The book publications of the Nobel-Prize economists and the leading book publishers of the discipline. A bibliometric analysis

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14 October 2015

Arno Tausch

Abstract:

Recent contributions in the expanding discipline of scientometry and bibliometrics have started to study not only the "impact" of publications in journals, but also in books. This methodology can be applied to individual authors or even to the "impact" of entire publishing companies. One basic idea of this kind of analysis is simple, not to say downright vulgar. Is a book or book series important, it must be surely not only be cited internationally, but it also must be physically or electronically present in a library, because after all, scientists and students will want to work with the book. Such comparisons can use the information, provided by the open-access version of the OCLC "Worldcat". The global union catalog OCLC was founded in America in 1967 and today integrates library collections in 113 countries around the world. OCLC Classify can pinpoint with accuracy how many libraries in the world - from northern Norway to Chile, and from California to Europe and Africa to Australia, including Russia and India - have copies of the scientific work x or y in their inventory; and the system also ranks the works of each global author by the number of global libraries, holding the item. Adam Smith's classic "An Inquiry Into the Nature and Causes of the Wealth of Nations" manages to be held in 41051 libraries; and William Shakespeare's "The tragedy of Romeo and Juliet" in 39911 libraries.

Among the possible new indicators to measure the impacts of books or book series we also designed a new measure, based on the check-out rate according to the Harvard-Hollis catalog, reflecting the use of a book/book series in the largest academic library in the world, offering clues to the de-facto reading habits of the university community, which accounts for more than 1 out of 6 academic trajectories of Nobel Prize winners.
Applying the logic of the Harvard catalogue to two leading German economists, we realize for example that Hanns-Werner Sinn from CESifo Institute in Munich and Marcel Fratzscher from the German Institute for Economic Research in Berlin both receive an astonishingly high check-out rate of their works among the Harvard academic community. The Hollis catalog easily provides us also with information according to which the check-out rate of books that have been published by Cambridge University Press is somewhat higher than that of Princeton UP or Chicago U.P. et cetera.

In our paper, we then analyze the library holding and publishing patterns of the Nobel laureates in economics, 1994-2014. More than 50% of their best and second most widely globally held book publications were concentrated among just 8 publishing companies, all of which are known by their rigorous peer-review

1) Cambridge University Press
2) Princeton University Press
3) Harvard University Press and affiliates
4) Cambridge, MA: National Bureau of Economic Research
5) Oxford University Press
6) New York: W. W. Norton
7) University of Chicago Press
8) University of Minnesota Press

We then briefly discuss the previous rankings of publishing companies already published in the literature, mainly the ranking by the Dutch Science Consortium SENSE, and the University of Granada ranking system, which relies on the newly created Thomson-Reuters "Book Citation Index". The Granada ranking puts Springer, Palgrave Macmillan, Routledge, Cambridge University Press, Elsevier, Nova Science Publishers, Edward Elgar, Information Age Publishing, Princeton University Press and University of California Press among the best-placed publishers. Our own multivariate attempt is based on a UNDP-type of Index, combining

* the publication of the results of science
* citations and standing in the academic community
* market penetration in two typical industrialized Western countries
* attention given to the published books by international decision-makers
* market penetration in developing countries
* attention received in the international media

The 6 main indicators for the 57 companies with complete data are each based on the following sub-indicators:
* Publication of the results of science

- Number of books and book chapters in the Thomson Reuters Book Citation Index
- Quotations from books and book chapters in the Thomson Reuters Book Citation Index
- Harvard Library: Number of available titles (books only)
- Number of quotations in the books, contained in the full-text Questia Books library

* Citations and standing in the academic community

- Average citations - Books and book chapters by the Thomson Reuters Book Citation Index
- Standard deviation of citations - Books and Book Chapters: Thomson Reuters Book Citation Index
- Sense quality indicator
- Harvard HOLLIS ratio of books that are checked out, per total stock of books available in the Harvard HOLLIS catalog
- Average citations - Books in Thomson Reuters Book Citation Index
- Number of citations in the books, contained in the full-text Questia Books library

* Market penetration in two typical industrialized Western countries

- Japanese NACSIS catalog – best book: maximum Library Outreach of the publishing house in Japan
- Japanese NACSIS catalogue - top 200th book: maximum Library Outreach of the publishing house in Japan
- Swedish LIBRIS - best book: maximum Library Outreach of the publishing house in Sweden
- Swedish LIBRIS top 50th book: maximum Library Outreach of the publishing house in Sweden

* Attention to the books by international decision-makers

- How many titles are available in the EU Commission Brussels ECLAS catalog?
- How many titles are available in the World Bank / IMF JOLIS library catalog in Washington?

