

On a formula for the h-index

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Summary

The h -index is a celebrated indicator widely used to assess the quality of researchers and organizations. Empirical studies support the fact that the h -index is well correlated with other simple bibliometric indicators, such as the total number of publications N and the total number of citations C . In this paper we introduce a new formula $\tilde{h}_W = \tilde{h}_W(N, C, c_{MAX})$, as a representative predictive formula that relates functionally h to these aggregate indicators, N , C and the highest citation count c_{MAX} . The formula is based on the ‘specific’ assumption of geometrically distributed citations, but provides a good estimate of the h -index for the general case.

To empirically evaluate the adequacy of the fit of the proposed formula \tilde{h}_W , an empirical study with 131 datasets (13,347 papers; 288,972 citations) was carried out. The overall fit (defined as the capacity of \tilde{h}_W to reproduce the true value of h , for each single scientist) was remarkably accurate. The predicted value was within one of the actual value h for more than sixty percent of the datasets. We found, in approximately three cases out of four, an absolute error less than or equal to 2, and an average absolute error of only 1.9, for the whole sample of datasets.

Keywords: h -index, citation data, citation statistics, geometric distribution, Lambert W function

1. Introduction

The h -index, h , is a widely recognized representative measure of individual scientific achievement, so that nowadays it is computed by default in specialized databases (such as Scopus or Web of Science – WoS). As well known, the h -index is statistically related to other simple standard bibliometric indicators, such as the total number of publications N and the total number of citations C . Indeed, on the basis of empirical research data, h has been found to be significantly positively correlated with C as well as with N (Van Raan, 2006). It is also well known that mathematically the h -index cannot exceed the number of publications (cited at least once) N and, symmetrically, it cannot exceed the highest citation count, c_{MAX} . Moreover it cannot exceed $[\sqrt{C}]$, that is the integer part of the square root of the total number of citations C . Then, in symbols $h \leq \min\{N, [\sqrt{C}], c_{MAX}\}$ (Bertoli-Barsotti, 2013). Interestingly, in this paper we make use of these three simple indicators (C , N and c_{MAX}) not exclusively for determining an upper bound for the Hirsch index, but also for estimating its value. For this reason, uncited publications are omitted in the present analysis. In what follows, we shall use the following notations:

- T : total number of publications
- N : total number of publications cited at least once
- C : total number of citations
- c_{MAX} : citation count of the most cited publication
- $m = C/N$: mean number of citations per publication

Generally, the h -index may be interpreted as a function of both N and C because it combines, in a loose sense, both productivity, expressed as the total number of papers N , and quality, expressed as a mean number of citations per paper $m = C/N$ (Prathap, 2010a), in one single measure. On the other hand, increasing publications *alone*, or the total number of citations *alone*, or C/N *alone*, does not have an immediate effect on the h -index. According to Adler et al. (2009) the h -index captures only “a small amount of information about the distribution of a scientist’s citations”. Put otherwise, the h -index is relatively insensitive to moderate variations of the ‘type’ of the citation distribution, and this may be an advantage if, as in the present paper, attention is restricted to finding an estimate of this index.

In fact, the aim of this paper is to present a new mathematically representative predictive model for h . More precisely, we introduce a formula that relates h functionally to N , C and c_{MAX} , say $\tilde{h}_W = \tilde{h}_W(N, C, c_{MAX})$, that is, equivalently, $\tilde{h}_W(N, m, c_{MAX})$. To do so, we will assume that citations are geometrically distributed. The formula is of interest because it makes it possible, at least theoretically, to determine how h changes as a function of the number of publications and the number of citations. We note that the idea is not new, in that this approach has already been successfully employed by Burrell (2013a; for an in-depth analysis of the probabilistic mechanism that governs the citation process, see also Burrell, 2007) – but without giving an explicit formula for the h -index.

But before proceeding with this task, in the next section we briefly survey the methods best known in the literature for obtaining mathematical models (that is, mathematical estimators) for the h -index. Then, in the subsequent sections we will describe our formula in detail. We will also present a case study demonstrating the ability of the formula to produce good estimates of the ‘true’ h -index, for single authors.

2. Mathematical models for the h -index

Several alternative mathematical models for the h -index have been proposed in the literature. These models essentially depend on the assumption of a specific citation distribution function, say $n(x)$, representing the number of papers which have been cited a total of x times.

Regardless of the fact that a single (simple) probability model is perhaps unable to describe citation distributions over the whole range of citations (Redner, 1998; van Raan, 2001) – unless a relatively large number of parameters is used – examples of models of citation distributions (sometimes in terms of a rank-size formulation, and sometimes as size-frequency distribution) are: (a) the exponential distribution (Lancho-Barrantes et al., 2010); (b) the Weibull distribution, after Weibull (1953; see also Johnson et al., 1994, p.628), also referred to as ‘stretched exponential distribution’ (Bletsas & Sahalos, 2009; Laherrère & Sornette, 1998; Iglesias & Pecharroman, 2007); (c) the Tsallis distribution, also known as q -exponential distribution (Tsallis, 1998; Tsallis & de Albuquerque, 2000; Burrell, 2008; Anastasiadis et al., 2010; Wallace et al., 2009); (d) the so-called ‘log-normal’ distribution (Redner, 2005; Perc, 2010; Stringer et al., 2008; Radicchi et al., 2008); (e) the discrete generalized beta distribution (Martinez-Mekler et al., 2009; Campanario, 2010; Petersen et al. 2011; Mansilla et al., 2007); (f) the Yule distribution (de Solla Price, 1976); (g) the logarithmic distribution (Bertoli-Barsotti & Lando, in press); (h) the negative binomial, or Pascal distribution (Mingers & Burrell, 2006); (i) the Price distribution (Glänzel, 2006); to cite only some. In passing, note that some of these (a-d) are continuous random variables, while others (e-i) are discrete random variables. The formers here cited assume, typically, a real non negative support, while the latters range over positive integers (e-g), or non-negative integers (h-i). All these distributions may potentially define, correspondingly, a theoretical model for the h -index, but this may not be easy to find, depending principally on the existence of a cumulative distribution function in analytically closed form. Moreover, and more importantly, this possible theoretical model for h may not depend in a simple way on a few basic standard indicators, such as the total number of papers published, the total number of citations, or the mean number of citations per paper. In this sense, two Pareto-type citation models of special interest in bibliometrics and in citation analysis constitute well-known (positive) exceptions.

1) The power-law/Pareto citation distribution, also known as ‘inverse’ power-law (Burrell, 2008), or Lotkaian informetric distribution or Lotka’s law (Rousseau & Rousseau, 2000; Egghe, 2005a; Egghe & Rousseau, 2006; Lafouge, 2007), is probably the distribution most known and used in Informetrics. According to this probability model, the citation distribution function $n(x)$ (or size-frequency function) is equal to $x^{-\alpha}$ up to a normalizing factor, namely

$$n(x) \propto x^{-\alpha}, x \geq 1, \alpha > 1. \quad (1)$$

To be noted is that in our context the number x of citations is a discrete random variable. Accordingly, this probability model should only be viewed as a rough approximation of the Riemann zeta distribution (also known as discrete Pareto distribution, or Zipf distribution) $n(x) \propto x^{-\alpha}$, $x = 1, 2, 3, \dots$, which is clearly more appropriate, even if more difficult to handle analytically (Nicholls, 1987).

More specifically, from (1) one obtains

$$n(x) = N(\alpha - 1)x^{-\alpha}, x \geq 1, \alpha > 1. \quad (2)$$

where N is the total number of published papers (receiving at least one citation). This law coincides, up to a constant, with a special case (i.e. with support $x \geq 1$) of a *Pareto distribution of the first kind* $P(I)(1, \alpha)$, where $\alpha > 1$ is a shape parameter (Arnold, 1983, Johnson et al. 1994, p. 573). In order to warrant the existence of its expectation, $\mu = \frac{\alpha-1}{\alpha-2}$, the condition $\alpha > 2$ must be assumed (unless one considers a truncated version of the same distribution). This model may be represented by a linear dependence in a double logarithmic axis plot (log-log plot) of the observed frequency n versus the number of citations x .

Adopting this model and assuming $\alpha > 2$, Egghe & Rousseau (2006) obtained the following formula for the h -index:

$$h = N^{1/\alpha}. \quad (3)$$

By reparameterization, this can be rewritten as

$$h = N^{\frac{\mu-1}{2\mu-1}} \quad (4)$$

(Egghe et al., 2011). This expression depends on unknown parameter values, but a simple estimate may be obtained by substituting the expected value μ with its observed counterpart, that is, the average number of citations per publication $m = C/N$, yielding the formula

$$h = N^{\frac{m-1}{2m-1}}. \quad (5)$$

Alternatively, by taking the ‘default’ value of $\alpha = 2$ (that, strictly speaking, is correct only for an infinitely high value of m), the alternative simple formula

$$h = \sqrt{N} \quad (6)$$

may also be deduced (Ye, 2009), but this assumption differs from the conclusion reached by Redner (1998), who analysed approximately 800,000 papers and found a typical value of about 3 for the parameter α – at least for the large-citation tail of the citation distribution.

Note that the latter formula can be rewritten as $h = m^{-0.5}\sqrt{C}$. In partial agreement with this, in a case study Van Raan (2006) found a good correlation between the h -index and the function $0.42C^{0.45} \cong 5.7^{-0.5}C^{0.45}$. Besides, Hirsch himself suggested the possible rule $h = r^{-0.5}\sqrt{C}$, where r is a constant ranging between 3 and 5 (Hirsch, 2005, 2007).

