The Association of American University Presses

2009-2010 Annual Report
FROM THE PRESIDENT

Most observers would say that 2009-2010 was a terrible year for the university press community. We endured a second year of global recession. Academic libraries, a major market for most AAUP members, continued to operate under budget stagnation or absolute budget cuts. Universities, who subsidize many member presses, faced declines in state aid and decreases in endowment income, and many passed along these budget constraints to their university presses. An informal survey conducted in February revealed that about half of AAUP’s member presses had reduced the size of their staffs through layoffs, early retirements, or by leaving open positions unfilled.

Without denying these hardships, I think that many press directors feel a sense of relief that their operations did survive 2009-2010 as well as they did. Consider these pieces of good news. Sales of university press books, according to AAUP’s consolidated sales statistics (from 66 reporting presses), were tracking 3% above prior year and 2.8% above budget for the nine months ended March 2010. Anecdotal reports suggest that combined print and electronic subscription revenues for university press journals held steady for 2010. Yes, there have been economic difficulties, but the talk on our email lists is about innovation: e-books, creative types of university publishing partnerships, and techniques for educating one another in new technologies.

Several AAUP committees worked together to find efficient ways to support the membership in 2009-2010. Early on, the Annual Meeting Program Committee (Greg Britton, Getty, Chair) coordinated planning with the Professional Development Committee (Nicole Mitchell, Georgia, Chair) and with the Business Systems Committee (Anna Weidman, California, Chair). In prior years, birds-of-a-feather groups have offered separately timed and located training opportunities, and these have served the membership well. Faced with a new climate, business managers agreed to hold the Financial Officers Meeting in tandem with our 2010 Annual Meeting. This meeting and the pre-meeting workshops were scheduled by committees for Thursday, June 17, to help lessen the travel costs for members who wish to attend both the annual meeting and one of these pre-meeting events. The AAUP central office staff supported this plan with a prompt announcement and marketing plan. By tailoring the offering to the probable
budgets of the membership, AAUP aims to encourage a level of participation that will be beneficial for the participating members and for the association.

The evolution in scholarly communication overall continued to offer both opportunity and occasionally, threat to the university press sector. The Board appointed a Task Force on Economic Models for Scholarly Publishing (Lynne Withey, California, Chair) to study these matters and eventually to offer a report and recommendations. This Task Force received excellent support and information from member press directors.

The recession created new and reinforced ongoing financial pressures on some presses. These sorts of pressures have in the past led some universities and institutions to consider closing their presses. The Board appointed a Task Force on the AAUP Crisis Management Toolkit (Tom Bacher, Akron, Chair) to draft some documents that might help directors face these types of problems. This Task Force completed its work last fall, and the resulting Toolkit was posted on the AAUP web site.

The AAUP Board and Executive Director monitored governmental actions that had the potential to affect AAUP member presses. In December the White House Office of Science and Technology Policy (OSTP) requested comment from the public on several questions related to “public access to archived publications resulting from research funded by Federal science and technology agencies.” The request for comment included a general description of the National Institutes of Health (NIH) Open Access Policy and then a request for answers to nine specific questions. The AAUP Board, believing a response appropriate in this instance, studied and eventually endorsed a report on the same subject that had been issued by the Scholarly Publishing Roundtable (convened by the House Committee on Science and Technology). This report included some guiding principles and recommendations for next steps that would increase access options but yet respect the interests of all parties in the system. We felt that it was appropriate to reply to the OSTP with a general statement that endorses the Roundtable Report and offers AAUP’s assistance to government agencies in future efforts to develop public access guidelines.

Yes, this was a difficult year for AAUP member presses and their association. Throughout it, though, I believe we were all encouraged and buoyed by the intelligence, energy, and community spirit of our members.

— Kathleen Keane
University presses publish books, journals, and electronic media on the cutting edge of knowledge and research, and in so doing they serve society at large by broadening our shared understanding of history, science, literature, society, art, and culture. The Association of American University Presses (AAUP) was established in 1937 to help these presses do their work more economically, creatively, and effectively. The association accomplishes these goals by providing cooperative marketing activities, offering professional development programs, performing statistical research and industry analyses, representing the interests of its members to other organizations and government agencies, reporting to its members on pertinent legal and regulatory issues, and informing the general public about the role and significance of scholarly publishing.

