Publishing Services – Permissions Seeking

Ultra-Detailed Current State Analysis (for future AI agentic workflow design)

Prepared from internal source materials

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1 Document Control

1.1 Document purpose

This document captures the **current (as-is) state** of the Publishing Services **Permissions Seeking** operation, including:

- Business context and operating model
- Stakeholders and roles (internal/external)
- End-to-end workflows and tier-based variations
- Systems used and system-of-record behaviors
- **Field-level** data dictionaries for key artifacts (RPC screens, Excel permission logs)
- Communication patterns and **email templates**
- Artifacts (files, naming conventions, storage)
- Current-state constraints, exceptions, and manual decision rules

The goal is to provide sufficient operational fidelity to support subsequent **AI agentic workflow** design.

1.2 Intended audience
- Process owners (Publishing Services)
- Operational SMEs (Copyrights Specialists / Team Leads / Managers)
- Technology and Automation teams
- AI workflow designers / solution architects
- Compliance / Legal reviewers (as needed)

1.3 Source materials used
- Meeting transcription: *Permissions Seeking current state demo + Q&A* (2025-12-10)

- "HCM Publishing Services – System of Records Documentation" (living reference document)

1.4   In-scope
- Permissions Seeking work performed by Publishing Services teams
- Tier-based workflows (HS: Tier 4/Tier 0/Rule of 10; S&T: Tier 1/Tier 2/Tier 3)
- Current tools: RPC, EMSS, ELSA, CCC RightsLink, STM publisher list/guidelines, Image Finder, email
- Operational artifacts: permission logs, analysis report, weekly status report, cost sheet, credit line change report, permissions grant documentation

1.5   Out-of-scope
- Future (to-be) agentic architecture and implementation designs
- Detailed downstream production workflows beyond what is required to understand permissions dependencies
- Legal policy interpretation beyond currently documented operational rules

2   1. Business Overview

2.1   1.1 Publishing Services in the end-to-end publishing workflow

Publishing Services centrally manages multiple business and content processes across the end-to-end publishing workflow.

Permissions Seeking typically occurs during: - Manuscript Development - Content Production

(See Appendix A for the full Publishing Services processes catalogue and workflow stages.)

2.2   1.2 Organizational model (high-level)
- Publishing Services operates as a shared operations function across business units.
- Permissions work is organized into two primary teams aligned to content divisions:
    – **Health Sciences (HS)** permissions team
    – **Science & Technology (S&T)** permissions team

2.3   1.3 Volume, capacity, and timing expectations

Key operational metrics commonly referenced: - Annual request volume, annual projects, and system record updates (see Appendix A). - KPI: completion of permissions work typically targeted **30 days prior to FTP** (files-to-printer) date.

3   2. Current State Operating Model

3.1   2.1 Core service delivered

Permissions Seeking ensures the publisher has the necessary rights to reuse third-party materials (figures/tables/text extracts, etc.) within Elsevier publications (books and related products).

The service is delivered via a combination of: - **Assessment** (permission required vs not required) - **Rights holder identification** and outreach - Licensing transactions (free/gratis vs paid) - Follow-up and escalation - Documentation and record storage (system-of-record + file repository)

3.2   2.2 Tier-based delivery model

Permissions Seeking is delivered through multiple "tiers" that reflect the degree of responsibility held by: - Authors / Editors - CDS (Content Development Specialist) - Copyrights Specialist (CS)

The tier classification is set at the project level in RPC (Service Type).

3.2.1   2.2.1 HS (Health Sciences) tiers

- **Tier 4 (HS – Full Service)**: CDS provides a permission log; CS obtains permissions; CS uploads logs/files to RPC.
- **Tier 0**: CDS/Author obtains all permissions; CS validates and uploads logs/files to RPC.
- **Rule of 10**: No permissions seeking; CS performs rule-of-10 assessment only.

3.2.2   2.2.2 S&T tiers

- **Tier 1**: Author obtains all permissions and provides completed log + licenses; CS validates and uploads to RPC.
- **Tier 2**: Author provides a log identifying items; CS obtains permissions; CS uploads to RPC.
- **Tier 3**: Author submits manuscript; CS creates permission log and obtains permissions; CS uploads to RPC.

4   3. Stakeholders and Roles

4.1   3.1 Internal stakeholders (functional)

Typical internal stakeholder groups include (not exhaustive): - Global Content Partners - Clinical Solutions - Nursing and Health Education - EMEA/APAC operations - Legal - Finance - Technology

4.2   3.2 External stakeholders

- Authors / Contributors

- Editors
- Rightsholders (publishers, societies, companies, individuals)
- Suppliers / vendors (for log preparation in some HS Tier 4 cases)

4.3 3.3 Role definitions (process roles)

- **CDS (Content Development Specialist)**: creates projects; owns editorial coordination; receives reports and makes content decisions (replacement/deletion) when needed.
- **CS (Copyrights Specialist)**: performs analysis; seeks permissions; maintains logs; uploads artifacts; sends reports; closes projects.
- **Team Lead / Manager**: assignment/triage; escalations; workload management.
- **Permissions Helpdesk**: supports authors/editors with "how-to" guidance and query handling.

5 4. Systems, Tools, and System-of-Record Boundaries

5.1 4.1 System-of-record (SoR)

RPC (Rights & Permissions Collector) is the system-of-record for: - Project metadata and deadlines - Rights items (permission items) and their statuses - Automated reporting outputs (analysis report; weekly status report; completion notification) - Document storage (uploaded logs, licenses, cost sheets)

5.2 4.2 Upstream content systems

- **EMSS** (Electronic Manuscript Submission System): historically primary for HS.
- **ELSA** (Elsevier Author platform): primary for S&T and emerging future platform for HS.

5.3 4.3 External permissions / verification systems

- **CCC RightsLink** (Copyright Clearance Center) for permission requests and paid licensing.
- **STM Permissions Guidelines / STM publishers list** for reciprocity-based permissions handling.
- External content verification sources (examples): Wiley Online Library, PubMed/NIH, ResearchGate, general web search.

5.4 4.4 Internal reference tools

- **Image Finder**: internal repository/search tool for Elsevier journal images (used for discovery/verification and to locate previously published assets).

6   5. End-to-End Current State Process (All Tiers)

6.1   5.1 Master process stages

Across all tiers, the process can be represented as the following stages:

1. **Project Intake & Assignment** (RPC)
2. **Material Inventory & Permission Log availability** (Vendor/CDS/Author/CS)
3. **Analysis / Classification** (permission required? rights holder? mode-of-contact?)
4. **Permission Request Execution** (Email / STM path / CCC RightsLink / online forms)
5. **Follow-up / Chasers / Escalations**
6. **Documentation & Upload** (licenses, logs, supporting evidence)
7. **Reporting** (analysis report, weekly status report)
8. **Closure** (completion email, cost sheet, final record)

6.2   5.2 Common data objects that move through the workflow

- Project (RPC)
- Rights Item (permission item)
- Permission Log (Excel)
- License/Grant documentation (PDF, email .msg, screenshots)
- Reports (Analysis Report, Weekly Status Report)
- Cost Sheet (for paid permissions)

7   6. Detailed Workflows by Tier (Current State)

Note: The operational details below describe what is *currently done* and what the systems currently support. These steps are intended to be granular enough to translate into agentic tasks later.

7.1   6.1 HS Tier 4 – Full Service (CDS provides log; CS seeks permissions)

7.1.1   6.1.1 Trigger

- CDS creates a project in RPC and submits it.
- Project lands in team manager queue; manager assigns to CS.
- CS receives automated assignment notification email from RPC.

7.1.2   6.1.2 Inputs

- RPC Project record (metadata, deadlines, service type, budgets)
- Permission log (prepared by vendor and validated by publishing team, then supplied to CS)
- Manuscript/art files as needed for verification

7.1.3   6.1.3 Detailed step-by-step

Step	Stage	Primary actor	Systems	Inputs	Actions	Outputs / artifacts	Required status updates
1	Intake	Team Manager	RPC	New project in manager queue	Assign project to CS	Assignment recorded	Project appears in CS "Active" dashboard
2	Intake	CS	RPC + Email	Assignment notification	Open project; confirm Service Type (Tier 4), deadlines, platform (EMSS), budgets, contacts	Initial project review notes (if maintained)	None (read-only)
3	Log availability	CS	Email/SharePoint + RPC	Permission log file	Save log to project folder; confirm naming conventions	Local permission log copy	None
4	Analysis	CS	Excel + web tools	Each log row (item)	Validate source information; determine Creator Type / Source Type; decide if permission required	Updated log row classification	Permission Required, Creator Type, Source Type fields populated
5	Rights holder discovery	CS	Web + internal tools	Source citation; DOI; journal/book info	Identify rights holder entity and contact route	Rightsholder name, URL, contact details	Populate Rightsholder, Rightsholder Web Link, Mode of Contact, Email