2) A similar but different approach (sometimes confused with the one above) has been considered by Glänzel (2006) (see also Schubert & Glänzel, 2007; Glänzel, 2007; Glänzel, 2008). This time, starting from a *Pareto distribution of the second kind* $P(II)(0, \sigma, \theta)$, also known as *Lomax distribution* (Johnson et al., 1994, p.575), or Tsallis distribution (Shalizi, 2007), one has

$$n(x) \propto (x + \sigma)^{-\theta-1}, \quad x \geq 0, \quad \theta > 0, \quad (7)$$

where $\sigma > 0$ is a scale parameter, and θ a shape parameter (Arnold, 1983, p.44). More specifically, one obtains $n(x) = T\theta\sigma^\theta(x + \sigma)^{-\theta-1}$ (see Shalizi, 2007, equation (4)). Here, in order to warrant the existence of the expectation $\mu = \frac{\sigma}{\theta-1}$ of the distribution, the condition $\theta > 1$ must be assumed.

Adopting this model (and assuming $\theta > 1$), Glänzel (2006) obtained an *approximate* formula (valid only for $x \gg \sigma$) for the h -index, namely:

$$h \approx \sigma^{\theta/(\theta+1)}T^{1/(\theta+1)}.$$

In this case also, by taking the ‘default’ value of $\theta = 2$ (incidentally, note that Glänzel, 2007, found that the most relevant range for this parameter is between 2 and 3.5), the formula simplifies to

$$h = c \sigma^{2/3}T^{1/3}$$

where c is a positive real value ‘of order 1’ (Schubert & Glänzel, 2007), and where it is intended that the expectation becomes $\mu = \sigma$. A simple way to estimate h is to substitute the expected value μ with its observed counterpart, $m_0 = C/T$, yielding

$$h = c m_0^{2/3} T^{1/3} \quad (8)$$

though still remaining to be identified and interpreted is the parameter c . A value of c around 0.75 was found applicable by Schubert & Glänzel (2007), in a study applied to the citation analysis of journals, while Iglesias & Pecharroman (2007) suggested the value $c = \sqrt[3]{1/4} = 0.63$ (see also Vinkler, 2009). In words, this rule states that the h -index can be approximated by the product of a power function of the sample size and a power function the sample mean. Prathap (2010a) interpreted $h = m_0^{2/3} T^{1/3}$ as a substitute or mock h -index, and renamed it the ‘ p -index’ (Prathap, 2010b). Empirical applications of this formula, with possible small variants, are numerous: see for example, Glänzel (2008); Bletsas & Sahalos (2009); Csajbók et al. (2007); Vinkler (2009); Schubert et al. (2009).

A similar approach, starting from a shifted Pareto distribution of the first kind,

$$n(x) = T(\alpha - 1)(x + 1)^{-\alpha}, \quad x \geq 0, \alpha > 1, \quad (9)$$

was proposed by Egghe & Rousseau (2012). It is immediate to see that this model is equivalent to a Pareto distribution of the second kind $P(II)(0, \sigma, \theta)$, by taking $\sigma = 1$ and substituting $\theta = \alpha - 1$. They easily obtained the equation $h(h + 1)^{\alpha-1} = T$. Then, after substituting the expected value, $\mu = (\alpha - 2)^{-1}$, with its observed counterpart, $m_0 = C/T$, they deduced the equation

$$h(h + 1)^{\frac{m_0+1}{m_0}} = T,$$

which can be solved for h , but unfortunately not in explicit form.

For empirical comparative studies on some of the above formulas for the h -index see, for example, Abbas (2012); Ye (2009, 2011); Burrell (2013b); Malesios (2015). Summarizing, according to these formulas, the h -index mainly depends on two factors: productivity, as the numbers of published papers, and quality/impact, as the average number of citations per publication – also called ‘citedness’ (Vinkler, 2010).

3. The main result

3.1. Power series distributions and the geometric distribution

Under the assumption of geometrically distributed data, the frequency-size function

$$n(x) = Nq^{x-1}p, \quad x = 1, 2, \dots \quad (0 < q < 1, p = 1 - q) \quad (10)$$

expresses the number of articles with exactly x citations (e.g. Np represents the number of papers with exactly one citation). Note that this model of citation distribution is based on a *shifted* geometric distribution, because its support does not contain the value $x = 0$. As said above, our declared goal is to express the h index as a function of N , the number of publications cited at least once. Then, since the primary interest of this work is the prediction of the value of the h index (and not to fit the whole citation distribution), we decided to exclude uncited papers from the analysis. Indeed, by definition, the derivation of the h -index does not depend on these publications.

For an interesting theoretical justification of the proposed geometric distribution, the reader is referred to Burrell (2013a, 2007 and 2014). Besides, this model can also be “formally” motivated by arguing that this distribution is nothing but the discrete version of the logarithmic transformation of the Pareto distribution of the first kind, $P(I)(1, \alpha)$. In particular, it is easy to see that the logarithmic

transformation of a $P(I)(1, \alpha)$ is an exponential distribution. In symbols, under this assumption, the citation distribution function is

$$n(x) \propto e^{-\eta x}.$$

Unlike the Pareto-type citation models, the exponential random variable has finite moments of all orders for every value of its parameter. The n versus x plot on a semilog scale approximates a straight line of slope $-\eta$, since $\log n = a - \eta x$; thus semilog plots can be easily used to check this model. By substituting $\theta = e^{-\eta}$, we can equivalently write $n(x) \propto \theta^x$. In its discrete version, the model can be regarded as a special case of a *power series distribution* (PSD, Johnson et al., 2005). Membership of the class confers a number of special properties. A PSD follows the probability mass function of the type $c^{-1} a_x \theta^x$, for $x = 0, 1, 2, \dots$ where $a_x \geq 0$, θ ($\theta > 0$) is the so-called *power parameter*, and $c = \sum_{i=0}^{\infty} a_i \theta^i$ is the *series function*. Then, the geometric probability function $c^{-1} q^x$, $x = 1, 2, \dots$, is an instance of a PSD, with q as power parameter, $a_0 = 0$, $a_x = 1$ for every $x = 1, 2, \dots$, and $c = q/p$, $p = 1 - q$. The distribution is simply qualified by a straight line $\log n = a + bx$, where a represents the *logit* of p , $\log \frac{p}{q}$, and $b = \log q$, when plotting $\log n$ as a function of the number of citations x (semilog plot).

As can be seen, the citation distribution (10) has two parameters, one for normalization (N), and one that characterizes the shape of the citation distribution. The parameter p , or, equivalently, its complement to one: that is, the power parameter $q = 1 - p$, quantifies the ‘fatness’ of the tail; the smaller the value of p (the higher the value of q), the fatter the tail. The expectation is $\mu = 1/p$. The role of p can also be interpreted in the light of the level of concentration of the citations (in few papers).

3.2. A formula for the h -index

The assumption of geometrically distributed data enables estimates to be made of the expected theoretical value of h . Now, the value $N \sum_{x=1}^k q^{x-1} p = N(1 - q^k)$ provides an estimate of the number of papers with a number of citations less than or equal to k (i.e. the number of papers receiving at most k citations). Then, the complementary cumulative distribution function

$$R(k) = N - N(1 - q^k) = Nq^k$$

provides an estimate of the number of papers receiving at least $k + 1$ citations. Hence, the h -index is determined by the equality

$$R(h - 1) = h.$$

As mentioned above, this equation was firstly proposed by Burrell (2013a) (but without giving an explicit solution), with the only slight difference that he considered a non-shifted version of the geometric distribution.

This equation can be solved as follows. First of all, recall that the *Lambert W* function, (Wolfram Research, Inc., 2013; see Fig. 1) is the inverse function $w(y)$ of the function

$$y = w e^w.$$

The equation $R(h - 1) = h$ is equivalent to $q^k = kN^{-1} + N^{-1}$, where $h = k + 1$. By substituting in the above equation $k = -t - 1$, we obtain

$$tq^t = -Nq^{-1},$$

that is equivalent

$$(\log q) t \exp(t \log q) = -(\log q) N q^{-1}.$$

Then, by substituting in the above equation $z = t \log q$, we obtain

$$z e^z = -(\log q) N q^{-1}.$$

Hence, by definition, we have $z = W(-(\log q) N q^{-1})$, which yields the final solution

$$h = k + 1 = -t = -\frac{1}{\log q} W(-(\log q) N q^{-1}). \quad (11)$$

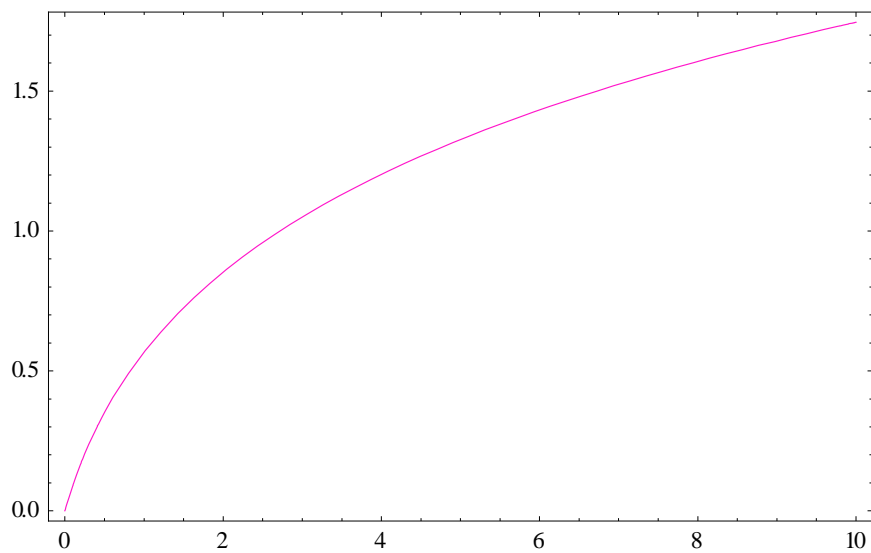


Fig. 1 The Lambert W function for values of its argument in the range $(0,10)$.