AAUP also provides an organizational framework for collaboration among its members. During the 2009-2010 program year, over seventy-five volunteers from member presses sat on the association’s committees and task forces. These volunteers, helped by their friends and colleagues, carried out many aspects of the association’s work. The Board of Directors, made up of thirteen people selected from the staff of member presses and the Executive Director, developed policy and provided guidance. A staff of eight working out of the central office in New York City managed the association’s programs and coordinated its work with that of its committees.
FROM THE EXECUTIVE DIRECTOR

Although the economy has improved from last year, tax receipts are still down, the pressure on state budgets remains, and endowments are still well below their levels of two years ago. Many presses have had reductions in university support, and some have had to go through painful reorganizations. Nevertheless, most presses have been meeting their financial targets, with a few reporting significant growth in sales.

AAUP continues to work to provide needed services to its members. There has been some internal reorganization: Kim Miller, Meredith Benjamin, and Linda McCall have divided the responsibilities for the marketing programs among them, and successfully manage the Cooperative Advertising Program, the Clipping Service, and the University Press Books for Secondary and School Libraries bibliography.

There have also been a number of new developments. Brenna McLaughlin has negotiated agreements with vendors for programs that AAUP members can participate in at favorable rates. In addition to Tizra and Impelsys, we now have new agreements with Edelweiss, an electronic catalog platform, and NetGalley, a secure platform for providing electronic galleys to reviewers. New programs are constantly being reviewed and evaluated.

In April we held our first web seminar, “XML Workflow Case Study: The University of Michigan Press.” Organized by the Professional Development Committee with strong staff support from Susan Patton, it was an outstanding success, with 70 subscribers and up to six participants at each workstation. Plans are underway for more web seminars in 2010-11.

In May we hired a web services consulting firm, little b/Confluence, to reorganize and redesign the AAUP web site to give us cleaner, easier-to-use architecture and a more attractive interface. This is the first overhaul of the web site since it was launched almost 10 years ago; work has just started, and we anticipate having a beta site ready for testing in the fall.

Financially, last fall we hired a new firm to provide accounting services. To bring us up to date they were required to file an audited financial statement with New York State for the year that ended March 31, 2009. The cost of the audit had not been included in the 2009 budget but had to be charged against that year’s expenses,
which changed the year-end result from a surplus of $8,000 to a deficit of $13,000. However, because of all the economic uncertainties we had conservatively budgeted a deficit of $27,470 for this year; instead we have a surplus of $15,146, and anticipate a positive financial result for 2011.

—Peter Givler

**EXTERNAL RELATIONS**

AAUP continues to work with a wide variety of national and international organizations on copyright, freedom of speech and publication, and other issues related to scholarly publishing.

Peter Dougherty (Princeton) is the university press representative to the Board of the Association of American Publishers (AAP), and Niko Pfund (Oxford) is a member of the Executive Committee of AAP’s Professional and Scholarly Publishing Division (PSP). President-Elect Richard Brown attended the AAP/PSP annual meeting in February. AAUP staff sit on AAP’s Copyright and Freedom to Read Committees. Staff at AAUP member presses also sit on various AAP and PSP division committees: Copyright, Copyright Education, Public Issues Task Force, Electronic Information, and Books.

Kathleen Keane served as a panelist for a web seminar on “Open Access and AAA (American Anthropological Association) Publishing.” Past-President Alex Holzman (Temple) spoke to the 7th International Congress of Latin American University Presses, a meeting held concurrently with the 2009 Bogotá Book Fair.

Peter Givler continues as President of the International Federation of Scholarly Publishers (IFSP), as a member of the Executive Committee of the International Publishers Association (IPA), and as Chair of IPA’s Copyright Committee. Last October in Frankfurt, in addition to attending meetings of these organizations, he spoke at the inaugural meeting of the European University Press Association, attended by about 50 representatives from university presses in 13 European states. He was a member of the Organizing Committee for the 7th quadrennial IPA Copyright Symposium in Abu Dhabi, held February 28 - March 1, where he presented data about AAUP members’ e-publishing projects on one panel and moderated two others. With
other IPA officers he attended a series of meetings on
copyright exceptions at the World Intellectual Property
Organization (WIPO) in Geneva in April.

