

# Spend Compliance UI

## USE CASE 3

Presented by Lise W. Noble, January 20<sup>th</sup>, 2011

# Email Alert

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

January 24, 2011

**review your monthly expense**

Dr. James Goodwin,

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

**Monthly Expense Transactions (3)**

| 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 |

**Log In**

**About these ads** < >  
**New window**  
**Print all**  
**Map this**  
12625 High Bluff Drive  
San Diego, CA 92130

**Ruby Tuesday**  
Visit & Enjoy Our Three-Course  
Brunch! Garden Fresh Salads & More!  
www.RubyTuesday.com

**Chuck E. Cheese's Savings**  
Eat, Play, Win at Chuck E. Cheese's  
Family Fun Deals Starting at \$20!  
www.ChuckECheese.com

**Daily Deals**  
Get the Best Prices on the Most  
Popular Daily Deals Around!  
www.Sold.com

**Local 1-Day Coupons**  
Up to 90% Off the Best Stuff to do!  
Restaurants, Spas, Events and More.  
www.LivingSocial.com

**Today: \$87.99 Samsung TVs**  
50" Samsung LED HDTV for 95% Off!  
Blowout Sale Today. Buy Now.  
Quibids.com

**Online Grocery Coupons**  
Get coupon for Ronzoni Garden  
Delight veggie enriched pasta.  
www.ronzonigardendelight.com

**Chucky Cheese Coupons**

**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.

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

[About these ads](#) [Newer 16 of 616 Older](#)

[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**

Eventful to me

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

January 24, 2011 [show details](#) Jan 24 (7 days ago) [Reply](#)

**review your monthly expense**

Dr. James Goodwin,

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

**Monthly Expense Transactions (3)**

| Dispute Record                   | Sales Person | Lic. State | NPI Number | Event      | Event Date | Spend Category  | Spend Type          | Expense Type    | Amount   |
|----------------------------------|--------------|------------|------------|------------|------------|-----------------|---------------------|-----------------|----------|
| <a href="#">Dispute</a> 00039478 | Jane Doe     | CA         | 497657     | Event Name | 08/02/2010 | Meal without... | Contracted Services | Individual Meal | \$115.00 |
| <a href="#">Dispute</a> 00039478 | Jane Doe     | CA         | 497657     | Event Name | 08/02/2010 | Meal without... | Contracted Services | Individual Meal | \$115.00 |
| <a href="#">Dispute</a> 00039474 | Jane Doe     | CA         | 497657     | Event Name | 08/02/2010 | Meal without... | Contracted Services | Individual Meal | \$115.00 |

[Log in](#)

[New window](#) [Print all](#)

[Map this](#)  
12526 High Bluff Drive  
San Diego, CA 92130

**Ads**

**Ruby Tuesday**  
Visit & Enjoy Our Three-Course Brunch. Garden Fresh Salads & More! [www.RubyTuesday.com](#)

**Chuck E. Cheese's Savings**  
Eat, Play, Win at Chuck E Cheese's Family Fun Deals Starting at \$20! [www.ChuckECheese.com](#)

**Daily Deals**  
Get the Best Prices on the Most Popular Daily Deals Around! [www.Sold.com](#)

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Up to 90% Off the Best Stuff to do! Restaurants, Spas, Events and More. [www.LivingSocial.com](#)

**Today: \$97.99 Samsung TVs**  
50" Samsung LED HDTV for 95% Off! Blowout Sale Today. Buy Now. [Quibids.com](#)

**Online Grocery Coupons**  
Get coupon for Ronzoni Garden Delight veggie enriched pasta. [www.ronzonigardendelight.com](#)

**Chucky Cheese Coupons**

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

Links to 1.2

# Log In

The Covered  
Recipient Logs In



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

Promotional Spend Compliance

**BetterPharma**

**Monthly Expense Transactions (3)**

| 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)**

| 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 00023764 |        | Jane Doe     | CA         | 497657     | Event Name | 08/02/2010 | Meal without... | Contracted Services | Individual Meal | \$115.00 | X      |

**Log out – Links to 1.2.1.4.1**

**Links to 1.2.1.2.1**

**Links to 1.2.1.1.2**

**Links to 1.2.1.1.1**

**Links to 1.2.1.1.1**

**Links to 1.2.1.2.2**

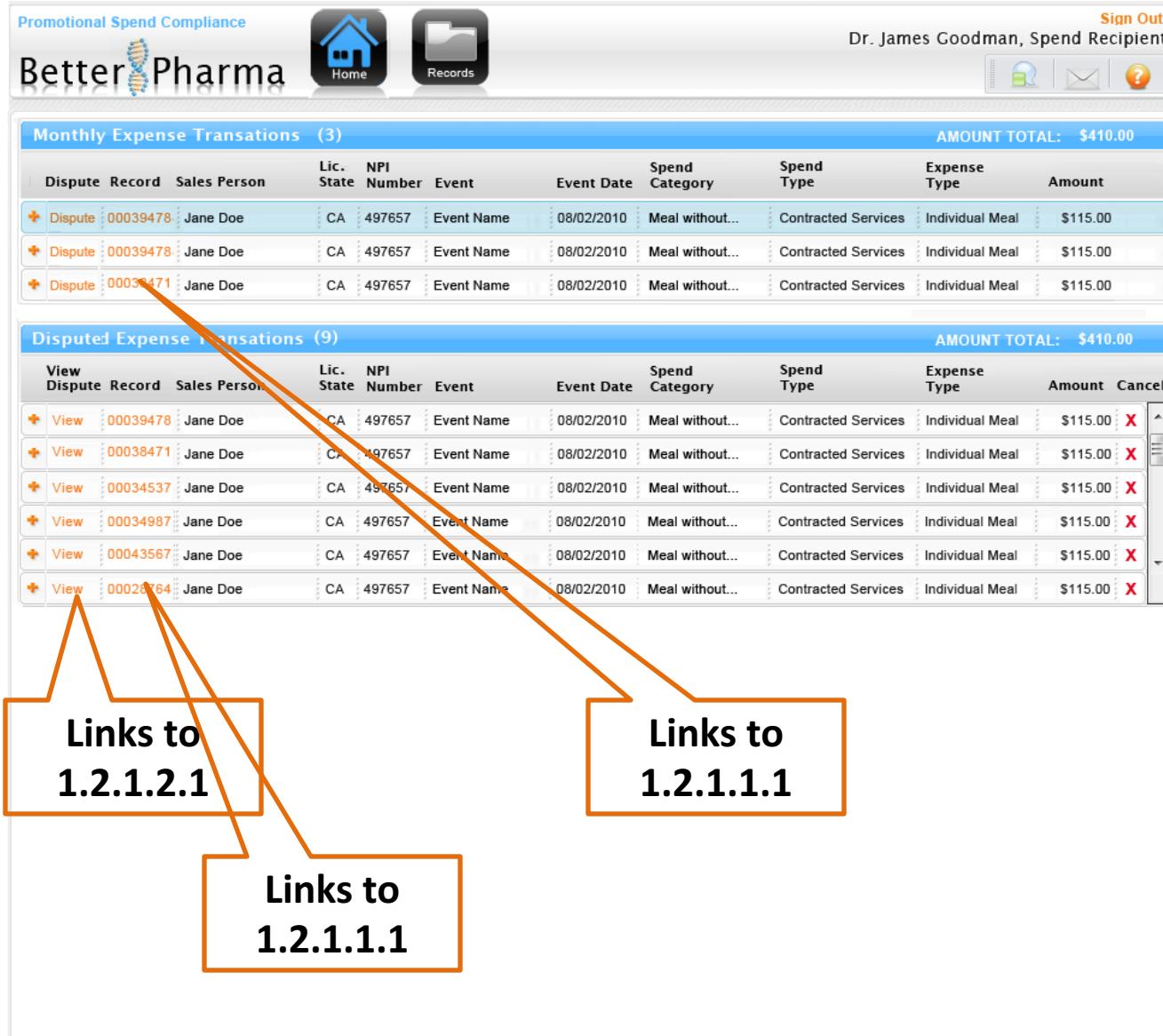
**Clicking on Homepage brings them to Home Page 1.2.1**

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

**Search Records – Links to 1.2.1.3.1**

**Links to 1.2.1.2.2**

# Covered Recipient - Home Page



Promotional Spend Compliance

**BetterPharma**

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 |
| +       | 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      |        |

**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 |

**Expense Transaction**

1 2 3 4 5 Expenses 6 7 8

GENERAL EXPENSE DETAILS VENDOR INFORMATION EVENT INFORMATION RECIPIENT INFORMATION EXPENSES ADVERTISING DETAILS UPLOAD DOCUMENTS ADD NOTES REGARDING EXPENSE

**Expenses**

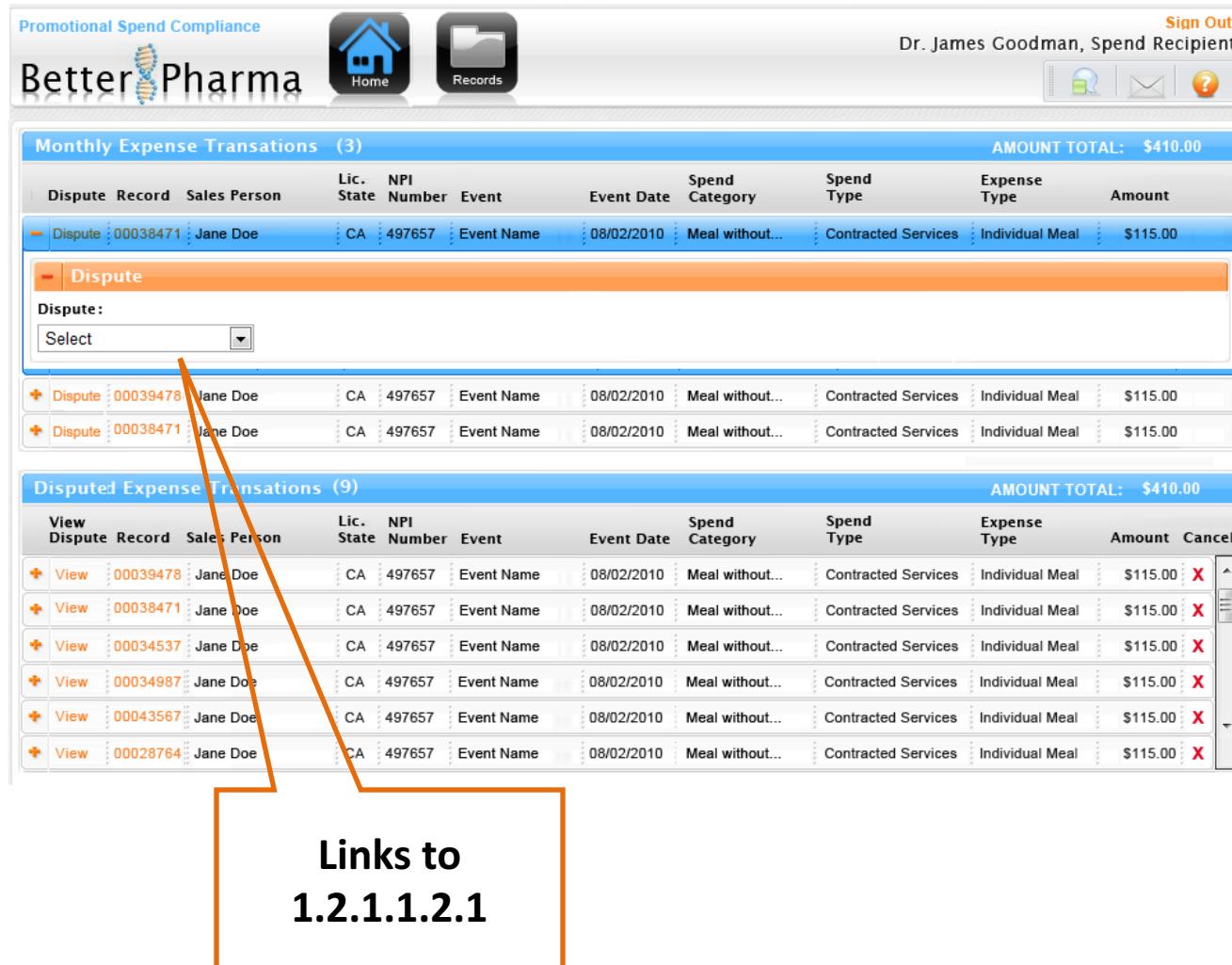
|                              |       |
|------------------------------|-------|
| Total Employee Cost          | 0.00  |
| Honoraria                    | 0.00  |
| Air Fare                     | 0.00  |
| Hotel                        | 0.00  |
| Transportation               | 0.00  |
| Food & Beverage 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          |       |

**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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Sign Out Dr. James Goodman, Spend Recipient

Home Records

**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 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 | Dispute 00039478 | Jane Doe | CA           | 497657     | Event Name | 08/02/2010 | Meal without... | Contracted Services | Individual Meal | \$115.00     | X      |        |
| + View 00038471 | Dispute 00038471 | Jane Doe | CA           | 497657     | Event Name | 08/02/2010 | Meal without... | Contracted Services | Individual Meal | \$115.00     | X      |        |
| + View 00034537 | Dispute 00034537 | Jane Doe | CA           | 497657     | Event Name | 08/02/2010 | Meal without... | Contracted Services | Individual Meal | \$115.00     | X      |        |
| + View 00034987 | Dispute 00034987 | Jane Doe | CA           | 497657     | Event Name | 08/02/2010 | Meal without... | Contracted Services | Individual Meal | \$115.00     | X      |        |
| + View 00043567 | Dispute 00043567 | Jane Doe | CA           | 497657     | Event Name | 08/02/2010 | Meal without... | Contracted Services | Individual Meal | \$115.00     | X      |        |
| + View 00028764 | Dispute 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**

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.