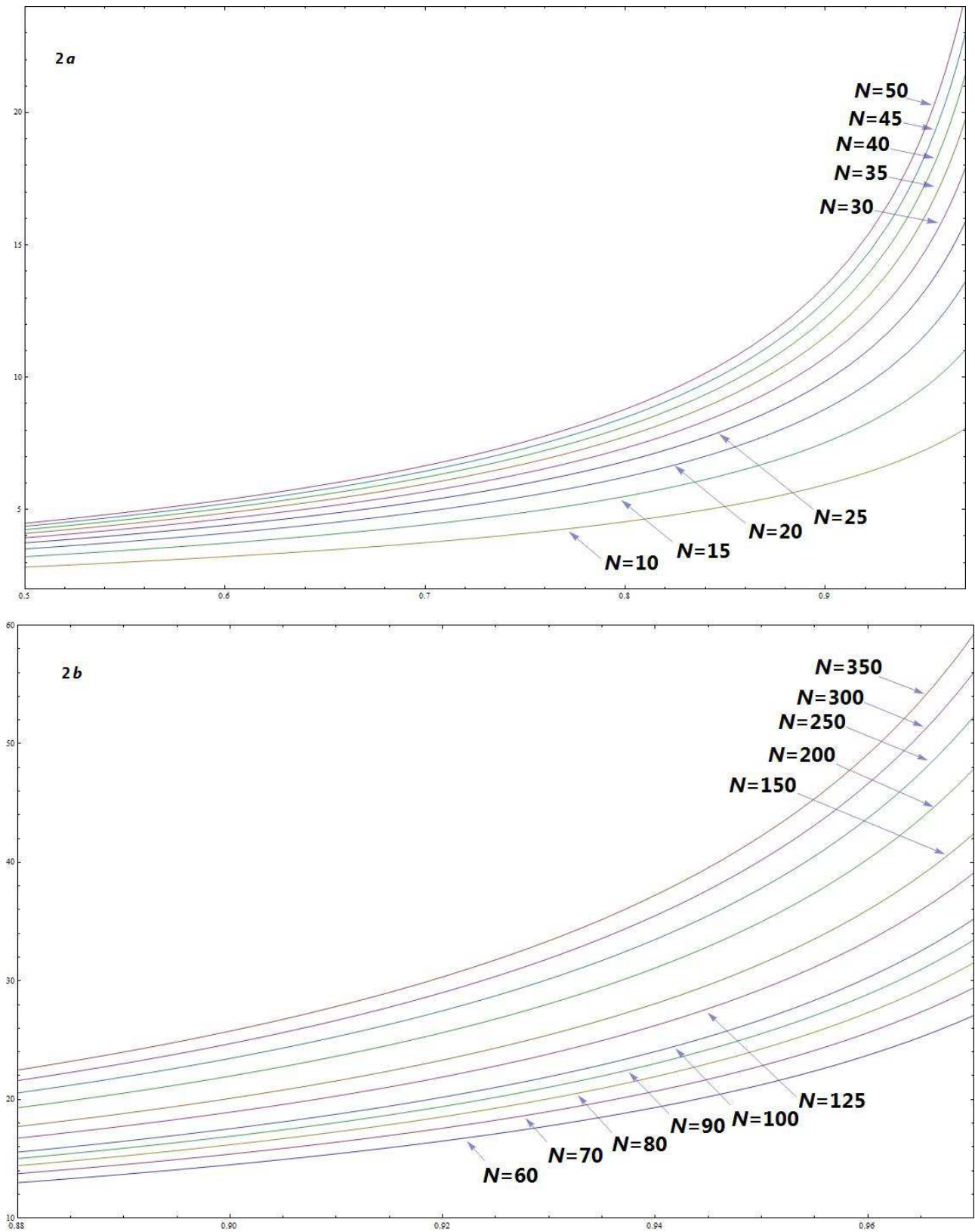


Fig. 2 The different curves represent the theoretical h -index as a function of the power parameter $q = 1 - N/C$ for different values of N (number of publications cited at least once): for N ranging from 10 to 50, in steps of 5 (2a), and for N equal to 60, 70, 80, 90, 100, 125, 150, 200, 250, 300 and 350 (2b). For fixed N , h_W is limited from above by N .

To illustrate, in Fig. 2a and 2b we represent the value of that solution $W(q^{-1}N \cdot \log(q^{-1}))/\log(q^{-1})$ as a function of q and N . As can be seen, even if N grows, this does not imply that h increases. Indeed, the number of publications should increase for at least an equal value of the mean of the number of citations. Note that similar graphs have been obtained by Bletsas & Sahalos (2009), but adopting other models, i.e. Tsallis and Weibull distributions.

For the reader's information and convenience, in the Appendix the function $W(y)$ is briefly tabulated for values of y from 0.5 to 10, in steps of 0.05. Since the h -index is modeled as a non-negative integer, we will take the integer part of that solution, which we shall denote with h_W ,

$$h_W = \lceil W(q^{-1}N \cdot \log(q^{-1}))/\log(q^{-1}) \rceil, \quad (12)$$

where $\lceil z \rceil$ denotes the integer part of z . In passing, note that, as q tends to 1 for fixed N , h_W tends to N (from below). Indeed, we have

$$\lim_{q \rightarrow 1} h_W = \lim_{y \rightarrow 0} \frac{W(Ny)}{y}$$

which is an indeterminate form of the type $0/0$. But, since $W'(0) = 1$, applying the De l'Hopital's theorem we find

$$\lim_{y \rightarrow 0} \frac{W(Ny)}{y} = \lim_{z \rightarrow 0} \frac{W(z)}{z} N = N \lim_{z \rightarrow 0} \frac{W'(z)}{1} = N.$$

Then since, for fixed N , h_W is an increasing function of q , it is always limited from above by N .

3.3. A formula for the estimation of h_W

It is important to distinguish between h_W and its empirical counterpart, i.e. its estimate. Estimation of the parameter of the geometric distribution is particularly straightforward. Because it is a PSD, the maximum likelihood estimation and the method of moments (by considering the first order moment equation) lead to the same estimate, for this random variable. It is easy to see that $\hat{p} = 1/m$. Then, a simple estimate of h_W is obtainable by substituting, in its expression, the unknown parameter q with its maximum likelihood estimate (MLE), $\hat{q} = 1 - m^{-1}$, where $m = C/N$. We then obtain the formula

$$\hat{h}_W = \lceil W\left(\frac{CN}{C-N} \cdot \log \frac{C}{C-N}\right) / \log \frac{C}{C-N} \rceil \quad (13)$$

(Remember that, because of the invariance property of the MLE, the MLE of $h_W = h_W(q)$ is $\hat{h}_W = h_W(\hat{q})$, where \hat{q} is the MLE of q).

The problem of how a single or few outliers can disproportionately inflate the statistic C is well known (Hirsch, 2005). Due to the highly skewed nature of the typical distribution of citations, it is often the case that the presence of individual highly cited papers tends to *overestimate* C , and consequently h_W , in comparison to the h -index (h is notoriously insensitive to a single 'big hit', outstandingly highly cited, paper). Elsewhere the term 'king effect' has been coined (Laherrère, 1996; Laherrère & Sornette, 1998; Malacarne et al., 2002) to indicate the case of a *single* high-value outlier – that is, the 'record value'. From a bibliometric point of view, the informative role of the most cited paper is controversial; for instance, according to Anderegg et al. (2010), "a single, highly cited paper does not establish a highly credible reputation but might instead reflect the controversial nature of that paper (often called the single-paper effect)". In conclusion, to contrast the tendency of

$m = C/N$ to give an estimate almost systematically biased upward, this value should be conservatively substituted by a *trimmed* mean:

$$\tilde{m} = \tilde{C}/(N - 1)$$

where we write $\tilde{C} = C - c_{MAX}$ for short. This trimmed mean is calculated by averaging all but the largest observation, c_{MAX} . The same adjustment was proposed by Burrell (2013a, p.779-780), but only for the most extreme outliers (chosen ex-post, on subjective basis). Differently, in our formula we include c_{MAX} as a “systematic” bias-reducing adjustment term. Then, our final formula reads as follows:

$$\tilde{h}_W = \tilde{h}_W(N, C, c_{MAX}) = \left[W \left(\frac{N-1}{1-\tilde{m}^{-1}} \cdot \log \frac{1}{1-\tilde{m}^{-1}} \right) / \log \frac{1}{1-\tilde{m}^{-1}} \right]. \quad (14)$$

Note that we can equivalently write $\tilde{h}_W = \tilde{h}_W(N, m, c_{MAX})$. This means that \tilde{h}_W can also be interpreted as a function of quantity/productivity, here represented by N , and quality/impact, represented by m (Prathap, 2014). Moreover, note the ‘subtractive’ role in our formula of c_{MAX} , which is only used here to reduce the upward bias induced by c_{MAX} itself on the estimate of the ‘true’ mean m . Technically, our formula \tilde{h}_W can then be interpreted as a trimmed MLE of h_W ; more precisely, a MLE with a bias-reducing adjustment.

4. A case study

4.1. Sample database

In this section we describe a case study that we carried out to evaluate empirically the adequacy of the fit of the proposed formula \tilde{h}_W to the ‘real’ h -index, h , calculated from the full publication list of an author. For this case study we used a database containing the publications of applicants to the so called “Abilitazione Scientifica Nazionale” (ASN), a nation-wide evaluation based on scientific qualification criteria for the recruitment of academic staff in Italy. These data were also considered elsewhere for a comparative study concerning 13 different bibliometric indices (Lando & Bertoli-Barsotti, 2014). The ASN involved tens of thousands of candidates. Here we focus on its first edition, year 2012 (for candidates, the deadline for applications was November 20, 2012), so-called ASN 2012. The evaluation relied completely on applicants' research productivity (and it did not require any personal interaction between evaluators and candidates).

