

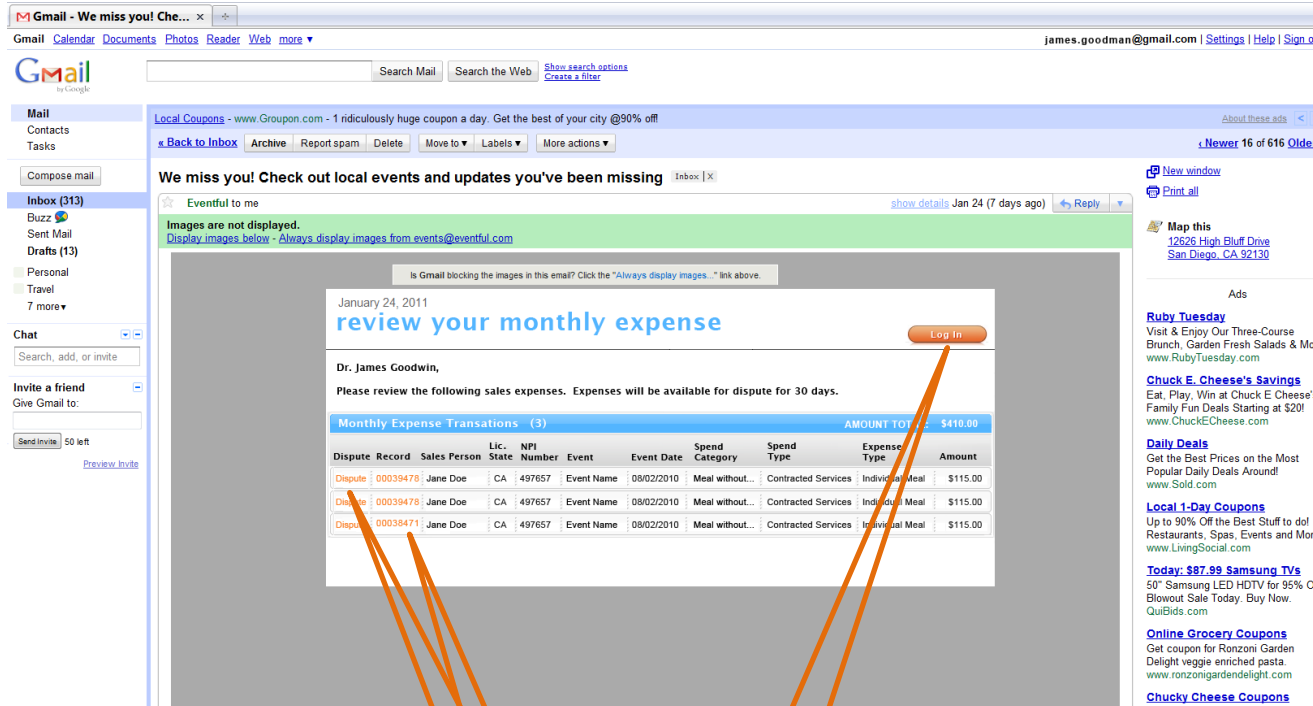
Spend Compliance UI

USE CASE 3

Presented by Lise W. Noble, January 20th, 2011

Email Alert

1



Links to 1.2

The Covered Recipient receives an email outlining expense which have been submitted by Sales Person in relation to them.

They can choose to log into the site, view the details or dispute any record.

Email Alert, Cont.

1

The Covered Recipient notices the date and amount for a listed expense are incorrect and chooses to dispute the record.

Local Coupons - www.Groupon.com - 1 ridiculously huge coupon a day. Get the best of your city @90% off

[Back to Inbox](#) [Archive](#) [Report spam](#) [Delete](#) [Move to](#) [Labels](#) [More actions](#)

We miss you! Check out local events and updates you've been missing [Inbox](#) | [X](#)

Eventful to me [show details](#) Jan 24 (7 days ago) [Reply](#)

Images are not displayed.
[Display images below](#) - [Always display images from events@eventful.com](#)

Is Gmail blocking the images in this email? Click the "[Always display images](#)." link above.

January 24, 2011

review your monthly expense

[Log in](#)

Dr. James Goodwin,

Please review the following sales expenses. Expenses will be available for dispute for 30 days.

Monthly Expense Transactions (3)										AMOUNT TOTAL
Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00039476	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
Dispute	00039476	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
Dispute	00039471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Links to 1.2

Log In

1.2

The Covered
Recipient Logs In

Spend Compliance
BetterPharma
02.01.2011

the
MERGING SCIENCE
and
TECHNOLOGY

Login

Username: Goodwin465

Password: •••••••• **Login**

Legal mumbo jumbo here

IBM

If the user clicked
Login from the email
they link to 1.2.1. If
they clicked dispute
they link to 1.2.1.1.2

Covered Recipient - Home Page

**Log out – Links
to 1.2.1.4.1**

Sign Out
Dr. James Goodman, Spend Recipient

The Covered Recipient has two top level navigational elements, their Homepage and Records.

**Search Records –
Links to 1.2.1.3.1**

**Clicking on
Homepage
brings them
to Home
Page 1.2.1**

**Links to
1.2.1.2.2**

**Links to
1.2.1.1.1**

**Links to
1.2.1.1.2**

**Links to
1.2.1.1.1**

**Links to
1.2.1.2.1**

Promotional Spend Compliance

BetterPharma

Home

Records

Log out – Links

Dr. James Goodman, Spend Recipient

to 1.2.1.4.1

Monthly Expense Transactions (3)

AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
✦ Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
✦ Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
✦ Dispute	00039471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Disputed Expense Transactions (9)

AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
✦ View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
✦ View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
✦ View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
✦ View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
✦ View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
✦ View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	

Covered Recipient - Home Page

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Home Records

Dr. James Goodman, Spend Recipient

Sign Out

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	

Links to 1.2.1.2.1

Links to 1.2.1.1.1

Links to 1.2.1.1.1

Two tables exist on the Homepage, one displaying monthly expenses and another displaying disputed records.

As the mouse over a record it becomes highlighted and expands to reveal any truncated information.

Covered Recipient - Home Page

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Dashboard Records

Sign Out
Dr. James Goodman, Spend Recipient

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

1

2

3

4

5

GENERAL EXPENSE DETAILS

VENDOR INFORMATION

EVENT INFORMATION

RECIPIENT INFORMATION

EXPENSES

6

7

8

ADVERTISING DETAILS

UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE

Expense Transaction

Expenses

Total Employee Cost	<input type="text" value="0.00"/>
Honoraria	<input type="text" value="0.00"/>
Air Fare	<input type="text" value="0.00"/>
Hotel	<input type="text" value="0.00"/>
Transportation	<input type="text" value="0.00"/>
Food & Beverage Expenses	<input type="text" value="45.00"/>
Audio Visual Expenses	<input type="text" value="0.00"/>
Meeting Room Rental Expenses	<input type="text" value="0.00"/>
Vendor Management Fees	<input type="text" value="0.00"/>
Total Grants	<input type="text" value="0.00"/>
Other Expenses	<input type="text" value="0.00"/>
Other Expense Description	<input type="text" value="0.00"/>
Other Expense Total	

NEXT

They can click to review record details.

NOTE: The record is read only. They can not make edits and do not have access to all record details.

Covered Recipient - Home Page

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Home Records

Dr. James Goodman, Spend Recipient [Sign Out](#)

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

[Dispute](#)

Dispute:

Select

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	

If they click dispute the dispute console opens.

Note if they had clicked dispute with in the email this would be the first screen the Covered Recipient would see upon logging in.

Links to
1.2.1.1.2.1

Home Page

1.2.1.1.2.1

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Home Records

Dr. James Goodman, Spend Recipient [Sign Out](#)

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Dispute

Dispute: Event Date, Amount

Select

- ☒ Check all ☐ Uncheck all
- ☐ License state
- ☒ Event Date
- ☒ Event Amount
- ☐ Expense Type
- ☐ Event

(9) AMOUNT TOTAL: \$410.00											
	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel		
	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X		
	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X		
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
Details	X	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	

The Covered Recipient selects the items Disputed - Event Date & Amount.

Home Page

1.2.1.1.2.1.6

Promotional Spend Compliance

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Home Records

Dr. James Goodman, Spend Recipient

Sign Out

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Dispute

Dispute: Event Date, Amount

Select

Event Date: Select Date

Amount: \$00.00

Notes

Add Notes regarding your dispute

Upload Documents

Upload documents to support your dispute

Submit Dispute

Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	

New input field for Event Date and Amount appear.

Home Page

1.2.1.1.2.1.6

Promotional Spend Compliance

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Home Records

Dr. James Goodman, Spend Recipient

Sign Out

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Dispute

Dispute: Event Date, Amount

Select

Event Date: 01/21/2011

Amount:

Notes

Add Notes re

Upload Documents

Upload documents to support your dispute

Submit Dispute

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	

The Covered Recipient enters the date.

Adds Notes to Dispute

1.2.1.1.2.1.6

The Covered Recipient enters the amount.

Promotional Spend Compliance

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Home Records

Dr. James Goodman, Spend Recipient

Sign Out

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Dispute

Dispute: Event Date, Amount

Select

Event Date: 01/21/2011

Amount: \$45.00

Notes

Add Notes regarding your dispute

Upload Documents

Upload documents to support your dispute

Submit Dispute

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	

Adds Notes to Dispute

1.2.1.1.2.1.6

He proceeds to enter notes regarding his dispute.

Promotional Spend Compliance

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Home Records

Dr. James Goodman, Spend Recipient

Sign Out

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Dispute

Dispute: Event Date, Amount

Select

Event Date: 01/21/2011

Amount: \$45.00

Notes

The event date is incorrect as is the amount

Upload Documents

Upload documents to support your dispute

Submit Dispute

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
+	View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
+	View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
+	View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
+	View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
+	View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
+	View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X

Links to
1.2.1.1.2.1.1

Uploads Document to Dispute ^{1.2.1.1.2.1.1}

Promotional Spend Compliance

BetterPharma

Home Records

Sign Out
Dr. James Goodman, Spend Recipient

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Dispute

Dispute: Event Date, Amount

Select

Event Date: 01/21/2011

Amount: \$45.00

Notes

Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 X

Add Notes regarding your dispute

Upload Documents

Upload documents to support your dispute

Submit Dispute

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	

The new notes appear in the window with a date stamp and the ability for them to add other notes or delete previously uploaded notes

Links to
1.2.1.1.2.1.2

Uploads Document to Dispute

1.2.1.1.2.1.2

Promotional Spend Compliance

BetterPharma

Home Records

Dr. James Goodman, Spend Recipient

Sign Out

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Dispute

Dispute: Event Date, Amount

Select

Event Date: 01/21/2011

Amount: \$45.00

Notes

Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 X

Add Notes regarding your dispute

Upload Documents

receipts.pdf 4KB 10/27/2010 X

Upload documents to support your dispute

Submit Dispute

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00



View Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X

The Covered recipient uploads a document.