Step	Stage	Primary actor	Systems	Inputs	Actions	Outputs / artifacts	Required status updates
6	Fee triage	CS + CDS	RPC + Email	Budget limits; quote/fee info	If fee exceeds thresholds, raise editorial query and request decision (approve/pay vs replace/delete)	Notes in analysis report / email to CDS	Permission Status set to Editorial/Author Query (or equivalent)
7	Execution	CS	Email / CCC / STM / Forms	Classified items requiring permission	Send requests via appropriate channel; capture proof of submission	Sent email .msg / CCC transaction evidence	Applied Date; Mode of Contact; set Permission Status to Pending
8	Follow-up	CS	Email/Phone	Pending items	Send chasers; attempt alternate contacts; call where needed; escalate to CDS when unresponsive	Chaser dates; escalation emails	Update Email Chaser date fields; notes; possibly set Editorial Query
9	Resolution	CS	Email/CCC	Granted license / confirmation	Validate scope (print/electronic, worldwide, editions); save license PDF/email; update log	License file saved; log updated	Resolved Date; Permission Status=Resolved; Invoice fields updated if paid
10	Upload to RPC	CS	RPC	Final/working	Upload permission	Rights items	Rights items

Step	Stage	Primary actor	Systems	Inputs	Actions	Outputs / artifacts	Required status updates
				permission log; license files	log to "Add rights items"; upload license docs to Documents tab	created in RPC; docs stored	visible in Rights Item Assignments tab
11	Reporting	CS	RPC	Project state	Send analysis report; send weekly status reports (as required)	Analysis report email; WSR emails	None (system-generated)
12	Closure	CS	RPC	All items resolved	Use "Complete" action; confirm completion date; attach cost sheet if any	Completion email; final log; cost sheet	Project status becomes Completed

7.1.4   6.1.4 Key decision rules (HS Tier 4)

- **Permission required vs not required** is driven by Creator Type / Source Type classification.
- **STM** decision path depends on publisher presence and "notification required vs not required" logic.
- **Fee approvals** are governed by per-item limit and overall budget recorded in RPC Project Details.
- **Unresponsive rights holders** trigger chasers/calls; unresolved items are escalated to CDS for replacement/deletion.

7.1.5   6.1.5 Rights item micro-process (per permission item)

The table below expands the *repeatable unit-of-work* that occurs for **each** permission item (rights item). This is the level at which future agentic workflows typically operate.

7.1.5.1 Typical per-item inputs (from Permission Log + Project Details)

- **Item identifiers**: Item ID (mandatory), Previous Edition Item ID (optional)

- **Usage context** (project-level, applied to each item): Book Title, Edition, ISBN/Manifestation ID, Format (Print & Electronic), Distribution (Worldwide), Publication date, Permission deadline date, print run (if applicable)
- **Item description**: Caption Title, Figure/Table label, Chapter Title/Number, Chapter Author (where applicable)
- **Source citation**: full "Source" string (often includes author, title, journal/book, year, volume/issue, pages, DOI/URL)
- **Initial classification fields**: Creator Type, Source Type, Permission Required (or inferred)
- **Budget constraints**: Total budget for project; maximum cost per item (if populated)

7.1.5.2 Per-item micro-steps

Micro-step	Actor	Primary system(s)	What is captured / updated (key fields)	Output artifact(s)	Notes / exception handling
1	CS	Excel (permission log)	Validate that mandatory columns are present for the row; confirm Item ID is unique	—	If missing/invalid data blocks downstream seeking, raise query to CDS/author
2	CS	Web search / publisher site / internal references	Verify the **Source** is correct and complete (year/vol/issue/page/DOI/link); confirm the *true* rights holder vs cited source	Rightsholder name, Rightsholder Web Link	—
3	CS	Excel	Classify **Creator Type** and **Source Type**; determine if permission is required	Creator Type, Source Type, Permission Status (initial)	—
4	CS	STM list / policies	If publisher is in STM list, determine whether **notification is required**	STM publisher flag, Notes	—
5	CS	CCC RightsLink (if applicable)	If RightsLink/CCC route: request quote / license; capture transaction identifiers	Invoice amount, Invoice currency, Invoice status, Applied Date	CCC license/receipt

Micro-step	Actor	Primary system(s)	What is captured / updated (key fields)	Output artifact(s)	Notes / exception handling
6	CS	RPC + CDS ↔ Email	For fee items: request approval (or replacement/deletion)	Permission Status set to Editorial/Author Query (as applicable); Notes in analysis report	Email thread / analysis report note
7	CS	Email / online form	If Email/Form route: send permission request using templates; capture proof of submission	Mode of Contact, Rightsholder Email ID(s), Applied Date, Email Chaser dates	Sent email (.msg/.eml), screenshots
8	CS	Email/Phone	Chase unresponsive rightsholders; try alternate contacts; call when possible	Email Chaser dates, Notes, Escalation flag	Follow-up emails, call log notes
9	CS	Email / CCC	Receive permission grant/license; validate scope and restrictions	Permission Status=Resolved; Resolved Date; Restrictions; Credit Line; Invoice fields	License PDF / email confirmation
10	CS	RPC Documents tab	Upload license and supporting evidence to RPC	Document Title / File Name / Uploaded date	Stored license record

7.1.6   6.1.6 Permission requirement decision matrix (operational)

The following matrix summarizes how permissions are typically determined at the item level. **Final decisions depend on the specific source/license conditions**, and exceptions are documented as notes.

Item characteristic (as recorded in log)	Typical determination	Evidence expected	Where recorded
Author Created / Original	No permission needed	Author confirmation	Permission Status = "No Permission Needed" (or

Item characteristic (as recorded in log)	Typical determination	Evidence expected	Where recorded
		(email/statement) where required	equivalent); store confirmation
Elsevier-owned / Elsevier reused	Often no external permission needed (internal reuse), but attribution must be correct	Source verification; internal policy	Creator Type / Source Type; Permission Status resolved
Unrestricted / Previous edition reuse	No new permission request; relies on existing grant	Prior edition license file if required	Previous Edition Item ID; notes
Public domain / govt content with commercial reuse allowed	No permission request; confirm public domain terms	Source page screenshot / terms	Notes; Permission Status resolved
Third-party publisher/company/society	Permission required unless a specific exception applies	License grant via email/CCC/portal	Mode of Contact; Applied/Resolved dates; license upload
Courtesy of individuals / author-owned external	Permission required; may be higher variability	Written grant from individual	Email confirmation stored
Adapted / modified / redrawn	May be treated as no permission required *if sufficiently transformed*, but credit line rules still apply	Evidence of transformation + policy justification	Creator Type / Notes; potential "No Permission Needed"

7.1.7 6.1.7 Mode-of-contact routing logic (how channel is selected today)

Channel selection is based on what the rightsholder supports and whether STM reciprocity applies.

1. **STM route** (if publisher is an STM signatory and conditions apply)
   – Determine whether notification is required or not (opt-out logic)
2. **CCC RightsLink** (if publisher uses RightsLink/CCC for licensing)
   – Obtain quote/license through portal
3. **Publisher / rightsholder web form** (if no CCC route but a permissions portal exists)
4. **Direct email outreach** (fallback; often used for companies/organizations and certain publishers)

The chosen channel is recorded in the permission log as **Mode of Contact** and drives downstream tracking.

7.1.8 6.1.8 Follow-up and escalation cadence (current state)

- Follow-ups ("chasers") are performed when permission remains pending.
- Cadence is **driven by project deadlines** (publication date / permission deadline) and rightsholder responsiveness.
- Operationally, teams perform a **couple of chasers**, may try **alternate email IDs**, and may attempt **phone calls**.
- When the rightsholder remains unresponsive, the issue is **escalated to CDS** for a content decision (replacement or deletion).

Chaser execution and dates are captured in the permission log (e.g., Email Chaser dates) and reflected in weekly status reporting.

7.1.9 6.1.9 Closure readiness checklist (project-level)

Before the project is marked *Completed* in RPC: - All rights items are **Resolved** or otherwise dispositioned (e.g., No Permission Needed / Deleted with approval) - All supporting licenses/confirmations are uploaded to RPC Documents - Any paid items have invoice/cost fields captured and the **cost sheet** prepared - Any **credit line changes** have been communicated (system-triggered notifications + documentation) - Final permission log is available and uploaded

7.2 6.2 HS Tier 0 (CDS/Author obtains; CS validates and uploads)

7.2.1 Summary

In Tier 0, the permissions obtaining work is performed by CDS and/or authors; the CS role is primarily: - validate log completeness and correctness - ensure licenses are present and adequate - upload to RPC for system-of-record

7.2.2 Typical CS tasks

- Perform quality checks on:
  - item identifiers
  - correct attribution/credit line
  - license scope alignment to project usage
- Convert incoming author/CDS logs into RPC format if needed
- Upload logs and files to RPC; confirm rights items appear correctly

7.3　6.3 HS Rule of 10 assessment

7.3.1　Summary

A "Rule of 10" assessment verifies that **not more than 10 items from a single published book** are reused in other Elsevier books.

7.3.2　Typical CS tasks

- Identify re-used items from a single source book
- Count occurrences and evaluate compliance
- Document outcome (often via notes/log) and inform stakeholders if exceeded

7.4　6.4 S&T Tier 1 (Author obtains; CS validates, tracks chapters, collates)

7.4.1　6.4.1 Trigger

- Project assigned to CS in RPC (similar assignment/notification path).

7.4.2　6.4.2 Key differentiation vs HS

- S&T workflows typically use **ELSA** upstream.
- S&T Tier 1 relies on **author-provided permission logs and licenses**, often at chapter level.
- RPC uses a **Chapter Tracker** to manage reminders and chapter-level permission receipt.