For our study, we considered a cohort of 131 physicists (from the original sample of 149 applicants, 18 scientists were discarded from the analyses due to insufficient citation data – e.g. an h -index less than 2 – or difficulties in identifying the single scientist) who were applicants in the ASN 2012 for a full professorship. The whole sample can be considered as highly homogeneous, in that information regarding individual publications were collected from a single well-defined area within Physics, i.e. Condensed Matter Physics, and all candidates had a similar level of scientific maturity and similar academic qualifications. The publication and citation data were retrieved from Scopus, in January 2014.

4.2. Statistical analysis

Prior to their applications to the ASN, the applicants had published a total of $T=13,347$ papers (in scholarly refereed journals), $N=11,079$ of which cited at least once. The total number of citations was $C=288,972$. We did not remove self-citations. The average percentage of uncited

paper was 17%. Table 1 includes selected summary statistics from our database. We identify authors through a progressive number according to the alphabetical order (names not reported), in the first column. The following columns show respectively: the total number of publications, T ; the total number of publications cited at least once, N ; the total number of citations, C ; the citation count of the most cited publication, c_{MAX} ; the percentage of citations of the most cited publication, $\% c_{MAX} = (c_{MAX}/C)100\%$; the mean of the number of citations per publication, m ; the trimmed mean of the number of citations per publication, \tilde{m} ; the trimmed MLE of the power parameter, \tilde{q} ; the Hirsch index, h ; the trimmed MLE of h_W ; the absolute error, $AE = |\tilde{h}_W - h|$; the absolute relative error, $ARE = |\tilde{h}_W - h|/h$. As can be seen, the publications (cited at least once) received an average of 25 citations each (median = 23). The applicants' h -index values were on average 21.6 (median = 22), and ranged from a minimum of 2 to a maximum of 53. We found an average h -index of 21.6. The maximum observed value for h was 53. In contrast, only 13% of the scientists had an h -index smaller than 10. The average percentage of citations of the most cited publication was 16%. 77% of the authors received at least 1,000 citations, and approximately 44% of the authors had at least 100 publications cited at least once. The most prolific author published 405 papers.

To study closeness of the estimated values to the exact ones, we computed the percentage errors in the theoretical values of h -index, \tilde{h}_W , as given by formula (5), with respect to the exact values of h . More precisely, a comparison between \tilde{h}_W and the 'true' value of h was performed by computing the AE and the ARE . To characterize the overall quality of the results, the mean (mean absolute error, MAE , and mean absolute relative error, $MARE$) and the quartiles of these two types of errors were also computed. We found a very good fit, provided that, for the whole sample of 131 researchers considered, the $MARE$ resulted less than 0.09, and the median of the ARE was 0.056. The observed median of the AE was equal to 1. More precisely, approximately two-thirds (63%) of all researchers have an absolute error AE not greater than 1, and about three-quarters (77%) of all researchers had an AE not greater than 2. As one can see from Table 1, the MAE was less than 2 ($MAE = 1.92$).

The precision of the approximation seems to be slightly related to the average number of citations per publication. As a general rule, we may say that the approximation works particularly well when the mean C/N (or, equivalently, the concentration) is not extremely high. Indeed, the $MARE$ was equal to 0.172 when $C/N > 30$ (33 cases), and it was equal to 0.056 when $C/N < 30$ (98 cases). The $MARE$ value grew to 0.233 when $C/N > 40$ (15 cases) versus a value of 0.066 for the case of $C/N < 40$ (116 cases).

It should also be noted that, as expected, high levels of C/N seemed to be related to high levels of $c_{MAX}\%$. Indeed, for the subset of scientists with $C/N < 30$, we found $c_{MAX}\% = 13.2$: that is, 13.2 percent of all the citations were concentrated in the single most cited paper, while for the subset of scientists with $C/N > 30$, we found that $c_{MAX}\%$ grew to 24.2 percent. From this, we can indirectly deduce that the geometric distribution is probably less suited to highly concentrated citation patterns. Fig. 3 illustrates the effect of different levels of the mean of the number of citations per publication (in its trimmed version, \tilde{m}) on the $MARE$. Note that for 80% of the researchers the $MARE$ is less than 0.1. Also, we can see a lack of fit as m grows very large.

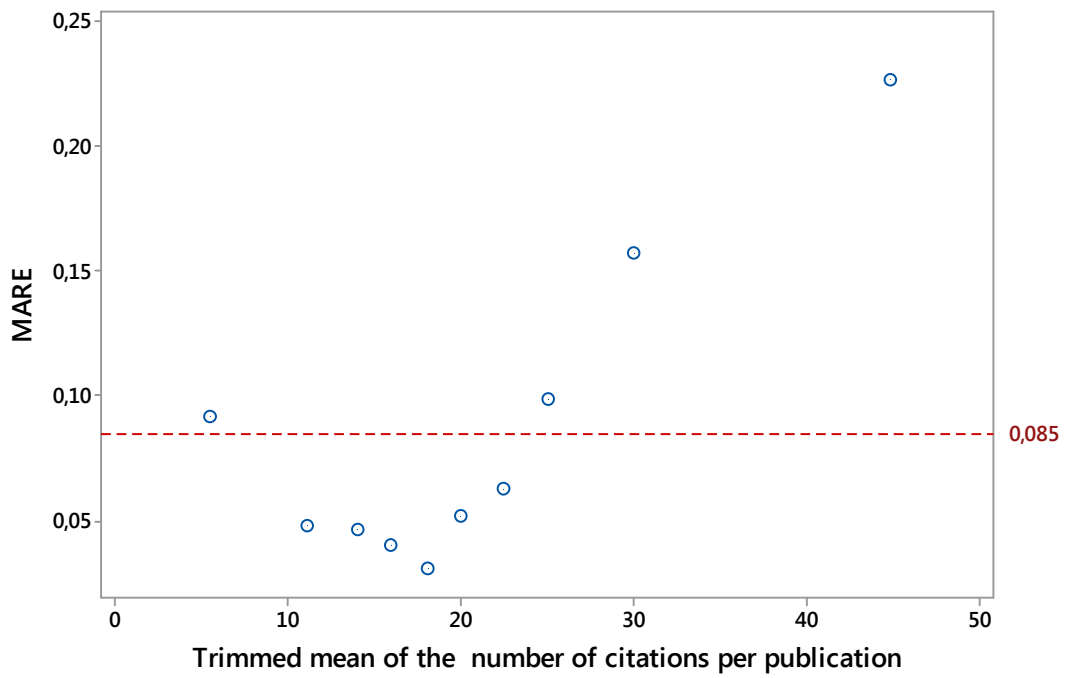


Fig. 3 Mean absolute error (MARE) of \tilde{h}_W as a function of the mean of the number of citations per publication; each point refers to 13 applicants (14 cases for the first group). For 80% of the applicants the MARE is less than 0.1

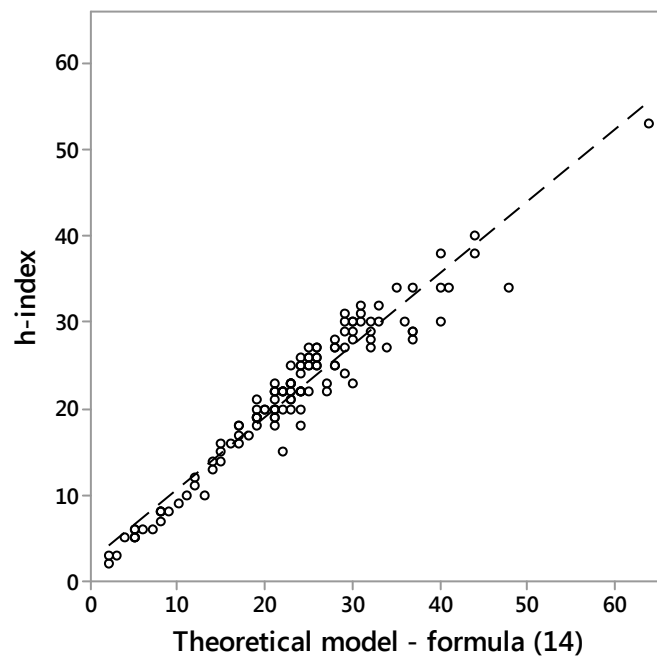


Fig. 4 Correlation of \tilde{h}_W with the (true) h -index. Pearson correlation $r = 0.97$

From a comparative point of view, the new formula appeared to be by far the most accurate among the different alternative formulas considered for h , in this case study. Indeed, the Pearson correlation coefficient (r) between the h -index and $T^{\frac{m_0-1}{2m_0-1}}$, \sqrt{T} , $cm_0^{2/3}T^{1/3}$ (that is, equivalently, the so called ‘ p -index’) and \tilde{h}_W , resulted in $r = 0.86$, $r = 0.79$, $r = 0.84$ and $r = 0.97$ (see Fig. 4), respectively.

To illustrate the extent, in some cases, of the (problematic) ‘king’ effect, consider for example the dataset #24, with rank-citation profile: 1637, 111, 87, 85, 49, 49, 48, 42, 41, 40, 39, 36, 35, 34, 33, For this applicant, we find $N = 51$, $C = 2816$, $c_{MAX} = 1637$ and a very large value of $c_{MAX}\% = 58.1\%$. (The observed largest value of $c_{MAX}\%$ is 80%, and occurs for the dataset #95). Overall, note that the trimmed mean resulted, on average, in a 17.6 smaller than the original mean. Excluding the most cited publication, the h -index dropped by 8% on average.