# Home Page

Promotional Spend Compliance

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Sign Out Dr. James Goodman, Spend Recipient

Home Records

Monthly Expense Transations (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

| 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      |

(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      |
| 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      |
| 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      |
| 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      |
| 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 Details X

View 00034537 Jane Doe Details X

View 00034987 Jane Doe Details X

View 00043567 Jane Doe Details X

View 00028764 Jane Doe Details X

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

# Home Page

Promotional Spend Compliance

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Sign Out Dr. James Goodman, Spend Recipient

Home Records

Monthly Expense Transations (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 |
| <b>- Dispute</b><br><b>Dispute: Event Date, Amount</b><br>Select <input type="button" value="▼"/><br>Event Date: <input type="button" value="Select Date"/><br>Amount: <input type="text" value="000.00"/> |          |              |            |            |            |  |                 |                     |                 |          |
| Notes  |          |              |            |            |            | Upload Documents                         |                 |                     |                 |          |
| Add Notes regarding your dispute   |          |              |            |            |            | Upload documents to support your dispute |                 |                     |                 |          |
| <b>Submit Dispute</b>  |          |              |            |            |            |  |                 |                     |                 |          |

|         |          |          |    |        |            |            |                 |                     |                 |          |
|---------|----------|----------|----|--------|------------|------------|-----------------|---------------------|-----------------|----------|
| 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 Transations (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

Promotional Spend Compliance

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Sign Out Dr. James Goodman, Spend Recipient

Home Records

Monthly Expense Transations (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 00038471 | 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: 01/21/2011

Amount:

Notes:

Upload Documents:

Upload Documents:

Submit Dispute

497657 Event Name 08/02/2010 Meal without... Contracted Services Individual Meal \$115.00

497657 Event Name 08/02/2010 Meal without... Contracted Services Individual Meal \$115.00

497657 Event Name 08/02/2010 Meal without... Contracted Services Individual Meal \$115.00

Disputed Expense Transations (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

Promotional Spend Compliance [Sign Out](#)  
**BetterPharma** [Home](#) [Records](#)

Dr. James Goodman, Spend Recipient

**Monthly Expense Transations (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 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 Transations (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 amount.

# Adds Notes to Dispute

Promotional Spend Compliance

**BetterPharma**

Sign Out Dr. James Goodman, Spend Recipient

Home Records

Monthly Expense Transations (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

|         |          |          |    |        |            |            |                 |                     |                 |          |
|---------|----------|----------|----|--------|------------|------------|-----------------|---------------------|-----------------|----------|
| 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 Transations (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      |        |

He proceeds to enter notes regarding his dispute.

Links to  
1.2.1.1.2.1.1

# Uploads Document to Dispute

Promotional Spend Compliance

**BetterPharma**

Sign Out Dr. James Goodman, Spend Recipient

Home Records

Monthly Expense Transations (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 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: 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 Transations (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

Promotional Spend Compliance

**BetterPharma**

Sign Out Dr. James Goodman, Spend Recipient

Home Records

Monthly Expense Transations (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

|         |          |          |    |        |            |            |                 |                     |                 |          |
|---------|----------|----------|----|--------|------------|------------|-----------------|---------------------|-----------------|----------|
| 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 Transations (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

Promotional Spend Compliance

**BetterPharma**

Sign Out Dr. James Goodman, Spend Recipient

Home Records

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 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: 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

license.doc 4KB 10/27/2010 X

Upload documents to support your dispute

Submit Dispute

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

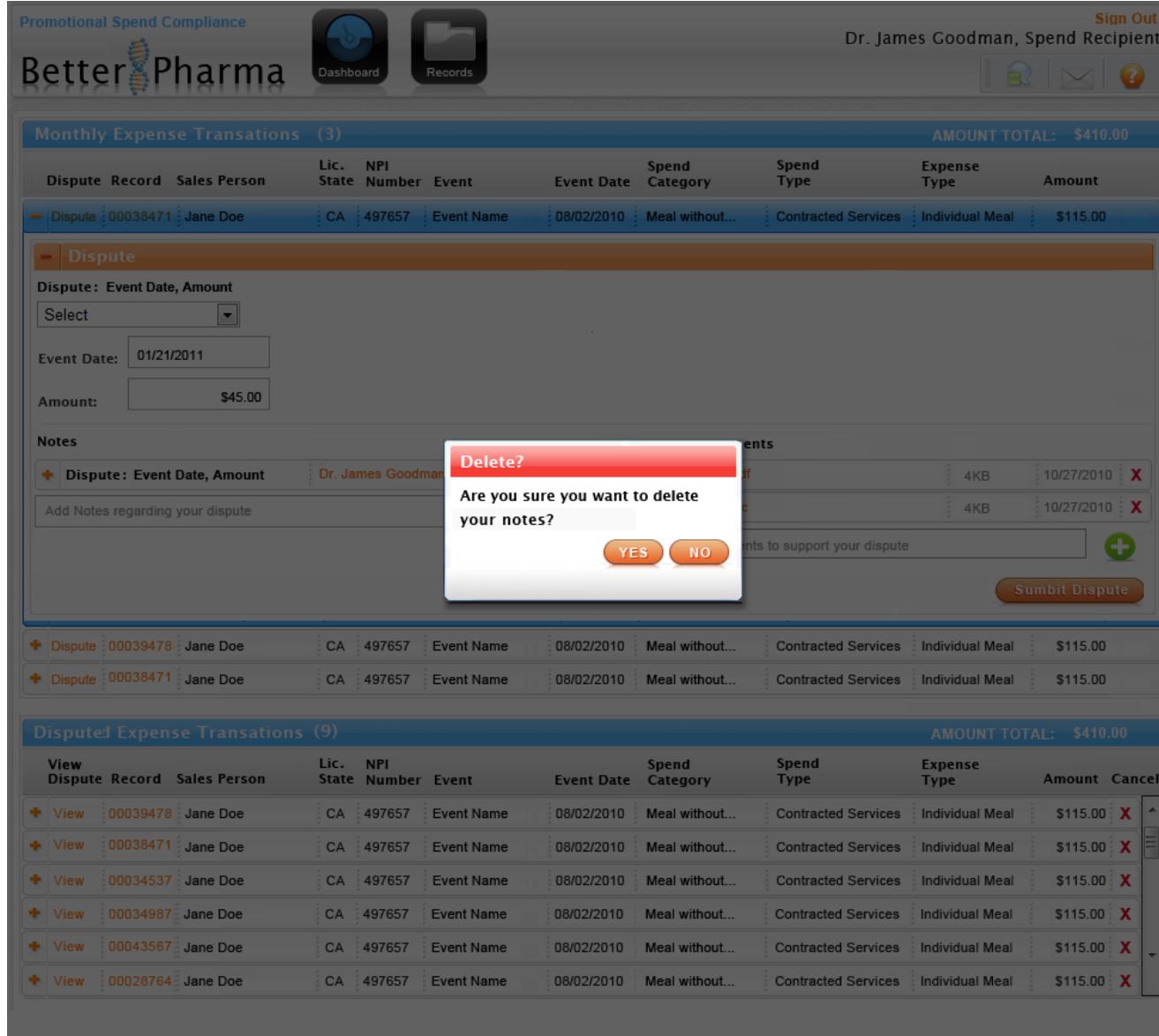
| View | Dispute       | Record   | Sales Person | Lic. State | NPI Number | Event      | Event Date      | Spend Category      | Spend Type      | Expense Type | Amount | Cancel |
|------|---------------|----------|--------------|------------|------------|------------|-----------------|---------------------|-----------------|--------------|--------|--------|
| +    | 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      |        |

They add another document.

Links to  
1.2.1.1.2.1.4

Links to  
1.2.1.1.2.1.3

# Delete notes in Dispute



The screenshot shows the BetterPharma Promotional Spend Compliance software interface. At the top, there are navigation icons for Dashboard and Records, and a sign-out link for Dr. James Goodman, Spend Recipient. Below the header, there are sections for 'Monthly Expense Transations (3)' and 'Disputed Expense Transations (9)'. The 'Dispute' section is active, showing a table with columns: Dispute, Record, Sales Person, Lic. State, NPI Number, Event, Event Date, Spend Category, Spend Type, Expense Type, and Amount. Two rows are listed: one for Dispute 00038471 and one for Dispute 00039478. A modal dialog box is overlaid on the page, titled 'Delete?' with the message 'Are you sure you want to delete your notes?'. It has 'YES' and 'NO' buttons. In the background, the 'Disputed Expense Transations' section is visible, showing a table with the same columns and several rows of data.

| Disputed Expense Transations (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      |

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.

# Delete Documents in Dispute

Promotional Spend Compliance

**BetterPharma**

Sign Out Dr. James Goodman, Spend Recipient

Dashboard Records

Monthly Expense Transations (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 | 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: Event Date, Amount

Select

Event Date: 01/21/2011

Amount: \$45.00

Notes

Dispute: Event Date, Amount Dr. James Goodman

Add Notes regarding your dispute

Delete?

Are you sure you want to delete license.doc?

YES NO

Disputed Expense Transations (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      |        |

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.

# Submit Dispute

Promotional Spend Compliance

**BetterPharma**

Sign Out Dr. James Goodman, Spend Recipient

Home Records

Monthly Expense Transations (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**

|   |                  |          |    |        |            |            |                 |                     |                 |          |
|---|------------------|----------|----|--------|------------|------------|-----------------|---------------------|-----------------|----------|
| + | 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 |