7.4.3　6.4.3 Detailed step-by-step

Step	Stage	Primary actor	Systems	Inputs	Actions	Outputs / artifacts	Required status updates
1	Intake	CS	RPC	Assignment notification	Open project; confirm tier, deadlines, chapters count	Initial review	None
2	Chapter tracking setup	CS	RPC	Project chapter list	Use Chapter Tracker tab; review due dates	Tracker baseline	Chapter tracker rows

Step	Stage	Primary actor	Systems	Inputs	Actions	Outputs / artifacts	Required status updates
							maintained
3	Author comms	CS	Email / RPC	Chapter due dates	Send intro/reminder emails to authors; provide guidance for logs + licenses	Sent emails	"Intro Email Sent Date", reminder dates updated
4	Receipt of permissions	Author → CS	Email / ELSA	Permission logs + licenses	Author shares via email or uploads to ELSA permissions files; CS receives notifications	Incoming files	Permission Received toggled
5	Validation	CS	Excel + PDF	Author artifacts	Validate completeness and scope; request corrections if needed	Validated package	Chapter Permission Status updated
6	Collation	CS	Excel	Multiple chapters	Consolidate chapter-level permission data into a single RPC-format permission log	Final permission log	Ready for upload
7	Upload	CS	RPC	Consolidated log + licenses	Upload rights items and documents; confirm rights items created	Rights items recorded	Rights statuses updated in RPC

Step	Stage	Primary actor	Systems	Inputs	Actions	Outputs / artifacts	Required status updates
8	Closure	CS	RPC	All chapters complete	Complete project; send completion notification	Completion email	Project Completed

7.4.4   6.4.4 Chapter Tracker operations (how it is used today)

In S&T Tier 1, the **Chapter Tracker** is the operational control surface used to: - Maintain a chapter-level checklist of what has been requested, received, validated, and uploaded - Drive reminder and chaser communications using due-date columns - Provide at-a-glance status for editors/CDS when reporting

Key data captured per chapter (see Appendix A for full column definitions): - Chapter No., Chapter Title, Authors - Intro Email Due Date / Intro Email Sent Date - MS Due Date - First Reminder Due Date / Second Reminder Sent Date - First Chaser Due Date / First Chaser Sent Date - Second Chaser Due Date - Permission Received (Yes/No) - Permission Status (Pending/Resolved/etc.) - Comments (free text)

7.4.5   6.4.5 Reminder and follow-up cadence (chapter-level)

The tracker supports a cadence pattern without hard-coding the exact day offsets (offsets vary by project schedule): 1. **Intro email** to chapter author(s): requests permission log + licenses; provides guidance and points to helpdesk 2. **Reminders** triggered as MS due date approaches 3. **Chasers** when a chapter remains missing required permissions artifacts 4. Escalation to editor/CDS if author is unresponsive or cannot provide adequate documentation

Dates are recorded directly in the Chapter Tracker columns and form the basis for operational follow-up.

7.4.6   6.4.6 Validation rules for author-supplied permission packages (S&T Tier 1)

Before a chapter can be marked "Permission Received = Yes" and dispositioned: - The author-provided permission log is complete enough to map each third-party item to: - Item ID (or a stable identifier) - Source information - Rights holder and permission status - Each item that requires permission has corresponding proof (license PDF, confirmation email, CCC license, etc.) - License scope matches project usage (format, distribution, editions, etc.) - Any restrictions are captured and communicated (if they impact intended use) - Credit lines are captured exactly as required (and deviations are flagged as credit line changes)

7.4.7   6.4.7 Collation and upload rules (S&T Tier 1)
- Chapter-level logs/licenses are consolidated into a **single project-level permission log** in RPC format.
- Item identifiers must remain unique across chapters (or be made unique) to avoid upload collisions.

- All permission files are uploaded into RPC "Documents" and/or the relevant system location for audit. ## 6.5 S&T Tier 2 (Author provides log; CS seeks permissions)

7.4.8 Summary

Tier 2 is operationally similar to HS Tier 4, but the permission log is supplied by authors (often via ELSA exports or email), and CS then executes the permissions seeking.

Key additional step: - Export/download permissions report/log from ELSA (Publishing Assistant / permission log report) and **convert** to RPC-format log prior to seeking.

7.4.9 6.5.1 ELSA export → RPC permission log conversion (Tier 2)

In Tier 2, authors often provide permissions information in ELSA or via email. Operationally, CS may:

1. Wait until the project/chapter reaches an ELSA stage where a permissions report can be downloaded (e.g., Staff Review).
2. Download the "permissions report" from ELSA (Publishing Assistant / reports).
3. Review report quality:
   – When author call-outs and metadata are complete, the report includes chapter title, item ID, figure details, and source details.
   – When call-outs are incomplete, the export may be missing key fields and requires manual enrichment.
4. **Transform** the ELSA report into the **RPC-format** permission log used for bulk upload.
5. Proceed with seeking permissions using the same per-item micro-process as HS Tier 4.

7.4.9.1 Conversion checklist

Check	Why it matters	Typical handling
Item IDs present and stable	RPC upload requires item identifiers	Create or normalize IDs if missing
Source strings complete	Needed for rightsholder discovery	Enrich via web verification
Chapter mapping present	Needed for reporting and chapter tracker	Map chapter no/title consistently
Creator type / source type classification	Drives permission requirement	Apply operational decision matrix

7.4.10 6.5.2 Tier 2 execution after conversion

Once converted: - Items are routed via STM / CCC / email/form channels. - Applied/Chaser/Resolved dates are tracked in the log. - Licenses are stored and uploaded to RPC Documents.

7.5 6.6 S&T Tier 3 (Author submits manuscript; CS creates log and seeks permissions)

7.5.1 Summary

Tier 3 includes a log creation step performed by CS: - Review manuscript and extract all third-party material references - Create RPC-format permission log from scratch - Proceed with seeking and documentation steps similar to Tier 2

7.5.2 6.6.1 Permission log creation (Tier 3) – micro-steps

Tier 3 differs from Tier 2 in that the CS team must create the permission log (inventory of all third-party materials) from the manuscript/artifacts.

7.5.2.1 Inputs
- Manuscript text (Word/PDF) and associated art files
- Figure/table call-outs and captions
- Project metadata from RPC (title, edition, ISBN, format, distribution, deadlines)
- Any available chapter structure from ELSA/EMSS

7.5.2.2 Micro-step workflow

Micro-step	Actor	System(s)	Output (data/artifact)	Notes
1	CS	Manuscript review (Word/PDF)	List of candidate third-party items	Identify figures/tables/text extracts not clearly original
2	CS	Excel (RPC-format log)	Draft log rows with Item IDs	Create/assign Item IDs; capture chapter mapping
3	CS	Web / publisher sites	Completed Source strings	Enrich incomplete citations; capture DOI/URL
4	CS	Excel	Creator Type / Source Type classification	Apply decision matrix for permission requirement
5	CS	Excel + Web	Rightsholder details + Mode of Contact	Route items to STM/CCC/email/form
6	CS	Email/CCC/STM	Permission requests sent	Proceed with the same per-item execution steps as Tier 2

7.5.2.3 Quality risks specific to Tier 3
- Missing or incorrect source information in the manuscript increases research time.
- Ambiguous "Courtesy of …" attributions may hide the true rightsholder.
- Deduplication is required when a figure appears in multiple chapters/versions.

8   7. Current State Data Model (Conceptual)

8.1   7.1 Entity: Project
- Lives in RPC
- Key attributes: division/subdivision, ISBN/manifestation ID, service type (tier), contacts, deadlines, platform (EMSS/ELSA), budgets, chapters count

8.2   7.2 Entity: Rights Item (Permission Item)
- Lives in RPC (created via permission log upload)
- Key attributes: Item ID, chapter info, creator type, rights holder, permission status, restrictions, invoice amount, resolved time

8.3   7.3 Entity: Permission Log (Excel)
- Primary working artifact
- Used for analysis, outreach tracking, and RPC bulk upload
- Two-sheet structure: item upload format + reference data

8.4   7.4 Entity: Permission Grant / License
- Evidence of permission grant
- Stored as PDF, email (.msg), screenshots, or CCC license documentation

8.5   7.5 Entity: Reports
- Analysis Report (RPC)
- Weekly Status Report (RPC)
- Credit line change outputs (RPC email triggers + report)

9   8. Current State Exceptions, Risks, and Manual Work

9.1   8.1 Common manual-intelligence steps
- Verifying incomplete or inconsistent source citations
- Discovering the correct rights holder when not explicit
- Determining whether an item qualifies as public domain/unrestricted/author-created/adapted
- Interpreting STM "notification required / not required" and gratis thresholds
- Handling ambiguous rightsholder response emails and mapping them to rights items

9.2   8.2 Dependency-driven variability
- Turnaround depends heavily on third-party rights holders and their response times.
- Fee decisions require editorial stakeholder approval.

9.3   8.3 Typical escalation paths

- High fee quote → editorial query to CDS
- No response after chasers/calls → CDS decision for replacement/deletion

10   9. Agentic Workflow Design Readiness Notes (Current State Observations)

This section does *not* define the future-state solution; it identifies current-state characteristics that strongly influence agentic workflow design.