Finally, to illustrate the dependence of h_W on the individual parameters N , C and c_{MAX} , let us consider four authors: #121(A), #25(B), #2(C) and #62(D) (see Fig. 5), who differ in their mean number of citations per publication and/or the number of publications (note that here we also take into account here the value of c_{MAX} by considering the mean number of citations per publication in its trimmed version, \tilde{m}). Researchers A and B have a similar value of \tilde{m} (we find $\tilde{m}=22.23$ for both researchers, which corresponds to $\tilde{q}=0.955$), but a different number of publications, i.e. $N = 244$ for researcher A and $N = 98$ for researcher B. Then, formula \tilde{h}_W produces a higher value for researcher A. Indeed, we find $\tilde{h}_W(A) = 40$ and $\tilde{h}_W(B) = 28$ (the observed values for the h -index are 38 and 25, respectively). Similarly, researchers C and D have a similar value of \tilde{m} (one gets $\tilde{q}=0.961$ for both researchers), but a different number of publications ($N = 141$ for researcher C and $N = 96$ for researcher D). Then formula \tilde{h}_W produces a higher value for researcher C. Specifically, we find $\tilde{h}_W(C) = 35$ and $\tilde{h}_W(D) = 30$ (the observed values of the h -index are 34 and 29, respectively). Moreover, let us consider researchers B and D. They have a similar number of publication, 98 for researcher B and 96 for researcher D; but the latter has a higher level of \tilde{m} . Consequently, the corresponding level of \tilde{h}_W is higher for researcher D. Finally, let us consider researchers C and A. The former presents a higher level of \tilde{m} , but a smaller number of publications. The formula \tilde{h}_W states that the h -index should yield a higher value for A than for C, as indeed is actually observed. In other words, we can conclude that researchers with equal (or similar) *numbers of publications* are directly comparable – as regards the level of h – on the basis of the *mean number of citations per publication*, and *vice versa*. Moreover, increasing publications alone (or citations alone) does not have an immediate effect on the h -index, in general.

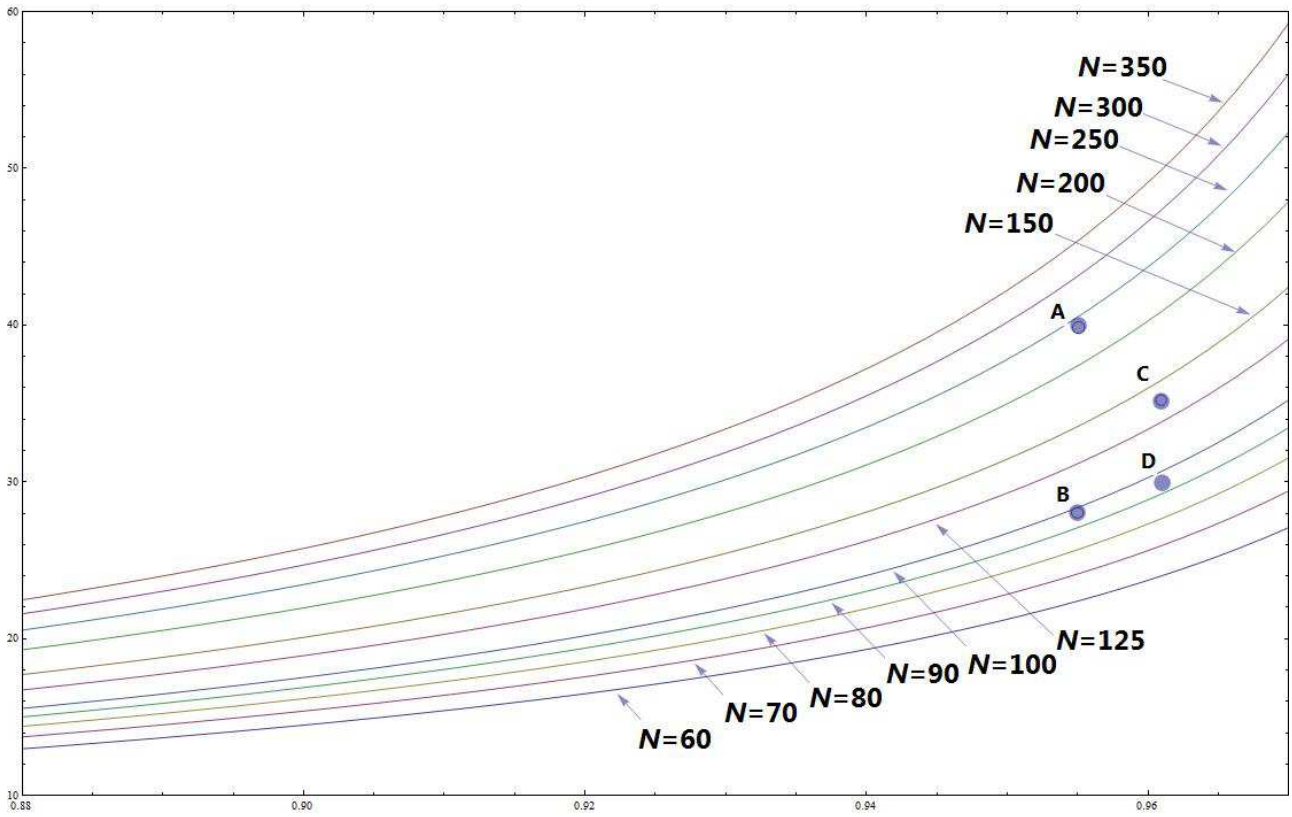


Fig. 5 Comparison between four applicants, #121(A), #25(B), #2(C) and #62(D), with similar levels of (trimmed) mean number of citations per publication and/or number of publications

Table 1. Basic statistics for the sample of applicants: T = total number of papers; N = total number of papers cited at least once; C = total number of citations; c_{MAX} = citation count of the most cited paper; $\%c_{MAX} = (c_{MAX}/C)100\%$; m = mean of the number of citations per paper; \tilde{m} = trimmed version of m ; \tilde{q} = trimmed estimate of q ; h = h -index; \tilde{h}_W = trimmed MLE of (4); AE = absolute error; ARE = absolute relative error.