The newly added document appear, with the file title, size, time stamp and the ability to delete the file.


Uploads Document to Dispute ^{1.2.1.1.2.1.2}

They add another document.


Promotional Spend Compliance   Sign Out
Dr. James Goodman, Spend Recipient

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Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00



Dispute


Dispute: Event Date, Amount
Select 

Event Date: 01/21/2011





Amount: \$45.00


Notes

 Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 

Add Notes regarding your dispute 













Upload Documents

	receipts.pdf	4KB	10/27/2010	
	license.doc	4KB	10/27/2010	

Upload documents to support your dispute 

Submit Dispute

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00		
	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00		
	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00		
	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00		
	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00		
	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00		

Links to
1.2.1.1.2.1.4

Links to
1.2.1.1.2.1.3

Delete notes in Dispute

Should they click on the red X next to previously added notes a pop up alert asks if they do in fact want to delete the notes.

Promotional Spend Compliance

BetterPharma

Dashboard Records

Sign Out
Dr. James Goodman, Spend Recipient

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Dispute

Dispute: Event Date, Amount

Select

Event Date: 01/21/2011

Amount: \$45.00

Notes

Dispute: Event Date, Amount Dr. James Goodman 4KB 10/27/2010 X

Add Notes regarding your dispute

Submit Dispute

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	

Delete Documents in Dispute^{1.2.1.1.2.1.4}

Should they click on the red X next to previously entered notes a pop up alert asks them if they want to in fact delete their notes.

Promotional Spend Compliance

BetterPharma

Dashboard Records

Sign Out
Dr. James Goodman, Spend Recipient

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Dispute

Dispute: Event Date, Amount

Select

Event Date: 01/21/2011

Amount: \$45.00

Notes

Dispute: Event Date, Amount Dr. James Goodman 4KB 10/27/2010 X

Add Notes regarding your dispute

Are you sure you want to delete license.doc?

YES NO

Submit Dispute

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View	Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	

Submit Dispute

1.2.1.1.2.1.6

Promotional Spend Compliance

BetterPharma

Home Records

Dr. James Goodman, Spend Recipient

Sign Out

Monthly Expense Transactions (3) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Dispute

Dispute: Event Date, Amount

Select

Event Date: mm/dd/yyyy

Amount: 00.00

Notes

Dispute: Event Date, Amount Dr. James Goodman 10/27/2010

Add Notes regarding your dispute

Upload Documents

receipts.pdf 4KB 10/27/2010

Upload documents to support your dispute

Submit Dispute

Disputed Expense Transactions (9) AMOUNT TOTAL: \$410.00

View Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X

Once the covered recipient has added all their notes and uploaded all their documents they hit the submit button.

Links to
1.2.1.1.2.1.5

Submit Dispute

1.2.1.1.2.1.5

Promotional Spend Compliance

BetterPharma

Home Records

Dr. James Goodman, Spend Recipient

Sign Out

Monthly Expense Transactions (2)											AMOUNT TOTAL: \$410.00	
Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount		
Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00		
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00		

Disputed Expense Transactions (10)											AMOUNT TOTAL: \$410.00	
View Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel	
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X	

The Dispute window collapses and the record now appears in dispute. They can click Cancel Dispute at any time or reopen the dispute window to review or add new information.



Links to
1.2.1.2.1

Links to
1.2.1.2.2

View Dispute Details


1.2.1.2.1

Promotional Spend Compliance





Dr. James Goodman, Spend Recipient




Sign Out



Monthly Expense Transactions (2)AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
	Dispute 00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
	Dispute 00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Disputed Expense Transactions (10)AMOUNT TOTAL: \$410.00

View Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
	View 00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	
	Dispute 00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	

Dispute


Dispute: Event Date, Amount

Select

Event Date:


Amount:

Notes


 Dispute: Event Date, Amount

Dr. James Goodman

10/27/2010




Upload Documents

 receipts.pdf

4KB


10/27/2010

 license.doc











6KB

10/27/2010

Browse



Update Dispute

	View 00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	
	View 00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	
	View 00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	
	View 00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	
	View 00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	

The Covered recipient can Click to View Dispute Details and add additional notes or documents.

View Dispute Details

1.2.1.2.2

Promotional Spend Compliance

BetterPharma

Dashboard Records

Dr. James Goodman, Spend Recipient

Sign Out

Monthly Expense Transactions (2) AMOUNT TOTAL: \$410.00

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00
Dispute	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00

Disputed Expense Transactions (10) AMOUNT TOTAL: \$410.00

View Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount	Cancel
View	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00038471	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00034537	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00034987	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00043567	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X
View	00028764	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$115.00	X

Cancel Dispute?

Are you certain you want to cancel this dispute?

YES NO

If the Spend User Cancels a dispute an alert window appear and asks if they are certain they want to cancel the dispute.

Log In

1.2.1.4.1

The Covered
Recipient Logs Out
and returned to the
Log In Screen

Spend Compliance
BetterPharma 02.01.2011

the
MERGING SCIENCE
and
TECHNOLOGY

Login Username: Goodwin465
Password: [masked] **Login**

Legal mumbo jumbo here
IBM

Compliance Officer – Log In

1

The Compliance Officer Logs In.



The screenshot shows a web application interface for 'BetterPharma'. At the top left, it says 'Spend Compliance' above the 'BetterPharma' logo. To the right of the logo is the date '02.01.2011'. Below this is a banner featuring a group of five business professionals (three men and two women) in business attire. To the right of the image, the text reads 'the MERGING SCIENCE and TECHNOLOGY'. Below the banner is a blue 'Login' button. To the right of the button are two input fields: 'Username:' with the text 'KarenMoore' and 'Password:' with a masked password of ten dots. A 'Login' button is next to the password field. At the bottom left, there is a link that says 'Legal mumbo jumbo here'. At the bottom center, the 'IBM' logo is displayed.

Spend Compliance
BetterPharma 02.01.2011

the
MERGING SCIENCE
and
TECHNOLOGY

Login

Username: KarenMoore

Password: •••••••••• **Login**

[Legal mumbo jumbo here](#)

IBM

Compliance Officer Home Page

2

Promotional Spend Compliance

Better Pharma Links to 2 (Home Page)

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data	00039440		Open - Pending Manager Analysis	Normal	●
Incomplete Record	09/05/2010	Record is Missing Data	00039432		Open - Pending Manager Analysis	Escalated	●
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039434		Open - Pending Manager Analysis	Normal	●

Reports

Monitor & Tracking Reports
Select

System Reports
Select

Disclosure Reports
Select

Entity Spending

Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	●
DC	April 15, 2011	●
Maine	February 20, 2011	●
Massachusetts	March 8, 2011	●
Minnesota	August 8, 2011	●
West Virginia	February 15, 2011	●
Federal	March 31, 2013	●

Links to Reports 6.0

Search Expense Records – 3.0.1

Search Rules – 7.0.1

Log out – 8.1

Links to 4.1

Links to 3.1.1

IBM

A new record appears on the Compliance Officer's Home Page alerting them that a Covered Recipient has disputed an expense.

Note: New Records have the words (New) in the Alert.

Compliance Officer Home Page

2

Promotional Spend Compliance

BetterPharma

Home

Records

Reports

Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data	00039440		Open - Pending Manager Analysis	Normal	
Incomplete Record	09/05/2010	Record is Missing Data	00039432		Open - Pending Manager Analysis	Escalated	
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234		Open - Pending Manager Analysis	Normal	

Reports

Monitor & Tracking Reports

Select

System Reports

Select

Disclosure Reports

Select

Entity Spending

Fully Compliant

Partially compliant

Non-compliant

Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Minnesota	August 8, 2011	
West Virginia	February 15, 2011	
Federal	March 31, 2013	

IBM

A new record appears on the Compliance Officer's Dash Board alerting them that a Covered Recipient has disputed an expense.

Note: New Records have the words (New) in the Alert.

Compliance Officer – Home Page ²

Promotional Spend Compliance

BetterPharma

Home

Records

Reports

Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (8)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data	00039440		Open - Pending Manager Analysis	Normal	<div></div>
Incomplete Record (New)	09/05/2010	Record is Missing Data	00039432		Open - Pending Manager Analysis	Escalated	<div></div>
Non-Compliant Record (New)	09/01/2010	Data Entered is Non-Compliant	00039234		Open - Pending Manager Analysis	Normal	<div></div>
Incomplete Record	09/05/2010	Record is Missing Data	00038321		Open - Pending Manager Analysis	Escalated	<div></div>
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	Multiple (8)		Open - Pending Manager Analysis	Normal	<div></div>

Reports

Monitor & Tracking Reports

Select

System Reports

Select

Disclosure Reports

Select

Entity Spending

00039234

District of Columbia

Fully Compliant

Partially compliant

Non-compliant

Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	<div></div>
DC	April 15, 2011	<div></div>
Maine	February 20, 2011	<div></div>
Massachusetts	March 8, 2011	<div></div>
Minnesota	August 8, 2011	<div></div>
West Virginia	February 15, 2011	<div></div>
Federal	March 31, 2013	<div></div>

IBM

Note: Should more than 5 records be in the Alerts Console a scroll bar appears.

The Number of Alerts are noted in the Console Bar.