* Market penetration in developing countries

- How many titles are available in the Union Catalogue of Indian Libraries (IndCat (India) General Catalogue)?
*attention in the international media*

- Number of references about the company in leading international magazines such as Time, Newsweek, etc. - Questia
- Number of references about the company in newspapers like the New York Times, etc. - Questia

Based on the results of our study, the leading book publishers with a high relevance for the economic discipline are:

1. Springer
2. Oxford University Press
3. World Bank
4. Routledge
5. Cambridge University Press
6. Princeton University Press
7. Elsevier
8. MIT Press
10. University of California Press
11. CRC Press
12. Palgrave Macmillan
14. Yale University Press
15. Brill

**Keywords:** JEL classification: F5 - International Relations and International Political Economy; F50 – General; M3 - Marketing and Advertising; M30 - General

**JEL-codes:** F15, F50, M3, F5, M30

Der Grundgedanke dieser Art von Analyse ist einfach, und geradezu vulgär. Ist eine Schrift/Buch/Buchserie wichtig, muss sie doch wohl international nicht nur zitiert werden, sondern sie muss auch physisch in einer Bibliothek vorhanden sein, weil ja schließlich WissenschaftlerInnen und Studierende mit ihr arbeiten sollen, und sich ihre Bestellwünsche irgendwann einmal auch in Bestellvorgänge in der Bibliothek manifestieren werden. Je höher die Präsenz einer Schrift in den weltweiten Bibliotheken ist, desto wichtiger ist sie für die internationale Debatte. Und je besser es einem Verlag gelingt, seine Produkte in verschiedenen Bibliothekssystemen zu platzieren, desto durchschlagsfähiger ist er. ¹

Zu den möglichen neuen Indikatoren zur Beantwortung des Impacts von Büchern oder Buchserien oder ganzen Verlagen zählt zweifelsohne auch die Ausschöpfung aller Möglichkeiten des Harvard Hollis Katalogs, ² der nicht nur über die Bibliotheksbestände und den Anteil der peer-reviewed publications per Gesamtpublikationen eines Autors oder eines Verlags an dieser größten akademischen Bibliothek der Welt gibt, sondern auch einen tiefen Einblick in das Leseverhalten jener Universitäts-Community, die mit Fug und Recht als die „Kaderschmiede“ künftiger NobelpreisträgerInnen zu bezeichnen ist. ³ Wie ist nun der Katalog für unsere Fragestellungen zu nutzen?


² http://hollis.harvard.edu/primo_library/libweb/action/search.do?mode=Advanced&ct=AdvancedSearch&dscnt=0&dstmp=1444385530420&vid=HVD
Bei Verlagen lässt sich nun ähnlich verfahren:
Der Hollis-Katalog liefert dann z. B. für drei führende Buchverlage die Information, dass der Nutzungsgrad von Büchern, die bei Cambridge University Press publiziert wurden, etwas höher liegt als der von Princeton U. P. oder Chicago U. P.

<table>
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<tr>
<th></th>
<th>total holdings</th>
<th>not checked out</th>
<th>checked out</th>
<th>ratio checked out/total holdings</th>
</tr>
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<tr>
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<td>683</td>
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<td>Chicago University Press</td>
<td>12838</td>
<td>12039</td>
<td>799</td>
<td>6,22</td>
</tr>
</tbody>
</table>


Nun mag man/frau einwenden, dass solche Versuche, den wissenschaftlichen Erfolg von ForscherInnen durch bibliometrische Methoden zu messen, sich vor allem auch daran messen lassen müssen, wie die wirtschaftlich oder wissenschaftlich erfolgreichsten WissenschafterInnen der Welt in solchen bibliometrischen Vergleichen aufscheinen.

Nehmen wir zunächst den wirtschaftlichen Erfolg und messen wir ihn völlig vulgär mit dem Jahresgehalt. Jene 5 ProfessorInnen, die heute nach glaubwürdigen Berichten die höchsten Gehälter der Welt aufweisen, sind, was ihre Buchpublikationen betrifft, bibliometrisch gesehen absolut keine Giganten, wenn auch im Fall der beiden höchstdienstenden Professoren der Welt – der Mediziner Prof. Silvers und Prof. Rozenwaks – noch eingewandt werden könnte, dass die Medizin – noch mehr als die Ökonomie – gar nicht mehr primär Bücher schreibt, sondern Zeitschriftenaufsätze. Verglichen mit den über 40.000 Bibliotheken von Adam Smith sind ihre Library Circulation Figures laut OCLC wahrlich bescheiden. Der