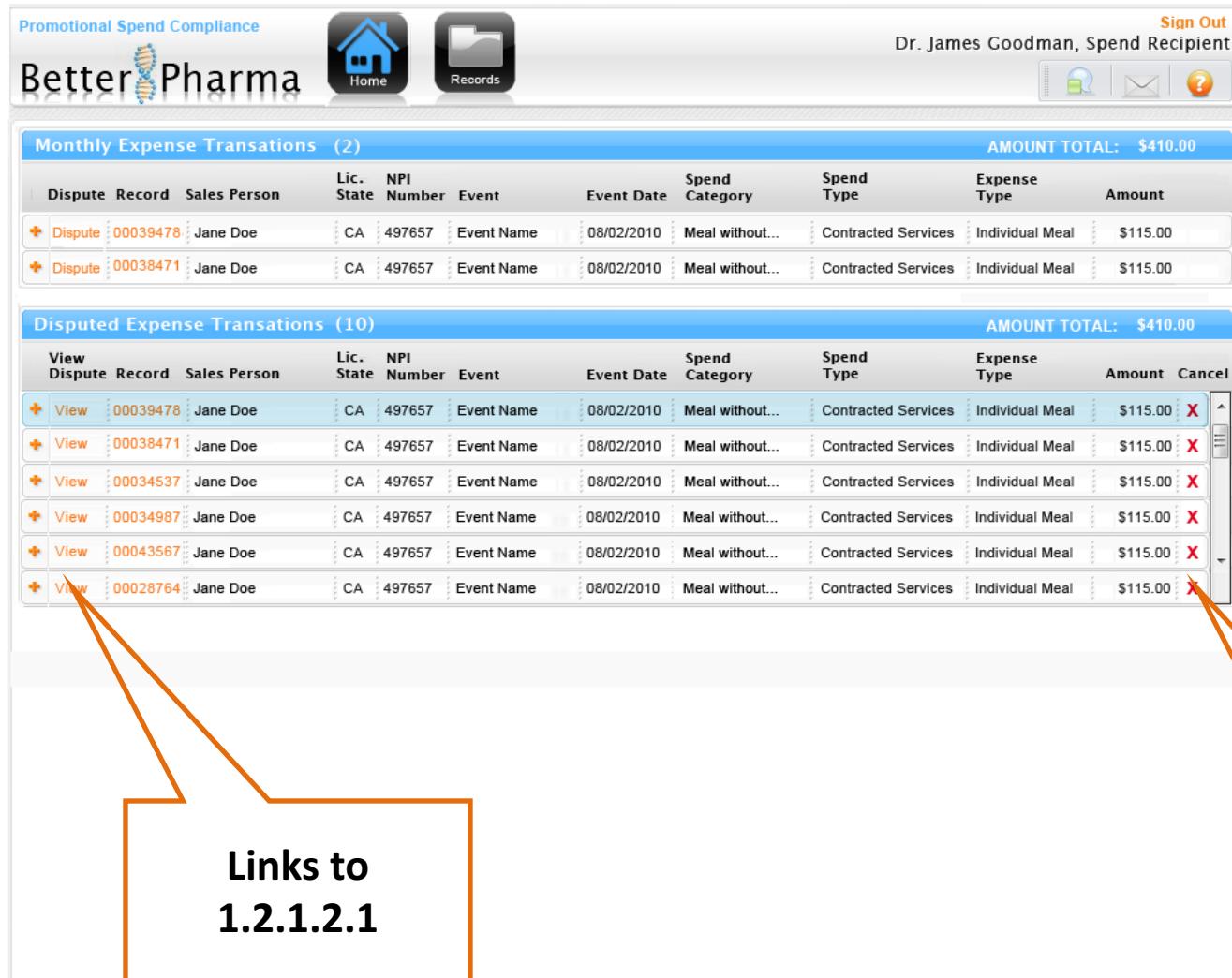
Disputed Expense Transations (9) AMOUNT TOTAL: \$410.00

| 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



Promotional Spend Compliance

**BetterPharma**

Sign Out Dr. James Goodman, Spend Recipient

Home Records

**Monthly Expense Transations (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 Transations (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      |        |

Links to 1.2.1.2.1

Links to 1.2.1.2.2

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.

# View Dispute Details

Promotional Spend Compliance [Sign Out](#)

BetterPharma [Home](#) [Records](#)

Dr. James Goodman, Spend Recipient

Monthly Expense Transations (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 Transations (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      |        |
| - 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

Add Notes regarding your dispute

**Upload Documents**

receipts.pdf 4KB 10/27/2010

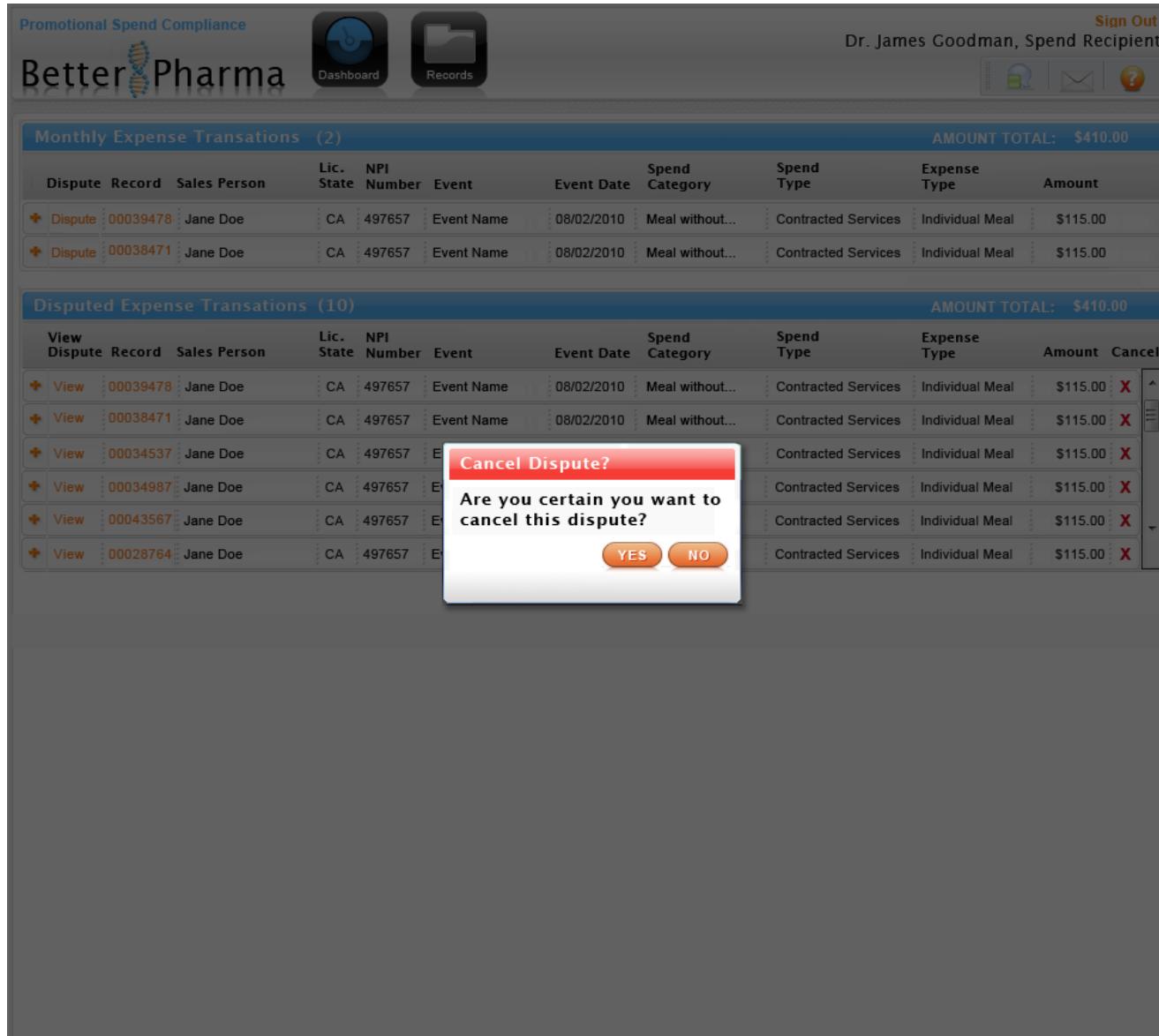
license.doc 6KB 10/27/2010

**Update Dispute**

|        |          |          |    |        |            |            |                 |                     |                 |          |   |
|--------|----------|----------|----|--------|------------|------------|-----------------|---------------------|-----------------|----------|---|
| + 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 can Click to View Dispute Details and add additional notes or documents.

# View Dispute Details



The screenshot shows the BetterPharma software interface with the following details:

**Promotional Spend Compliance**

**BetterPharma**

**Sign Out** Dr. James Goodman, Spend Recipient

**Dashboard** **Records**

**Monthly Expense Transations (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 Transations (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



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

# Compliance Officer - Log In

The Compliance Officer Logs In.



# Compliance Officer Home Page

2

The screenshot shows the Compliance Officer Home Page with several sections and navigation links:

- Promotional Spend Compliance** (Header)
- Better Pharma** (Logo)
- Links to 2 (Home Page)** (Callout pointing to the logo)
- Home** (Icon)
- Records** (Icon)
- Reports** (Icon)
- Rules** (Icon)
- Sign Out** (Top right)
- Katie Moore, Compliance Officer** (Top right)
- Alerts** (Section)
- Date** (Column)
- Description** (Column)
- Record** (Column)
- Brand** (Column)
- Status** (Column)
- Latency Status** (Column)
- Alert Level** (Column)
- Record Disputed (New)** (Alert)
- Incomplete Record** (Alert)
- Non-Compliant Record** (Alert)
- Reports** (Section)
- Monitor & Tracking Reports** (Section)
- Select** (Button)
- System Reports** (Section)
- Select** (Button)
- Disclosure Reports** (Section)
- Select** (Button)
- Entity Spending** (Section)
- Entity Submission Dates** (Section)
- Entity** (Column)
- Submission Date** (Column)
- Submission Status** (Column)
- California** (Entity)
- February 15, 2011** (Submission Date)
- Normal** (Submission Status)
- DC** (Entity)
- April 15, 2011** (Submission Date)
- Normal** (Submission Status)
- Maine** (Entity)
- February 20, 2011** (Submission Date)
- Normal** (Submission Status)
- Massachusetts** (Entity)
- March 8, 2011** (Submission Date)
- Escalated** (Submission Status)
- Minnesota** (Entity)
- August 8, 2011** (Submission Date)
- Normal** (Submission Status)
- West Virginia** (Entity)
- February 15, 2011** (Submission Date)
- Normal** (Submission Status)
- Federal** (Entity)
- March 31, 2013** (Submission Date)
- Normal** (Submission Status)
- Links to Reports 6.0** (Callout pointing to the map)
- Map of the United States** (Shows state compliance status: California is green (Fully Compliant), West Virginia is yellow (Partially Compliant), and DC is red (Non-compliant))
- Legend** (Bottom left):
  - Fully Compliant** (Green square)
  - Partially compliant** (Yellow square)
  - Non-compliant** (Red square)
- Search Expense Records – 3.0.1** (Callout pointing to the search bar)
- Search Rules – 7.0.1** (Callout pointing to the search bar)
- Links to 4.1** (Callout pointing to the bottom left)
- Links to 3.1.1** (Callout pointing to the bottom center)
- Log out – 8.1** (Callout pointing to the bottom right)
- IBM** (Bottom left)

# 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 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     | ●                 |
| Minnesota     | August 8, 2011    | ●                 |
| West Virginia | February 15, 2011 | ●                 |
| Federal       | March 31, 2013    | ●                 |

Legend: Fully Compliant (Green), Partially compliant (Yellow), Non-compliant (Red)

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         | ●           |
| 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   | Multiple (8) |       | Open - Pending Manager Analysis | Normal         | ●           |

**Reports**

Monitor & Tracking Reports System Reports Disclosure Reports

Select Select Select

**Entity Spending**

00039234

District of Columbia

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 (Green), Partially compliant (Yellow), Non-compliant (Red)

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

**! 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)<br>00034567,<br>00546783,<br>00045679 |       | Open - Pending Manager Analysis | Normal         | ●           |

**Reports**

Monitor & Tracking Reports Select

System Reports Select

Disclosure Reports Select

**Entity Spending**

00039234

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 (green), Partially compliant (yellow), Non-compliant (red)

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 |
|---------------------------------------|------------|---------------------------------|----------|-------|---------------------------------|----------------|-------------|
| <a href="#">Record Disputed (New)</a> | 10/10/2010 | Covered Recipient Disputes Data | 00039440 |       | Open - Pending Manager Analysis | Normal         | ●           |
| <a href="#">Incomplete Record</a>     | 09/05/2010 | Record is Missing Data          | 00039432 |       | Open - Pending Manager Analysis | Escalated      | ●           |
| <a href="#">Non-Compliant Record</a>  | 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     | ●                 |
| Minnesota     | August 8, 2011    | ●                 |
| West Virginia | February 15, 2011 | ●                 |
| Federal       | March 31, 2013    | ●                 |

IBM

Legend: Fully Compliant (Green), Partially compliant (Yellow), Non-compliant (White)

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

The screenshot shows the Compliance Officer Home Page for BetterPharma. At the top, there are navigation icons for Home, Records, Reports, and Rules. The top right corner shows the user's name, Katie Moore, Compliance Officer, and a Sign Out link. The main content area is divided into several sections:

- ! ALERTS (3)**: A table showing three alerts. The first alert is "Record Disputed (New)" with details: Date 10/10/2010, Description Covered Recipient Disputes Data..., Record 00039440, Brand (empty), Status Open - Pending Manager Analysis, Latency Status Normal, Alert Level (green dot).
  - Record History**: A list of two items: "The Expense was submitted" (by Jane Doe on 01/15/2011) and "The Expense was disputed" (by Dr. James Goodman on 01/31/2011).
  - Notes and Uploaded Documents**: A section with "Notes" and "Upload Documents". Notes: "Dispute: Event Date, Amount" (by Dr. James Goodman on 10/27/2010) with the note "The event date is incorrect as is the amount." Uploads: "receipts.pdf" (4KB, 10/27/2010) and "license.doc" (6KB, 10/27/2010).
- Investigate**: A section with a dropdown for "Take Investigative Action: Select".
- Reports**: A section with "Monitor & Tracking Reports" (dropdown: Select), "System Reports" (dropdown: Select), and "Disclosure Reports" (dropdown: Select).
- Entity Spending**: A map of the United States where several states are highlighted in green: California, Minnesota, Maine, Massachusetts, and West Virginia. A callout box labeled "Links to 4.1.3" is positioned over the western coast states (California, Oregon, Washington).
- Entity Submission Dates**: A table showing submission dates for various entities. The table has columns: Entity, Submission Date, and Submission Status (green dot). The data is as follows:

| 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

Links to 4.1.3

Links to 4.1.2

# View Contributor Information

Promotional Spend Compliance

**BetterPharma**

Home    Records    Reports    Help    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](mailto:Jane.Doe@BetterPharma.com)

Address: 1114 SE Court Drive  
Chicago, IL 287765

Latency Status: Analysis    Alert Level: Normal

**! ALERTS (3)**

| Alert                 | Date       | Description                        |
|-----------------------|------------|------------------------------------|
| Record Disputed (New) | 10/10/2010 | Covered Recipient Disputes Data... |

**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: Select

**Reports**

Monitor & Tracking Reports    System Reports    Disclosure Reports

Entity Spending

Links to 4.1.2

Entity Submission Dates

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

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

# View Investigation Details

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         | <span style="color: green;">●</span> |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Record History</b>                 |   |   |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| 1                                     | The Expense was submitted                     |   |            |  | Jane Doe                        | 01/15/2011     |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| 2                                     | The Expense was disputed                      |   |            |  | Dr. James Goodman               | 01/31/2011     |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Notes and Uploaded Documents</b>   |   |   |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Notes</b>                          |   |   |            |  | <b>Upload Documents</b>         |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| 1                                     | Dispute: Event Date, Amount                   | Dr. James Goodman   | 10/27/2010 |  | 1 receipts.pdf 4KB              | 10/27/2010     |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
|                                       | The event date is incorrect as is the amount. |   |            |  | 2 license.doc 6KB               | 10/27/2010     |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Investigate</b>                    |   |   |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Take Investigative Action:</b>     | Select  |   |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Investigation History</b>          |   |   |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Email</b>                          |   | Jane, I understand record 000039440 has been disputed by Dr. James Goodwin. I have... |            |  | Jane Doe                        | 01/15/2011     |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Incomplete Record</b>              | 09/05/2010                                    | Record is Missing Data  | 00039432   |  | Open - Pending Manager Analysis | Escalated      | <span style="color: red;">●</span>   |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Non-Compliant Record</b>           | 09/01/2010                                    | Data Entered is Non-Compliant   | 00039234   |  | Open - Pending Manager Analysis | Normal         | <span style="color: green;">●</span> |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Reports</b>                        |   |   |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Monitor &amp; Tracking Reports</b> | Select  |   |            |  | <b>System Reports</b>           | Select         |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| <b>Entity Spending</b>                |   |   |            |  | <b>Disclosure Reports</b>       | Select         |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
|                                       |   |   |            | <table border="1"> <thead> <tr> <th colspan="3">Entity Submission Dates</th> </tr> <tr> <th>Entity</th> <th>Submission Date</th> <th>Submission Status</th> </tr> </thead> <tbody> <tr> <td>California</td> <td>February 15, 2011</td> <td><span style="color: green;">●</span></td> </tr> <tr> <td>DC</td> <td>April 15, 2011</td> <td><span style="color: yellow;">●</span></td> </tr> <tr> <td>Maine</td> <td>February 20, 2011</td> <td><span style="color: green;">●</span></td> </tr> <tr> <td>Massachusetts</td> <td>March 8, 2011</td> <td><span style="color: red;">●</span></td> </tr> <tr> <td>Minnesota</td> <td>August 8, 2011</td> <td><span style="color: yellow;">●</span></td> </tr> <tr> <td>West Virginia</td> <td>February 15, 2011</td> <td><span style="color: green;">●</span></td> </tr> </tbody> </table> |                                 |                |                                      | Entity Submission Dates |  |  | Entity | Submission Date | Submission Status | California | February 15, 2011 | <span style="color: green;">●</span> | DC | April 15, 2011 | <span style="color: yellow;">●</span> | Maine | February 20, 2011 | <span style="color: green;">●</span> | Massachusetts | March 8, 2011 | <span style="color: red;">●</span> | Minnesota | August 8, 2011 | <span style="color: yellow;">●</span> | West Virginia | February 15, 2011 | <span style="color: green;">●</span> |
| Entity Submission Dates               |   |   |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| Entity                                | Submission Date                               | Submission Status   |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| California                            | February 15, 2011                             | <span style="color: green;">●</span>  |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| DC                                    | April 15, 2011                                | <span style="color: yellow;">●</span>   |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| Maine                                 | February 20, 2011                             | <span style="color: green;">●</span>  |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| Massachusetts                         | March 8, 2011                                 | <span style="color: red;">●</span>  |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| Minnesota                             | August 8, 2011                                | <span style="color: yellow;">●</span>   |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |
| West Virginia                         | February 15, 2011                             | <span style="color: green;">●</span>  |            |  |                                 |                |                                      |                         |  |  |        |                 |                   |            |                   |                                      |    |                |                                       |       |                   |                                      |               |               |                                    |           |                |                                       |               |                   |                                      |

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

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             | <span style="color: green;">●</span>   |  |
| <b>Record History</b>                         |  |                                    |                |  |                                 |                    |  |  |
| 1   | The Expense was submitted  |                                    |                | Jane Doe   | 01/15/2011                      |                    |  |  |
| 2   | The Expense was disputed   |                                    |                | Dr. James Goodman  | 01/31/2011                      |                    |  |  |
| <b>Notes and Uploaded Documents</b>           |  |                                    |                |  |                                 |                    |  |  |
| Notes   |  |                                    |                |  |                                 |                    |  |  |
| 1   | Dispute: Event Date, Amount  | Dr. James Goodman                  | 10/27/2010     | Upload Documents   |                                 |                    |  |  |
| The event date is incorrect as is the amount. |  |                                    |                | 1  | receipts.pdf                    | 4KB                | 10/27/2010   |  |
|   |  |                                    |                | 2  | license.doc                     | 6KB                | 10/27/2010   |  |
| <b>Investigate</b>                            |  |                                    |                |  |                                 |                    |  |  |
| <b>Take Investigative Action:</b>             | <input style="width: 150px; height: 25px; border: 1px solid #ccc; border-radius: 5px; padding: 2px 10px;" type="button" value="Select"/>   |                                    |                |  |                                 |                    |  |  |
| <b>Investigation History</b>                  |  |                                    |                |  |                                 |                    |  |  |
| Email   | <p>Jane, I understand record 00039440 has been disputed by Dr. James Goodwin. I have...</p> <p>Jane Doe    01/15/2011</p> <p>Subject: Record 00039440<br/>CC: Dr. James Goodwin<br/>Message:<br/>Jane,<br/><br/>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.<br/><br/>Regards,<br/><br/>Katie Moore</p> |                                    |                |  |                                 |                    |  |  |
| <b>Reports</b>                                |  |                                    |                |  |                                 |                    |  |  |
| Monitor & Tracking Reports                    | <input style="width: 150px; height: 25px; border: 1px solid #ccc; border-radius: 5px; padding: 2px 10px;" type="button" value="Select"/>   |                                    | System Reports | <input style="width: 150px; height: 25px; border: 1px solid #ccc; border-radius: 5px; padding: 2px 10px;" type="button" value="Select"/> |                                 | Disclosure Reports | <input style="width: 150px; height: 25px; border: 1px solid #ccc; border-radius: 5px; padding: 2px 10px;" type="button" value="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

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         | ●           |
| <b>Record History</b>  |                             |                                    |            |                    |                                 |                |             |
| 1  | The Expense was submitted   |                                    |            | Jane Doe           | 01/15/2011                      |                |             |
| 2  | The Expense was disputed    |                                    |            | Dr. James Goodman  | 01/31/2011                      |                |             |
| <b>Notes and Uploaded Documents</b>  |                             |                                    |            |                    |                                 |                |             |
| Notes  |                             |                                    |            | Upload Documents   |                                 |                |             |
| 1  | Dispute: Event Date, Amount | Dr. James Goodman                  | 10/27/2010 | 1                  | receipts.pdf                    | 4KB            | 10/27/2010  |
| The event date is incorrect as is the amount.  |                             |                                    |            | 2                  | license.doc                     | 6KB            | 10/27/2010  |
| <b>Investigate</b>   |                             |                                    |            |                    |                                 |                |             |
| <p><b>Take Investigative Action:</b> Email</p> <p>To: <input type="text" value="Jane.Doe@BetterPharma.com"/></p> <p>Add CC   Add BC</p> <p>Subject: <input type="text"/></p> <p>Attachments: <input type="text"/></p>                                |                             |                                    |            |                    |                                 |                |             |
| <input type="button" value="Cancel"/> <input type="button" value="Send"/>  |                             |                                    |            |                    |                                 |                |             |
| <p><b>Incomplete Record</b> 09/05/2010 Record is Missing Data 00039432 Open - Pending Manager Analysis Escalated ●</p> <p><b>Non-Compliant Record</b> 09/01/2010 Data Entered is Non-Compliant 00039234 Open - Pending Manager Analysis Normal ●</p> |                             |                                    |            |                    |                                 |                |             |
| <b>Reports</b>   |                             |                                    |            |                    |                                 |                |             |
| 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

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         | <span style="color: green;">●</span> |
| <b>Record History</b>   |                             |                                 |            |                   |                                 |                |                                      |
| 1   | The Expense was submitted   |                                 |            | Jane Doe          | 01/15/2011                      |                |                                      |
| 2   | The Expense was disputed    |                                 |            | Dr. James Goodman | 01/31/2011                      |                |                                      |
| <b>Notes and Uploaded Documents</b>   |                             |                                 |            |                   |                                 |                |                                      |
| Notes   |                             |                                 |            | Upload Documents  |                                 |                |                                      |
| 1   | Dispute: Event Date, Amount | Dr. James Goodman               | 10/27/2010 | 1                 | receipts.pdf                    | 4KB            | 10/27/2010                           |
| The event date is incorrect as is the amount.   |                             |                                 |            | 2                 | license.doc                     | 6KB            | 10/27/2010                           |
| <b>Investigate</b>  |                             |                                 |            |                   |                                 |                |                                      |
| <span style="color: orange;">▶</span> Take Investigative Action: <b>Sametime</b> <span style="border: 1px solid #ccc; padding: 2px;">▼</span>   |                             |                                 |            |                   |                                 |                |                                      |
| <span style="color: orange;">●</span> <b>Sametime Contacts</b>  |                             |                                 |            |                   |                                 |                |                                      |
| <span style="color: green;">■</span> Available <span style="color: green;">▼</span> <span style="color: blue;">■</span> Set my geographic location...   |                             |                                 |            |                   |                                 |                |                                      |
|   |                             |                                 |            |                   |                                 |                |                                      |
| <span style="color: green;">🔍</span> Type to find name  |                             |                                 |            |                   |                                 |                |                                      |
| <span style="color: orange;">◀</span> <b>Work (13/19)</b>   |                             |                                 |            |                   |                                 |                |                                      |
| <ul style="list-style-type: none"> <li><span style="color: green;">■</span> <a href="#">apeay@us.ibm.com - Phillip Peay/Durham/IBM</a></li> <li><span style="color: green;">■</span> <a href="#">ashoki@us.ibm.com - Ashok Iyengar/San Diego/IBM</a></li> <li><span style="color: green;">■</span> <a href="#">duponche@us.ibm.com - Bernadette R Duponchel/New York/IBM</a></li> <li><span style="color: green;">■</span> <b>Eric (M.F.) Dunn</b><br/>Erica N. Carmel<br/><a href="#">hicks@us.ibm.com</a> - Loretta Hicks/Raleigh/IBM</li> <li><span style="color: green;">■</span> <b>James M. (Maxx) Andersen</b></li> <li><span style="color: green;">■</span> <a href="#">janinesneed@us.ibm.com - Janine M Sneed/Somers/IBM</a></li> </ul> |                             |                                 |            |                   |                                 |                |                                      |
| <span style="color: orange;">+ Incomplete Record</span> 09/05/2010 Record is Missing Data 00039432 Open - Pending Manager Analysis Escalated <span style="color: red;">●</span>   |                             |                                 |            |                   |                                 |                |                                      |
| <span style="color: orange;">+ Non-Compliant Record</span> 09/01/2010 Data Entered is Non-Compliant 00039234 Open - Pending Manager Analysis Normal <span style="color: green;">●</span>  |                             |                                 |            |                   |                                 |                |                                      |
| <b>Reports</b>  |                             |                                 |            |                   |                                 |                |                                      |