Compliance Officer – Home Page ²

Promotional Spend Compliance

BetterPharma

Home

Records

Reports

Rules

Sign Out

Katie Moore, Compliance Officer

Home

Mail

Help

! ALERTS (8)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
+ Incomplete Record (New)	09/05/2010	Record is Missing Data	00039432		Open - Pending Manager Analysis	Escalated	
+ Non-Compliant Record (New)	09/01/2010	Data Entered is Non-Compliant	00039234		Open - Pending Manager Analysis	Normal	
+ Incomplete Record	09/05/2010	Record is Missing Data	00038321		Open - Pending Manager Analysis	Escalated	
+ Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant and any truncated description text would appear here.	Multiple (3) 00034567 , 00546783 , 00045679		Open - Pending Manager Analysis	Normal	

Reports

Monitor & Tracking Reports

System Reports

Disclosure Reports

Select

Select

Select

Entity Spending

00039234

District of Columbia

Fully Compliant

Partially compliant

Non-compliant

Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Minnesota	August 8, 2011	
West Virginia	February 15, 2011	
Federal	March 31, 2013	

Note: A mouse over on a record reveals the full description of various fields associated with the case.

Compliance Officer Home Page

2

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data	00039440		Open - Pending Manager Analysis	Normal	
Incomplete Record	09/05/2010	Record is Missing Data	00039432		Open - Pending Manager Analysis	Escalated	
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234		Open - Pending Manager Analysis	Normal	

Reports

Monitor & Tracking Reports
Select

System Reports
Select

Disclosure Reports
Select

Entity Spending

Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Minnesota	August 8, 2011	
West Virginia	February 15, 2011	
Federal	March 31, 2013	

Legend: Fully Compliant Partially compliant Non-compliant

IBM

Should the user click on the + on a specific case in the Alert, the table will become active and expand to display the history, notes, uploaded documents and investigation details for a specific case.

Links to 4.1

Compliance Officer Home Page

4.1

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data...	00039440		Open - Pending Manager Analysis	Normal	

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes	Upload Documents
1 Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1 receipts.pdf 4KB 10/27/2010 2 license.doc 6KB 10/27/2010

Investigate

Take Investigative Action:

Incomplete Record	09/05/2010	Record is Missing Data	00039432	Open - Pending Manager Analysis	Escalated	
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234	Open - Pending Manager Analysis	Normal	

Reports

Monitor & Tracking Reports

System Reports

Disclosure Reports

Entity Spending

Links to 4.1.3

Links to 4.1.2

Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Minnesota	August 8, 2011	
West Virginia	February 15, 2011	
Federal	March 31, 2013	

Should the user click on the + or the Alert the table will become active and expand to display the history, notes, uploaded documents and investigation details.

Links to 4.1.1

View Contributor Information

4.1.1

Promotional Spend Compliance

BetterPharma

Home Records Reports

Sign Out
Katie Moore, Compliance Officer

Contributor Information

Name: Jane Doe
Position: Sales Representative
Employee ID: 3988772615
Phone: (612) 543 - 1555
Email: Jane.Doe@BetterPharma.com
Address: 1114 SE Court Drive
Chicago, IL 287765

! ALERTS (3)

Alert	Date	Description	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data...	Analysis	Normal

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes	Upload Documents
1 Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1 receipts.pdf 4KB 10/27/2010 2 license.doc 6KB 10/27/2010

Investigate

Take Investigative Action: Select

Reports

Monitor & Tracking Reports Select

System Reports Select

Disclosure Reports Select

Entity Spending

Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Minnesota	August 8, 2011	
West Virginia	February 15, 2011	
Federal	March 31, 2013	

Links to 4.1.2

The compliance officer can click on the name of the contributor to get further information (name, address, phone number, etc).

View Investigation Details

4.1.2

Promotional Spend Compliance

BetterPharma

Home

Records

Reports

Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data...	00039440		Open - Pending Manager Analysis	Normal	

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes

1	Dispute: Event Date, Amount	Dr. James Goodman	10/27/2010
---	-----------------------------	-------------------	------------

The event date is incorrect as is the amount.

Upload Documents

1	receipts.pdf	4KB	10/27/2010
2	license.doc	6KB	10/27/2010

Investigate

Take Investigative Action:

Investigation History

Email	Jane, I understand record 000039440 has been disputed by Dr. James Goodwin. I have...	Jane Doe	01/15/2011
-------	---	----------	------------

Incomplete Record

09/05/2010

Record is Missing Data

00039432

Open - Pending Manager Analysis

Escalated

Non-Compliant Record

09/01/2010

Data Entered is Non-Compliant

00039234

Open - Pending Manager Analysis

Normal

Reports

Monitor & Tracking Reports

System Reports

Disclosure Reports

Entity Spending



Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Minnesota	August 8, 2011	
West Virginia	February 15, 2011	

The compliance officer can click on the “Notes and Uploaded Documents” section to see the prior notes and documents submitted by the contributor (sales person, covered recipient)

View Investigation Details

4.1.2

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data...	00039440		Open - Pending Manager Analysis	Normal	

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes		Upload Documents	
1	Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1	receipts.pdf 4KB 10/27/2010
		2	license.doc 6KB 10/27/2010

Investigate

Take Investigative Action:

Investigation History

Email	Jane, I understand record 000039440 has been disputed by Dr. James Goodwin. I have...	Jane Doe	01/15/2011
-------	---	----------	------------

Subject: Record 00039440
CC: Dr. James Goodwin
Message:
Jane,
I understand record 00039440 has been disputed by Dr. James Goodwin. I have reviewed his notes and the receipts and I appears he is correct. The date and amount you entered appear to be incorrect.. Can you please confirm the data was misentered or provide me with additional details.
Regards,
Katie Moore

Incomplete Record	09/05/2010	Record is Missing Data	00039432	Open - Pending Manager Analysis	Escalated	
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234	Open - Pending Manager Analysis	Normal	

Reports

Monitor & Tracking Reports	System Reports	Disclosure Reports
Select	Select	Select

The compliance officer can click on “Take Investigative Action” that prompts him/her to send an email, same time, call or add notes

Links to 4.1.3.1,
4.1.3.2, 4.1.3.3
and 4.1.3.4

Investigate – Send Email

4.1.3.1

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data...	00039440		Open - Pending Manager Analysis	Normal	

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes	Upload Documents
1 Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1 receipts.pdf 4KB 10/27/2010 2 license.doc 6KB 10/27/2010

Investigate

Take Investigative Action: Email

To: Jane.Doe@BetterPharma.com
Add CC | Add BC

Subject:

Attachments:

Cancel Send

Incomplete Record	09/05/2010	Record is Missing Data	00039432	Open - Pending Manager Analysis	Escalated	
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234	Open - Pending Manager Analysis	Normal	

Reports

Monitor & Tracking Reports	System Reports	Disclosure Reports
Select	Select	Select

If the compliance officer chooses “Email” option, the system provides an email interface for them to send an email to appropriate persona

Investigate – Same Time

4.1.3.2

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data	00039440		Open - Pending Manager Analysis	Normal	

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes	Upload Documents
1 Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1 receipts.pdf 4KB 10/27/2010 2 license.doc 6KB 10/27/2010

Investigate

Take Investigative Action: Sametime

Sametime Contacts

Available | Set my geographic location...

Type to find name

Work (13/19)

- apeay@us.ibm.com - Phillip Peay/Durham/IBM
- ashoki@us.ibm.com - Ashok Iyengar/San Diego/IBM
- duponche@us.ibm.com - Bernadette R Duponchel/New York/IBM
- Eric (M.F.) Dunn
Erica N. Carmel
hicks@us.ibm.com - Loretta Hicks/Raleigh/IBM
- James M. (Maxx) Andersen
- janinesneed@us.ibm.com - Janine M Sneed/Somers/IBM

Incomplete Record	09/05/2010	Record is Missing Data	00039432	Open - Pending Manager Analysis	Escalated	
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234	Open - Pending Manager Analysis	Normal	

Reports

If the compliance officer chooses “Same Time” option, the system provides an Sametime interface for them to send an instant message to appropriate persona

Investigate – Phone/Add Notes

4.1.3.3

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data...	00039440		Open - Pending Manager Analysis	Normal	

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes		Upload Documents	
1	Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1	receipts.pdf 4KB 10/27/2010
		2	license.doc 6KB 10/27/2010

Investigate

Take Investigative Action: Phone & Add Notes Type Name to Look Up Number

Incomplete Record 09/05/2010 Record is Missing Data 00039432 Open - Pending Manager Analysis Escalated

Non-Compliant Record 09/01/2010 Data Entered is Non-Compliant 00039234 Open - Pending Manager Analysis Normal


Reports

Monitor & Tracking Reports Select

System Reports Select

Disclosure Reports Select

Entity Spending



Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Minnesota	August 8, 2011	
West Virginia	February 15, 2011	
Federal	March 31, 2013	

If the compliance officer chooses “Phone” option, the system provides a notes interface for them to add appropriate notes from their phone call

Investigate – Phone/Add Notes

4.1.3.3

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data...	00039440		Open - Pending Manager Analysis	Normal	

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes		Upload Documents	
1	Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1	receipts.pdf 4KB 10/27/2010
		2	license.doc 6KB 10/27/2010

Investigate

Take Investigative Action: Phone & Add Notes

J
Jane Doe
Jackie M. Warner
James Connor
Jane Wilson

Incomplete Record 09/05/2010 Record is Missing Data Open - Pending Manager Analysis Escalated

Non-Compliant Record 09/01/2010 Data Entered is Non-Compliant Open - Pending Manager Analysis Normal

Reports

Monitor & Tracking Reports Select

System Reports Select

Disclosure Reports Select

Entity Spending



Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Minnesota	August 8, 2011	
West Virginia	February 15, 2011	
Federal	March 31, 2013	

If the compliance officer chooses “Phone” option, the system provides a notes interface for them to add appropriate notes from their phone call

Investigate – Phone/Add Notes

4.1.3.3

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data...	00039440		Open - Pending Manager Analysis	Normal	

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes		Upload Documents	
1	Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1	receipts.pdf 4KB 10/27/2010
		2	license.doc 6KB 10/27/2010

Investigate

Take Investigative Action: Phone & Add Notes

J
Jane Doe
Jackie M. Warner
James Connor
Jane Wilson

Incomplete Record 09/05/2010 Record is Missing Data Open - Pending Manager Analysis Escalated

Non-Compliant Record 09/01/2010 Data Entered is Non-Compliant Open - Pending Manager Analysis Normal


Reports

Monitor & Tracking Reports Select

System Reports Select

Disclosure Reports Select

Entity Spending



Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Minnesota	August 8, 2011	
West Virginia	February 15, 2011	
Federal	March 31, 2013	