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4 http://classify.oclc.org/classify2/
5 http://www.oclc.org/de-DE/home.html
6 http://www.thebestschools.org/blog/2013/11/25/10-highest-paid-college-professors-u-s/
Dermatologe David Silvers, der Star der Stars, hat überhaupt gar keine Buchpublikation verfasst, aber in der medizinischen Datenbank „Pubmed“ des amerikanischen Gesundheitsministeriums, gibt es natürlich reichlichen Zugang zu seinen Schriften auf dem Gebiet der Dermatologie. 7

David N. Silvers (Dermatologe) 4.3 Millionen $
Zev Rozenwaks (Gynäkologe) 8 3.3 Millionen $
Dean Takahashi (Ökonom) 9 $2.6 Millionen $
William E. Fruhan, Jr (Ökonom) 10 $1.19 million
Dan J. Laughhunn (Ökonom) 11 $1.03 million


Dem stehen die Nobelpreisträger gegenüber, wo sogar deren bestplatziertes Buch in weniger als 300 Bibliotheken anzutreffen ist. McFadden, Shapley, Kydland, und Selten.

Dafür sind ihre Arbeiten in führenden „peer-reviewed journals“ unserer Disziplin, die in den Indices „Scopus“ und „Thomson-Reuters“ geführt werden, 13 umso präsenter. Die wichtigsten und zweitwichtigsten Buchpublikationen der NobelpreisträgerInnen 1994-2014 für Ökonomie waren:

7 Z.B. http://www.ncbi.nlm.nih.gov/pmc/articles/PMC4255697/
12 http://www.nobelprize.org/nobel_prizes/economic-sciences/laureates/
13 http://www.scimagojr.com/
Die größten Buchpublikationserfolge der NobelpreisträgerInnen der Wirtschaftswissenschaften, 1994-2014

<table>
<thead>
<tr>
<th>Nobel laureate in economics</th>
<th>Year</th>
<th>Number of libraries reached by the book with the highest OCLC circulation</th>
<th>Title</th>
<th>Publisher</th>
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</thead>
<tbody>
<tr>
<td>Roth, Alvin E.</td>
<td>2012</td>
<td>480</td>
<td>Game-theoretic models of bargaining</td>
<td>Cambridge [Cambridgeshire] ; New York : Cambridge University Press, 1985</td>
</tr>
<tr>
<td>Shapley, Lloyd S.</td>
<td>2012</td>
<td>156</td>
<td>Game theory in economics</td>
<td>Santa Monica, Calif., Rand, 1971-</td>
</tr>
<tr>
<td>Author</td>
<td>Date</td>
<td>Pages</td>
<td>Title</td>
<td>Publisher and Date</td>
</tr>
<tr>
<td>---------------------</td>
<td>--------</td>
<td>-------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>-------------------------------------</td>
</tr>
</tbody>
</table>
Aus den Buch-Publikationen der Wirtschaftsnobelpreisträger ist eine harte Lehre zu ziehen: die Kooperation der Ökonome-NobelpreisträgerInnen der letzten zwanzig Jahre war zu mehr als 50% auf die folgenden 8 Verlage konzentriert, die allesamt durch rigoroseste peer-review bekannt sind
Das niederländische, im Bereich der Umweltpolitik tätige Wissenschaftskonsortium SENSE, das die Forschungsanstrengungen der wichtigsten Universitäten der Niederlande im Fachbereich bündelt, hat den mutigen Versuch unternommen, die wissenschaftlichen Verlage der Welt nach ihrem Renommee in der wissenschaftlichen Community des Landes zu schätzen. Dabei unterscheidet SENSE folgende 5 Kategorien:

**I refereed book publications:**
- A: Refereed book publications published by the world top of publishers
- B: Refereed book publications published by the world’s semi-top of publishers
- C: Refereed book publications published by other publishers

**II non-refereed book publications**
- D: published for an academic public (professional publications)
- E: mainly published for a non-academic (general) public

Das Ranking-System ist auch mit einer Punkteskala für die Subventionen empfangende Community verknüpft – 4 Punkte für ein Werk bei einem A-Publisher, 3-Punkte für ein Werk bei einem B-Publisher etc.