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         | <span>Green</span> |
| 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 |       | receipts.pdf                    | 4KB            | 10/27/2010         |
|                              | The event date is incorrect as is the amount. |                                    |            |       | 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      | <span>Red</span>   |
| Non-Compliant Record         | 09/01/2010                                    | Data Entered is Non-Compliant      | 00039234   |       | Open - Pending Manager Analysis | Normal         | <span>Green</span> |
| Entity                       | Submission Date                               | Submission Status                  |            |       |                                 |                |                    |
| California                   | February 15, 2011                             | <span>Green</span>                 |            |       |                                 |                |                    |
| DC                           | April 15, 2011                                | <span>Yellow</span>                |            |       |                                 |                |                    |
| Maine                        | February 20, 2011                             | <span>Green</span>                 |            |       |                                 |                |                    |
| Massachusetts                | March 8, 2011                                 | <span>Red</span>                   |            |       |                                 |                |                    |
| Minnesota                    | August 8, 2011                                | <span>Yellow</span>                |            |       |                                 |                |                    |
| West Virginia                | February 15, 2011                             | <span>Yellow</span>                |            |       |                                 |                |                    |
| Federal                      | March 31, 2013                                | <span>Green</span>                 |            |       |                                 |                |                    |

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         | Green       |

**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: Phone & Add Notes

|                        |            |                               |
|------------------------|------------|-------------------------------|
| + Incomplete Record    | 09/05/2010 | Record is Missing Data        |
| + Non-Compliant Record | 09/01/2010 | Data Entered is Non-Compliant |

**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 | Green             |
| DC            | April 15, 2011    | Yellow            |
| Maine         | February 20, 2011 | Green             |
| Massachusetts | March 8, 2011     | Red               |
| Minnesota     | August 8, 2011    | Yellow            |
| West Virginia | February 15, 2011 | Yellow            |
| Federal       | March 31, 2013    | Green             |

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         | Green       |

**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: Phone & Add Notes

|                        |            |                               |                  |                                 |           |       |
|------------------------|------------|-------------------------------|------------------|---------------------------------|-----------|-------|
| + Incomplete Record    | 09/05/2010 | Record is Missing Data        | Jane Doe         | Open - Pending Manager Analysis | Escalated | Red   |
| + Non-Compliant Record | 09/01/2010 | Data Entered is Non-Compliant | Jackie M. Warner | Open - Pending Manager Analysis | Normal    | Green |
|                        |            |                               | James Connor     | Open - Pending Manager Analysis | Normal    | Green |
|                        |            |                               | Jane Wilson      |                                 |           |       |

**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 | Green             |
| DC            | April 15, 2011    | Yellow            |
| Maine         | February 20, 2011 | Green             |
| Massachusetts | March 8, 2011     | Red               |
| Minnesota     | August 8, 2011    | Yellow            |
| West Virginia | February 15, 2011 | Yellow            |
| Federal       | March 31, 2013    | Green             |

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         | Green       |

**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: 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 | Red   |
| + | Non-Compliant Record | 09/01/2010 | Data Entered is Non-Compliant | 00039234 | Open - Pending Manager Analysis | Normal    | Green |

**Reports**

Monitor & Tracking Reports

System Reports

Disclosure Reports

Reports

Monitor & Tracking Reports

System Reports

Disclosure Reports

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

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         | ●           |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| <b>Record History</b> <table border="1"> <tr> <td>1</td> <td>The Expense was submitted</td> <td>Jane Doe</td> <td>01/15/2011</td> </tr> <tr> <td>2</td> <td>The Expense was disputed</td> <td>Dr. James Goodman</td> <td>01/31/2011</td> </tr> </table>  |                             |                                 |                               |          |                                 |                |             | 1                                | The Expense was submitted | Jane Doe   | 01/15/2011             | 2   | The Expense was disputed        | Dr. James Goodman           | 01/31/2011        |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| 1  | The Expense was submitted   | Jane Doe                        | 01/15/2011                    |          |                                 |                |             |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| 2  | The Expense was disputed    | Dr. James Goodman               | 01/31/2011                    |          |                                 |                |             |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| <b>Notes and Uploaded Documents</b> <table border="1"> <tr> <td colspan="2">Notes</td> <td colspan="3">Upload Documents</td> </tr> <tr> <td>1</td> <td>Dispute: Event Date, Amount</td> <td>Dr. James Goodman</td> <td>10/27/2010</td> <td>1</td> <td>receipts.pdf</td> <td>4KB</td> <td>10/27/2010</td> </tr> <tr> <td colspan="4">The event date is incorrect as is the amount.</td> <td>2</td> <td>license.doc</td> <td>6KB</td> <td>10/27/2010</td> </tr> </table> |                             |                                 |                               |          |                                 |                |             | Notes                            |                           | Upload Documents   |                        |   | 1                               | Dispute: Event Date, Amount | Dr. James Goodman | 10/27/2010 | 1                    | receipts.pdf | 4KB                           | 10/27/2010 | The event date is incorrect as is the amount. |        |   |  | 2 | license.doc | 6KB | 10/27/2010 |
| Notes  |                             | Upload Documents                |                               |          |                                 |                |             |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| 1  | Dispute: Event Date, Amount | Dr. James Goodman               | 10/27/2010                    | 1        | receipts.pdf                    | 4KB            | 10/27/2010  |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| The event date is incorrect as is the amount.  |                             |                                 |                               | 2        | license.doc                     | 6KB            | 10/27/2010  |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| <b>Investigate</b> <table border="1"> <tr> <td colspan="2">Take Investigative Action: Notes</td> </tr> <tr> <td colspan="2"> <p>Notes</p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div> </td> </tr> <tr> <td colspan="2" style="text-align: right;"> <input type="button" value="Cancel"/> <input type="button" value="Send"/> </td> </tr> </table>  |                             |                                 |                               |          |                                 |                |             | Take Investigative Action: Notes |                           | <p>Notes</p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div> |                        | <input type="button" value="Cancel"/> <input type="button" value="Send"/> |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| Take Investigative Action: Notes   |                             |                                 |                               |          |                                 |                |             |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| <p>Notes</p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div>   |                             |                                 |                               |          |                                 |                |             |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| <input type="button" value="Cancel"/> <input type="button" value="Send"/>  |                             |                                 |                               |          |                                 |                |             |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| <table border="1"> <tr> <td>+</td> <td>Incomplete Record</td> <td>09/05/2010</td> <td>Record is Missing Data</td> <td>00039432</td> <td>Open - Pending Manager Analysis</td> <td>Escalated</td> <td>●</td> </tr> <tr> <td>+</td> <td>Non-Compliant Record</td> <td>09/01/2010</td> <td>Data Entered is Non-Compliant</td> <td>00039234</td> <td>Open - Pending Manager Analysis</td> <td>Normal</td> <td>●</td> </tr> </table>   |                             |                                 |                               |          |                                 |                |             | +                                | 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 | ● |  |   |             |     |            |
| +  | 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         | ●           |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| <b>Reports</b> <table border="1"> <tr> <td>Monitor &amp; Tracking Reports</td> <td>System Reports</td> <td>Disclosure Reports</td> </tr> <tr> <td>Select</td> <td>Select</td> <td>Select</td> </tr> </table>   |                             |                                 |                               |          |                                 |                |             | Monitor & Tracking Reports       | System Reports            | Disclosure Reports   | Select                 | Select  | Select                          |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| Monitor & Tracking Reports   | System Reports              | Disclosure Reports              |                               |          |                                 |                |             |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| Select   | Select                      | Select                          |                               |          |                                 |                |             |                                  |                           |  |                        |   |                                 |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| <b>Reports</b> <table border="1"> <tr> <td>Monitor &amp; Tracking Reports</td> <td>System Reports</td> <td>Disclosure Reports</td> </tr> <tr> <td>Select</td> <td>Select</td> <td>Select</td> </tr> </table>   |                             |                                 |                               |          |                                 |                |             | Monitor & Tracking Reports       | System Reports            | Disclosure Reports   | Select                 | Select  | Select                          |                             |                   |            |                      |              |                               |            |   |        |   |  |   |             |     |            |
| 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

Promotional Spend Compliance

**BetterPharma**

Sign Out

Katie Moore, Compliance Officer

Home    Records    Reports    Rules

**! 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    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 | ●                 |
| Federal       | March 31, 2013    | ●                 |

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    | ●                 |

Fully Compliant    Partially compliant    Non-compliant

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

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 |

**Event Information**

1 GENERAL EXPENSE DETAILS    2 VENDOR INFORMATION    3 EVENT INFORMATION    4 RECIPIENT INFORMATION    5 EXPENSES    6 ADVERTISING DETAILS    7 UPLOAD DOCUMENTS    8 ADD NOTES REGARDING EXPENSE

Event Location: XXX-XXX-XXXX

Brand(s): Select

Event Date: ! Disputed

Venue Type: Select

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: Select

Venue Zip:

**Required Fields**

**NEXT**

**Map of the United States** showing disputed locations: California, DC, Maine, Massachusetts, Minnesota, and West Virginia.

| Location      | Date              | 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 disputed record/s appears and the disputed data is tagged.

# Modifies Disputed Data

Promotional Spend Compliance

BetterPharma

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 |

**Event Information**

Event Location: XXX-XXX-XXXX

Brand(s): Select

Event Date: 11/05/2010

Venue Type: Select

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: Select

Venue Zip:

**GENERAL EXPENSE DETAILS**

**VENDOR INFORMATION**

**EVENT INFORMATION**

**RECIPIENT INFORMATION**

**EXPENSES**

**ADVERTISING DETAILS**

**UPLOAD DOCUMENTS**

**ADD NOTES REGARDING EXPENSE**

**Required Fields**

**NEXT**

**SAVE**

**SAVE & CLOSE**

Map of the United States showing state outlines. States highlighted in green: California, Colorado, Massachusetts, Connecticut, Rhode Island, New Jersey, New York, New Hampshire, Vermont, Maine, Massachusetts, Connecticut, Rhode Island, New Jersey, New York, New Hampshire, Vermont, and West Virginia. States highlighted in yellow: West Virginia and the District of Columbia.

| State         | Date              |
|---------------|-------------------|
| 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<sup>4.1.3</sup>

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** Expenses **6** **7** **8**

**GENERAL EXPENSE DETAILS** **VENDOR INFORMATION** **EVENT INFORMATION** **RECIPIENT INFORMATION** **EXPENSES**

**ADVERTISING DETAILS** **UPLOAD DOCUMENTS** **ADD NOTES REGARDING EXPENSE**

**Expenses**

Total Employee Cost

Honoraria

Air Fare

Hotel

Transportation

Food & Beverage Expenses  ! Disputed

Audio Visual Expenses

Meeting Room Rental Expenses

Vendor Management Fees

Total Grants

Other Expenses

Other Expense Description

Other Expense Total

**NEXT**

**SAVE** **SAVE & CLOSE**

| Location      | Date              | Status |
|---------------|-------------------|--------|
| 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 [Sign Out](#)

BetterPharma     

Katie Moore, Compliance Office    

**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** **6** **7** **8**

### 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          |       |

**GENERAL EXPENSE DETAILS** **VENDOR INFORMATION** **EVENT INFORMATION** **RECIPIENT INFORMATION** **EXPENSES**

**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

Promotional Spend Compliance

BetterPharma

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 Expenses 6 7 8

GENERAL EXPENSE DETAILS

VENDOR INFORMATION

EVENT INFORMATION

RECIPIENT INFORMATION

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

NEXT

ADVERTISING DETAILS

SAVE

SAVE & CLOSE

UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE

Links to 3.1.1.1

Links to 3.1.1.2

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.

# Saved & Closed Record - Alert

3.1.1.2

Promotional Spend Compliance

**BetterPharma**

Sign Out

Katie Moore, Compliance Officer

Dashboard Records Reports Rules

**! 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**



**Saved & Closed**

The record has been saved, closed and removed from your alerts console.