10.1   9.1 Automation-friendly zones

- Structured data ingestion (RPC project details, permission log columns)
- Template-driven communications
- Scheduled reporting (WSR)
- Status progression and deadline-driven reminders

10.2   9.2 Automation-sensitive zones

- Rights holder identification and routing (high ambiguity)
- Legal/contract interpretation of license scope
- Edge cases: courtesy of individuals, multi-source items, unclear attribution

10.3   9.3 Process decomposition for automation (current-state task inventory)

The list below defines the **operational tasks that make up the process**, expressed in a way that can later be mapped to agentic roles/skills. This is still *current state*—it documents what humans do today.

10.3.1 9.3.1 Project-level tasks

1. **Monitor assignment events**
   - Trigger: RPC project assigned to CS
   - Output: awareness and initiation of project work
2. **Validate project metadata and constraints**
   - Inputs: division/subdivision, service type, deadlines, platform, budget limits, editorial contacts
   - Outputs: internal notes; clarification requests if data missing
3. **Establish working folder and artifact storage**
   - Apply naming conventions; ensure traceability for later audit
4. **Generate and send project-level communications**
   - Intro emails (editorial contact/author), helpdesk introduction, expectations and due dates
5. **Generate project-level reporting**
   - Analysis report

- Weekly status report
6. **Close and complete project**
   - Preconditions: all items dispositioned
   - Outputs: completion email, final log, cost sheet

10.3.2 9.3.2 Rights-item-level tasks (repeat per permission item)

1. **Ingest item data** (from permission log / manuscript / ELSA export)
2. **Normalize and validate source citation**
3. **Classify item** (creator type, source type, permission required vs not required)
4. **Identify rights holder**
   - Determine owning entity and routing channel
5. **Select mode of contact** (STM / CCC / web form / email)
6. **Generate outbound request package**
   - Pre-fill book/project usage details; include figure/table identifiers; include source reference and image (if required)
7. **Execute the request**
   - Submit via portal or send email; capture evidence
8. **Track pending state**
   - Chaser schedule; escalate if overdue
9. **Process inbound responses**
   - Extract grant terms, restrictions, credit line requirements; determine if acceptable
10. **Update system-of-record**
- Update log fields and RPC rights item status; upload licenses/evidence

10.3.3 9.3.3 Chapter-level tasks (S&T Tier 1)

1. **Maintain chapter tracker**
   - Track who has been contacted, what is received, and what remains pending
2. **Send reminders and chasers to chapter authors**
3. **Validate chapter packages**
4. **Consolidate into project-level log and upload**

10.3.4 9.3.4 Human decision points to preserve (even if automated later)

- "Permission required?" determinations where the source/creator attribution is ambiguous
- Fee approval and budget exceptions
- Replacement/deletion decisions for unresponsive rightsholders
- License scope interpretation (formats, editions, translations, worldwide rights)

11 Appendix A – System of Records Documentation (Reference)

The following section is included verbatim (with minimal formatting changes) to preserve field-level and template-level fidelity for system and artifact design.

12 HCM Publishing Services - System of Records Documentation

12.1 1. Organization Overview

12.1.1 About Publishing Services
- **Organization Size**: 60+ FTE (Full-Time Employees)
- **Processes Handled**: 12 different processes
- **Annual Volume**:
    - 70,000 requests
    - 6,000 projects
    - 10,000 system record updates

12.1.2 Mission

Centrally manage multiple business and content processes for multiple business units in different geographies across the end-to-end publishing workflow.

12.2 2. Publishing Services Processes

12.2.1 Core Processes

Process Category	Process Name
Setup	EMSS Site Set-up
Contributors	List of Contributors Confirmation
Review	Proposal Review Administration
Copies	Gratis Copies Management
Data	Data Management
Assessment	Technical Assessment
Agreements	Agreements Management
Payee	Payee Information Management
Permissions	Permissions Seeking
Permissions	Permissions Granting
Corrections	Post-Publication Corrections
CRM	Customer Relationship Management

12.2.2 Process Workflow Stages

1. **Content Planning and Research**
2. **Proposal and Commissioning**
   - Proposal Review
   - EMSS Site Setup
3. **Manuscript Development**
4. **Content Production**
5. **Printing, Warehousing and Publishing (P&E)**
   - Gratis Copies Management
6. **Post Publication Processes**
   - Post Pub Corrections
   - Permissions Granting

12.2.3 Supporting Processes (Orange Layer)

- Agreements Management
- Permissions Seeking
- LOC Administration
- Technical Assessment
- Data Management
- Payee Information Management
- Customer Relationship Management

12.3   3. Stakeholders

12.3.1 Internal Stakeholders

Department
Global Content Partners
Clinical Solutions
Legal
Finance
Nursing and Health Education
Technology
Operations Teams

12.3.2 External Stakeholders (Customers)

Stakeholder Type
Authors
Contributors
Editors
Reviewers

Stakeholder Type
Rightsholders
Suppliers

12.4   4. Permissions Seeking Module

12.4.1 Overview

Obtain permissions from internal and external rights holders.

12.4.2 External Stakeholders
- Authors
- Contributors
- Editors
- Rightsholders

12.4.3 Internal Stakeholders
- Global Content Partners
- Clinical Solutions
- Nursing and Health Education
- EMEA/APAC

12.4.4 KPIs
- **Timeliness**: Completion 30 days prior to FTP
- **Volume**:
  - ST (Standard): 1480 projects/year
  - HS (Health Sciences): 770 projects/year
- **FTE Count**: 19

12.4.5 Applications Used
- Rights and Permissions Collector DB (Permissions Database)
- ELSA
- EMSS

12.4.6 Workflows Supported
- HS (Health Sciences)
- Clinics
- RREF
- Translations
- APAC
- Nursing
- Journals
- E-products

12.5   5. Permission Tiers & Service Types

12.5.1 Division-Based Tiers

12.5.1.1   Divisions: HS, Translation, APAC, Journal, and E-products (IPOC, Mosby skills, Clinical Key Essentials, etc.)

Tier	Description
Tier 0	CDS/Author obtains all permissions. CS validates and uploads the logs and files into RPC
Tier 4	CDS provides permission log. CS obtains permissions. CS uploads the logs and files into RPC
Rule of 10	No permission seeking, CS only does the Rule of 10 assessment

12.5.1.2   Divisions: RREF, Hot Topics, and MRW

Tier	Description
Tier 1	Author obtains all permissions and provides permissions log. CS validates and uploads the logs and files into RPC
Tier 2	Author provides permission log. CS obtains permissions. CS uploads the logs and files into RPC
Tier 3	Author submits manuscript. CS creates permission log and obtains permissions. CS uploads the logs and files into RPC

12.5.2 Role Definitions
- **CDS** - Content Development Specialist
- **CS** - Copyrights Specialist
- **RPC** - Rights and Permissions Collector

12.5.3 Service Types in RPC
- Tier 4(HS - Full service)

12.6   6. Rights & Permissions Collector (RPC) System

12.6.1 System URL

https://app-services.cwsrpc.elsevier.net/rp-collector-web/

12.6.2 Login Screen Fields

Field	Type	Required
User Name	Text Input	Yes (*)
Password	Password Input	Yes (*)

Field	Type	Required
Login Button	Button	-
Forgot your Password?	Link	-

12.6.3 Main Navigation

- Home > Projects
- Permissions Tracker
- Create Project

12.6.4 Dashboard Metrics

Metric	Display
Active Projects	Count (e.g., 47, 2865)
Completed Projects	Count (e.g., 579, 8890)

12.6.5 Projects List View - Table Columns

Column	Description
Division	Business division
Title	Project title
Service Type	Tier classification
Editorial Contact	Assigned editor
Deadline	Due date
Publication Date	Expected publish date
Assigned To	Team member
Total Permissions Pending	Count
Total Permissions	Count

12.6.6 Search & Filter Options

- Search by: ISBN/Cost center/Name
- Search by: Division/Title/Project ID/Assignee/Editor

12.7 7. Project Details Screen

12.7.1 Project Details Tab

12.7.1.1 Service Details Section

Field	Sample Value
Received Date	30-Sep-2025
*Division	HS
*Sub Division	Clinical Solutions
Project Reference No	DEL_Kim_4_murugans

Field	Sample Value
*ISBN/Manifestation Id	9780443124976
*Location	New Delhi

12.7.1.2 Editorial Contact Details Section

Field	Sample Value
*Name	Garima Malhotra
*Email	g.malhotra@elsevier.com
Invited Editorial Users	-
Freelancer Name	-
Freelancer Email	-

12.7.1.3 Project Details Section

Field	Sample Value
*Author(s)	Raymond J. Kim
*Title	Cardiovascular Magnetic Resonance
*Edition	4
*Author(s)/Editor(s) email addresses	raymond.kim@duke.edu
*Projected publication date	01-Jul-2026
*Permission deadline date	10-Jan-2026
Files to printer date	11-Mar-2026
*Transmittal date	18-Sep-2025
*Ownership	Elsevier Inc.
*Service Type	Tier 4(HS - Full service)
*The platform used for this title is	EMSS
*Language	English
Free to translate	No
*Are any translations expected?	No
*High priority title?	No
Are previous edition permission files available?	No

12.7.1.4 Other Details Section

Field	Sample Value
Brief description of the project	-
Will the project come in batches?	Yes
Batch Information	November 4, 2025 - 6/12
Total Budget for all Project Permissions	-