| # | T | N | C | c_{MAX} | $\%c_{MAX}$ | m | \tilde{m} | \tilde{q} | h | \tilde{h}_W | AE | ARE |
|----|-----|-----|------|-----------|-------------|-------|-------------|-------------|-----|---------------|------|-------|
| 1 | 80 | 63 | 1770 | 176 | 9.9% | 28.1 | 25.7 | 0.961 | 25 | 24 | 1 | 0.040 |
| 2 | 145 | 141 | 3803 | 184 | 4.8% | 27.0 | 25.9 | 0.961 | 34 | 35 | 1 | 0.029 |
| 3 | 10 | 9 | 129 | 37 | 28.7% | 14.3 | 11.5 | 0.913 | 6 | 5 | 1 | 0.167 |
| 4 | 120 | 107 | 1716 | 82 | 4.8% | 16.0 | 15.4 | 0.935 | 22 | 23 | 1 | 0.045 |
| 5 | 91 | 83 | 1535 | 197 | 12.8% | 18.5 | 16.3 | 0.939 | 20 | 21 | 1 | 0.050 |
| 6 | 24 | 19 | 550 | 152 | 27.6% | 28.9 | 22.1 | 0.955 | 10 | 11 | 1 | 0.100 |
| 7 | 80 | 57 | 1020 | 138 | 13.5% | 17.9 | 15.8 | 0.937 | 17 | 18 | 1 | 0.059 |
| 8 | 86 | 71 | 1427 | 131 | 9.2% | 20.1 | 18.5 | 0.946 | 22 | 22 | 0 | 0.000 |
| 9 | 101 | 74 | 1538 | 196 | 12.7% | 20.8 | 18.4 | 0.946 | 22 | 22 | 0 | 0.000 |
| 10 | 405 | 328 | 4309 | 330 | 7.7% | 13.1 | 12.2 | 0.918 | 31 | 29 | 2 | 0.065 |
| 11 | 138 | 116 | 2740 | 170 | 6.2% | 23.6 | 22.3 | 0.955 | 30 | 30 | 0 | 0.000 |
| 12 | 130 | 114 | 3056 | 213 | 7.0% | 26.8 | 25.2 | 0.960 | 27 | 32 | 5 | 0.185 |
| 13 | 11 | 9 | 87 | 23 | 26.4% | 9.7 | 8.0 | 0.875 | 5 | 5 | 0 | 0.000 |
| 14 | 16 | 12 | 75 | 14 | 18.7% | 6.3 | 5.5 | 0.820 | 5 | 5 | 0 | 0.000 |
| 15 | 92 | 82 | 1925 | 318 | 16.5% | 23.5 | 19.8 | 0.950 | 24 | 24 | 0 | 0.000 |
| 16 | 148 | 124 | 2753 | 106 | 3.9% | 22.2 | 21.5 | 0.954 | 28 | 30 | 2 | 0.071 |
| 17 | 183 | 147 | 7165 | 2706 | 37.8% | 48.7 | 30.5 | 0.967 | 30 | 40 | 10 | 0.333 |
| 18 | 49 | 38 | 236 | 31 | 13.1% | 6.2 | 5.5 | 0.820 | 8 | 8 | 0 | 0.000 |
| 19 | 113 | 98 | 2064 | 171 | 8.3% | 21.1 | 19.5 | 0.949 | 27 | 26 | 1 | 0.037 |
| 20 | 49 | 41 | 481 | 85 | 17.7% | 11.7 | 9.9 | 0.899 | 12 | 12 | 0 | 0.000 |
| 21 | 16 | 11 | 114 | 41 | 36.0% | 10.4 | 7.3 | 0.863 | 5 | 5 | 0 | 0.000 |
| 22 | 50 | 39 | 235 | 23 | 9.8% | 6.0 | 5.6 | 0.821 | 8 | 8 | 0 | 0.000 |
| 23 | 39 | 29 | 74 | 11 | 14.9% | 2.6 | 2.3 | 0.556 | 5 | 4 | 1 | 0.200 |
| 24 | 57 | 51 | 2816 | 1637 | 58.1% | 55.2 | 23.6 | 0.958 | 22 | 21 | 1 | 0.045 |
| 25 | 108 | 98 | 2452 | 296 | 12.1% | 25.0 | 22.2 | 0.955 | 25 | 28 | 3 | 0.120 |
| 26 | 154 | 117 | 1979 | 107 | 5.4% | 16.9 | 16.1 | 0.938 | 26 | 25 | 1 | 0.038 |
| 27 | 103 | 87 | 1851 | 129 | 7.0% | 21.3 | 20.0 | 0.950 | 27 | 25 | 2 | 0.074 |
| 28 | 31 | 23 | 298 | 43 | 14.4% | 13.0 | 11.6 | 0.914 | 9 | 10 | 1 | 0.111 |
| 29 | 96 | 85 | 1786 | 143 | 8.0% | 21.0 | 19.6 | 0.949 | 26 | 24 | 2 | 0.077 |
| 30 | 123 | 99 | 2645 | 191 | 7.2% | 26.7 | 25.0 | 0.960 | 30 | 30 | 0 | 0.000 |
| 31 | 113 | 101 | 1211 | 44 | 3.6% | 12.0 | 11.7 | 0.914 | 20 | 19 | 1 | 0.050 |
| 32 | 57 | 52 | 1913 | 335 | 17.5% | 36.8 | 30.9 | 0.968 | 22 | 24 | 2 | 0.091 |
| 33 | 64 | 56 | 1726 | 408 | 23.6% | 30.8 | 24.0 | 0.958 | 20 | 22 | 2 | 0.100 |
| 34 | 7 | 7 | 18 | 5 | 27.8% | 2.6 | 2.2 | 0.538 | 3 | 2 | 1 | 0.333 |
| 35 | 135 | 119 | 2819 | 302 | 10.7% | 23.7 | 21.3 | 0.953 | 29 | 29 | 0 | 0.000 |
| 36 | 59 | 51 | 648 | 99 | 15.3% | 12.7 | 11.0 | 0.909 | 13 | 14 | 1 | 0.077 |
| 37 | 94 | 77 | 1673 | 152 | 9.1% | 21.7 | 20.0 | 0.950 | 23 | 23 | 0 | 0.000 |
| 38 | 103 | 94 | 2468 | 206 | 8.3% | 26.3 | 24.3 | 0.959 | 24 | 29 | 5 | 0.208 |
| 39 | 75 | 73 | 5843 | 1820 | 31.1% | 80.0 | 55.9 | 0.982 | 29 | 37 | 8 | 0.276 |
| 40 | 28 | 17 | 43 | 8 | 18.6% | 2.5 | 2.2 | 0.543 | 3 | 3 | 0 | 0.000 |
| 41 | 96 | 76 | 1365 | 108 | 7.9% | 18.0 | 16.8 | 0.940 | 22 | 21 | 1 | 0.045 |
| 42 | 123 | 116 | 8147 | 1826 | 22.4% | 70.2 | 55.0 | 0.982 | 34 | 48 | 14 | 0.412 |
| 43 | 249 | 168 | 2617 | 179 | 6.8% | 15.6 | 14.6 | 0.932 | 26 | 26 | 0 | 0.000 |
| 44 | 118 | 101 | 3297 | 345 | 10.5% | 32.6 | 29.5 | 0.966 | 30 | 33 | 3 | 0.100 |
| 45 | 99 | 89 | 2091 | 131 | 6.3% | 23.5 | 22.3 | 0.955 | 26 | 26 | 0 | 0.000 |
| 46 | 62 | 46 | 741 | 103 | 13.9% | 16.1 | 14.2 | 0.929 | 16 | 15 | 1 | 0.063 |
| 47 | 66 | 63 | 2047 | 617 | 30.1% | 32.5 | 23.1 | 0.957 | 20 | 23 | 3 | 0.150 |
| 48 | 88 | 68 | 816 | 80 | 9.8% | 12.0 | 11.0 | 0.909 | 16 | 16 | 0 | 0.000 |
| 49 | 108 | 89 | 1494 | 155 | 10.4% | 16.8 | 15.2 | 0.934 | 20 | 21 | 1 | 0.050 |
| 50 | 93 | 64 | 2429 | 885 | 36.4% | 38.0 | 24.5 | 0.959 | 18 | 24 | 6 | 0.333 |
| 51 | 22 | 12 | 98 | 24 | 24.5% | 8.2 | 6.7 | 0.851 | 6 | 5 | 1 | 0.167 |
| 52 | 173 | 159 | 5537 | 804 | 14.5% | 34.8 | 30.0 | 0.967 | 34 | 40 | 6 | 0.176 |
| 53 | 67 | 60 | 1891 | 442 | 23.4% | 31.5 | 24.6 | 0.959 | 21 | 23 | 2 | 0.095 |
| 54 | 130 | 113 | 6342 | 1702 | 26.8% | 56.1 | 41.4 | 0.976 | 34 | 41 | 7 | 0.206 |
| 55 | 61 | 52 | 1403 | 235 | 16.7% | 27.0 | 22.9 | 0.956 | 19 | 21 | 2 | 0.105 |
| 56 | 156 | 133 | 2634 | 211 | 8.0% | 19.8 | 18.4 | 0.946 | 27 | 28 | 1 | 0.037 |
| 57 | 79 | 70 | 2179 | 240 | 11.0% | 31.1 | 28.1 | 0.964 | 23 | 27 | 4 | 0.174 |
| 58 | 104 | 85 | 1581 | 128 | 8.1% | 18.6 | 17.3 | 0.942 | 22 | 22 | 0 | 0.000 |
| 59 | 39 | 35 | 752 | 139 | 18.5% | 21.5 | 18.0 | 0.945 | 14 | 15 | 1 | 0.071 |
| 60 | 111 | 66 | 2342 | 244 | 10.4% | 35.5 | 32.3 | 0.969 | 25 | 28 | 3 | 0.120 |
| 61 | 52 | 46 | 1612 | 333 | 20.7% | 35.0 | 28.4 | 0.965 | 22 | 21 | 1 | 0.045 |
| 62 | 100 | 96 | 2619 | 168 | 6.4% | 27.3 | 25.8 | 0.961 | 29 | 30 | 1 | 0.034 |
| 63 | 65 | 53 | 5428 | 3068 | 56.5% | 102.4 | 45.4 | 0.978 | 27 | 28 | 1 | 0.037 |
| 64 | 174 | 141 | 3610 | 508 | 14.1% | 25.6 | 22.2 | 0.955 | 29 | 32 | 3 | 0.103 |
| 65 | 229 | 167 | 2278 | 224 | 9.8% | 13.6 | 12.4 | 0.919 | 22 | 24 | 2 | 0.091 |
| 66 | 118 | 100 | 2043 | 159 | 7.8% | 20.4 | 19.0 | 0.947 | 25 | 25 | 0 | 0.000 |
| 67 | 209 | 152 | 1251 | 70 | 5.6% | 8.2 | 7.8 | 0.872 | 18 | 17 | 1 | 0.056 |

Table 1. (cont.)

