

SUBSTRATE & SAMPLE CHAIN OF CUSTODY (CoC) LAB AUDIT CHECKLIST

Document ID: CHK-COC-2021-15
Effective Date: Nov 28, 2021
Technician: Kadeem Manning

Substrate Code ID: _____	Batch Sequence: _____	Material: Si / Qtz / Sap / FCM / Other
Intake Date: ____/____/2021	CMMS Asset/WO #: _____	Lead Tech: Kadeem Manning (Tier II)

1. CHAIN OF CUSTODY VERIFICATION AUDIT ITEMS

Item #	Inspection Task & Verification Boundary	Acceptance Threshold	Status
1.01	Shipping Box & Sealed Pack Integrity Inspection	Zero packaging tears or seal compromises	☐ PASS ☐ FAIL
1.02	Material Spec & Manufacturer Certificate Audit	Orientation/Resistivity matches PO spec	☐ PASS ☐ FAIL
1.03	Diamond Scribe Rear ID Labeling Check	Legible Code ID on non-active rear edge	☐ PASS ☐ FAIL
1.04	Initial Raw Substrate Mass Measurement (Analytical)	Record baseline mass to ± 0.1 mg precision	____.____ mg
1.05	5-Point Substrate Thickness Measurement (Digital Micrometer)	Variation < 2.0% across 5 points	Avg: _____.____ μm
1.06	6 mil Nitrile Glove & Teflon Tweezer Handling	Zero glove contact on active wafer face	☐ PASS ☐ FAIL
1.07	Solvent Cleaning Execution (SOP-VAC-2021-10)	Water Break Free test > 30 seconds	☐ PASS ☐ FAIL
1.08	Cleanroom Storage Location Logging	N $\blacksquare$ Desiccator Cabinet #____, Shelf #____	☐ PASS ☐ FAIL
1.09	Chamber Loading CoC Log Verification	CoC ID attached to Vacuum Chamber Run Sheet	☐ PASS ☐ FAIL
1.10	Post-Deposition Film Mass Measurement	Record net deposited film mass (± 0.1 mg)	Net: _____.____ mg
1.11	10x Optical Microscope Surface Defect Inspection	Zero pinholes, cracking, or film delamination	☐ PASS ☐ FAIL
1.12	Sample Packaging (Gel-Box / Vacuum Foil Bag)	Dust-free seal with desiccant pouch	☐ PASS ☐ FAIL
1.13	Dual-Signature Chain of Custody Transfer Sign-Out	Sender and Receiver signatures complete	☐ PASS ☐ FAIL
1.14	CMMS Digital Inventory Update & 300 DPI PDF Attachment	Uploaded within 24 hours of process completion	☐ PASS ☐ FAIL

2. TECHNICIAN OBSERVATIONS & AUTHORIZATION SIGN-OFF

Technician Observations / Special Handling Notes:

Inspected By (Tech): Kadeem Manning	Signature: <i>Kadeem Manning</i>	Date: ____/____/2021
Verified By (QA): Genevieve Lariviere	Signature: <i>Genevieve Lariviere</i>	Date: ____/____/2021