Field	Sample Value
Maximum Cost Limit per Permission Item	-
Permission invoices to be paid by/against	-
*Manuscript delivery date	15-Feb-2024
*Number of Chapters	42
*Book Price	$0.00
*Print run	457
*Page count	602
*Distribution	Worldwide
*Format	Print and electronic
*In which form(s) will the project files be submitted to the Copyrights Team?	EMSS, Shared drive, Email

12.7.2 Right Item Assignments Tab

12.7.2.1 Table Columns

Column	Description
Item ID	Unique identifier
Creator Type	Author Created, Courtesy, etc.
Chapter No.	Chapter number
Rightsholders	Rights holder name
Permission Status	Resolved, Pending, Deleted
Restrictions	No Res, restrictions info
Invoice Amount	Cost if applicable
Resolved Time	Days to resolve
Send Email	Email action

12.7.2.2 Item Status Badges

Badge	Count
Total Items	Variable (e.g., 651)
Total items pending	Variable
Total items in query	Variable
Total items yet to apply	Variable
Total fee spent	USD amount

12.7.3 Chapter Tracker Tab

12.7.3.1   Table Columns

Column	Description
Chapter No.	Number
Chapter Title	Title text
Authors	Author names
Intro Email Due Date	Date
Intro Email Sent Date	Date
MS Due Date	Date
First Reminder Due Date	Date
Second Reminder Sent Date	Date
First Chaser Due Date	Date
First Chaser Sent Date	Date
Second Chaser Due Date	Date
Permission Received	Yes/No
Permission Status	Pending
Comments	Text
Intro Email Due Date	Date

12.7.4 Documents Tab

Feature	Description
Upload new Document	Button
Document Title	File name
File Name	System filename
Uploaded Date	Date

12.7.4.1   Sample Documents
- Kim9780443124976_RPC-PermLog.xlsx
- Kim9780443124976_RPC-PermLog.xlsx

12.8   8. Permissions Tracker Screen

12.8.1 URL

https://app-services.cwsrpc.elsevier.net/rp-collector-web/permissions-tracker

12.8.2 Project Level View - Table Columns

Column	Description
Division	Business unit

Column	Description
Title	Project title
Project ID	Unique identifier
Assignee	Team member
Editorial Contact	Editor
Additional Contact	Secondary contact
Total RightsItems	Count
Resolved RightsItems	Count
To be worked RightsItems	Count

12.8.3 Actions Available

- Save
- Refresh
- Send WSR (Weekly Status Report)
- Send WSR With Attachment
- Send Analysis Report
- Columns (customize view)
- Export Data

12.9 9. Analysis Report Screen

12.9.1 URL

```
https://app-services.cwsrpc.elsevier.net/rp-collector-web/analysis-report/{id}
```

12.9.2 Report Header

- Send Report With Attachment (Button)
- Send Report (Button)

12.9.3 Report Fields

Field	Description	Sample Value
Total no of Permission items	Count	404
Permissions to be cleared	Count	404
Elsevier permissions	Count	0
Third Party permissions Split	Publishers/Companies/Courtesy of/First time Contacts	0/0/NA/0/0/NA

Field	Description	Sample Value
High Fee permission items	Count	0
High TAT copyright holders	Count	0
Restriction list	Dropdown	Choose Option (Available/Not Available/Not Applicable)
Chapter author information	Dropdown	Choose Option (Available/Not Available)
Approximate project completion date	Date	Jan 14, 2026

12.9.4 Additional Notes Section

- Free text area for analysis notes
- Example: "For f12-01, In the provided Elsevier source book, this figure is credited to another source and upon contacting, the rightsholder American Medical Association, is charging a very high fee of $6,561.80. Hence, please check for the possibilities of replacement or deletion and kindly confirm the same."

12.10 10. Permission Log (Excel) Fields

12.10.1 Sheet 1: Item Upload Format

12.10.1.1 Core Columns (Yellow - Mandatory)

Column	Description
Project ID / Publication Name	Project identifier
Permission Status (Mandatory)	Status value
Chapter Title	Chapter name
Elsevier Author Name	Author name
Item ID (mandatory)	Unique item ID
Previous Edition Item ID	Reference to previous
PII/ID	Publication identifier
Caption Title	Caption text
Source (mandatory)	Source information
Source Chapter	Source chapter

12.10.1.2 Additional Columns (Green)

Column	Description
Elsevier author and source author	Author info
Credit Line Changes	Change tracking
Original Figure Number	Figure reference
Rightsholder	Rights holder name
Permission Required (mandatory)	Yes/No
Creator Type	Type of creator
Rightsholder Web Link	URL
Mode of Contact	Contact method
Rightsholder Email Address	Email

12.10.1.3 Date Columns (Orange)

Column	Description
Applied Date	Application date
Resolved Date	Resolution date
Resolved Time (days)	Duration

12.10.1.4 Communication Columns

Column	Description
Email Chaser 1 date	First chase
Email Chaser 2 date	Second chase

12.10.1.5 Financial Columns (Blue)

Column	Description
Restrictions	Restriction info
Invoice Amount	Cost
Currency	Currency code
Invoice Number	Invoice ID
Invoice Processing Mode	Processing type
Invoice Processed Date	Date
Invoice Status	Status

12.10.1.6 Service Columns

Column	Description
Service Icer Char	Service character

12.10.2 Sheet 2: Reference Data

12.10.2.1 Permission Status Values

Status	Description
Resolved	Permission obtained
Pending	Awaiting response
Yet to Apply	Not yet requested
Editorial/Author Query	Query raised
Waiver	Waived
Deleted	Removed

12.10.2.2 Source Types

Source Type
Author Created
Elsevier Books
Elsevier Journals
Courtesy Of
Adapted/Modified/Redrawn
3rd party material
Unrestricted
Public Domain
STM Opt-Out
STM Not Opt-Out
Resolved by Editorial/Author
Multiple Sources
Data from

12.10.2.3 Creator Types

Type
Author Created
Courtesy
Used
3rd Party Material

12.10.2.4 Mode of Contact

Mode
CCC
Email
Online Form

Mode
RightsLink
(Blanks)

12.11 11. Copyright Clearance Center (CCC) RightsLink Integration

12.11.1 System URL

`https://s100.copyright.com/`

12.11.2 Quick Price Estimate Form

12.11.2.1 "I would like to…" Options

- reuse in a book/textbook

12.11.2.2 Requestor Type Options

Option
make a selection
Author of this Wiley article
Commercial/For-profit organization
Government agency
Medical communication company
Medical educational organization
Non-commercial/Not-for-profit organization
Non-governmental organization
Publisher, for-for-profit
Publisher, not-for-profit
Pharmaceutical/medical products company
Public research institute
Publisher, STM
Training organization

12.11.2.3 Format Options

Format
make a selection
Print
Electronic
Print and electronic

12.11.2.4   Portion Options

Portion
make a selection
Full article
Text extract
Figure/table
Abstract

12.11.2.5   Translation Options

Option
make a selection
No
Yes, including English rights
Yes, without English rights

12.11.2.6   Circulation Options

Option
make a selection
(various options)

12.11.2.7   Currency Selection

- USD - $

12.11.3   About Your Work Form Fields

Field	Required	Type
Title of new book	Yes (*)	Text
Lead author	Yes (*)	Text
Publisher	Yes (*)	Dropdown
Publisher imprint	No	Text
Expected publication date	Yes (*)	Month/Year
Expected number of pages	No	Number

12.11.3.1   Publisher Options (Partial List)

Publisher
AIP Publishing
American Association for the Advancement of Science (AAAS)
American Association of Critical-Care Nurses
American Chemical Society
American Mathematical Society

Publisher
American Physical Society
American Psychological Association
American Society for Parenteral and Enteral Nutrition (ASPEN)
American Society of Civil Engineers
American Society of Mechanical Engineers
Apple Academic Press
Association for Computing Machinery (ACM)
Begell House
BioExcel Publishing
Bioscientifica
BMJ
British Small Animal Veterinary Association (BSAVA)
Burleigh Dodds Science Publishing Ltd
CABI
Elsevier

12.11.4 Additional Information Form

Field	Type
Order reference number	Text
Portions (Figure/table description)	Text
The Requesting Person / Organization to Appear on the License	Text (Required *)
Number of figures/tables	Number

12.11.5 About Your Works - Selection Table

Column	Description
Title of new book	Book title
Publisher/Producer/Sponsor	Publisher name
Date	Publication date

12.11.6 Pricing Display

- PRICE: Pending / 0.00 USD
- SAVE QUOTE (Button)
- CONTINUE (Button)

12.12 12. STM Permissions Guidelines

12.12.1 URL

https://www.stm-assoc.org/what-we-do/core-services/ip-
copyright/permissions/permissions-guidelines/

12.12.2 Key Information

- Download the 2024 version of the Permission Guidelines (PDF, HTML)
- Publisher must be a member of STM to participate
- Contact: info@stm-assoc.org
- Based on principle of reciprocity
- Must be a publisher of primary research
- Quarterly STM Permissions guidelines roundtable

12.12.3 Reciprocity Requirement

A publishing house must offer more than 50% of content that is neither CC-BY nor CC-0 to meet the requirement.