Mr. Givler served as a consultant on the future of
scholarly publishing for the University of Washington
Graduate School, and presented a paper on digital
publishing by AAUP member presses at a conference
at the University of British Columbia. The Secretary of
Education has appointed him to an Advisory Commission
on Accessible Instructional Materials in Postsecondary
Education for Students with Disabilities, a Commission
created under the Higher Education Opportunity Act.

The association filed public comments in the White
House OSTP’s “Public Access Policy Forum.” The OSTP
sought “public participation in thinking through what
the Federal government’s policy should be with regard to
access to published research results from studies funded
by other Federal agencies.” In July 2009, the association
joined librarians, other publishers, and media groups in a
brief in U.S. v. Stevens. The amici argued that the law at
issue (18 U.S.C. § 48) created an overbroad exemption
to the First Amendment, effectively establishing a broad
new category of unprotected speech. That argument
was key to the Supreme Court’s April 2010 decision to
overturn the statute.

The association continues its collaboration
with the Society for Scholarly Publishers (SSP) on
an occasional web seminar series. Seminars have
been held on “Open Access: What We Know Now,”
“New Markets for E-Content: How to Package and
Disseminate Your Scholarly Content for Maximum
Impact in a Digital World,” and “How to Combat
Digital Piracy on a Budget.”

AAUP is an active member of the National
Humanities Alliance (NHA). The association is a
participating sponsor of NHA’s annual Humanities
Advocacy Day, a day of grassroots lobbying in
Washington on behalf of the National Endowment for
the Humanities (NEH) and the National Historical
Publications and Records Commission (NHPRC).

AAUP is a member of the Book Industry Study
Group (BISG), and is represented on its Board by Tim
Muench. BISG and the Green Press Initiative (GPI)
founded the Book Industry Environmental Council
(BIEC) in 2008. Brenna McLaughlin (AAUP) and
Julia Fauci (Northern Illinois University Press) have
represented AAUP on the Council. The association
is also a member of the GPI and the Free Expression
MEMBER PRESS PROMOTION
The association advances the work of its members through the following programs:

The Book, Jacket, and Journal Show
This annual design competition and traveling exhibit honors the design and production teams whose work furthers a long tradition of excellence in book design, and — through a traveling exhibit and acclaimed annual catalog of selected entries — visually teaches the tenets of good design. The show recognizes achievement in the design, production, and manufacture of books, book jackets, and journals, and provides a source of discussion and ideas for creative and resourceful bookmaking.

More than 70 presses submitted a total of 289 books, 292 jackets/covers, and 7 journals. From these entries, 53 books (13 in Scholarly Typographic, 11 in Scholarly Illustrated, 6 in Trade Typographic, 14 in Trade Illustrated, 5 in Poetry and Literature, and 4 in Reference), 1 journal, and 36 jackets/covers were selected for the 2009 Show.

The 2009 Show, which was unveiled at the 2009 Annual Meeting in Philadelphia, was exhibited at 37 university presses and trade associations across the United States and Canada between September 2009 and May 2010.

Books for Understanding
www.booksforunderstanding.org
The Books for Understanding program remains an important part of the association’s public outreach—informing librarians, journalists, and the wider public of the valuable information and scholarship produced by university presses. Bibliographies on Cuba and Iran have been published, as well as revised and updated versions of “U.S. Poets Laureate” and “New York City.” The “Books of Note” feature continues to highlight individual titles that resonate with stories of the day.
RESOURCES AND INDUSTRY INFORMATION
AAUP’s Web site, publications, and surveys provide valuable information to its members and the scholarly publishing community.

Web Site (aaupnet.org)
AAUP continues to enhance and expand the information and resources available through its web site, aaupnet.org, to both members and other partners in scholarly communications. AAUP makes available committee reports, essential program information, and industry resources through both its public and members-only web sites. The association is committed to enhancing its web presence and online services to members, and will undertake a comprehensive redesign of aaupnet.org in the coming year.

AAUPWiki (aaupwiki.princeton.edu)
The AAUPWiki, founded in 2006 by the Electronic Committee and hosted by Princeton University Press, continues to grow as a repository of AAUP-member knowledge. Conference knowledge is added annually, and new resources compiled. The content of the AAUPWiki is open; registration is required to add and edit content.