If the compliance officer chooses “Phone” option, the system provides a notes interface for them to add appropriate notes from their phone call

Investigate – Phone/Add Notes

4.1.3.3

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data	00039440		Open - Pending Manager Analysis	Normal	

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes		Upload Documents	
1	Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1	receipts.pdf 4KB 10/27/2010
		2	license.doc 6KB 10/27/2010

Investigate

Take Investigative Action: Phone & Add Notes Jane Doe Office: (617) 555-1288 | Cell: (617) 555-1298

Notes

Cancel Send

Incomplete Record	09/05/2010	Record is Missing Data	00039432	Open - Pending Manager Analysis	Escalated
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234	Open - Pending Manager Analysis	Normal

Reports

Monitor & Tracking Reports System Reports Disclosure Reports

Select Select Select

Reports

Monitor & Tracking Reports System Reports Disclosure Reports

Select Select Select

If the compliance officer chooses “Phone” option, the system provides a notes interface for them to add appropriate notes from their phone call

Investigate –Add Notes

4.1.3.4

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data	00039440		Open - Pending Manager Analysis	Normal	

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes		Upload Documents	
1	Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1	receipts.pdf 4KB 10/27/2010
		2	license.doc 6KB 10/27/2010

Investigate

Take Investigative Action: Notes

Notes

Cancel Send

Incomplete Record	09/05/2010	Record is Missing Data	00039432	Open - Pending Manager Analysis	Escalated
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234	Open - Pending Manager Analysis	Normal

Reports

Monitor & Tracking Reports System Reports Disclosure Reports

Select Select Select

Reports

Monitor & Tracking Reports System Reports Disclosure Reports

Select Select Select

If the compliance officer chooses “Phone” option, the system provides a notes interface for them to add appropriate notes from their phone call

Compliance Officer

4.1.3

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Record Disputed (New)	10/10/2010	Covered Recipient Disputes Data	00039440		Open - Pending Manager Analysis	Normal	●
Incomplete Record	09/05/2010	Record is Missing Data	00039432		Open - Pending Manager Analysis	Escalated	●
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234		Open - Pending Manager Analysis	Normal	●

Reports

Monitor & Tracking Reports
Select

System Reports
Select

Disclosure Reports
Select

Entity Spending

Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	●
DC	April 15, 2011	●
Maine	February 20, 2011	●
Massachusetts	March 8, 2011	●
Minnesota	August 8, 2011	●
West Virginia	February 15, 2011	●
Federal	March 31, 2013	●

IBM

After reading the email response from the Spend User the Compliance Officer returns to the Homepage view and click to open the Record.

Views Disputed Data

4.1.3

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

ALERTS

Expense Transaction

Level	Record No.	Latency	Status	Description	Alert	Brand	Status
00039440	Normal	Spend Recipient Disputes Data	Review Dispute				Open - Pending Manager Analysis

1

2

3

Event Information

Event Location *

Brand(s) *

Event Date *

Venue Type *

Other Venue Type

No. of Speakers *

No. of Speakers (excluding Employees) *

No. of Employees

Venue Address Line 1 *

Venue Address Line 2 *

Venue City *

Venue State *

Venue Zip *

* Required Fields

NEXT

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RECIPIENT INFORMATION

EXPENSES

ADVERTISING DETAILS

UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE



California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Minnesota	August 8, 2011	
West Virginia	February 15, 2011	

The disputed record/s appears and the disputed data is tagged.

Modifies Disputed Data

4.1.3

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

ALERTS

Expense Transaction

Level	Record No.	Latency	Status	Description	Alert	Brand	Status
●	00039440	Normal		Spend Recipient Disputes Data	Review Dispute		Open - Pending Manager Analysis

1

2

3

Event Information

Event Location ★

Brand(s) ★

Event Date ★ ✓

Venue Type ★

Other Venue Type

No. of Speakers ★

No. of Speakers (excluding Employees) ★

No. of Employees

Venue Address Line 1 ★

Venue Address Line 2 ★

Venue City ★

Venue State ★

Venue Zip ★

★ Required Fields

NEXT

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RECIPIENT INFORMATION

EXPENSES

ADVERTISING DETAILS

UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE

SAVE

SAVE & CLOSE



Maine	February 20, 2011	●
Massachusetts	March 8, 2011	●
Minnesota	August 8, 2011	●
West Virginia	February 15, 2011	●

The Compliance Officer enters the correct date and moves onto correct the amount.

Continues to View Disputed Data^{4.1.3}

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

ALERTS

Expense Transaction

Level	Record No.	Latency	Status	Description	Alert	Brand	Status
●	00039440	Normal		Spend Recipient Disputes Data	Review Dispute		Open - Pending Manager Analysis

1

2

3

4

5

GENERAL EXPENSE DETAILS

VENDOR INFORMATION

EVENT INFORMATION

RECIPIENT INFORMATION

EXPENSES

Expenses

Total Employee Cost

0.00

Honoraria

0.00

Air Fare

0.00

Hotel

0.00

Transportation

0.00

Food & Beverage Expenses

450.00

! Disputed

Audio Visual Expenses

0.00

Meeting Room Rental Expenses

0.00

Vendor Management Fees

0.00

Total Grants

0.00

Other Expenses

0.00

Other Expense Description

0.00

Other Expense Total

6

7

8

ADVERTISING DETAILS


UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE

NEXT

SAVE

SAVE & CLOSE



Maine	February 20, 2011	●
Massachusetts	March 8, 2011	●
Minnesota	August 8, 2011	●
West Virginia	February 15, 2011	●

He tabs forward to the Expense slider and view the disputed amount.

Modifies Disputed Data

4.1.3

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

ALERTS

Expense Transaction

Level	Record No.	Latency	Status	Description	Alert	Brand	Status
●	00039440	Normal		Spend Recipient Disputes Data	Review Dispute		Open - Pending Manager Analysis

1

2

3

4

5

GENERAL EXPENSE DETAILS

VENDOR INFORMATION

EVENT INFORMATION

RECIPIENT INFORMATION

EXPENSES

Expenses

Total Employee Cost

Honoraria

Air Fare

Hotel

Transportation

Food & Beverage Expenses

Audio Visual Expenses

Meeting Room Rental Expenses

Vendor Management Fees

Total Grants

Other Expenses

Other Expense Description

Other Expense Total

0.00

0.00

0.00

0.00

0.00

45.00

0.00

0.00

0.00

0.00

0.00

0.00

6

7

8

ADVERTISING DETAILS


UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE

NEXT

SAVE

SAVE & CLOSE



Maine

February 20, 2011

●

Massachusetts

March 8, 2011

●

Minnesota

August 8, 2011

●

West Virginia

February 15, 2011

●

She updates the amount to \$45.00

Save and Close Record

4.1.3

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

ALERTS

Expense

Level	Record No.	Latency	Status	Description	Alert	Brand	Status
●	00039440	Normal		Spend amount over the MN spend limit	Non Compliant Record	xxxxxx	Open - Pending Manager Analysis

1

2

3

4

5

GENERAL EXPENSE DETAILS

VENDOR INFORMATION

EVENT INFORMATION

RECIPIENT INFORMATION

EXPENSES

Expenses

Total Employee Cost

0.00

Honoraria

0.00

Air Fare

0.00

Hotel

0.00

Transportation

0.00

Food & Beverage Expenses

45.00

Audio Visual Expenses

0.00

Meeting Room Rental Expenses

0.00

Vendor Management Fees

0.00

Total Grants

0.00

Other Expenses

0.00

Other Expense Description

0.00

Other Expense Total

6

7

8

ADVERTISING DETAILS

UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE

NEXT

SAVE

SAVE & CLOSE

Maine

February 20, 2011

●

Massachusetts

March 8, 2011

●

Minnesota

August 8, 2011

●

West Virginia

February 15, 2011

●

The Compliance Officer then clicks to Save and Close the Record.

Links to 3.1.1.1

Links to 3.1.1.2

Saved & Closed Record - Alert^{3.1.1.2}

The Compliance Officer then clicks to Save and Close the Record.

The screenshot displays the 'BetterPharma Promotional Spend Compliance' dashboard. At the top, there are navigation icons for Dashboard, Records, Reports, and Rules. The user is logged in as 'Katie Moore, Compliance Officer' with a 'Sign Out' link. Below the navigation bar, there is an 'ALERTS (3)' section with a table of alerts. The first alert is 'Incomplete Record' dated 09/05/2010, with a description 'Record is Missing Data', record ID '00039432', status 'Open - Pending Manager Analysis', latency status 'Escalated', and alert level 'High'. The second alert is 'Non-Compliant Record' dated 09/01/2010, with a description 'Data Entered is Non-Compliant', record ID '00039234', status 'Open - Pending Manager Analysis', latency status 'Normal', and alert level 'Low'. Below the alerts, there is a 'Reports' section with three tabs: 'Monitor & Tracking Reports', 'System Reports', and 'Disclosure Reports'. The 'Entity Spending' map shows the United States with some states highlighted in green (Fully Compliant) and others in yellow (Partially compliant). A confirmation dialog box is overlaid on the map, stating 'Saved & Closed' and 'The record has been saved, closed and removed from your alerts console.' with 'YES' and 'NO' buttons. The 'Entity Submission Dates' table lists entities and their submission dates and statuses. The IBM logo is visible in the bottom left corner.

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Incomplete Record	09/05/2010	Record is Missing Data	00039432		Open - Pending Manager Analysis	Escalated	High
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234		Open - Pending Manager Analysis	Normal	Low

Entity	Submission Date	Submission Status
California	February 15, 2011	High
DC	April 15, 2011	High
Maine	February 20, 2011	High
Massachusetts	March 8, 2011	High
Minnesota	August 8, 2011	High
West Virginia	February 15, 2011	High
Federal	March 31, 2013	High

Legend: ■ Fully Compliant ■ Partially compliant ■ Non-compliant

Saved Record - Alert

3.1.1.1

If the Compliance Officer clicks to Save the record, he will get a message that the record has not been closed/submitted

Promotional Spend Compliance

BetterPharma

Dashboard Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Incomplete Record	09/05/2010	Record is Missing Data	00039432		Open - Pending Manager Analysis	Escalated	
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039234		Open - Pending Manager Analysis	Normal	

Reports

Monitor & Tracking Reports System Reports Disclosure Reports

Select Select Select

Entity Spending

Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	
DC	April 15, 2011	
Maine	February 20, 2011	
Massachusetts	March 8, 2011	
Massachusetts	August 8, 2011	
Minnesota	February 15, 2011	
West Virginia	March 31, 2013	
Federal		

Saved NOT Closed!