12.12.4 STM Publisher Benefits

- Can request permission through the rights link RCCC
- Free of charge for up to 3 figures/tables for fellow signatory publishers

---

12.13 13. ELSA (Elsevier Author) System

12.13.1 System URL

https://app.elsa.elsevier.com/

12.13.2 Chapter View Screen

12.13.2.1 URL Pattern

https://app.elsa.elsevier.com/document/{id}/write

12.13.2.2 Navigation Tabs

- Write
- Activity & Versions
- Permissions Files
- Figures
- Tables
- Permission Log
- Art Log
- LaTeX files

12.13.2.3 Chapter Information Display

Field	Value
Chapter Number	8.
Title	Quantification of the sediment budget of river systems
View Mode	Toggle
Staff Review	Progress indicator (5/6 Stages)

12.13.2.4 Chapter Structure (Outline)

-
  1. Introduction
-
  2. Principles and concepts
  - 2.1 Sediment source-to-…
  - 2.2 Types of river systems…
  - 2.3 Sediment budget of…
-
  3. Controls on river sedimentation
  - 3.1 Tectonics

12.13.2.5 Chapter Metadata

- Affiliation
- Contributor (Author)
- Abstract
- Word Count: 9627 Words
- Publishing Assistant (1 ALERTS)

12.13.3 Project Settings Screen

Section	Fields
General Information	Project name
Project Settings	Various settings
Import Previous Edition	Import options
Publishing Assistant	Assistant settings

12.13.4 Dates & Milestones Tab

Column	Description
Name	Chapter name
Location	Part number
Currently Editing	Editor
Responsible Editor	Assigned editor
Chapter Notes	Notes

Column	Description
1. Not Started	Status
2. Draft	Status
3. Staff Review	Status

12.13.5 Reports & Jobs Tab

Column	Description
#	Row number
Report	Report type
Owner	Creator
Created	Date/time
Status	complete/pending

12.13.5.1 Report Types

- Project Status Report
- Contributor Agreement Report
- Contributor Payments by Project Report

12.14 14. Email Templates

12.14.1 1. New Project Assignment Email (to Editorial Contact)

Subject: New Project: < [Project Title] >

From: rpcapplication@elsevier.com

Template:

```
ELSEVIER                Rights & Permissions Collector

Dear [Editorial Contact Name]:

The Copyrights Team is happy to work with you on this project. We have
assigned the project to [Assigned Team Member], who will contact you
directly with more information.

Please introduce Permissions Helpdesk team (permissionshelpdesk@else-
vier.com) to the editors/ authors of this title at the earliest to assist on
the
permissions process.

With best regards,
The Copyrights Team
```

12.14.2   2. Introduction Email (to Rightsholder)

Subject: RE: Introduction Email: < [Book Title], ISBN: [ISBN] >

From: [Copyrights Specialist]@elsevier.com (e.g., s.murugan@elsevier.com)

Template:

```
Hi [Rightsholder Name],

Happy New Year!

I am Saravanan, who has been assigned with the title "[Book Title], [Edition]
, ISBN: [ISBN]". I am happy to work with you on the permissions of this proje
ct.

I have downloaded the permission log from RPC and request you to please provi
de the manuscripts & art files for this title.

Also, please provide the print run for this title as it is not mentioned in R
PC.

I look forward to hearing from you. Many thanks in advance and have a wonderf
ul day!

Thanks & Regards,
Saravanan Murugan
Senior Copyrights Specialist - Copyrights Team
ELSEVIER | Operations
Tel: +91 44 33784356 |
Email: s.murugan@elsevier.com | url: www.elsevier.com
Twitter | Facebook | LinkedIn |
```

12.14.3   3. Permission Request Email (to External Rightsholder)

Subject: Elsevier Permission Request: [PHI_Reference]_[Figure Number]

From: Permissions Seeking (ELS) permissionsseeking@elsevier.com

Template:

```
Dear [Rightsholder Name],

Greetings from Elsevier!

I am Saravanan working as a copyrights specialist at Elsevier. We are interes
ted in using one of the figures copyrighted to you in our upcoming publicatio
n and we request your permission to use it in our Book. I have listed the det
ails of the request below.

Book Title          [Book Title]/[Edition] edition
```

```
Author of the Book  [Author Name]
Format              Print & Electronic
Distribution        Worldwide
Chapter Title       [Chapter Title]
Chapter Author Name [Chapter Author Name]

We request your permission for Elsevier and its licensees, affiliates, succes
sors and assigns to use, reproduce or, if it is necessary, to redraw or modif
y the material listed below in this and all subsequent editions of this Elsev
ier work and all revisions, versions, derivative works, translations, ancilla
ries, adaptations, supplementary materials, custom editions, and in advertisi
ng and promotion thereof, in all languages, in all formats and media now know
n or hereafter developed, throughout the world and in perpetuity. We will giv
e full credit to the original source.

Source reference:
[Source Reference - e.g., "Courtesy 3M."]

[Figure Image]
```

12.14.4   4. Credit Line Change Email

Subject: Credit Line Change : [Book Title] <[ISBN]>

From: s.murugan@elsevier.com

To: [Rightsholder], [Author], [Editorial Contacts]

Template:

```
Dear [Rightsholder Name],

I am writing to you regarding a credit line change for the permissions projec
t, [Book Title].

Please note the change to be made to the credit line for the below listed per
mission item(s).

| Item ID | Caption Title | Changes to be made to the Credit Line |
|---------|---------------|---------------------------------------|
| [Item ID] | [Caption] | [New Credit Line Source] |

Please get back to me if you require any clarification.

Regards,
Saravanan Murugan
```

12.14.5   5. Weekly Status Report (WSR) Email

Subject: Weekly Status Report - [Book Title]:Surgical Technology, [Edition], [ISBN]

From: Permissionseeking@elsevier.com

Template:

```
Hi [Rightsholder Name],

Good day! Please find below the status report of the project, [Book Title], [
Edition].

| Field | Value |
|-------|-------|
| Total no of Permission items | [Count] |
| Permissions to be worked | [Count] |
| Permissions Processed | [Count] |
| Permissions Resolved | [Count] |
| Permissions Yet to be Resolved | [Count] |
| Permissions in DE Query | [Count] |
| Permissions Yet to Apply | [Count] |
| Publication date | [Date] |
| Last Batch received date | [Single Batch/Date] |
| Project Deadline date | [Date] |
| Invoice amount spent till date ($) | [Amount] |

DE Query details:

| Item ID | Rightsholder | Comments |
|---------|--------------|----------|
| [Item ID] | [Rightsholder] | [Comment] |

[Additional rows as needed]
```

12.14.6   6. Project Completion Email

Subject: Project Completion : [Book Title] <[ISBN]>

From: s.murugan@elsevier.com (or s.murugan@elsefier.com)

Attachments: - [ISBN]_PermissionLog.xlsx - [ISBN]_Cost Sheet.xlsx

Template:

```
Hi [Rightsholder Name],

Hope this email finds you well.

Please find the attached final permission log and cost sheet for this title:
[Book Title] [ISBN]

Thank you for your support with this project.

You will receive an automated survey email. I request you to fill in the surv
```

ey and provide us with your valuable feedback which will help us improve our
service.

Do let us know if you encounter any trouble in receiving the survey email. Ha
ve a nice day!

Regards,
Saravanan Murugan

12.14.7   7. Analysis Report Email

Subject: Analysis Report - [Book Title]: [ISBN]

From: Permissionseeking@elsevier.com

Template:

Hi [Editorial Contact Name],

Please find below the Analysis report of the title - [Book Title], [ISBN].

Field	Value
Total no of Permission items	[Count]
Permissions to be cleared	[Count]
Elsevier permissions	[Count]
Third Party permissions Split	Publishers: [X], Companies: [X], Courtesy o
f: [X], First time Contacts: [X], Total: [X]
High Fee permission items	[Count]
High TAT copyright holders	[Count]
Restriction list	[Not Applicable/Available]
Chapter author information	[Not Available/Available]
Approximate project completion date	[Date]

Additional Notes:
[Notes about specific items, high fees, or issues]

12.14.8   8. Permissions Update Email (to Authors)

Subject: < [Book Title] ; [ISBN] > : Permissions update

From: permissionshelpdesk@elsevier.com

Attachments: - Sample permission log.xlsx - Permission log.xlsx - Permission
Guidelines.docx

Template:

Dear Author,

I hope you are well. I am writing with regard to the permissions for the book

[Book Title].

As you are likely already aware, as the author you are responsible for obtaining written permission to reuse any third-party images, figures, tables and/or substantial text excerpts appearing in your [chapter/book] and for providing copies of these permissions.

Kindly note that we cannot legally publish the book until we receive the permission files for your chapter/book.

If you have accepted writing the book/chapters in EMSS platform. Please follow the below steps:

- Step 1: We ask that you submit both the completed permission log and copies of all permission licenses for any third-party images, figures, tables, boxes used in your [chapter/book] to Permissions Helpdesk (permissionshelpdesk@elsevier.com). Please ensure to update the yellow highlighted columns in the permission log which are mandatory fields. A sample permission log is also attached for your reference.

- Step 2: Obtain any necessary permissions licenses or other approvals in writing from the rightsholders of the materials – this is usually but not always the publisher for any published works. Please also be aware that some publishers may have a longer turnaround time and some permissions may also be subject to fees.

- Step 3: If your [chapter/book] exclusively contains only figures/tables created by you or your co-author and therefore requires no permissions, please confirm the same to Permissions Helpdesk.

