

Auditing a Serial or Attaching a Reference Slip within LSRTIS

The Specialist or Biologics Compliance Assistant (BCA) may audit a serial or attach a reference slip to a serial record anytime a serial is still active (within the Serial Release Action Sheet). An audit stops the serial release process and is a request to the firm to resubmit the APHIS Form 2008 (Form 2008) with additional or corrected information. An example of when to audit the Form 2008 is if the Specialist determines testing information is missing from the Form 2008 (i.e., no purity tests).

A reference slip is communication back to the firm in regard to either a process or serial specific information. Release action still occurs with a reference slip. An example of an instance to use a reference slip is to correct a test reference on future Form 2008s submitted.

I. Perform an Audit:

- a. Click on “Audit.” This action will bring up the screen to fill out the audit information.
- b. Choose the Audit Reason from the List of Values (LOVs) (mandatory field). The default for this field is “Expired Reference.”
- c. Signature (automatically filled in by user logged in)
- d. Comments – free field text for the user to enter information that they want relayed back to the establishment – limit of 499 characters.
Note: This wording goes directly back to the manufacturer.
- e. **Once audited, the Form 2008 will move to BCA Ready for Approval.**
- f. The employee who initiated the audit should print out the Audit Form and provide to the BCA, along with the Form 2008.
- g. The BCA will send the Audit and Form 2008 back to the Specialist with the daily releases to be signed both hard-copy and electronically.

II. Add a Reference Slip:

- a. Click on “Reference Slip.” This action will bring up the screen to fill out reference slip information.
- b. Choose the Reason for Reference Slip from the LOVs. The default for this field is “Action.”
- c. Signature (automatically filled in by user logged in)
- d. Choose the Establishment Address, which is usually the mailing address of the establishment, or you can select Free Form Address where the user can enter the address.
- e. Choose the establishment employee to whom the reference slip is directed, the LOV is a list of personnel with a Form 2007 on file. The user may also select a Free Form Employee that is not on the LOV.

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- f. The user should enter remarks as to specifics around the reference slip – be sure to include product code and serial number, if specific.
- g. Click on “Create Reference Slip” – limit of 499 characters.
- h. The person who initiated the reference slip should be the one who prints the hard copy and attaches to the Form 2008.
 - i. Print the reference slip by clicking on the 2008 link within the Action Sheet.
 - ii. Under the Attachment category, choose the Reference Slip hyperlink.
 - iii. Open the attachment as a pdf.
- i. The Form 2008 will still need to be reviewed at this point to move out of the Specialist Review area (see **ICWI0048**, *Specialist Review Action within LSRTIS*).

III. To edit an Audit or Reference slip after it has been added:

- a. Go to the Serial Release tab/Serial Search
- b. Add your serial
- c. Click on Show
- d. Scroll down to APHIS 2008s and click APHIS 2008 info
- e. Scroll down to Reference Slip Actions or Audit Actions
- f. Click on the reference slip that has the Edit hyperlink (far right corner that has PDF EDIT)
- g. Select EDIT
- h. Type the information that needs to be corrected.