The record has been saved but NOT closed and will remain on your alerts console until it is closed.

YES NO

Fully Compliant Partially compliant Non-compliant

IBM

Save and Close Record

4.1.3

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

! ALERTS (3)

Alert	Date	Description	Record	Brand	Status	Latency Status	Alert Level
Incomplete Record	09/05/2010	Record is Missing Data	00039232		Open - Pending Manager Analysis	Escalated	●
Non-Compliant Record	09/01/2010	Data Entered is Non-Compliant	00039235		Open - Pending Manager Analysis	Normal	●

Reports

Monitor & Tracking Reports
Select

System Reports
Select

Disclosure Reports
Select

Entity Spending

Entity Submission Dates

Entity	Submission Date	Submission Status
California	February 15, 2011	●
DC	April 15, 2011	●
Maine	February 20, 2011	●
Massachusetts	March 8, 2011	●
Minnesota	August 8, 2011	●
West Virginia	February 15, 2011	●
Federal	March 31, 2013	●

Legend: ■ Fully Compliant ■ Partially compliant ■ Non-compliant

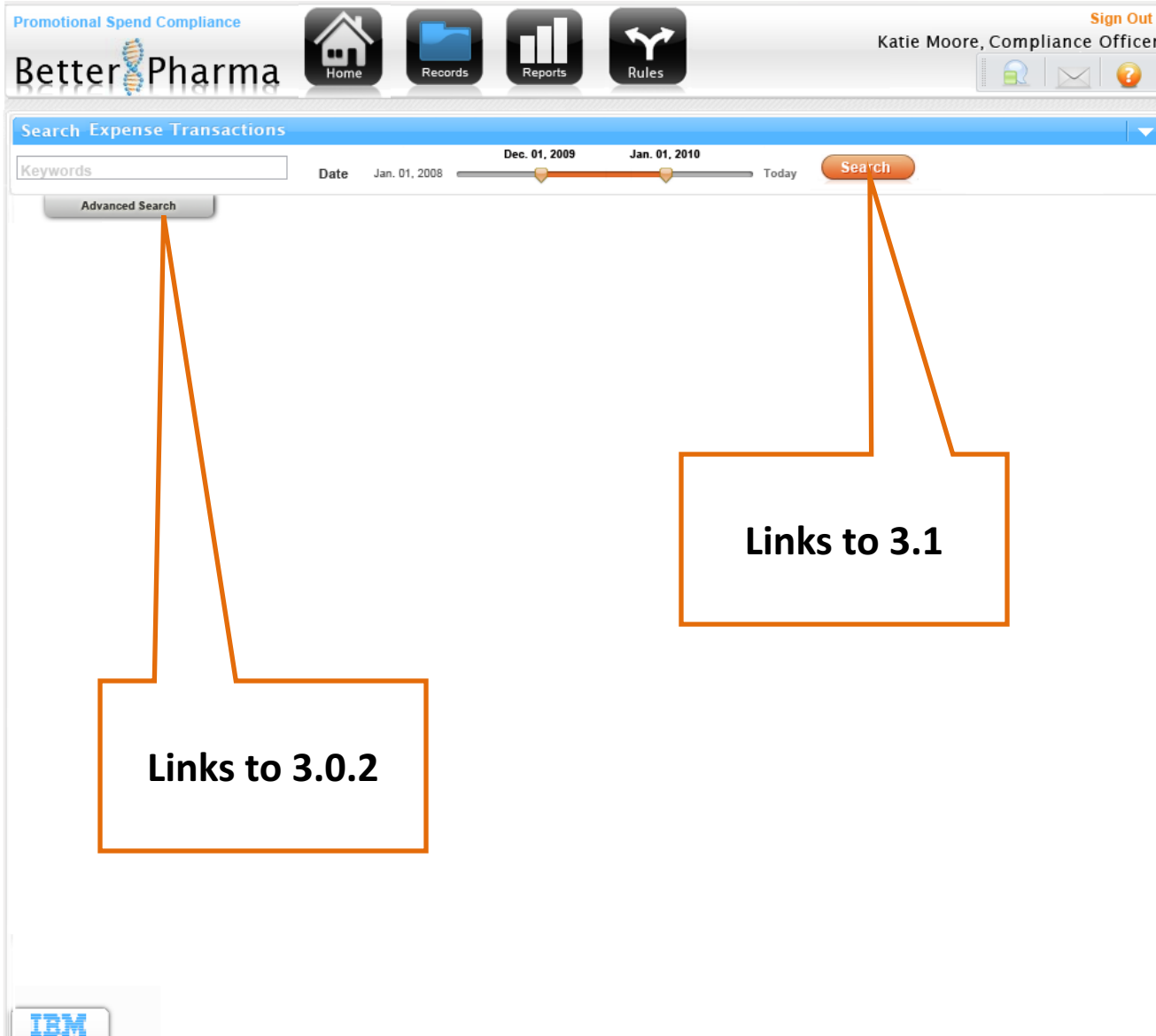
IBM

If the record was “Save and Close”, the Modal window fades away and the updated and saved record slides up and is removed from the Alerts, Dialog Boxes, etc console on the Compliance Officer’s Homepage.

Links to 3.0.1

Search Records

3.0.1



If the user clicks on “Records” button on the home page, a search screen opens up, with an option of Advanced Search

Search Records–Advanced Search

3.0.2

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

Search Expense Transactions

Keywords

Date Jan. 01, 2008 Dec. 01, 2009 Jan. 01, 2010 Today

Advanced Search

HCP Name
Select

CID
Select

Spend Type Codes
Select

Business Units
Select

Spend Types
Select

Event Types
Select

Amount
\$0 \$125 \$500 \$2,000

Search

Close Advanced Search

IBM

Advanced Search screen gives option to search the records through variety of filters

Links to 3.1

Search Records – View Results

3.1

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

Search Expense Transactions

Keywords

Date Jan. 01, 2008 Dec. 01, 2009 Jan. 01, 2010 Today Search

Advanced Search

Expense Transactions (9) TOTAL OF DISPLAYED EXPENSES: \$0000.00

Record No.	HCP Name	CID	State	Spend Type Code	Spend Date	Amount	Business Units	Activity Types	Event Types
00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039234	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039234	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039234	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

IBM

The search will return all the spend records that match the selected criteria

View Record Details

3.1.1

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

ALERTS

Expense Transaction

Level	Record No.	Latency	Status	Description	Alert	Brand	Status
●	00039440	Normal		Spend Recipient Disputes Data	Review Dispute		Open - Pending Manager Analysis

1

2

3

Event Information

Event Location ★

Brand(s) ★

Event Date ★ ! Disputed

Venue Type ★

Other Venue Type

No. of Speakers ★

No. of Speakers (excluding Employees) ★

No. of Employees

Venue Address Line 1 ★

Venue Address Line 2 ★

Venue City ★

Venue State ★

Venue Zip ★

★ Required Fields

NEXT

4

5

6

7

8

RECIPIENT INFORMATION

EXPENSES

ADVERTISING DETAILS

UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE



California	February 15, 2011	●
DC	April 15, 2011	●
Maine	February 20, 2011	●
Massachusetts	March 8, 2011	●
Minnesota	August 8, 2011	●
West Virginia	February 15, 2011	●

If the user selected to view a disputed record, the disputed record appears in the wizard and the disputed data is tagged.

Search Cases

4.0.1

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

Search Cases

Keywords
Case ID, Record ID, Keywords

Date Jan. 01, 2008 Dec. 01, 2009 Jan. 01, 2010 Today Search

Advanced Search

Links to 4.1

IBM

If the user clicks on “Cases” button on the home page, a search screen opens up, with an option of Advanced Search

Search Cases - Advanced

4.0.2

Promotional Spend Compliance

BetterPharma

Dashboard Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

Search Cases

Keywords
Case ID, Record ID, Keywords

Date Jan. 01, 2008 Dec. 01, 2009 Jan. 01, 2010 Today

Advanced Search

HCP Name
Select

Business Units
Select

CID
Select

Event Types
Select

Spend Type Codes
Select

Event Types
Select

Employee ID
Select

Amount
\$0 \$125 \$500 \$2,000

Search

Close Advanced Search

IBM

Advanced Search screen gives option to search the records through variety of filters

Links to 4.1

Search Cases - Results

4.1

Clicking on “Search” button gives all the cases that match the filtering criteria

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

Search Cases

Keywords
Case ID, Record ID, Keywords

Date Jan. 01, 2008 Dec. 01, 2009 Jan. 01, 2010 Today

Close Advanced Search

Search Case Results TOTAL OF DISPLAYED EXPENSES: \$0000.00

Case No.	Record No.	HCP Name	CID	State	Spend Type Code	Spend Date	Amount	Business Units	Activity Types	Event Types
00039440	00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039432	00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039234	00039234	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039440	00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039432	00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039234	00039234	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039440	00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039432	00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039234	00039234	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

IBM

Search Cases – View Case Details

4.1

Compliance Officer can click on a specific case to get all the case details

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Compliance Officer

Search Cases

Keywords
Case ID, Record ID, Keywords

Date Jan. 01, 2008 Jan. 01, 2010 Today

Close Advanced Search

Search Case Results TOTAL OF DISPLAYED EXPENSES: \$0000.00

Case No.	Record No.	HCP Name	CID	State	Spend Type Code	Spend Date	Amount	Business Units	Activity Types	Event Types
00039440	00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039432	00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039234	00039234	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039440	00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

Record History

1	The Expense was submitted	Jane Doe	01/15/2011
2	The Expense was disputed	Dr. James Goodman	01/31/2011

Notes and Uploaded Documents

Notes	Upload Documents
1 Dispute: Event Date, Amount Dr. James Goodman 10/27/2010 The event date is incorrect as is the amount.	1 receipts.pdf 4KB 10/27/2010 2 license.doc 6KB 10/27/2010