| # | T | N | C | c_{MAX} | % c_{MAX} | m | \tilde{m} | \tilde{q} | h | \tilde{h}_W | AE | ARE |
|---------------|--------------|-------------|---------------|--------------|--------------|--------------|-------------|--------------|-------------|---------------|-------------|--------------|
| 68 | 162 | 128 | 2064 | 234 | 11.3% | 16.1 | 14.4 | 0.931 | 22 | 24 | 2 | 0.091 |
| 69 | 86 | 83 | 4823 | 1058 | 21.9% | 58.1 | 45.9 | 0.978 | 34 | 37 | 3 | 0.088 |
| 70 | 142 | 123 | 8126 | 2731 | 33.6% | 66.1 | 44.2 | 0.977 | 38 | 44 | 6 | 0.158 |
| 71 | 314 | 239 | 4002 | 154 | 3.8% | 16.7 | 16.2 | 0.938 | 30 | 32 | 2 | 0.067 |
| 72 | 112 | 95 | 3511 | 666 | 19.0% | 37.0 | 30.3 | 0.967 | 28 | 32 | 4 | 0.143 |
| 73 | 110 | 90 | 4319 | 582 | 13.5% | 48.0 | 42.0 | 0.976 | 28 | 37 | 9 | 0.321 |
| 74 | 79 | 66 | 2153 | 504 | 23.4% | 32.6 | 25.4 | 0.961 | 22 | 25 | 3 | 0.136 |
| 75 | 78 | 72 | 1159 | 116 | 10.0% | 16.1 | 14.7 | 0.932 | 19 | 19 | 0 | 0.000 |
| 76 | 162 | 134 | 2028 | 134 | 6.6% | 15.1 | 14.2 | 0.930 | 25 | 24 | 1 | 0.040 |
| 77 | 45 | 37 | 698 | 246 | 35.2% | 18.9 | 12.6 | 0.920 | 10 | 13 | 3 | 0.300 |
| 78 | 264 | 235 | 13916 | 2396 | 17.2% | 59.2 | 49.2 | 0.980 | 53 | 64 | 11 | 0.208 |
| 79 | 93 | 79 | 1156 | 87 | 7.5% | 14.6 | 13.7 | 0.927 | 19 | 19 | 0 | 0.000 |
| 80 | 91 | 82 | 2067 | 172 | 8.3% | 25.2 | 23.4 | 0.957 | 27 | 26 | 1 | 0.037 |
| 81 | 88 | 76 | 2771 | 465 | 16.8% | 36.5 | 30.7 | 0.967 | 27 | 29 | 2 | 0.074 |
| 82 | 91 | 80 | 1821 | 323 | 17.7% | 22.8 | 19.0 | 0.947 | 21 | 23 | 2 | 0.095 |
| 83 | 42 | 35 | 444 | 184 | 41.4% | 12.7 | 7.6 | 0.869 | 8 | 9 | 1 | 0.125 |
| 84 | 109 | 84 | 1381 | 87 | 6.3% | 16.4 | 15.6 | 0.936 | 20 | 21 | 1 | 0.050 |
| 85 | 106 | 98 | 4304 | 1142 | 26.5% | 43.9 | 32.6 | 0.969 | 27 | 34 | 7 | 0.259 |
| 86 | 152 | 141 | 3204 | 548 | 17.1% | 22.7 | 19.0 | 0.947 | 30 | 29 | 1 | 0.033 |
| 87 | 15 | 14 | 229 | 59 | 25.8% | 16.4 | 13.1 | 0.924 | 8 | 8 | 0 | 0.000 |
| 88 | 27 | 19 | 209 | 81 | 38.8% | 11.0 | 7.1 | 0.859 | 6 | 7 | 1 | 0.167 |
| 89 | 40 | 35 | 2509 | 882 | 35.2% | 71.7 | 47.9 | 0.979 | 15 | 22 | 7 | 0.467 |
| 90 | 104 | 77 | 1724 | 268 | 15.5% | 22.4 | 19.2 | 0.948 | 23 | 23 | 0 | 0.000 |
| 91 | 82 | 69 | 2355 | 391 | 16.6% | 34.1 | 28.9 | 0.965 | 22 | 27 | 5 | 0.227 |
| 92 | 261 | 215 | 3647 | 179 | 4.9% | 17.0 | 16.2 | 0.938 | 32 | 31 | 1 | 0.031 |
| 93 | 146 | 123 | 2210 | 155 | 7.0% | 18.0 | 16.8 | 0.941 | 25 | 26 | 1 | 0.040 |
| 94 | 103 | 73 | 948 | 91 | 9.6% | 13.0 | 11.9 | 0.916 | 17 | 17 | 0 | 0.000 |
| 95 | 9 | 5 | 50 | 40 | 80.0% | 10.0 | 2.5 | 0.600 | 2 | 2 | 0 | 0.000 |
| 96 | 66 | 63 | 1975 | 299 | 15.1% | 31.3 | 27.0 | 0.963 | 26 | 25 | 1 | 0.038 |
| 97 | 144 | 126 | 3157 | 302 | 9.6% | 25.1 | 22.8 | 0.956 | 30 | 31 | 1 | 0.033 |
| 98 | 111 | 92 | 2363 | 242 | 10.2% | 25.7 | 23.3 | 0.957 | 28 | 28 | 0 | 0.000 |
| 99 | 76 | 70 | 1589 | 129 | 8.1% | 22.7 | 21.2 | 0.953 | 23 | 23 | 0 | 0.000 |
| 100 | 80 | 70 | 1143 | 111 | 9.7% | 16.3 | 15.0 | 0.933 | 19 | 19 | 0 | 0.000 |
| 101 | 80 | 67 | 1264 | 139 | 11.0% | 18.9 | 17.0 | 0.941 | 20 | 20 | 0 | 0.000 |
| 102 | 67 | 59 | 1380 | 227 | 16.4% | 23.4 | 19.9 | 0.950 | 18 | 21 | 3 | 0.167 |
| 103 | 90 | 75 | 1750 | 194 | 11.1% | 23.3 | 21.0 | 0.952 | 20 | 24 | 4 | 0.200 |
| 104 | 108 | 79 | 1717 | 617 | 35.9% | 21.7 | 14.1 | 0.929 | 18 | 19 | 1 | 0.056 |
| 105 | 75 | 67 | 686 | 49 | 7.1% | 10.2 | 9.7 | 0.896 | 14 | 14 | 0 | 0.000 |
| 106 | 79 | 67 | 1362 | 122 | 9.0% | 20.3 | 18.8 | 0.947 | 20 | 21 | 1 | 0.050 |
| 107 | 16 | 10 | 399 | 254 | 63.7% | 39.9 | 16.1 | 0.938 | 6 | 6 | 0 | 0.000 |
| 108 | 79 | 69 | 1414 | 220 | 15.6% | 20.5 | 17.6 | 0.943 | 19 | 21 | 2 | 0.105 |
| 109 | 149 | 90 | 2088 | 177 | 8.5% | 23.2 | 21.5 | 0.953 | 25 | 26 | 1 | 0.040 |
| 110 | 147 | 135 | 2271 | 285 | 12.5% | 16.8 | 14.8 | 0.933 | 25 | 25 | 0 | 0.000 |
| 111 | 204 | 181 | 3431 | 150 | 4.4% | 19.0 | 18.2 | 0.945 | 31 | 31 | 0 | 0.000 |
| 112 | 108 | 98 | 1682 | 112 | 6.7% | 17.2 | 16.2 | 0.938 | 25 | 23 | 2 | 0.080 |
| 113 | 111 | 86 | 1211 | 67 | 5.5% | 14.1 | 13.5 | 0.926 | 19 | 19 | 0 | 0.000 |
| 114 | 91 | 61 | 755 | 59 | 7.8% | 12.4 | 11.6 | 0.914 | 15 | 15 | 0 | 0.000 |
| 115 | 87 | 82 | 1633 | 106 | 6.5% | 19.9 | 18.9 | 0.947 | 23 | 23 | 0 | 0.000 |
| 116 | 78 | 70 | 2801 | 394 | 14.1% | 40.0 | 34.9 | 0.971 | 23 | 30 | 7 | 0.304 |
| 117 | 42 | 37 | 1179 | 104 | 8.8% | 31.9 | 29.9 | 0.967 | 21 | 19 | 2 | 0.095 |
| 118 | 100 | 89 | 4429 | 683 | 15.4% | 49.8 | 42.6 | 0.977 | 29 | 37 | 8 | 0.276 |
| 119 | 146 | 107 | 1729 | 162 | 9.4% | 16.2 | 14.8 | 0.932 | 22 | 22 | 0 | 0.000 |
| 120 | 31 | 23 | 190 | 32 | 16.8% | 8.3 | 7.2 | 0.861 | 7 | 8 | 1 | 0.143 |
| 121 | 308 | 244 | 6302 | 899 | 14.3% | 25.8 | 22.2 | 0.955 | 38 | 40 | 2 | 0.053 |
| 122 | 59 | 49 | 1876 | 261 | 13.9% | 38.3 | 33.6 | 0.970 | 22 | 24 | 2 | 0.091 |
| 123 | 70 | 58 | 1234 | 79 | 6.4% | 21.3 | 20.3 | 0.951 | 23 | 21 | 2 | 0.087 |
| 124 | 87 | 80 | 1348 | 84 | 6.2% | 16.9 | 16.0 | 0.938 | 21 | 21 | 0 | 0.000 |
| 125 | 80 | 59 | 492 | 49 | 10.0% | 8.3 | 7.6 | 0.869 | 11 | 12 | 1 | 0.091 |
| 126 | 161 | 123 | 3323 | 242 | 7.3% | 27.0 | 25.3 | 0.960 | 32 | 33 | 1 | 0.031 |
| 127 | 79 | 61 | 1459 | 350 | 24.0% | 23.9 | 18.5 | 0.946 | 20 | 20 | 0 | 0.000 |
| 128 | 73 | 60 | 967 | 139 | 14.4% | 16.1 | 14.0 | 0.929 | 18 | 17 | 1 | 0.056 |
| 129 | 129 | 118 | 6105 | 775 | 12.7% | 51.7 | 45.6 | 0.978 | 40 | 44 | 4 | 0.100 |
| 130 | 155 | 133 | 3867 | 226 | 5.8% | 29.1 | 27.6 | 0.964 | 30 | 36 | 6 | 0.200 |
| 131 | 94 | 75 | 938 | 82 | 8.7% | 12.5 | 11.6 | 0.914 | 16 | 17 | 1 | 0.063 |
| <i>Mean</i> | <i>101.9</i> | <i>84.6</i> | <i>2205.9</i> | <i>358.7</i> | <i>16.0%</i> | <i>25.0</i> | <i>20.6</i> | <i>0.93</i> | <i>21.6</i> | <i>23.1</i> | <i>1.9</i> | <i>0.09</i> |
| <i>St dev</i> | <i>62.9</i> | <i>51</i> | <i>1935</i> | <i>543</i> | <i>0.12</i> | <i>15.9</i> | <i>10.8</i> | <i>0.074</i> | <i>8.7</i> | <i>10.1</i> | <i>2.52</i> | <i>0.097</i> |
| <i>Min</i> | <i>7</i> | <i>5</i> | <i>18</i> | <i>5</i> | <i>3.6%</i> | <i>2.5</i> | <i>2.2</i> | <i>0.538</i> | <i>2</i> | <i>2</i> | <i>0</i> | <i>0.000</i> |
| <i>Q1</i> | <i>66</i> | <i>57.5</i> | <i>1157.5</i> | <i>105</i> | <i>8.0%</i> | <i>16.1</i> | <i>14.1</i> | <i>0.929</i> | <i>18</i> | <i>19</i> | <i>0</i> | <i>0.000</i> |
| <i>Q2</i> | <i>92</i> | <i>77</i> | <i>1786</i> | <i>177</i> | <i>12.5%</i> | <i>21.3</i> | <i>19.0</i> | <i>0.947</i> | <i>22</i> | <i>23</i> | <i>1</i> | <i>0.056</i> |
| <i>Q3</i> | <i>123</i> | <i>104</i> | <i>2692.5</i> | <i>326.5</i> | <i>18.5%</i> | <i>29.9</i> | <i>25.1</i> | <i>0.960</i> | <i>27</i> | <i>29</i> | <i>2</i> | <i>0.116</i> |
| <i>Max</i> | <i>405</i> | <i>328</i> | <i>13916</i> | <i>3068</i> | <i>80.0%</i> | <i>102.4</i> | <i>55.9</i> | <i>0.982</i> | <i>53</i> | <i>64</i> | <i>14</i> | <i>0.467</i> |