YES NO

**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    | ●                 |

Full Compliant Partially compliant Non-compliant

IBM

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

# Saved Record - Alert

Promotional Spend Compliance

**BetterPharma**

Sign Out

Katie Moore, Compliance Officer

Dashboard Records Reports Rules

**! 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**



**Saved NOT Closed!**

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

YES NO

**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    | ●                 |
| Mississippi   | February 15, 2011 | ●                 |
| West          | March 31, 2013    | ●                 |
| Federal       |                   |                   |

Legend: Fully Compliant (dark green), Partially compliant (yellow-green), Non-compliant (grey)

IBM

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

# Save and Close Record

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                          |
|--------------------------------------|------------|-------------------------------|----------|-------|---------------------------------|----------------|--------------------------------------|
| <a href="#">Incomplete Record</a>    | 09/05/2010 | Record is Missing Data        | 00039232 |       | Open - Pending Manager Analysis | Escalated      | <span style="color: red;">●</span>   |
| <a href="#">Non-Compliant Record</a> | 09/01/2010 | Data Entered is Non-Compliant | 00039234 |       | Open - Pending Manager Analysis | Normal         | <span style="color: green;">●</span> |

**Reports**

Monitor & Tracking Reports System Reports Disclosure Reports

Entity Spending

Entity Submission Dates

| Entity        | Submission Date   | Submission Status                     |
|---------------|-------------------|---------------------------------------|
| California    | February 15, 2011 | <span style="color: green;">●</span>  |
| DC            | April 15, 2011    | <span style="color: yellow;">●</span> |
| Maine         | February 20, 2011 | <span style="color: green;">●</span>  |
| Massachusetts | March 8, 2011     | <span style="color: red;">●</span>    |
| Minnesota     | August 8, 2011    | <span style="color: yellow;">●</span> |
| West Virginia | February 15, 2011 | <span style="color: yellow;">●</span> |
| Federal       | March 31, 2013    | <span style="color: green;">●</span>  |

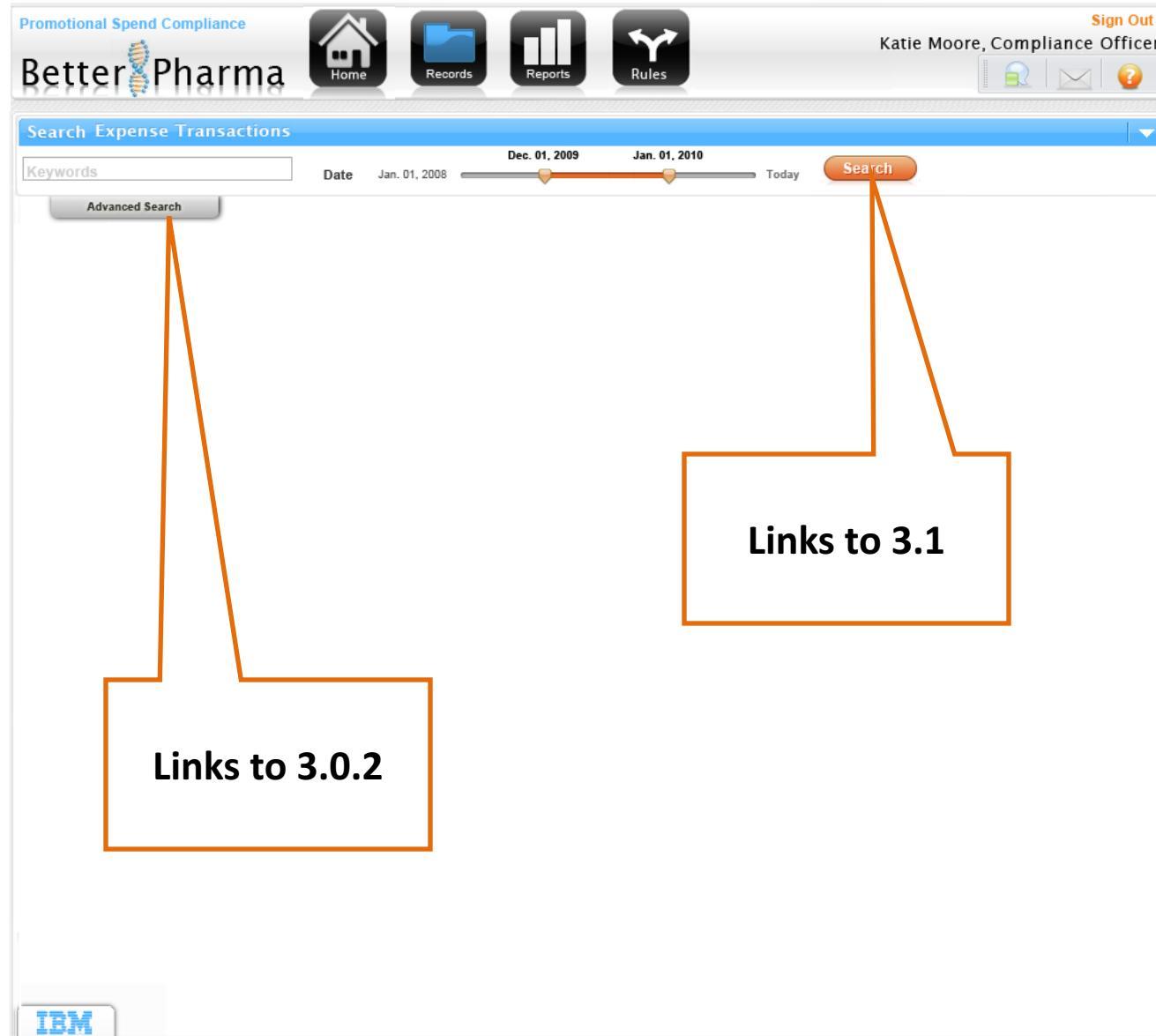
Legend: Fully Compliant (Green), Partially compliant (Yellow), Non-compliant (Red)

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



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

Search Expense Transactions

Keywords

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

Advanced Search

HCP Name CID Spend Type Codes

Business Units Spend Types Event Types

Amount

\$125 \$600 \$0 \$2,000

Search

Links to 3.1

Close Advanced Search

IBM

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

# Search Records - View Results

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   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039432   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039234   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039440   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039432   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039234   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039440   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039432   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039234   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |

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

# View Record Details

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 **4** **5** **6** **7** **8**

**GENERAL EXPENSE DETAILS** **VENDOR INFORMATION** **EVENT INFORMATION**

**RECIPIENT INFORMATION** **EXPENSES** **ADVERTISING DETAILS** **UPLOAD DOCUMENTS** **ADD NOTES REGARDING EXPENSE**

**Event Location** \* XXX-XXX-XXXX

**Brand(s)** \* Select

**Event Date** \* ! Disputed

**Venue Type** \* Select

**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** \* Select

**Venue Zip** \*

**Required Fields**

**NEXT**



|               |                   |   |
|---------------|-------------------|---|
| 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

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

\$0 to \$2,000). A 'Search' button is highlighted with an orange arrow. A callout box labeled 'Links to 4.1' points to the search button."/>

Promotional Spend Compliance

BetterPharma

Dashboard Records Reports Rules

Sign Out Katie Moore, Compliance Officer

Search Cases

Keywords Case ID, Record ID, Keywords

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

HCP Name CID Spend Type Codes

Business Units Event Types Event Types Employee ID

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

Search

Close Advanced Search

Links to 4.1

IBM

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

# Search Cases - Results

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   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039432 | 00039432   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039234 | 00039234   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039440 | 00039440   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039432 | 00039432   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039234 | 00039234   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039440 | 00039440   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039432 | 00039432   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039234 | 00039234   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |

IBM

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

# Search Cases – View 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 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   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039432 | 00039432   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039234 | 00039234   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039440 | 00039440   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |

**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

**Investigation**

Take Investigative Action: Phone & Add Notes

**Investigation History**

Email Jane, I understand record 00039440 has been disputed by Dr. James Goodwin. I have... Jane Doe 01/15/2011

|          |          |              |              |    |              |            |           |              |              |              |
|----------|----------|--------------|--------------|----|--------------|------------|-----------|--------------|--------------|--------------|
| 00039432 | 00039432 | XXXXXXXXXXXX | XXXXXXXXXXXX | XX | XXXXXXXXXXXX | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX | XXXXXXXXXXXX | XXXXXXXXXXXX |
| 00039234 | 00039234 | XXXXXXXXXXXX | XXXXXXXXXXXX | XX | XXXXXXXXXXXX | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX | XXXXXXXXXXXX | XXXXXXXXXXXX |
| 00039440 | 00039440 | XXXXXXXXXXXX | XXXXXXXXXXXX | XX | XXXXXXXXXXXX | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX | XXXXXXXXXXXX | XXXXXXXXXXXX |
| 00039432 | 00039432 | XXXXXXXXXXXX | XXXXXXXXXXXX | XX | XXXXXXXXXXXX | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX | XXXXXXXXXXXX | XXXXXXXXXXXX |
| 00039234 | 00039234 | XXXXXXXXXXXX | XXXXXXXXXXXX | XX | XXXXXXXXXXXX | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX | XXXXXXXXXXXX | XXXXXXXXXXXX |