Publications
The Exchange
AAUP publishes a quarterly newsletter, The Exchange, featuring articles on initiatives at member presses and other industry news. The Exchange is an online-only publication at www.aaupnet.org/exchange/, with free RSS feed and email subscriptions available to members and the general public.

AAUP bulletin
The bulletin is a monthly update on AAUP programs and activities distributed via e-mail to subscribed staff at member presses. An archive of issues dating to March 2003 is available in the members-only section of AAUP’s web site.
AAUP Directory
The 2010 AAUP Membership Directory was published in January. The directory contains contact information for key staff at member presses and partner companies, information on press publishing programs, and guidelines for manuscript submissions. In 2010, the AAUP Directory was also made available in a digital edition. The University of Chicago Press distributed both the print and electronic editions of the directory. Production of the directory was donated by Thomson-Shore, Inc.

Surveys
The association continues to produce the Annual University Press Statistics and a Quarterly Sales and Returns Survey.

Markets Analysis
AAUP members have access to the following sales analysis tools at discounted rates:
- Publisher Alley is an online database of inventory and sales information for Baker & Taylor, one of the largest library jobbers. Publisher Alley now tracks information on titles included in select Books for Understanding bibliographies.
- Nielsen BookScan is a database that tracks point of sale information from major retailers; the Nielsen BookScan Barnes & Noble Feed is also available.

Digital Publishing in the AAUP Community
In October and November of 2009, AAUP conducted a survey of members on digital publishing efforts. In addition to updating our online listing of major e-publishing projects, we surveyed members on several questions pertaining to digital book publishing. The report summarizing what we learned is now publicly available online at www.aaupnet.org, as is an updated directory of members’ digital publishing projects. Some of the key findings included: nearly 80% of AAUP members offer some form of free content on their web sites; more than 90% work with the Google Books Partners program; almost 44% are incorporating XML into some point of the production workflow; and approximately 83% of AAUP publishers find the lack of proven business models to be a serious concern in pursuing e-publishing.
Crisis Management Toolkit
In recent years there have been several instances of university presses confronted with a sudden threat of withdrawal of parent university support. A Task Force consisting of Tom Bacher (Chair, University of Akron Press), Meredith Babb (University Press of Florida), and Will Underwood (Kent State University Press) volunteered to develop materials that might help press directors manage a support crisis. The Task Force’s guide to managing such crises is the keystone of a new “Toolkit” available in the members-only web site.

DIGITAL PUBLISHING SERVICES

Tizra
AAUP members are eligible for a significant discount on the Tizra Publisher platform for e-book sales and distribution. A hosted e-book solution, Tizra Publisher is designed for ease of use and flexibility to experiment with various sales models. In October 2009, Tizra partnered with MIT Press to offer an online web presentation of how MIT built an e-book collection offering with Tizra Publisher.

iPublishCentral
Impelsys offers AAUP members discounted rates on the services and features of iPublishCentral. iPublishCentral is designed to enable publishers to market, distribute, and deliver their content online in a simple, self-serve, and cost-effective manner. Introduced in July 2009, this member benefit program offered a special incentive for AAUP members who sign a contract in the first year: Impelsys is waiving their monthly hosting fees for the first twelve months.
**Edelweiss**
A new cooperative benefit program announced in January 2010, AAUP members receive discounted rates for the Edelweiss online interactive publisher catalog service that enhances or replaces the use of traditional hard-copy publisher catalogs. Edelweiss has offered regular introductory web demos of the service; a number of AAUP members already publish e-catalogs through the system. AAUP members who sign up through 2010 are eligible to upload backlist titles for free.

**NetGalley**
The most recent addition to AAUP’s slate of e-publishing member benefit discount programs launches in June 2010, offering members discounted access to the NetGalley digital galley service. Online demonstrations of the product for AAUP members will be scheduled throughout the summer of 2010.