Investigation

Take Investigative Action: Phone & Add Notes

Investigation History

+	Email	Jane, I understand record 000039440 has been disputed by Dr. James Goodwin. I have...	Jane Doe	01/15/2011
---	-------	---	----------	------------

00039432	00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039234	00039234	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039440	00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039432	00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039234	00039234	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

Links to 3.1.1

View Record Details

3.1.1

Compliance Officer can click on a specific record to get all the spend details

Promotional Spend Compliance

Sign Out
Katie Moore, Case Analyst

Reports

Step 1 - Select Criteria or Filter Record and Generate Report

Step 2 - View Generated Report

Display Format: Interactive View

Expense Transaction

Record No.	HCP Name	CID	State	Spend Type Code	Spend Date	Amount	Business Units	Activity Types	Event Types
1	00039440	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

1

2

3

4

5

GENERAL EXPENSE DETAILS

VENDOR INFORMATION

EVENT INFORMATION

RECIPIENT INFORMATION

EXPENSES

Expenses

Total Employee Cost

0.00

Honoraria

0.00

Air Fare

0.00

Hotel

0.00

Transportation

0.00

Food & Beverage Expenses

45.00

Audio Visual Expenses

0.00

Meeting Room Rental Expenses

0.00

Vendor Management Fees

0.00

Total Grants

0.00

Other Expenses

0.00

Other Expense Description

0.00

Other Expense Total

6

7

8

ADVERTISING DETAILS

UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE

NEXT

SAVE

SAVE & CLOSE

Links to 3.1.1.1

Links to 3.1.1.2

Generate Report

6.0

The screenshot shows a web application interface for generating reports. At the top, there is a navigation bar with the text 'Promotional Spend Compliance' and 'Better Pharma'. On the right, it says 'Sign Out' and 'Katie Moore, Case Analyst'. Below the navigation bar is a 'Reports' window. Inside this window, there is a tab labeled 'Step 1 - Select Criteria or Filter Record and Generate Report'. Under this tab, there are two radio buttons for 'Report Type': 'Disclosure' and 'Per-Instance'. To the right of these is an 'Entity' dropdown menu with 'Select' as the current value. Two orange callout boxes are present: one pointing to the 'Per-Instance' radio button with the text 'Links to 6.0.1 (this screen)', and another pointing to the 'Entity' dropdown menu with the text 'Links to 6.0 (this screen)'. The IBM logo is visible in the bottom left corner of the application window.

Sign Out
Katie Moore, Case Analyst

Reports

Step 1 - Select Criteria or Filter Record and Generate Report

Report Type ☐ Disclosure ☐ Per-Instance

Entity

Links to 6.0.1 (this screen)

Links to 6.0 (this screen)

IBM

Clicking on “Reports” button brings the user to this screen, where they can choose between a Entity Disclosure report (i.e., Minnesota report), or Per-Instance report (i.e., for a specific spend user, by HCP, by date range, etc)

Generate Report

6.0.1

Promotional Spend Compliance

Sign Out

Katie Moore, Case Analyst

Reports

Step 1 - Select Criteria or Filter Record and Generate Report

Report Type

☒ Disclosure

☐ Per-Instance

Entity

Select

Date

Jan. 01, 2008

Dec. 01, 2009

Jan. 01, 2010

Today

VIEW GENERATED REPORT

Links to 6.1.1

IBM

If the user selects “Disclosure” radio-button, they can choose “Entity”, and a date range

Generate Report

6.0.2

Promotional Spend Compliance Better Pharma Sign Out Katie Moore, Case Analyst

Reports

Step 1 – Select Criteria or Filter Record and Generate Report

Report Type ☐ Disclosure ☒ Per-Instance Entity

HCP Name CID Spend Type Codes

Business Units Event Types Event Types

Employee ID Spend User Primary Recipient Name Flagged ☐

Allocated Transaction Amount Date

Expense ID

Source System Code

Select Date to Display In the Report

VIEW GENERATED REPORT

For Per Instance Report, they can also choose variety of filters in Advanced Search screen

Links to 6.1.1

PDF of Per-Instance Report

6.1.1.1

Promotional Spend Compliance

Better Pharma

Sign Out
Katie Moore, Case Analyst

Reports

Step 1 - Select Criteris or Filter Record and Generate Report

Step 2 - View Generated Report

Display Type: ☐ Interactive View
☒ PDF Print Preview (Note: You can only print, download and email from the pdf view.)

California Monitoring Report - Per Instance Spend

HCP Last Name	HCP First Name	HCP MI	Credentials	Prescriber Y/N	HPC Affiliation	Primary City	Primary State	MDM ID	License #	License State	License Flag	License Exp.	Total Spend
Sanders	Thomas	T	MD	Y		Los Angeles	CA			CA			\$241
Hamilton	John	W	MD	Y		Los Angeles	CA			CA			\$241
Sanders	Thomas	T	MD	Y		Los Angeles	CA			CA			\$241
Sanders	Thomas	T	MD	Y		Los Angeles	CA			CA			\$241
Sanders	Thomas	T	MD	Y		Los Angeles	CA			CA			\$241
Sanders	Thomas	T	MD	Y		Los Angeles	CA			CA			\$241

<< >>

Filename:
Date executed:

Page 1

Aggregate Spend
Genentech Confidential

IBM

Once the report is generated, the user can choose Interactive report (where they can drill down further) or PDF Print Preview, where they can save to their hard-drive or print the report

PDF of Per-Instance Report

6.1.1.1

Promotional Spend Compliance

Better Pharma

Sign Out
Katie Moore, Case Analyst

Reports

Step 1 - Select Criteris or Filter Record and Generate Report

Step 2 - View Generated Report

Display Type: ☐ Interactive View
☒ PDF Print Preview (Note: You can only print, download and email from the pdf view.)

California Monitoring Report - Per Instance Spend

HCP Last Name	HCP First Name	HCP MI	Credentials	Prescriber Y/N	HPC Affiliation	Primary City	Primary State	MDM ID	License #	License State	License Flag	Licens Exp.	Total Spend
Sanders	Thomas	T	MD	Y		Los Angeles	CA			CA			\$241
Hamilton	John	W	MD	Y		Los Angeles	CA			CA			\$241
Sanders	Thomas	T	MD	Y		Los Angeles	CA			CA			\$241
Sanders	Thomas	T	MD	Y		Los Angeles	CA			CA			\$241
Sanders	Thomas	T	MD	Y		Los Angeles	CA			CA			\$241
Sanders	Thomas	T	MD	Y		Los Angeles	CA			CA			\$241

<< >>

Wide Angel View of Full Report

Current View

Filename:
Date executed:

Page 1

Aggregate Spend
Genentech Confidential

In the Interactive or PDF Print preview mode, the user can scroll through the report