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

Links to 3.1.1

# View Record Details

Promotional Spend Compliance

Potter Pharma

Reports

Step 1 – Select Criteria or Filter Record and Generate Report

Step 2 – View Generated Report

Expense Transaction

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

1 2 3 4 5 Expenses 6 7 8

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

NEXT

SAVE SAVE & CLOSE

ADVERTISING DETAILS

UPLOAD DOCUMENTS

ADD NOTES REGARDING EXPENSE

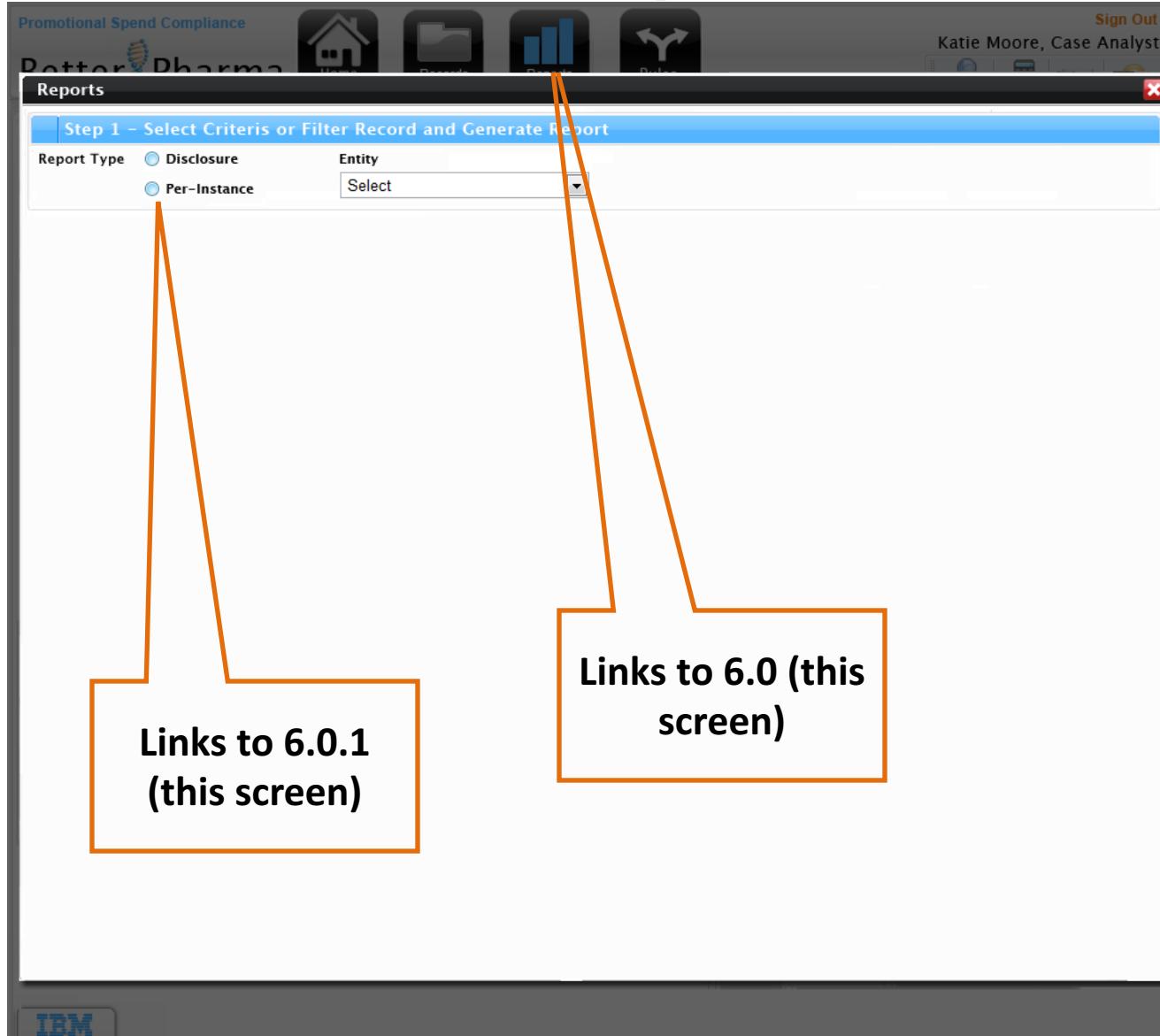
IBM

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

Links to 3.1.1.1

Links to 3.1.1.2

# Generate Report



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

Patter Pharma

Sign Out

Katie Moore, Case Analyst

Reports

Step 1 – Select Criteris or Filter Record and Generate Report

Report Type  Disclosure  Per-Instance

Entity Select

Date

Dec. 01, 2009 Jan. 01, 2010

Jan. 01, 2008 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

Potter Pharma

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

\$0  \$500  Jan. 01, 2008  Jan. 01, 2010

Expense ID  Source System Code

Select Date to Display In the Report

**Links to 6.1.1**

**VIEW GENERATED REPORT**

IBM

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

# PDF of Per-Instance Report

6.1.1.1

Promotional Spend Compliance

Potter Pharma

Reports

Sign Out

Katie Moore, Case Analyst

**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

Potter Pharma

Reports

Sign Out

Katie Moore, Case Analyst

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 | Licenses Exp. | Total Spend |
|---------------|----------------|--------|-------------|----------------|-----------------|--------------|---------------|--------|-----------|---------------|--------------|---------------|-------------|
| Sanders       | Thomas         | T      | MD          | Y              |                 | Los Angeles  | CA            |        | CA        | CA            |              | \$241         |             |
| Hamilton      | John           | W      | MD          | Y              |                 | Los Angeles  | CA            |        | CA        | CA            |              | \$241         |             |
| Sanders       | Thomas         | T      | MD          | Y              |                 | Los Angeles  | CA            |        | CA        | CA            |              | \$241         |             |
| Sanders       | Thomas         | T      | MD          | Y              |                 | Los Angeles  | CA            |        | CA        | CA            |              | \$241         |             |
| Sanders       | Thomas         | T      | MD          | Y              |                 | Los Angeles  | CA            |        | CA        | CA            |              | \$241         |             |
| Sanders       | Thomas         | T      | MD          | Y              |                 | Los Angeles  | CA            |        | CA        | CA            |              | \$241         |             |

Links to 6.1.1.1.2

Links to 6.1.1.1.1

Links to 6.1.1.1.3

Wide Angel View of Full Report

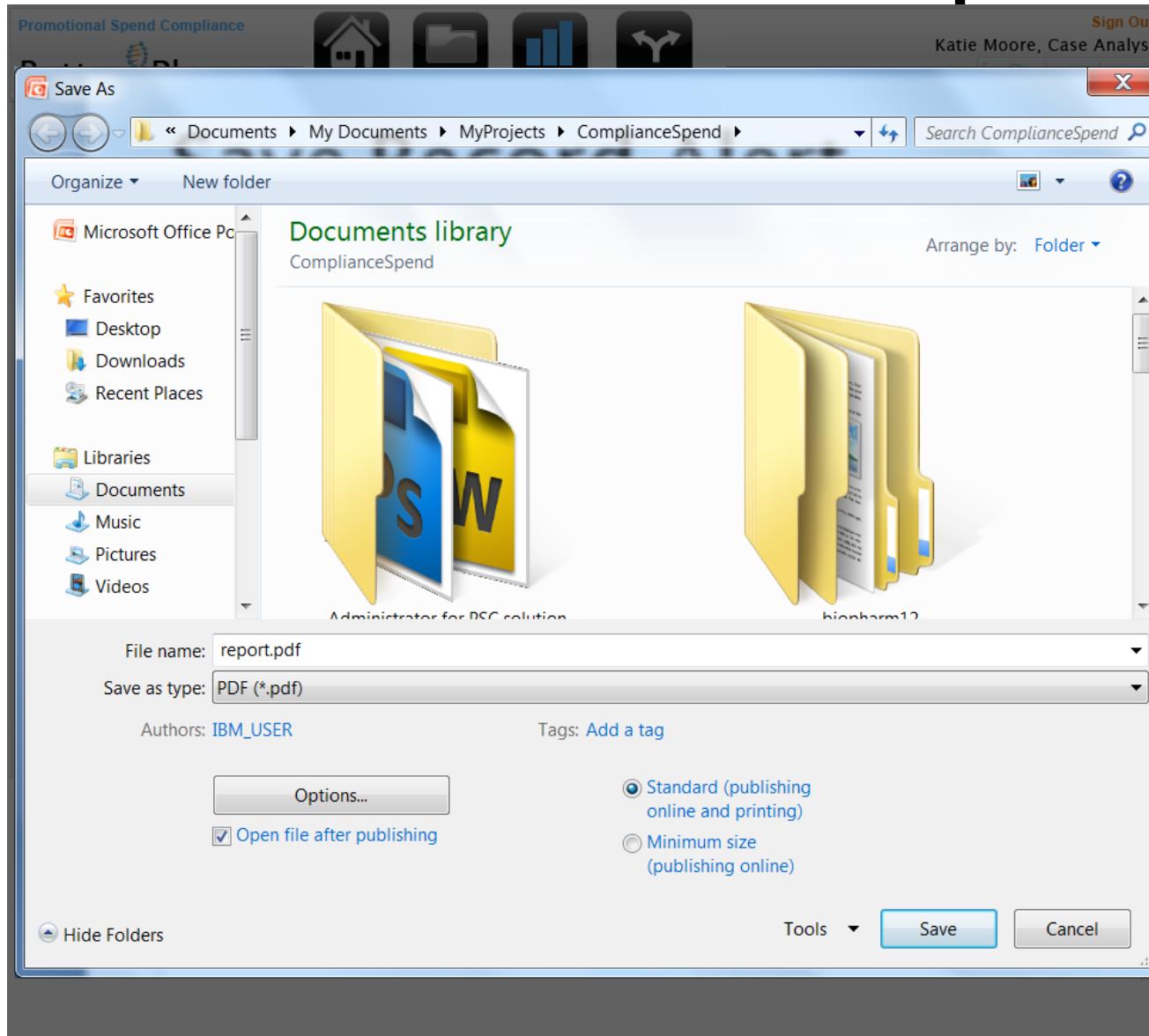
Current View

Filename: Date executed: Page 1 Aggregate Spend Genentech Confidential

IBM

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

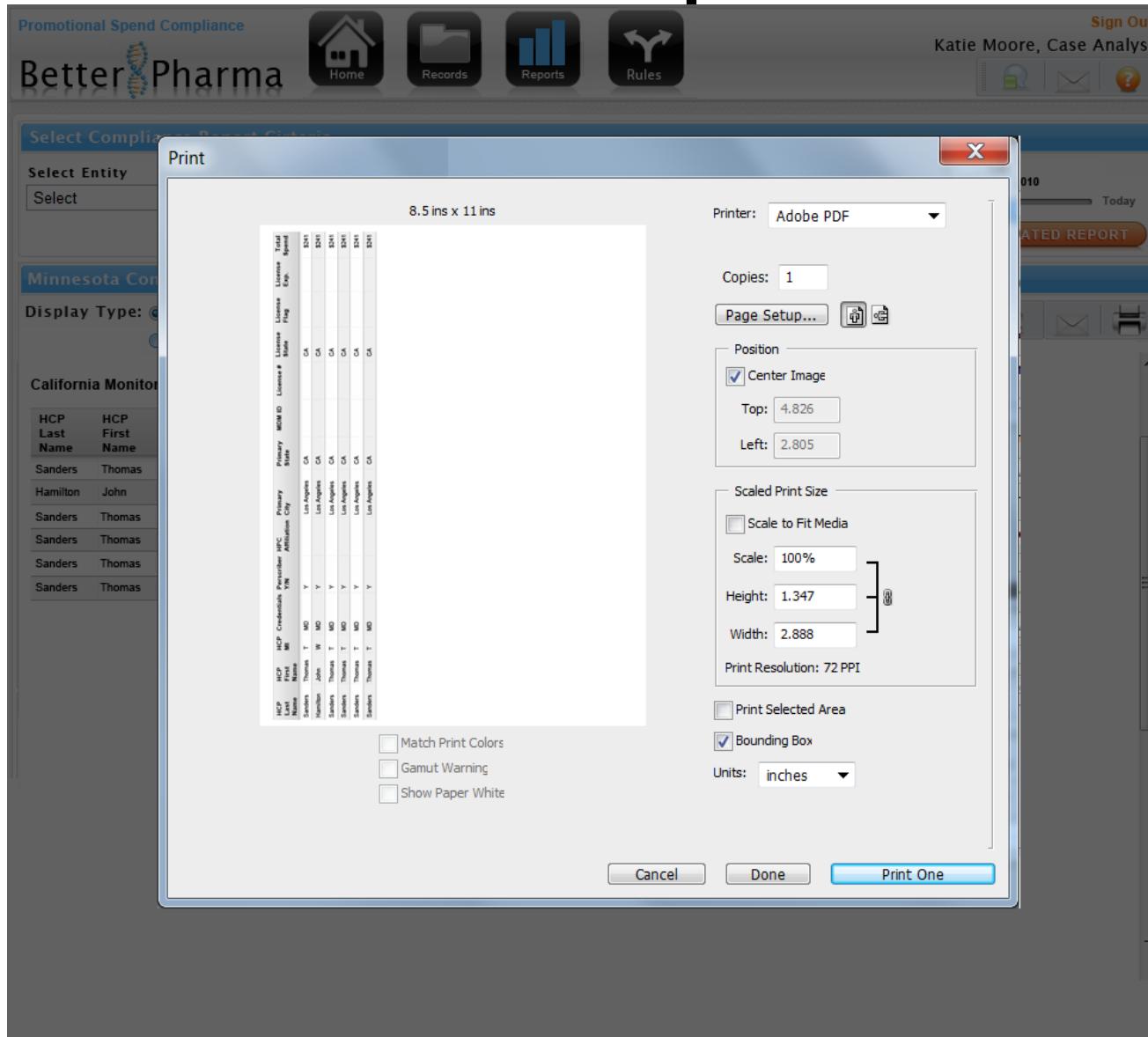
# Download PDF Report



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

The screenshot shows the BetterPharma Promotional Spend Compliance software interface. At the top, there is a navigation bar with icons for Home, Records, Reports, and Rules. The user is signed in as Katie Moore, Case Analyst. A 'Sign Out' link is also present. Below the navigation bar, a section titled 'Select Compliance Report Criteria' includes a 'Select Entity' dropdown set to 'Select', a 'Date Range for Report' range from 'Jan. 01, 2008' to 'Dec. 01, 2009' with a 'Today' button, and a 'VIEW GENERATED REPORT' button. The main content area is titled 'Minnesota Compliance Report' and shows a 'Display Type' dropdown set to 'PDF Print Preview'. A modal dialog box titled 'Email Report' is open in the foreground. It contains fields for 'To' (Jane.Doe@BetterPharma.com), 'Subject' (State Report), and 'Attachments' (stateReport.pdf). The dialog has 'Cancel' and 'Send' buttons at the bottom. The background of the application shows a sidebar with names like California, HCP Last Name, Sanders, Hamilton, Sanders, Sanders, Sanders, and Sanders.