12.14.9   9. Permission Reminder Emails

Subject: Re: Permission Reminder<[Author Name] / [Chapter Title], [ISBN]>

Email Chain Pattern: - First Reminder - Second Reminder - First Chaser - Second Chaser - Third Chaser

Reminder Schedule Fields in RPC: | Field | Description | |——-|————-| | Intro Email Due Date | Initial email date | | Intro Email Sent Date | Sent confirmation | | MS Due Date | Manuscript due | | First Reminder Due Date | First reminder | | Second Reminder Sent Date | Second reminder sent | | First Chaser Due Date | First follow-up | | First Chaser Sent Date | First follow-up sent | | Second Chaser Due Date | Second follow-up |

12.15 15. File Naming Conventions

12.15.1   Permission Log Files
- [ISBN]_RPC-PermLog.xlsx

- [ISBN]_RPC-perm log-MASTER
- RPC Permission log_[Author Name] Final
- $RPC Permission log_[Author Name] Final

12.15.2   Cost Sheet Files
- [ISBN]_Cost Sheet.xlsx

12.15.3   Analysis Report Files
- Analysis Report - [Author Name]: [Title], [ISBN]

12.15.4   Figure List Files
- 21263_figlist_CPM_MRM_RP

12.15.5   Chapter Upload Files
- chapter_upload 1 - Copy

12.15.6   Permission Grants Folder
- Permission Grants (folder)

12.16 16. Workflow File Location Structure

12.16.1   OneDrive/SharePoint Path

```
Saravanan - Reed Elsevier Group ICO: Reed Elsevier Inc
└── Desktop
    └── Backup
        └── [Author Name], [Edition] - [Language]
            ├── Permission Grants/
            ├── 21263_figlist_CPM_MRM_RP
            ├── Sample RPC Permission log
            └── [Additional files]
```

12.16.2   File Types Used

Extension	Application
.xlsx	Microsoft Excel Workbook
.docx	Microsoft Word Document
.pdf	Adobe Acrobat Document
.msg	Outlook Item (Email)

12.17 17. Integration Points

12.17.1   External Systems

System	Purpose	URL
CCC RightsLink	Permission requests for non-STM publishers	s100.copyright.com
STM Permissions	Permissions between STM member publishers	stm-assoc.org
Wiley Online Library	Source content verification	onlinelibrary.wiley.com
PubMed/NIH	Source content verification	pubmed.ncbi.nlm.nih.gov
ResearchGate	Source content verification	researchgate.net
Google Search	Source verification	google.com

12.17.2   Internal Systems

System	Purpose
EMSS	Electronic Manuscript Submission System
ELSA	Elsevier Author Platform
RPC	Rights and Permissions Collector

12.17.3   Bookmarks Bar Tools (Common)

Tool	Purpose
Search-Association	Association search
ElsevierAI Pro	AI assistance
NonSolus	Reference tool
CCC	Copyright Clearance Center
Scopus - Document	Document search
ClinicalKey	Clinical reference
AGAL	Unknown
R & P Collector	RPC quick access
STM Publishers list	Publisher reference
Elsa	ELSA quick access
EMSS	EMSS quick access

12.18 18. Contributor Payments Report

12.18.1   Excel Structure

Column	Description
ROLE	Contributor role

Column	Description
PHYSICAL ADDRESS	Address
CURRENCY TYPE	Currency code
COMPENSATION AMOUNT	Payment amount
CHAPTER NAME	Chapter title
CHAPTER NUMBER	Chapter number
PRINT OR EBOOK	Format type

12.18.2 Chapter List Example

1. Introduction to Medical-Engineering Interdisciplinary Microrobotic
2. Functional Design of Microrobots
3. Actuation Systems
4. Control Strategies
5. Imaging and Feedback Modalities
6. Integrated System Framework
7. Applications for Embolization and Occlusion
8. Applications for Thrombus Removal
9. Applications for Biofilm Eradication
10. Applications for Cancer Therapy
11. Challenges and Prospects for Clinical Applications
12. Intelligent Development of Microrobotic Systems

12.19 19. Project Content Manager Report

12.19.1 Excel Columns

Column	Description
PROJECT CONTENT MANAGER(S)	Manager name
PROJECT CONTENT MANAGER EMAIL(S)	Email address
PROJECT EDITOR(S)	Editor name
PUBLICATION DATE	Date
CONTRIBUTOR FIRST NAME	First name

12.20 20. Key Contacts and Roles

12.20.1 Elsevier Team Members (from screenshots)

Name	Role	Location
Saravanan Murugan	Senior Copyrights Specialist	ELS-CHN
Subash Balakrishnan	Team Member	ELS-CHN

Name	Role	Location
Rajendrababu, Hemamalini	Team Member	ELS-CHN
Babu, Jaya Shapna	Team Member	ELS-CHN
Balu, Vinoth Kumar	Team Member	ELS-CHN
Patrick	Team Member	-
Wesley	Team Member	-
Wenchong Wang	Editorial Contact	-
Siddharth Khattri	Editorial Contact	-

12.20.2 Email Addresses

Purpose	Email
RPC Application	rpcapplication@elsevier.com
Permissions Seeking	permissionseeking@elsevier.com
Permissions Helpdesk	permissionshelpdesk@elsevier.com
Individual (Saravanan)	s.murugan@elsevier.com
Individual (Balakrishnan)	S.Balakrishnan1@Elsevier.Com

12.21 21. System Notifications and Alerts

12.21.1 External Email Warning
*** External email: use caution ***

12.21.2 Trusted Partners Notice
*** External email: use caution. Browse home.relx.com -> Trusted partners to verify this Sender ***

12.21.3 Meeting Recording Notice
Patrick invited Fireflies.ai here to record & take notes.
View Security & Privacy info: https://fireflies.ai/policy

Type:
'/ff leave' - Remove Fireflies

View Realtime notes here:
[Fireflies link]

12.21.4 Tactiq Transcription Notice
Hi, I'm transcribing this call with my Tactiq AI Extension:
https://tactiq.io/transcribing

12.22 22. Summary Statistics

12.22.1 System Capacity

Metric	Value
Total Active Projects (Sample)	47 - 2,865
Total Completed Projects (Sample)	579 - 8,890
Annual Requests	70,000
Annual Projects	6,000
Annual System Record Updates	10,000
Organization FTE	60+
Different Processes	12

12.22.2 Permission Processing

Metric	Sample Value
Total Permission Items (per project)	28-1308
Permissions to be worked	Variable
Permissions Processed	Variable
Permissions Resolved	Variable
Typical Project Duration	30 days prior to FTP

12.23 23. ELSA Platform - Additional Features

12.23.1 Permissions Files Tab

URL Pattern: `https://app.elsa.elsevier.com/document/{id}/resources/{resource-id}/edit?projectId={project-id}`

Feature	Description
Upload	Button to upload granted permissions files
Table Columns	Name, Size, Uploaded By, Uploaded Date, Placed in Document
Purpose	Upload all Granted Permissions files and supplemental files to share with co-contributors
Save Button	Saves uploaded files

12.23.2 Permission Log Tab

URL Pattern:
`https://app.elsa.elsevier.com/document/{id}/permissionlogreport?projectId={project-id}`

Column	Description
#	Row number
Owner	Person who created the report
Report	Report type (Permission Logs)
Created→	Creation date/time
Status	Waiting, Complete

- **Run Button**: Generates permission log report
- Reports are queued and status updates when complete

12.23.3 Publishing Assistant Tab

Column	Description
Name	Chapter name
Location	Section/Part location
Current Workflow Stage	Production, Draft, etc.
Word Count	Total words in chapter
Figures	Number of figures
References	Number of references
Tables	Number of tables
Boxes	Number of boxes
Callouts	Number of callouts
Permissions	Number of permission items

Download project reports button available at top of tab.

12.23.4 ELSA Project List View

URL: `https://app.elsa.elsevier.com/project/list`

Feature	Description
Search by project name	Text search field
Filter by Editor/Author	Dropdown filter
View Options	All projects, Due dates
Table Columns	Project Name, Editors/Authors, Publication Date

12.24 24. RPC Chapter Tracker - Detailed View

12.24.1 Chapter-Level Permission Tracking

Column	Description
Chapter No.	Chapter number
Chapter Title	Full chapter title

Column	Description
Authors	Chapter author names
Editor Email	Click to edit
Chapter Submitted	Yes/No/Date
Permission Received	Yes/No
Permission Status	Pending, Resolved (dropdown)
Comments	Free text field

12.24.2 Permission Status Dropdown Options

Status	Description
Pending	Awaiting resolution
Resolved	Permission obtained
Permission log and licenses yet to be received	Waiting for author submission
Permission log received, permission licenses yet to be received	Partial submission

12.24.3 Chapter Statistics Bar

Metric	Display
Total Chapter	Count (e.g., 31)
Chapter completed	Count (e.g., 31)
Chapter pending	Count (e.g., 0)
Chapter completion	Percentage (e.g., 100%)

12.24.4 Action Buttons

- Save
- Upload
- Bulk Update
- Columns (customize view)
- Export Data

12.25 25. RPC Project Documents Tab

12.25.1 Document Management Interface

Feature	Description
Upload new Document	Button to add files
Download document(s)	Button to download selected
Checkbox Selection	Select multiple documents

12.25.2   Document Table Columns

Column	Description
Document Title	Display name
File Name	System filename
Uploaded Date ↕	Sortable date column