5. Conclusion

This paper has proposed a formula for the h -index which can be easily computed from three simple bibliometric indicators, namely N , C and c_{MAX} . More precisely, our formula describes the functional relationship between the h -index and the indicators: number of publications, N , and mean of an author's citations, C . The third factor, c_{MAX} , i.e. the number of citations received by the most cited paper, plays the role of a mere (but important) bias-reducing adjustment term. Indeed, the choice of a trimmed sample mean limits the bias induced by the 'big hit' problem. Our formula for the h -index involves two unknown parameters that can vary from author to author: one for normalization (N), and one that characterises the shape of the author-specific citation distribution. This latter parameter is estimated by calculating a trimmed mean of the number of citations per publication.

To deduce our formula for the h -index, we temporarily assumed that citations follow a geometric law. To be noted is that this random variable can also be viewed as the discrete version of a special case of a Weibull (stretched exponential) distribution and also as a special case of negative binomial (Mingers & Burrell, 2006). Although the geometric distribution is perhaps too restrictive, in general, to be satisfactory as a model describing the citations over the *whole* range of the values (but, on the other hand, this was not the purpose of our study), it works well for representing the *center* of the citation distributions (while the Paretian models, instead, are well suited to the high citation end of the distribution), and this fact suffices to obtain an excellent proxy for the 'true' value of h , in the general case. To confirm this finding, in a case study we examined publication and citation data for a rather homogeneous cohort of 131 scientists. The preliminary results are encouraging: the overall fit (defined as the capacity of \tilde{h}_W to reproduce the true value of h) was remarkably good, in that the predicted value \tilde{h}_W was within one of the actual value h , for more than sixty percent of the datasets. The *MARE* was 0.09 for the whole sample of applicants. This value decreased to about 0.056 for those applicants with a mean number of citations per publication m not greater than 30 (as a general rule, the formula works particularly well for not very high levels of m). These findings confirm analogous positive results obtained by Burrell (2013a), on the basis of a study of the citation data sets of 15 scientists.

To conclude, owing to its dependence on a special function (the so-called Lambert W function), the presented formula \tilde{h}_W is perhaps slightly less straightforward to compute, with respect to formulas such as those given by equations (5), (6) and (8). Nevertheless, its computation is similarly simple, in that it needs only (the knowledge of) three standard bibliometric indicators, and its precision seems to be far better than that obtained with these alternative methods – at least in regard to the data in our analysis.

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Appendix

Lambert W function tabulated for values of its argument in the range from 0.5 to 10, in steps of 0.05

| y | $W(y)$ | y | $W(y)$ | y | $W(y)$ | y | $W(y)$ | y | $W(y)$ | y | $W(y)$ |
|------|--------|------|--------|------|--------|------|--------|------|--------|-------|--------|
| 0.50 | 0.352 | 2.10 | 0.875 | 3.70 | 1.160 | 5.30 | 1.360 | 6.90 | 1.516 | 8.50 | 1.643 |
| 0.55 | 0.377 | 2.15 | 0.886 | 3.75 | 1.167 | 5.35 | 1.366 | 6.95 | 1.520 | 8.55 | 1.647 |
| 0.60 | 0.402 | 2.20 | 0.897 | 3.80 | 1.174 | 5.40 | 1.371 | 7.00 | 1.524 | 8.60 | 1.651 |
| 0.65 | 0.425 | 2.25 | 0.908 | 3.85 | 1.181 | 5.45 | 1.376 | 7.05 | 1.529 | 8.65 | 1.654 |
| 0.70 | 0.448 | 2.30 | 0.918 | 3.90 | 1.188 | 5.50 | 1.382 | 7.10 | 1.533 | 8.70 | 1.658 |
| 0.75 | 0.469 | 2.35 | 0.929 | 3.95 | 1.195 | 5.55 | 1.387 | 7.15 | 1.537 | 8.75 | 1.661 |
| 0.80 | 0.490 | 2.40 | 0.939 | 4.00 | 1.202 | 5.60 | 1.392 | 7.20 | 1.541 | 8.80 | 1.665 |
| 0.85 | 0.510 | 2.45 | 0.949 | 4.05 | 1.209 | 5.65 | 1.397 | 7.25 | 1.546 | 8.85 | 1.669 |
| 0.90 | 0.530 | 2.50 | 0.959 | 4.10 | 1.216 | 5.70 | 1.402 | 7.30 | 1.550 | 8.90 | 1.672 |
| 0.95 | 0.549 | 2.55 | 0.968 | 4.15 | 1.222 | 5.75 | 1.407 | 7.35 | 1.554 | 8.95 | 1.676 |
| 1.00 | 0.567 | 2.60 | 0.978 | 4.20 | 1.229 | 5.80 | 1.413 | 7.40 | 1.558 | 9.00 | 1.679 |
| 1.05 | 0.585 | 2.65 | 0.987 | 4.25 | 1.236 | 5.85 | 1.418 | 7.45 | 1.562 | 9.05 | 1.683 |
| 1.10 | 0.602 | 2.70 | 0.997 | 4.30 | 1.242 | 5.90 | 1.423 | 7.50 | 1.566 | 9.10 | 1.686 |
| 1.15 | 0.619 | 2.75 | 1.006 | 4.35 | 1.248 | 5.95 | 1.428 | 7.55 | 1.570 | 9.15 | 1.689 |
| 1.20 | 0.636 | 2.80 | 1.015 | 4.40 | 1.255 | 6.00 | 1.432 | 7.60 | 1.574 | 9.20 | 1.693 |
| 1.25 | 0.652 | 2.85 | 1.024 | 4.45 | 1.261 | 6.05 | 1.437 | 7.65 | 1.578 | 9.25 | 1.696 |
| 1.30 | 0.667 | 2.90 | 1.033 | 4.50 | 1.267 | 6.10 | 1.442 | 7.70 | 1.582 | 9.30 | 1.700 |
| 1.35 | 0.682 | 2.95 | 1.041 | 4.55 | 1.273 | 6.15 | 1.447 | 7.75 | 1.586 | 9.35 | 1.703 |
| 1.40 | 0.697 | 3.00 | 1.050 | 4.60 | 1.280 | 6.20 | 1.452 | 7.80 | 1.590 | 9.40 | 1.706 |
| 1.45 | 0.712 | 3.05 | 1.058 | 4.65 | 1.286 | 6.25 | 1.457 | 7.85 | 1.594 | 9.45 | 1.710 |
| 1.50 | 0.726 | 3.10 | 1.067 | 4.70 | 1.292 | 6.30 | 1.461 | 7.90 | 1.598 | 9.50 | 1.713 |
| 1.55 | 0.740 | 3.15 | 1.075 | 4.75 | 1.298 | 6.35 | 1.466 | 7.95 | 1.602 | 9.55 | 1.716 |
| 1.60 | 0.753 | 3.20 | 1.083 | 4.80 | 1.304 | 6.40 | 1.471 | 8.00 | 1.606 | 9.60 | 1.720 |
| 1.65 | 0.767 | 3.25 | 1.091 | 4.85 | 1.309 | 6.45 | 1.475 | 8.05 | 1.610 | 9.65 | 1.723 |
| 1.70 | 0.780 | 3.30 | 1.099 | 4.90 | 1.315 | 6.50 | 1.480 | 8.10 | 1.614 | 9.70 | 1.726 |
| 1.75 | 0.792 | 3.35 | 1.107 | 4.95 | 1.321 | 6.55 | 1.484 | 8.15 | 1.617 | 9.75 | 1.730 |
| 1.80 | 0.805 | 3.40 | 1.115 | 5.00 | 1.327 | 6.60 | 1.489 | 8.20 | 1.621 | 9.80 | 1.733 |
| 1.85 | 0.817 | 3.45 | 1.123 | 5.05 | 1.332 | 6.65 | 1.494 | 8.25 | 1.625 | 9.85 | 1.736 |
| 1.90 | 0.829 | 3.50 | 1.130 | 5.10 | 1.338 | 6.70 | 1.498 | 8.30 | 1.629 | 9.90 | 1.739 |
| 1.95 | 0.841 | 3.55 | 1.138 | 5.15 | 1.344 | 6.75 | 1.502 | 8.35 | 1.632 | 9.95 | 1.742 |
| 2.00 | 0.853 | 3.60 | 1.145 | 5.20 | 1.349 | 6.80 | 1.507 | 8.40 | 1.636 | 10.00 | 1.746 |
| 2.05 | 0.864 | 3.65 | 1.153 | 5.25 | 1.355 | 6.85 | 1.511 | 8.45 | 1.640 | | |

The reported values of the Lambert W function were computed using the command `LambertW` (or, equivalently, `ProductLog`) of the Mathematica[®] 9.0 software package (Wolfram Research, Inc., 2012).