Links to
6.1.1.1.2

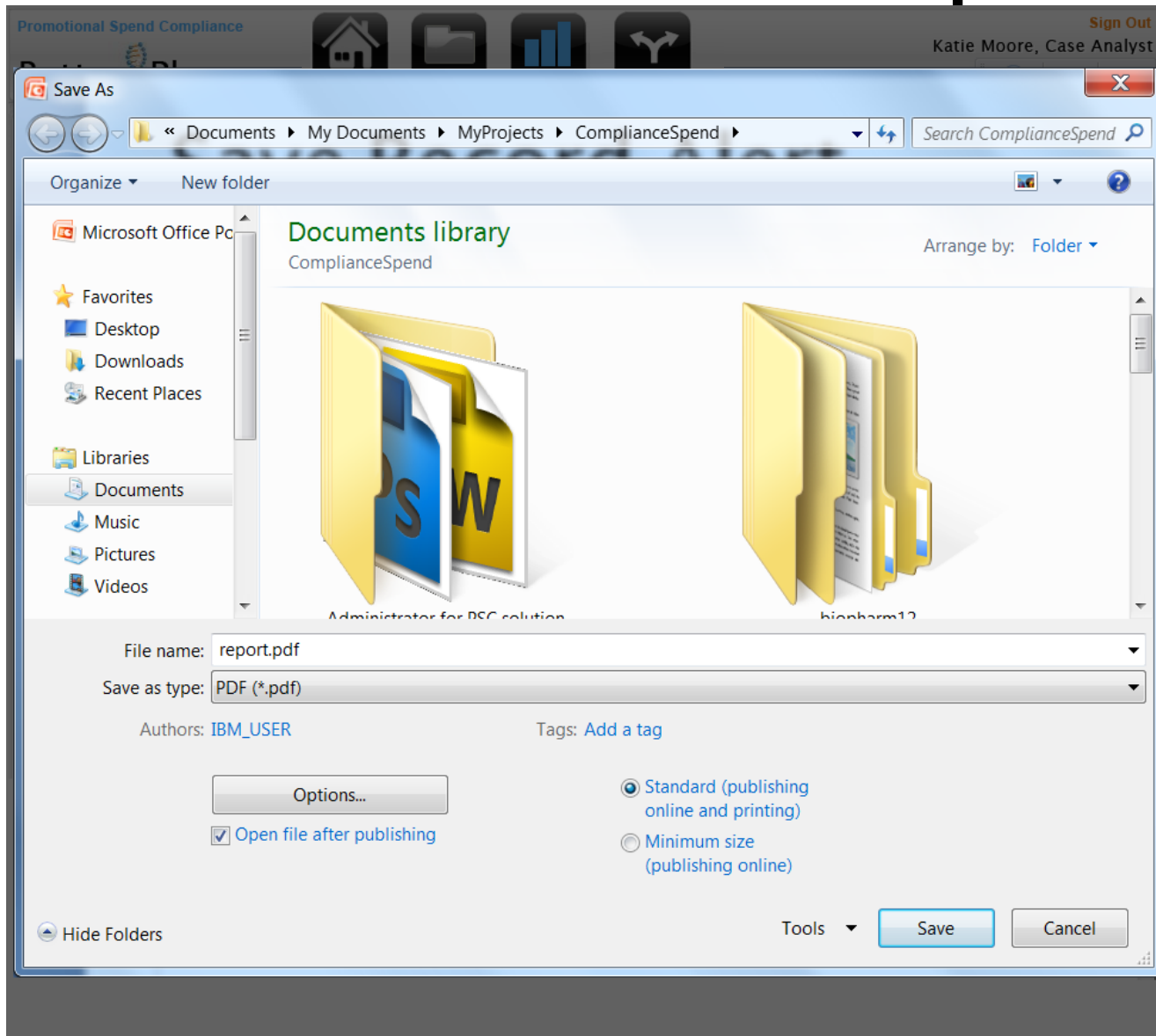
Links to
6.1.1.1.1

Links to
6.1.1.1.3

Download PDF Report

6.1.1.1.2

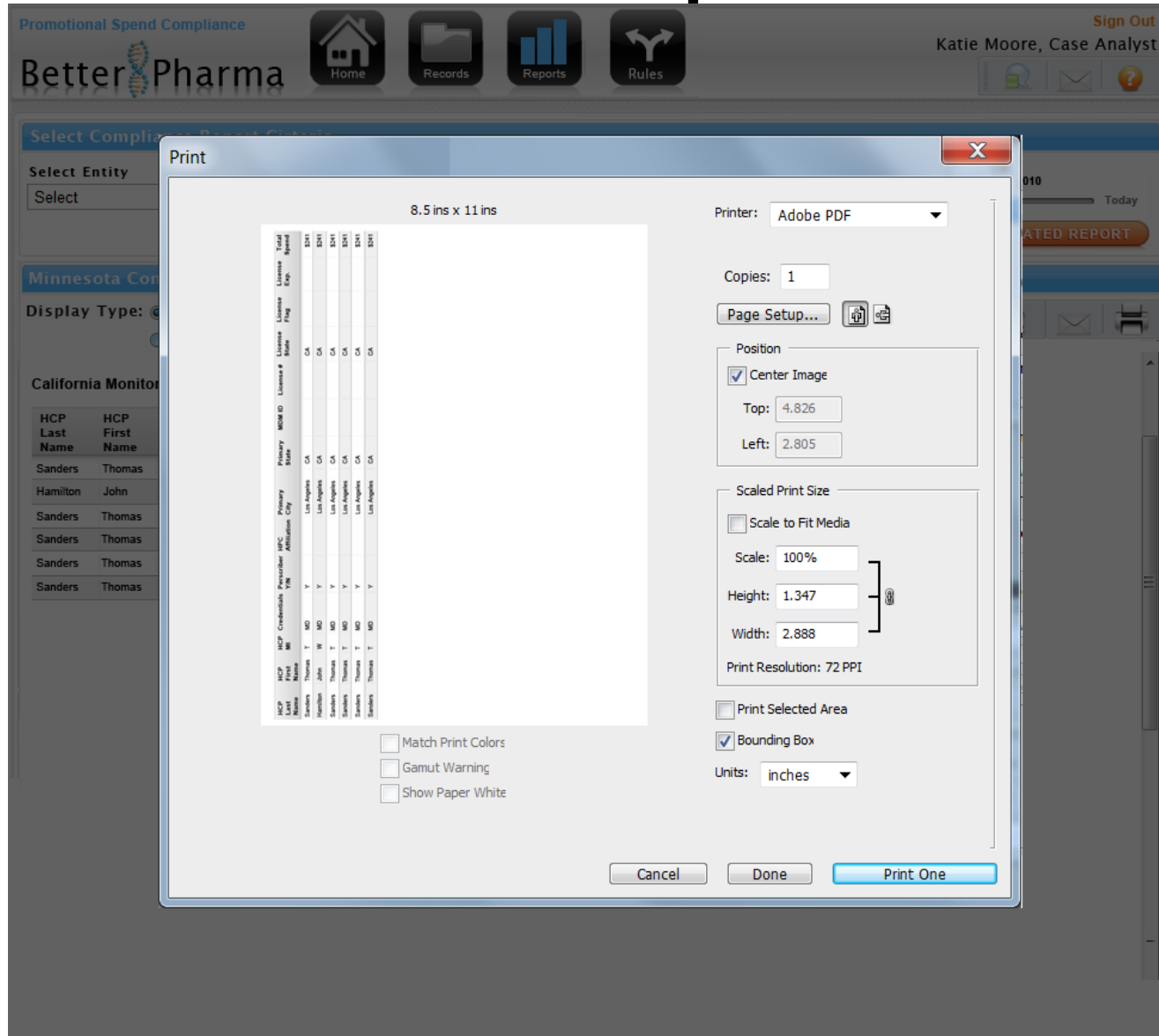
The user can decide to save the report in PDF format to his hard drive



Print PDF Report

6.1.1.1.1

The user can decide to print the report



Email PDF Report

6.1.1.1.3

Or the user can decide to email the PDF version of the report to other users

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Case Analyst

Select Compliance Report Criteria

Select Entity
Select

Date Range for Report
Jan. 01, 2008 Dec. 01, 2009 Jan. 01, 2010 Today
VIEW GENERATED REPORT

Minnesota Compliance Report

Display Type: PDF Print Preview Submission Date: xx/xx/xxx

California

HCP Last Name
Sanders
Hamilton
Sanders
Sanders
Sanders
Sanders

Email Report

To: Jane.Doe@BetterPharma.com
Add CC | Add BC

Subject: State Report

Attachments: stateReport.pdf

Cancel Send

View Interactive Report

In the Interactive view, the user can drill down on any specific record within the report

Promotional Spend Compliance

Better Pharma

Sign Out
Katie Moore, Case Analyst

Reports

Step 1 – Select Criteria or Filter Record and Generate Report

Step 2 – View Generated Report

Display Type: ☒ Interactive View ☐ PDF Print Preview (Note: You can only print, download and email from the pdf view.)

Expense Transactions (9) TOTAL OF DISPLAYED EXPENSES: \$0000.00

Record No.	HCP Name	CID	State	Spend Type Code	Spend Date	Amount	Business Units	Activity Types	Event Types
1	00039440	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
2	00039432	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
3	00039234	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
4	00039440	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
5	00039432	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
6	00039234	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
7	00039440	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
8	00039432	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
9	00039234	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

Links to
6.1.1.2.1

IBM

View Record Details

6.1.1.2.1

In the Interactive view, the user can drill down on any specific record within the report

Promotional Spend Compliance BetterPharma Sign Out Katie Moore, Case Analyst

Reports

Step 1 - Select Criteria or Filter Record and Generate Report

Step 2 - View Generated Report

Display Format: Interactive View

Expense Transaction

Record No.	HCP Name	CID	State	Spend Type Code	Spend Date	Amount	Business Units	Activity Types	Event Types	
1	00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

1

2

3

4

5

GENERAL EXPENSE DETAILS

VENDOR INFORMATION

EVENT INFORMATION

RECIPIENT INFORMATION

EXPENSES

Expenses

Total Employee Cost

Honoraria

Air Fare

Hotel

Transportation

Food & Beverage Expenses

Audio Visual Expenses

Meeting Room Rental Expenses

Vendor Management Fees

Total Grants

Other Expenses

Other Expense Description

Other Expense Total

6

7

8

ADVERTISING DETAILS

UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE

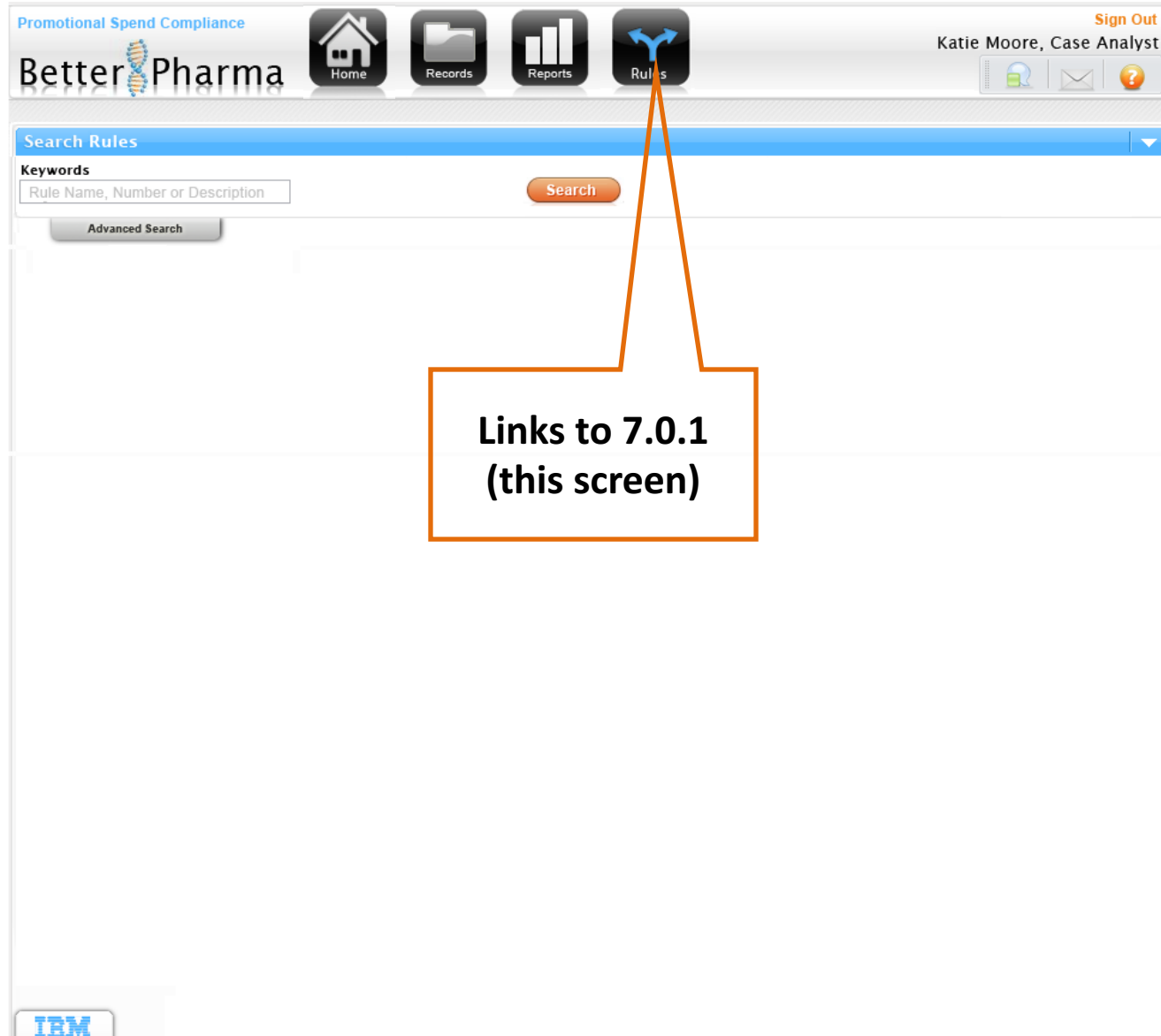
NEXT

SAVE SAVE & CLOSE

IBM

Search Rules

7.0.1



The Rules button will bring the user to the Search screen. In the “Keywords” field, they can enter either rule name, rule number or description to search for specific rules

Search Rules

7.0.1

Advanced Search
button brings out
variety of filters to
search on

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Case Analyst

Search Rules

Keywords
Rule Name, Number or Description

Category Sub Category Activity Expense

Contracted Associated with Record No.