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

# View Interactive Report

Promotional Spend Compliance

Potter Pharma

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)

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

Links to 6.1.1.2.1

IBM

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

# View Record Details

Promotional Spend Compliance

Potter Pharma

Reports

Sign Out

Katie Moore, Case Analyst

Step 1 – Select Criteria or Filter Record and Generate Report

Step 2 – View Generated Report

Expense Transaction

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

1 2 3 4 5 Expenses 6 7 8

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

NEXT

ADVERTISING DETAILS UPLOAD DOCUMENTS ADD NOTES REGARDING EXPENSE

SAVE SAVE & CLOSE

IBM

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

# Search Rules

7.0.1

Promotional Spend Compliance

BetterPharma

Home Records Reports Rules

Sign Out

Katie Moore, Case Analyst

Search Rules

Keywords

Rule Name, Number or Description

Search

Advanced Search

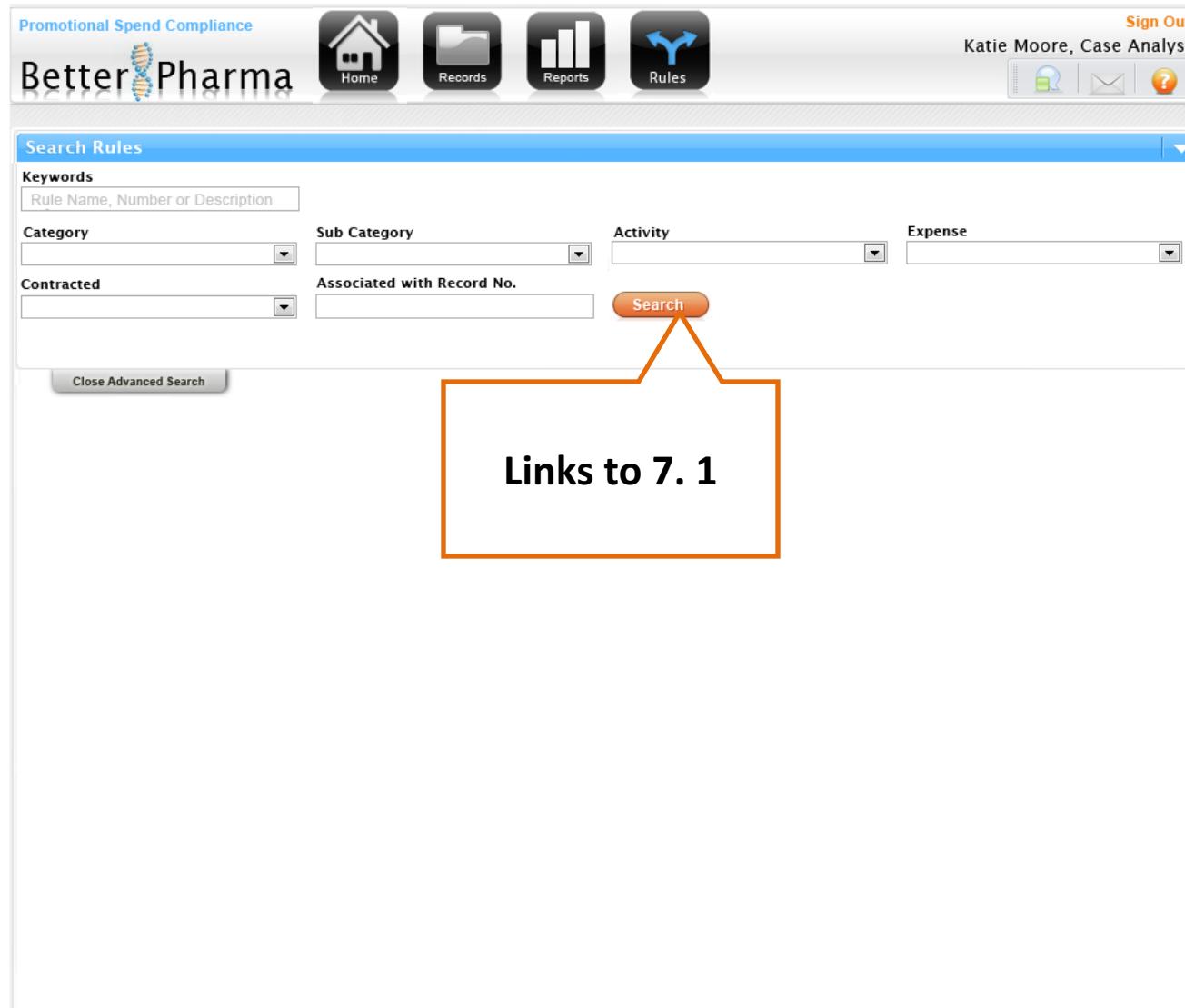
Links to 7.0.1 (this screen)

IBM

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



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

Advanced Search button brings out variety of filters to search on

# Search Rules – View Results

Promotional Spend Compliance

**BetterPharma**

Sign Out

Katie Moore, Case Analyst

Home Records Reports Rules

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   | 13             |
| 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             |
| 00039432 | XXXXXXXXXX | XXXXXXXXXX  | XXXXXXXXXX | XXXXXXXXXX   | XXXXXXXX | XXXXXXXX | XXXXXXXX   | 25             |
| 00039234 | XXXXXXXXXX | XXXXXXXXXX  | XXXXXXXXXX | XXXXXXXXXX   | XXXXXXXX | XXXXXXXX | XXXXXXXX   | 7              |

Links to 7.1.1

Links to 7.1.2

IBM

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

# Search Rules – View Results

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 | 1              |

**definitions**

set the **customer** to the individual customer **where** **[where]** **X**

set the **citizenship** to the citizenship of the customer **where** **[where]** **X**

set the **risk tolerance** to the type of risk tolerance of the customer **where** **[where]** **X**

set the **age** to the age of the customer **[±]** **where** **[where]** **X**

set the **employment status** to the employment status of the customer **where** **[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 | 25 |
| 00039234 | XXXXXXXXXX | 1  |
| 00039440 | XXXXXXXXXX | 25 |
| 00039432 | XXXXXXXXXX | 1  |
| 00039234 | XXXXXXXXXX | 25 |
| 00039440 | XXXXXXXXXX | 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   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039432   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039234   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039440   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |
| 00039432   | XXXXXXXXXXXX | XXXXXXXXXXXX | XX    | XXXXXXXXXXXX    | 00/00/0000 | \$0000.00 | XXXXXXXXXXXX   | XXXXXXXXXXXX   | XXXXXXXXXXXX |

1 2 3 4 5 Expenses 6 7 8

GENERAL EXPENSE DETAILS VENDOR INFORMATION EVENT INFORMATION RECIPIENT INFORMATION EXPENSES ADVERTISING DETAILS UPLOAD DOCUMENTS ADD NOTES REGARDING EXPENSE

**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          |       |

NEXT

SAVE SAVE & CLOSE

IBM

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

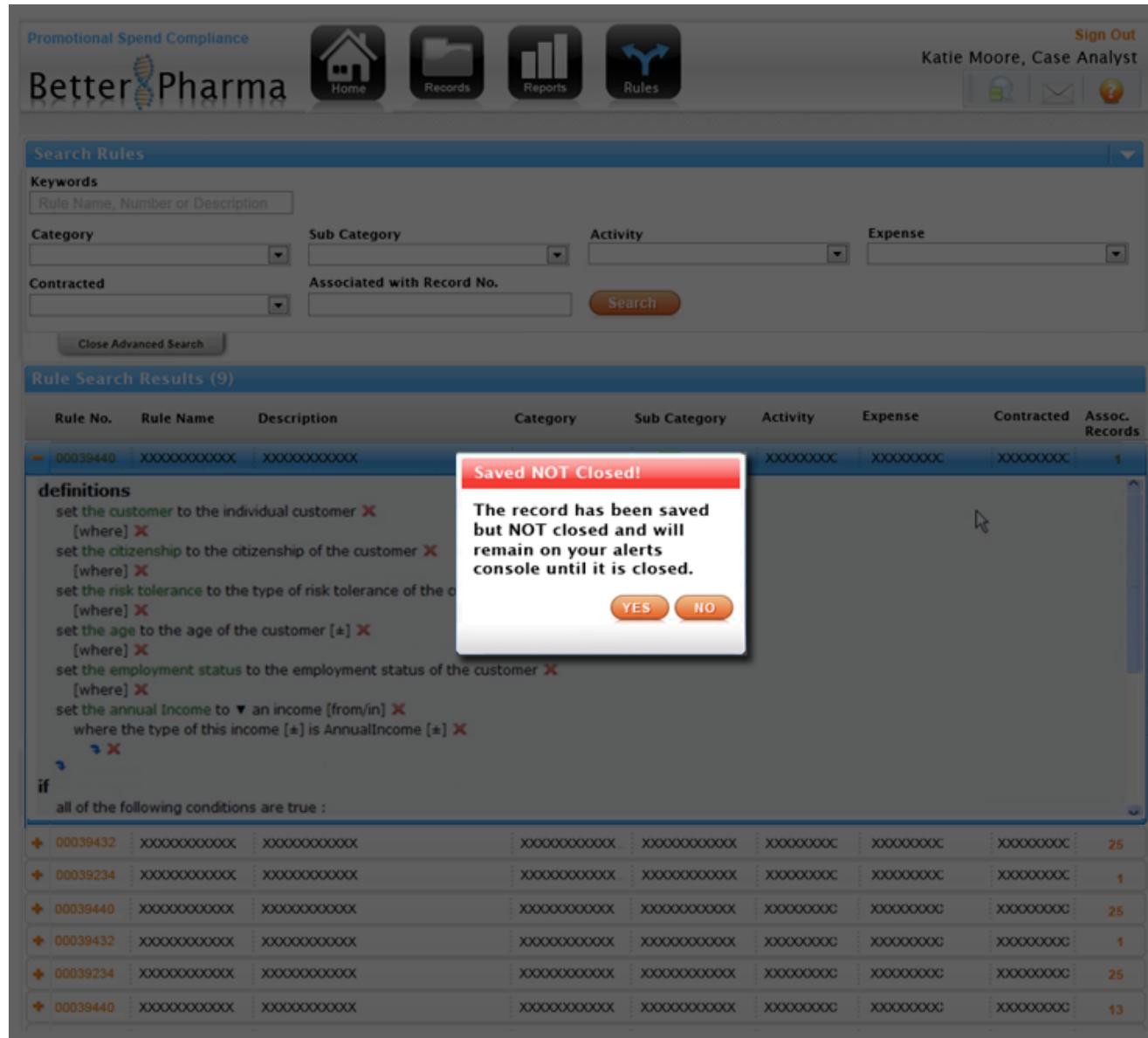
# Saved & Closed Record - Alert

3.1.1.2

The screenshot shows the Better Pharma Promotional Spend Compliance software interface. At the top, there is a navigation bar with icons for Home, Records, Reports, and Rules, and a sign-out link for Katie Moore, Case Analyst. Below the navigation bar is a search interface titled 'Search Rules' with fields for 'Keywords', 'Category', 'Sub Category', 'Activity', 'Expense', 'Contracted', and 'Associated with Record No.'. A 'Search' button and a 'Close Advanced Search' button are also present. The main area displays 'Rule Search Results (9)' in a table format with columns: Rule No., Rule Name, Description, Category, Sub Category, Activity, Expense, Contracted, and Assoc. Records. One row in the table is highlighted with a red border. A modal dialog box is overlaid on the table, containing a red header 'Saved & Closed' and a message: 'The record has been saved, closed and removed from your alerts console.' with 'YES' and 'NO' buttons. The background table shows several other rows of rule data, including rule numbers 00039440, 00039432, 00039234, 00039440, 00039432, 00039234, and 00039440, with various descriptions and associated values.

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

# Saved Record - Alert



The screenshot shows the BetterPharma Promotional Spend Compliance software interface. At the top, there is a navigation bar with icons for Home, Records, Reports, and Rules. The user is signed in as Katie Moore, Case Analyst. On the left, there is a search interface for 'Search Rules' with fields for Keywords, Category, Sub Category, Activity, Expense, Contracted, and Associated with Record No. A 'Search' button and a 'Close Advanced Search' button are also present. The main area displays 'Rule Search Results (9)' with a table having columns: Rule No., Rule Name, Description, Category, Sub Category, Activity, Expense, Contracted, and Assoc. Records. The first row in the table is highlighted with a red border. A modal dialog box is overlaid on the screen, titled 'Saved NOT Closed!' with the message: 'The record has been saved but NOT closed and will remain on your alerts console until it is closed.' It contains 'YES' and 'NO' buttons. The background table shows several rows of rule data, with the first few rows having red plus signs on the left.

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

# Log In



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

# Covered Recipient Receives Email

**Gmail - We miss you! Che...** x

Gmail Calendar Documents Photos Reader Web more ▾

james.goodman@gmail.com | Settings | Help | Sign out

**Gmail** by Google

Mail  
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 ▾

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

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. | 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 |

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, Newer 16 of 616 Older ▾

New window  
Print all

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San Diego, CA 92130

Ads

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**Daily Deals**  
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**Local 1-Day Coupons**  
Up to 90% Off the Best Stuff to do! Restaurants, Spas, Events and More. www.LivingSocial.com

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50" Samsung LED HDTV for 95% Off! Blowout Sale Today. Buy Now. QuiBids.com

**Online Grocery Coupons**  
Get coupon for Ronzoni Garden Delight veggie enriched pasta. www.ronzonigardendelight.com

**Chucky Cheese Coupons**