**Copyright Infringement Portal**
Online piracy is a persistent concern for the publishing industry. Offenses range from web sites offering infringing copies of works for download, through peer-to-peer file sharing of infringing copies and password bootlegging, to the commercial sale of counterfeit copies of publications. The Publishers Association (PA) of the UK has worked to develop a Copyright Infringement Portal to help publishers and trade associations tackle these threats in an appropriate and effective manner. The PA offers AAUP members a 50% discount to use this anti-piracy tool.
COOPERATIVE MARKETING PROGRAMS

University Press Books Selected for Public and Secondary School Libraries

The 19th edition of *University Press Books for Public and Secondary School Libraries* was published in cooperation with a committee of librarians from the Public Library Association (PLA) and the American Association of School Libraries (AASL). 62 presses submitted 439 titles in various subject areas for consideration. The bibliography was mailed to 12,225 public and secondary school librarians, with additional copies distributed at state and national library meetings, including the American Library Association (ALA) Annual Conference. The bibliography is publicized through the Vertical File Index and a number of school and public librarian email lists. The bibliography and archives of previous editions are available online at www.aaupnet.org/librarybooks.

At the 2009 ALA Annual Conference in Chicago, AAUP coordinated the program “The Best of the Best from the University Presses: Books You Should Know About.” Five AASL and PLA member librarians presented 21 titles they had recently reviewed for the 19th edition of *University Press Books*. The program featured complimentary copies of the bibliography and a book raffle for attendees and was taped by C-SPAN2 for BookTV. The next “Best of the Best from the University Presses” program is scheduled for June 27, 2010, at the ALA Annual Conference in Washington, DC.

Cooperative Publicity Program

The Cooperative Publicity Program enables participating presses to track their publicity efforts at a reduced cost. BurrellesLuce is a media monitoring service that scans more than 18,000 U.S. and international print publications, news broadcasts, and Internet media sources for book reviews and articles. Digital clips for 37 participating presses are sent to the central office, where they are sorted and distributed via email.
Cooperative Advertising Program
The association continued its cooperative advertising program, offering discounted rates to AAUP members on print and online advertising. Beginning in 2010, ad communications were streamlined by making rate cards and program information available online. Publications in the cooperative program are:

- The American Interest
- The Atlantic
- Baker & Taylor Catalogs
- BOMB
- Bust
- Chicago Reader
- Gay & Lesbian Review
- Harper’s
- Inside Higher Ed
- The Jewish Week
- New Left Review
- The New Republic
- New York Times Book Review
- New York Times Daily
- Parabola
- Psychology Today
- Tikkun
- Utne Reader

Cooperative Exhibits

BookExpo America (BEA)
BookExpo America 2009 was held May 29-31 at the Jacob Javits Center in New York City. AAUP staffed a cooperative booth that featured 44 titles from 14 member presses. A book raffle was held to promote the titles.

Modern Language Association (MLA)
The 2009 MLA Convention took place December 27-30 in Philadelphia. The AAUP Cooperative Booth featured listings from 19 member presses, with more than 140 books and 13 journals on display. AAUP member presses had a strong presence at the exhibit, with 34 AAUP member presses exhibiting in their own booth spaces, in addition to those sharing the AAUP cooperative booth.
**London Book Fair**

AAUP again partnered with Reed Exhibitions to offer discounted exhibit space within an AAUP-branded “Pavilion” at the London Book Fair. In 2010, 12 member presses were registered to participate in the stand. The volcanic ash that closed European airspace in April prevented many presses from attending the Fair. Reed Exhibitions and AAUP are discussing whether the AAUP Pavilion will be continued in 2011. However, the London Book Fair is offering all 2010 exhibitors a significant discount on space for 2011. For the AAUP Pavilion, Reed offers the exhibiting packages, plans the space, and handles all reservations and billing; AAUP provides a staff member for organizational support during the fair.

**PROFESSIONAL DEVELOPMENT PROGRAMS**

**Annual Meeting**

The 2009 Annual Meeting was held June 16-19 in Philadelphia, with almost 500 individuals in attendance. The program committee, co-chaired by Holly Carver (Iowa) and Lain Adkins (Southern Illinois) developed the program around the theme “Only Connect.” The committee developed four plenary sessions with connecting concurrent sessions that further addressed plenary topics. The program also featured “Best Practices” sessions for press departments designed to benefit both new staff and seasoned professionals.

Annual Meeting Grants

In 2009, three programs provided funding for qualified staff to attend the annual meeting.