Search

Close Advanced Search

Links to 7. 1

IBM

Search Rules – View Results

7.1

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Case Analyst

Search Rules

Keywords
Rule Name, Number or Description

Category Sub Category Activity Expense

Contracted Associated with Record No.

Search

Close Advanced Search

Rule Search Results (9)

Rule No.	Rule Name	Description	Category	Sub Category	Activity	Expense	Contracted	Assoc. Records
00039440	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	13
00039432	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	25
00039234	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	1
00039440	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	25
00039432	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	1
00039234	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	25
00039440	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	13
00039432	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	25
00039234	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	7

IBM

Clicking on Search button after entering search criteria brings up list of all rules that match the criteria

Links to 7. 1.1

Links to 7. 1.2

Search Rules – View Results

7.1

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Case Analyst

Search Rules

Keywords
Rule Name, Number or Description

Category Sub Category Activity Expense

Contracted Associated with Record No. Search

Close Advanced Search

Rule Search Results (9)

Rule No.	Rule Name	Description	Category	Sub Category	Activity	Expense	Contracted	Assoc. Records
00039440	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXX	XXXXXXXX	XXXXXXXX	1

definitions

- set the customer to the individual customer X
- [where] X
- set the citizenship to the citizenship of the customer X
- [where] X
- set the risk tolerance to the type of risk tolerance of the customer X
- [where] X
- set the age to the age of the customer [±] X
- [where] X
- set the employment status to the employment status of the customer X
- [where] X
- set the annual Income to ▼ an income [from/in] X
- where the type of this income [±] is AnnualIncome [±] X

if

all of the following conditions are true :

00039432	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXX	XXXXXXXX	XXXXXXXX	25
00039234	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXX	XXXXXXXX	XXXXXXXX	1
00039440	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXX	XXXXXXXX	XXXXXXXX	25
00039432	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXX	XXXXXXXX	XXXXXXXX	1
00039234	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXX	XXXXXXXX	XXXXXXXX	25
00039440	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXX	XXXXXXXX	XXXXXXXX	13

The user can click on any rule to get the description of the business rule

View Record Details Assoc. w/ Rule 7.1.2

Promotional Spend Compliance

BetterPharma

Dashboard Records Reports Rules

Sign Out
Katie Moore, Case Analyst

Expense Transaction

Rules Associated with Rule No: 000878763 (9)

Record No.	HCP Name	CID	State	Spend Type Code	Spend Date	Amount	Business Units	Activity Types	Event Types
00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039234	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039440	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
00039432	XXXXXXXXXX	XXXXXXXXXX	XX	XXXXXXXXXX	00/00/0000	\$0000.00	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

1

2

3

4

5

GENERAL EXPENSE DETAILS

VENDOR INFORMATION

EVENT INFORMATION

RECIPIENT INFORMATION

EXPENSES

Expenses

Total Employee Cost	<input type="text" value="0.00"/>
Honoraria	<input type="text" value="0.00"/>
Air Fare	<input type="text" value="0.00"/>
Hotel	<input type="text" value="0.00"/>
Transportation	<input type="text" value="0.00"/>
Food & Beverage Expenses	<input type="text" value="45.00"/>
Audio Visual Expenses	<input type="text" value="0.00"/>
Meeting Room Rental Expenses	<input type="text" value="0.00"/>
Vendor Management Fees	<input type="text" value="0.00"/>
Total Grants	<input type="text" value="0.00"/>
Other Expenses	<input type="text" value="0.00"/>
Other Expense Description	<input type="text" value="0.00"/>
Other Expense Total	

6

7

8

ADVERTISING DETAILS

UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE

NEXT

SAVE SAVE & CLOSE

IBM

The user can view all the records associated with a specific rule

Saved & Closed Record - Alert^{3.1.1.2}

The Compliance Officer then clicks to Save and Close the Record.

The screenshot displays the 'BetterPharma' Promotional Spend Compliance application. The top navigation bar includes a 'Sign Out' link and the user's name, 'Katie Moore, Case Analyst'. Below the navigation bar is a search section with fields for 'Keywords', 'Category', 'Sub Category', 'Activity', 'Expense', 'Contracted', and 'Associated with Record No.', along with a 'Search' button. The main content area shows 'Rule Search Results (9)' in a table. A modal dialog box titled 'Saved & Closed' is overlaid on the table, displaying the message: 'The record has been saved, closed and removed from your alerts console.' with 'YES' and 'NO' buttons. The table has columns: Rule No., Rule Name, Description, Category, Sub Category, Activity, Expense, Contracted, and Assoc. Records. The first row is highlighted, showing Rule No. 00039440 and 1 associated record. Below the table, there is a section for 'definitions' with several lines of text and red 'X' marks indicating errors or warnings. The bottom of the screen shows a list of records with columns for Rule No., Rule Name, Description, Category, Sub Category, Activity, Expense, Contracted, and Assoc. Records.

Rule No.	Rule Name	Description	Category	Sub Category	Activity	Expense	Contracted	Assoc. Records
00039440	XXXXXXXXXX	XXXXXXXXXX			XXXXXXXX	XXXXXXXX	XXXXXXXX	1
00039432	XXXXXXXXXX	XXXXXXXXXX			XXXXXXXX	XXXXXXXX	XXXXXXXX	25
00039234	XXXXXXXXXX	XXXXXXXXXX			XXXXXXXX	XXXXXXXX	XXXXXXXX	1
00039440	XXXXXXXXXX	XXXXXXXXXX			XXXXXXXX	XXXXXXXX	XXXXXXXX	25
00039432	XXXXXXXXXX	XXXXXXXXXX			XXXXXXXX	XXXXXXXX	XXXXXXXX	1
00039234	XXXXXXXXXX	XXXXXXXXXX			XXXXXXXX	XXXXXXXX	XXXXXXXX	25
00039440	XXXXXXXXXX	XXXXXXXXXX			XXXXXXXX	XXXXXXXX	XXXXXXXX	13

Saved Record - Alert

3.1.1.1

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out
Katie Moore, Case Analyst

Search Rules

Keywords
Rule Name, Number or Description

Category Sub Category Activity Expense

Contracted Associated with Record No. Search

Close Advanced Search

Rule Search Results (9)

Rule No.	Rule Name	Description	Category	Sub Category	Activity	Expense	Contracted	Assoc. Records
00039440	XXXXXXXXXX	XXXXXXXXXX			XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	1

definitions

- set the **customer** to the individual customer [where] X
- set the **citizenship** to the citizenship of the customer [where] X
- set the **risk tolerance** to the type of risk tolerance of the customer [where] X
- set the **age** to the age of the customer [a] X
- set the **employment status** to the employment status of the customer [where] X
- set the **annual income** to an income [from/in] X
where the type of this income [a] is AnnualIncome [a] X

if

all of the following conditions are true :

00039432	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	25
00039234	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	1
00039440	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	25
00039432	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	1
00039234	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	25
00039440	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	13

Saved NOT Closed!

The record has been saved but NOT closed and will remain on your alerts console until it is closed.

YES NO

If the Compliance Officer clicks to Save the record, he will get a message that the record has not been closed/submitted

Log In

8.1

The Compliance Officer Logs Out and returned to the Log In Screen



The screenshot shows a web application interface for 'BetterPharma'. At the top left, it says 'Spend Compliance' in small blue text, followed by the 'BetterPharma' logo which includes a blue DNA helix icon. To the right of the logo is the date '02.01.2011' in orange. Below the header is a large banner area. On the left side of the banner is a photograph of five diverse business professionals (three men and two women) in business attire. To the right of the photo, the text reads 'the MERGING SCIENCE and TECHNOLOGY' in a sans-serif font, with 'and' in orange. Below the banner is a blue login section. On the left of this section is a large blue arrow pointing right with the word 'Login' in white. To the right of the arrow are two input fields: 'Username:' with the text 'Goodwin465' and 'Password:' with a masked password of ten dots. To the right of the password field is an orange 'Login' button. At the bottom of the login section, there is a small orange link that says 'Legal mumbo jumbo here'. Below the login section is a white footer bar containing the 'IBM' logo in orange.

Covered Recipient Receives Email

Gmail - We miss you! Che... x

Gmail Calendar Documents Photos Reader Web more

Search Mail Search the Web Show search options Create a filter

Mail

Contacts

Tasks

Compose mail

Inbox (313)

Buzz

Sent Mail

Drafts (13)

Personal

Travel

7 more

Chat

Search, add, or invite

Invite a friend

Give Gmail to:

Send invite 50 left

Preview invite

Local Coupons - www.Groupon.com - 1 ridiculously huge coupon a day. Get the best of your city @90% off!

Back to Inbox Archive Report spam Delete Move to Labels More actions

Newer 16 of 616 Older

We miss you! Check out local events and updates you've been missing

Eventful to me

Images are not displayed.
Display images below - Always display images from events@eventful.com

Is Gmail blocking the images in this email? Click the "Always display images..." link above.

January 24, 2011

disputed record updated

Log in

Dr. James Goodwin,

The following record, which you disputed, has been modified and closed. Please review the updated record.

Disputed Record Updated

Dispute	Record	Sales Person	Lic. State	NPI Number	Event	Event Date	Spend Category	Spend Type	Expense Type	Amount
Dispute	00039478	Jane Doe	CA	497657	Event Name	08/02/2010	Meal without...	Contracted Services	Individual Meal	\$45.00

Ads

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