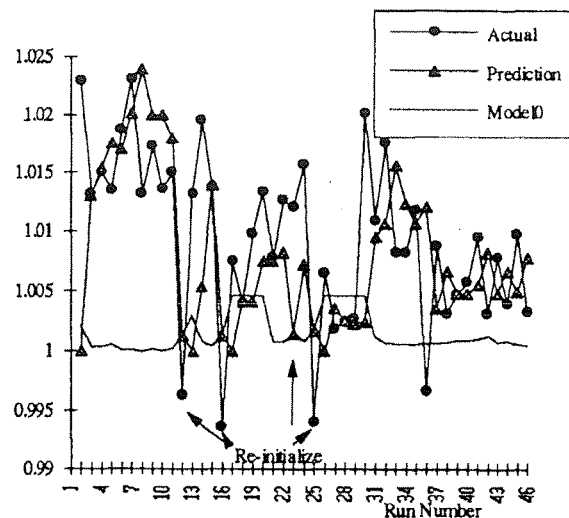


Figure 6: LN Data/LN Target; LN Model/LN Target

optimization to prevent bouncing around the operating space which would preclude the filter from stabilizing.

### 5. Conclusion

A modification of IMC control is developed which produces excellent response when a process drift is present, making PCC ideal for supervisory control of microelectronic manufacturing processes. Simulations were used to show that PCC provides superior performance compared to IMC when process drift is present. PCC was demonstrated on a polysilicon gate etch process with encouraging results. For this process, a single wavelength ellipsometer monitors etch rate at the center of the wafer, and models are employed to relate the etch rate at sites on the wafer with process conditions and the measured etch rate at the center. The supervisory controller produced setpoints (settings) for the equipment regulatory controllers which would achieve a high etch rate process with a maximum specified nonuniformity.

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