The Carol Franz Memorial Grant was established in memory of Carol Franz, longtime Associate Director of AAUP. Grants were awarded to staff with less than 3 years experience at an AAUP member press. The following individuals received a 2009 Carol Franz Memorial Grant: D. Jeddie Smith, LSU Press
Kathleen Kornell, University of Illinois Press

The Mrs. Giles Whiting Foundation and AAUP provided grants for members of underrepresented groups to attend the annual meeting. The following individuals received Whiting Diversity Grants in 2009:
Ciara McLaughlin, NYU Press
Stephanie Williams, University Press of Florida

The Whiting Annual Meeting Newcomer Grant for registration was awarded to staff who had never attended an AAUP Annual Meeting. The following individuals received 2010 Newcomer Grants:
Gabrielle Bégné, NYU Press
Siobhan Ann Byrns, University Press of Kentucky
Christopher Caldwell, University of Wisconsin Press
Annelise Finnegan, Syracuse University Press
Abby Freeland, West Virginia University Press
Karla Garrett, Baylor University Press
Danielle Kasprzak, University of Minnesota Press
Kim Mahrt, University of Nebraska Press

Workshops

AAUP’s Professional Development Committee arranged for two workshops to be held in advance of the annual meeting in Philadelphia.

Rights and Permissions in a Digital Marketplace

28 individuals registered for this workshop organized by Vicky Wells (North Carolina) and Steve Cohn (Duke). Attendees learned how to generate and preserve rights income while disseminating information to the wider community in a rapidly changing environment.

The following companies sponsored the workshop and kept costs low for attendees: ebrary, Questia, Read How You Want, netLibrary, and the Copyright Clearance Center.
**Electronic Marketing**
Tony Sanfilippo (Penn State) organized this workshop attended by 38 individuals. Topics covered included email marketing, blogging and social networks, podcasts, and book promotion.

**Web Seminar**
In April 2010, AAUP hosted its first web seminar, “XML Workflow Case Study: The University of Michigan Press.” The seminar was organized by members of the AAUP Professional Development Committee and moderated by Kristin Harpster Lawrence (Wayne State). Presenter Karen Hill took attendees through Michigan’s implementation of an XML workflow, from the decision to undertake the shift to its effect on different press departments. There were approximately 70 registered seats for the workshop, with many registrations including groups of participants.

**Whiting Week-in-Residence**
This program, funded by the Mrs. Giles Whiting Foundation, helps staff refine or learn new skills by spending time with colleagues at other member presses. Participants spend five days at another press, where they observe procedures and talk with staff. Residents return to their home presses with new knowledge and new perspectives on how to tackle challenges.

The Professional Development Committee, chaired by Nicole Mitchell (Georgia) administered the program and selected the participants. The following individuals were selected to participate in 2009:
Barbara Berlin, University of Nevada Press
Sara Davis, Harvard University Press
Lauren Sutton, University Press of Kentucky
Steven Yates, University Press of Mississippi
Operating Income:
  Membership services $236,278
  Exhibits program  10,727
  Marketing programs  466,978

Total Operating Income  713,982

Operating Expenses:
  Membership services  263,296
  Exhibits program  13,665
  Marketing programs  463,244

Total Operating Expenses  740,205

Operating Gross Margin /(Deficit):
  Membership services  (27,018)
  Exhibits program  (2,938)
  Marketing programs  3,734

Total Gross Margin /(Deficit)  (26,222)

Dues Income  921,757

Gross Operating Income  895,534

Communications Expenses  133,157
Administrative Expenses  814,379

Total Admin./Comm. Expenses  947,536

Operating Income/(Deficit)  (52,002)

Non-Operating Income:
  Grants management  0
  Quasi endowment income  65,000
  Bank interest  2,148

Total Non-Operating Income  67,148

Net Income for the Year/(Loss)  15,146

Operating Fund Balance –
  April 1, 2009  350,533
  March 31, 2010  365,679
# COMPARATIVE BALANCE SHEET

*(preliminary version)*

## Assets

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<td>Cash</td>
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<td><strong>Liabilities</strong></td>
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<td><strong>Total Liabilities and Fund Balances</strong></td>
<td>1,219,468</td>
<td>1,323,958</td>
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AAUP MEMBERS
Abilene Christian University Press
The University of Akron Press
The University of Alabama Press
University of Alaska Press
The University of Alberta Press
The American University in Cairo Press
American Historical Association
The American School of Classical Studies at Athens
Amsterdam University Press
The University of Arizona Press
The University of Arkansas Press
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