12.25.3   Common Document Types

Document Type	Naming Convention
Chapter Zip Files	Chapter 3, 6, 8, 9, 13, 16, 20.zip
Permission Logs	Chapter 1, 4, 7 & 10 Permission Log.xlsx
AWP Files	All chapters AWP.pdf / All chapters AWP.zip
Complete Packages	All chapters Complete.zip

12.26 26. Permission Log Excel - Detailed Structure

12.26.1   Column Headers (Full View)

Column	Color Code	Description
Project ID / Publication Name	Yellow	Project identifier
Permission Status (Mandatory)	Yellow	Resolved, Pending, etc.
Chapter Title	Yellow	Chapter name
Elsevier Author Name	Yellow	Book/chapter author
Item ID (mandatory)	Yellow	Unique item identifier
Previous Edition Item ID	-	Reference to prior edition
PII/ID	-	Publication Item Identifier
Caption Title	-	Figure/table caption
Source (mandatory)	Green	Source reference
Source Chapter	-	Source chapter reference
Elsevier author and source author	Green	Combined author info
Credit Line Changes	Green	Change tracking
Original Figure Number	Green	Original reference number
Rightsholder	Green	Rights holder name
Permission Required (mandatory)	Green	Yes/No
Creator Type	Green	Author Created, Courtesy, etc.
Rightsholder Web Link	-	URL
Mode of Contact	-	CCC, Email, etc.

12.26.2   Creator Type Values

Type	Description
Author Created	Original work by chapter author
Author's Original	Same as Author Created
Public Domain	No copyright restrictions
Courtesy Of	Provided as courtesy
3rd Party Material	External copyrighted material

12.26.3   Sample Permission Log Data

Permission Status	Chapter Title	Source	Creator Type
Resolved	Soil biodiversity	Author's Original	Author Created
Resolved	Potential changes	Author's Original	Author Created
Resolved	Heavy metal mobilization	Source citation with DOI	Springer
Resolved	Managing organic	Author's Original	Author Created
Resolved	Soil as a complex	No Permission Required	Author Created

12.27 27. Credit Line Change Report

12.27.1   Excel Structure

Column	Description
Chapter Title	Chapter name
Item Id	Figure/table identifier
Caption Title	Original caption
Creditline Changes	New/updated credit line text

12.27.2   Credit Line Examples

Item	Original	Updated Credit Line
Figure 10.1	-	From Tóth, G., Montanarella, L., Rusco, E., 2008. Threats to soil quality in Europe. Joint Research Centre…
Figure 10.2	-	Adapted from the original Hassani, A., Azapagic, A., Shokri, N., 2021… used under CC BY 4.0
Figure 10.3	-	Figure was drawn to synthesize information described in the paper (Daliakopoulos, I.N., Tsanis, I.K…)

12.28 28. CCC RightsLink - Request Details Form

12.28.1 Type of Use (TOU) Options

Option	Description
Educational/Instructional Program	Academic use
Commercial	For-profit use
Internal Business Use	Company internal
Promotional	Marketing materials

12.28.2 Portion Type Options

Option
Chapter/article
Figure/table
Text extract
Full work

12.28.3 Rights Requested Options

Option	Description
Main product	Primary publication
Promotional	Marketing use
Internal	Company internal use

12.28.4 Additional Form Fields

Field	Required	Options
Distribution *	Yes	Worldwide, Specific territories
Translation *	Yes	Original language of publication, Specific language
Format	Yes	Print, Electronic, Print and Electronic
Copies for the Disabled? *	Yes	Yes, No
Page Range(s)	No	Text input
Total Number of Pages *	Yes	Number input

12.29 29. Permission Grant Documentation

12.29.1 PDF Email Format (Author Confirmation)

```
From: [Author Name] <email@institution.edu>
Sent: [Date and Time]
To: [Copyrights Specialist]
Subject: Re: Permission Reminder - [Project Title], [ISBN]

*** External email: use caution ***
```

```
All tables and figures are my original creation
[Date]

[Author Name] napsal:
Dear Dr. [Author Name],

Hope this mail finds you well!
```

12.29.2 Confirmation Statement Templates

Type	Statement
Original Creation	"All tables and figures are my original creation"
Figure Replacement	"The authors of Chapter [X] want to replace [figure]. The attached figure is original; therefore, no permission is required."
No Third-Party Content	"My [chapter/book] exclusively contains only figures/tables created by me or my co-author and therefore requires no permissions"

12.30 30. Editorial System (editorial.elsevier.com)

12.30.1 URL

```
https://editorial.elsevier.com/app/book?execution={id}
```

12.30.2 All Other Contributions Assigned To Me View

Column	Description
MANUSCRIPT AUTHORS	Author names
CURRENT STATUS DUE DATE	Status with deadline
PREVIOUS WORKFLOW STEP	Prior stage
LAST SENT	Date last action

12.30.3 Status Indicators

Color	Meaning
Green squares	On track
Orange squares	Attention needed
Red flag	Overdue/urgent

12.30.4 Workflow Steps

Step	Description
PM	Project Manager review
Creation	Initial creation
Production	In production

12.30.5 Sample Book Chapters (Carbon Nano-onions Project)

1. For internal Elsevier use only

2. Preface
3. 1: Carbon nano-onions
4. 2: Carbon nano-onions derived nanocomposites
5. 3: Advancements in carbon nano-onions reinforced conjugated matrix nanocomposites
6. 4: Cutting-edge thermoplastic nanocomposites with carbon nano-onions nano-additives

12.31 31. Permission Logs Report (ELSA Export)

12.31.1 Report Header
```
Selected Parameters:
Project Id: [Project GUID]

Permission Logs Report for a Project
```

12.31.2 Report Columns

Column	Description
Project ID / Publication Name	Full project name
Permission Status (Mandatory)	No Permission Needed, Resolved, etc.
Chapter Number	Chapter number
Chapter Title	Full chapter title
Elsevier Author Name	Chapter author

12.31.3 Status Values in Report

Status	Meaning
No Permission Needed	Original content, no third-party material
Resolved	Permission obtained
Pending	Awaiting response

12.32 32. Tier 1, 2, and 3 Workflow Details

12.32.1 Tier 1 (Author Obtains All)
1. Author obtains all permissions
2. Author provides completed permission log
3. CS validates log completeness
4. CS uploads logs and files to RPC

12.32.2 Tier 2 (Author Provides Log, CS Obtains)
1. Author provides permission log identifying items needing permission
2. CS reviews and validates log

3. CS contacts rightsholders to obtain permissions
4. CS tracks responses and chasers
5. CS uploads completed logs and files to RPC

12.32.3   Tier 3 (Full Service)

1. Author submits manuscript only
2. CS reviews manuscript for third-party content
3. CS creates permission log from scratch
4. CS identifies all items requiring permissions
5. CS contacts all rightsholders
6. CS tracks all responses
7. CS uploads completed logs and files to RPC

12.32.4   Tier 4 (HS Full Service)

Same as Tier 3, specifically for Health Sciences division with additional complexity handling.

12.33 33. ELSA Support Resources

12.33.1   Help URLs

Resource	URL
ELSA FAQ	https://service.elsevier.com/app/answers/detail/a_id/17532/
ELSA Support Hub	https://service.elsevier.com/app/home/supporthub/elsa/
ELSA Support Email	elsasupport@elsevier.com

12.33.2   ELSA Chapter Status Indicators

Icon	Status	Description
Red circle	Not Started	Chapter not begun
Orange circle	Draft	In draft stage
Yellow circle	Staff Review	Under editorial review
Green circle	Production	In production
Blue checkmark	Complete	Chapter finished

12.34 34. Project Statistics Summary

12.34.1   Sample Project: Medical-Engineering Interdisciplinary Microrobotic Systems

Metric	Value
Total Chapters	12
Chapters in Production	6

Metric	Value
Word Count Range	1313 - 2318
Figures per Chapter	3-18 inserted
References per Chapter	0-13
Tables per Chapter	0-3 inserted
Expected Callouts	0-18
Permissions per Chapter	4-21

12.34.2 Sample Project: Hospital and Healthcare Security

Metric	Value
Total Chapters	31
Chapters Completed	31
Chapters Pending	0
Completion Rate	100%

12.34.3 Sample Project: Applied Sports Analytics

Metric	Value
Publication Date	01-Nov-26
ISBN	9780443490682
Status	In Production
Sections	Multiple (I, II)
Chapters	The Evolution of Sport Analytics, The Pythagorean Theorem of Sports, Applying the Pythagorean Theorem, Correlation, etc.

12.35 35. Chapter Document Format (Word)

12.35.1 Standard Chapter Structure

```
1    Chapter

2    INTRODUCTION TO [CHAPTER TITLE]

3    [SUBTITLE IF APPLICABLE]

4    [Blank line]

5    [Author Name] [Credentials]

6    [Address Line 1]

7    [Institution/Organization]
```

8   [Email Address]

12.35.2   Author Credentials Format

Component	Example
Name	Paul J. Newey
Degrees	MBChB (Hons) BSc (Hons) DPhil MRCP
Position	Mailbox 12, Level 5, Division of Molecular & Clinical Medicine
Institution	Ninewells Hospital & Medical School, University of Dundee
Location	UK, DD1 9SY
Email	p.newey@dundee.ac.uk