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14 [http://www.sense.nl/organisation/documentation](http://www.sense.nl/organisation/documentation)

**Hier verwendete Methoden**

Für einen Leistungsvergleich von Verlagsunternehmungen sollten im Einklang mit der bereits zitierten bibliometrischen Literatur folgende Leistungskriterien herangezogen werden:

- Veröffentlichung der Ergebnisse der Wissenschaft
- Zitate, Wirkung und Stellung in der akademischen Gemeinschaft
- Marktdurchdringung in den industrialisierten westlichen Ländern
- Aufmerksamkeit für die Bücher durch internationale EntscheidungsträgerInnen
- Marktdurchdringung in den Entwicklungsländern
- Beachtung in internationalen Medien

Hierbei sind folgende international leicht zugängliche und offene Indikatoren herangezogen worden:


16 http://wokinfo.com/mbl/publishers/
Veröffentlichung der Ergebnisse der Wissenschaft

- Anzahl der Bücher und Buchkapitel nach dem Thomson Reuters Buch Citation Index
- Zitate von Büchern und Buchkapiteln nach dem Thomson Reuters Buch Citation Index
- Harvard-Bibliothek: Anzahl der Titel (nur Bücher)
- Anzahl von Zitaten über die Firma in Questia books

Zitate, Wirkung und Stellung in der akademischen Gemeinschaft

- durchschnittliche Zitate - Bücher und Buchkapitel nach Thomson Reuters Buch Citation Index
- Standardabweichung Zitate - Bücher und Buchkapitel: Thomson Reuters Buch Citation Index
- Sense Qualitätsindikator
- Harvard HOLLIS Verhältnis der Bücher, die ausgeliehen sind, pro Gesamtbestand der Bücher des Verlages im HOLLIS-Katalog
- durchschnittliche Zitate - Bücher im Thomson Reuters Buch Citation Index
- Anzahl von Referenzen über das Unternehmen in Fachzeitschriften - Questia

Marktdurchdringung in den industrialisierten westlichen Ländern

- Japanischer NACSIS Katalog - top Buch: maximaler Bibliotheks-Outreach des Verlages
- Japanischer NACSIS top 200.tes Buch: maximaler Bibliotheks-Outreach des Verlages
- Schwedischer LIBRIS - top Buch: maximaler Bibliotheks-Outreach des Verlages
- Schwedischer LIBRIS top 50.tes Buch: maximaler Bibliotheks-Outreach des Verlages

Aufmerksamkeit für die Bücher durch internationale EntscheidungsträgerInnen

- Wie viele Titel im ECLAS-Katalog der EU-Kommission in Brüssel
- Wie viele Titel im Weltbank / IWF JOLIS Bibliothekskatalog Washington

Marktdurchdringung in den Entwicklungsländern

- Wie viele Titel im IndCat (India) Gesamtkatalog

Beachtung in internationalen Medien
• Anzahl von Referenzen über die Firma in führenden internationalen Zeitschriften wie Time, Newsweek, etc. - Questia
• Anzahl von Referenzen über die Firma in Zeitungen wie der New York Times etc. - Questia

Die frei zugänglichen Quellen hierzu waren wie folgt:

<table>
<thead>
<tr>
<th>Quantity Indicator - number of books and book chapters in the Thomson Reuters Book Citation Index</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
<tr>
<td>Citations of books and book chapters in the Thomson Reuters Book Citation Index</td>
</tr>
<tr>
<td>18</td>
</tr>
<tr>
<td>Harvard Library number of titles (books only)</td>
</tr>
<tr>
<td>19</td>
</tr>
<tr>
<td>number of references about the company in books – questia</td>
</tr>
<tr>
<td>20</td>
</tr>
</tbody>
</table>

**Publishing the results of science**

<table>
<thead>
<tr>
<th>average citations - books and book chapters</th>
</tr>
</thead>
<tbody>
<tr>
<td>21</td>
</tr>
<tr>
<td>standard deviation citations books and book chapters</td>
</tr>
<tr>
<td>22</td>
</tr>
<tr>
<td>Sense Quality Indicator for multivariate analysis</td>
</tr>
<tr>
<td>23</td>
</tr>
</tbody>
</table>

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19 http://hollis.harvard.edu/primo_library/libweb/action/search.do?mode=Advanced&ct=AdvancedSearch&dscnt=0&dstmp=1444746207332&vid=HVD

20 https://www.questia.com/


23 http://www.sense.nl/organisation/documentation
<table>
<thead>
<tr>
<th>Parameter</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Harvard HOLLIS ratio of books checked out per total holdings (books only)</td>
<td>24</td>
</tr>
<tr>
<td>average citations - books in the Thomson Reuters book citation index</td>
<td>25</td>
</tr>
<tr>
<td>number of references about the company in scholarly journals – questia</td>
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<tr>
<td><strong>Citations, impact and standing in the academic community</strong></td>
<td></td>
</tr>
<tr>
<td>Japanese NACSIS top library outreach (books only)</td>
<td>27</td>
</tr>
<tr>
<td>Japanese NACSIS 200th library outreach (books only)</td>
<td>28</td>
</tr>
<tr>
<td>Swedish LIBRIS top library outreach</td>
<td>29</td>
</tr>
<tr>
<td>Swedish LIBRIS 50th library outreach</td>
<td>30</td>
</tr>
<tr>
<td><strong>Market penetration in industrialized Western countries</strong></td>
<td></td>
</tr>
<tr>
<td>Items in ECLAS catalogue Brussels</td>
<td>31</td>
</tr>
<tr>
<td>Items in World Bank/IMF JOLIS library catalogue Washington (books only)</td>
<td>32</td>
</tr>
<tr>
<td><strong>Attention given to the books by the international decision makers</strong></td>
<td></td>
</tr>
<tr>
<td>Items in the IndCat (India) Union catalog</td>
<td>33</td>
</tr>
<tr>
<td><strong>Market penetration in developing countries</strong></td>
<td></td>
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<tr>
<td>number of references about the company in magazines – questia</td>
<td>34</td>
</tr>
<tr>
<td>number of references about the company in newspapers – questia</td>
<td>35</td>
</tr>
<tr>
<td><strong>Attention given to the books in the international media</strong></td>
<td></td>
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</tbody>
</table>

24. [link](http://hollis.harvard.edu/primo_library/libweb/action/search.do?mode=Advanced&ct=AdvancedSearch&dscnt=0&dstamp=1444746207332&vid=HVD)
26. [link](https://www.researchgate.net/publication/267869924_Bibliometric_Indicators_for_Publishers_Data_processing_indicators_and_interpretation)
27. [link](http://ci.nii.ac.jp/books/)
28. [link](http://ci.nii.ac.jp/books/)
29. [link](http://libris.kb.se/form_extended.jsp?f=ext)
30. [link](http://libris.kb.se/form_extended.jsp?f=ext)
31. [link](http://ec.europa.eu/eclas/F)
32. [link](http://external.worldbankimflib.org/uhtbin/webcat/)
33. [link](http://indcat.inflibnet.ac.in/)
34. [link](https://www.questia.com/)
35. [link](https://www.questia.com/)
Das Bewertungsschema für Verlage lässt sich wie folgt zusammenfassen. Alle Indikatoren wurden mit der UNDP-Methode auf eine Skala von 0-1 projiziert.\textsuperscript{36}

Nach unserer Studie sind demnach die führenden Buchverlage mit einer hohen Relevanz auch für die ökonomische Disziplin:

1. Springer
2. Oxford University Press
3. World Bank
4. Routledge
5. Cambridge University Press
6. Princeton University Press
7. Elsevier
8. MIT Press
10. University of California Press
11. CRC Press
12. Palgrave Macmillan
14. Yale University Press
15. Brill

\textsuperscript{36}http://hdr.undp.org/en/content/human-development-index-hdi
<table>
<thead>
<tr>
<th>Publisher</th>
<th>Publishing the results of science</th>
<th>Citations, impact and standing in the academic community</th>
<th>Market penetration in industrialized Western countries</th>
<th>Attention given to the books by the international decision makers</th>
<th>Market penetration in developing countries</th>
<th>Attention given to the books in the international media</th>
<th>Overall Index weighted by 6 components</th>
<th>Ranking indicators weighted by 6 components</th>
<th>percentile performance weighted by 6 components</th>
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</thead>
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<td>0,297</td>
<td>0,738</td>
<td>0,555</td>
<td>0,451</td>
<td>0,579</td>
<td>0,571</td>
<td>1,000</td>
<td>1,754</td>
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<td>Oxford University Press</td>
<td>0,460</td>
<td>0,515</td>
<td>0,948</td>
<td>0,200</td>
<td>1,000</td>
<td>0,147</td>
<td>0,545</td>
<td>2,000</td>
<td>3,509</td>
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<td>World Bank</td>
<td>0,088</td>
<td>0,488</td>
<td>0,440</td>
<td>0,511</td>
<td>0,139</td>
<td>0,949</td>
<td>0,436</td>
<td>3,000</td>
<td>5,263</td>
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<td>Routledge</td>
<td>0,486</td>
<td>0,323</td>
<td>0,774</td>
<td>0,097</td>
<td>0,544</td>
<td>0,331</td>
<td>0,426</td>
<td>4,000</td>
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<td>0,900</td>
<td>0,092</td>
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<td>0,417</td>
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<td>0,040</td>
<td>0,270</td>
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<td>10,526</td>
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<td>0,024</td>
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<td>8,000</td>
<td>14,035</td>
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<td>University of Chicago Press</td>
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<td>0,590</td>
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<td>0,088</td>
<td>0,035</td>
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<td>CRC Press</td>
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