

1 Title: Overground walking slip perturbations induce frontal plane motion of the trunk – slips are  
2 not just a backwards but also a sideways loss of balance

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25 **Abstract**

26 Slip and fall incidents are a serious health care concern globally. Previous research  
27 describes a backwards loss of balance during a slip incident, however hip fractures only occur if  
28 individuals fall on their side. Therefore, this study is investigating and quantifying the trunk motion  
29 in the sagittal and frontal plane. 13 healthy young participants' trunk kinematics were analyzed  
30 during a slip incident. Peak trunk angle of the trunk in the sagittal and frontal plane were calculated.  
31 There was no significant difference between sagittal and frontal plane peak trunk angles suggesting  
32 that there is frontal plane motion during an overground slip incident. Our findings suggest research  
33 should investigate frontal plane mechanics during a slip incident as there is trunk frontal plane  
34 motion which if uncontrolled can result in falling on the femoral neck. Understanding and  
35 preventing falls based upon frontal plane mechanics may be more useful for preventing hip  
36 fractures from a slip incident. *Lastly, the findings of this study are confirmatory results as the*  
37 *frontal plane trunk motion was quantified and reported in 2008.*

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## 46 Introduction

47 Slip and fall incidents are major health care issue over 300,000 hip fractures occur annually  
48 in the United States of America alone [1]. Injuries from falls ranks as the third highest personal  
49 health care cost in the United States [2]. Understanding how the human body moves during a slip  
50 incident may provide insight on how to regain balance and prevent falls. Research suggests that  
51 slip incidences are primarily a sagittal plane perturbation and induce a backwards loss of balance  
52 [3]. A slip being described as a backwards loss of balance may be misleading as it is known that  
53 hip fractures are far more likely to occur with a sideways loss of balance. As such, the sagittal and  
54 frontal characteristics of the body warrant analysis to determine the possibility of there being  
55 sideways rotation behavior during an overground slip incident.

56 The sagittal plane movements of the trunk, arms and legs in response to a slip incident have  
57 been reported. Specifically, the mechanics of how the body moves during a slip has been reported  
58 to move through the sagittal plane when examining the center of mass [4–6], the upper extremities  
59 [5,7–9], the lower extremities [10–12], and the trunk [7,13]. As such, slip research has described  
60 a slip incident to result in a backwards loss of balance. The focus of the sagittal plane in a slip  
61 incident is a concern as hip fractures do not occur during a backwards loss of balance but only  
62 occur when individuals fall to their sides [14–16]. Therefore, it is important to investigate if frontal  
63 plane motion is observed during a slip as uncontrolled frontal plane motion would result in a  
64 sideways loss of balance and potentially increase risk for a hip fracture.

65 While most of the slip literature has focused on describing sagittal plane mechanics, there  
66 is literature that describes frontal plane mechanics being observed during a slip. Three studies have  
67 reported observing frontal plane motion during a slip incident but have not quantified the results  
68 [17–19]. Two other studies described frontal plane motion of the arms during a slip incident and

69 showed a photograph of their participant with clear frontal plane trunk motion [20,21]. Nazifi and  
70 others (2020) did not quantify shoulder abduction angles during a slip, but a graph in their study  
71 shows shoulder abduction angles exceeding that of shoulder flexion angles [9]. Furthermore, Troy  
72 and others (2009) conducted a slip study initially starting with 48 individuals and narrowed their  
73 subject pool down to 12 by eliminating those whose trunk motion was not directed primarily  
74 backwards [7] meaning that other motions, such as frontal or transverse, were present in their  
75 participants. Lastly, Smeesters and others (2001) reported that slips mainly result in sideways falls,  
76 however their participants were instructed to simulate a faint when the perturbation began and  
77 these results may not apply to those who are able to attempt a regaining of balance [22]. These  
78 studies, while few, demonstrate that slip incidents may induce frontal plane motion which may be  
79 useful for understanding fall mechanics that lead to hip fractures.

80 As frontal plane trunk motion has not been quantified to date, the purpose of the current  
81 study was to characterize the trunk motions in the sagittal and frontal planes during a slip incident.  
82 The quantification of peak trunk angles in the sagittal and frontal plane were of interest. We  
83 hypothesized the frontal plane trunk flexion would be greater than sagittal plane trunk extension.  
84 Information gained from this study will provide insight into how the trunk motion of the human  
85 body is induced from a slip incident.

## 86 Methods

### 87 *Participants*

88 16 healthy participants between the ages of 21 and 35 participated in this study (8 males  
89 and 8 females). Prior to participation, all were informed of the nature of the study, and provided  
90 written informed consent as approved by the University of Southern California Health Science  
91 Campus Institutional Review Board. After providing informed consent, all participants filled out

92 a medical questionnaire to screen for possible conditions that could jeopardize their safety by  
93 participating in the study. Individuals were excluded from participation if they reported any of the  
94 following medical conditions: neurological or orthopedic conditions that would affect gait, current  
95 muscle strains or joint sprains, recent bone fractures, or previous back injuries.

### 96 *Instrumentation*

97 All participant gait trials were performed on a 10-meter walkway within the laboratory. A  
98 custom-constructed Nickel-Teflon coated floor tile (California Technical Plating, San Fernando,  
99 CA, US) was imbedded into the walkway and camouflaged such that the coloring of the tile  
100 matched the non-Teflon tiles. Mineral oil was placed on the tile to reduce the coefficient of friction  
101 to induce slipping.

102 3-D motion analysis was performed using an 11-camera motion analysis system (Qualisys,  
103 Gothenburg, Sweden) collected at 150 Hz. 76 reflective markers placed over specific anatomical  
104 locations were used to quantify trunk kinematics. To prevent falls during biomechanical testing, a  
105 fall-arresting body harness (Miller Model 550-64, Dalloz Fall Protection, Franklin, PA, USA)  
106 secured with an 8 mm climbing rope was attached to a low-friction trolley directly above the 10-  
107 meter walkway. An Omega S-beam load cell (Omega Engineering Inc., Norwalk, CT, US) was  
108 connected the climbing rope and the trolley system to measure the amount of bodyweight displaced  
109 on the load cell during the slip perturbation trials. To control for the influence of footwear, all  
110 footwear was standardized and participants were fitted with a pair of oxford dress shoes with a  
111 standard rubber outer sole (Bates Footwear, Richmond, IN, US).

### 112 *Procedures*

113 Prior to testing, an adjustable fall arresting harness was fitted appropriately to each  
114 participant. The harness was adjusted so that the hip would not be allowed to drop below a distance  
115 equal to 35% of participants' height [23]. Participants were then instrumented with a full body  
116 marker set. Reflective joint markers were placed on the L5S1, Xyphoid Process, and C7, and  
117 markers were placed bilaterally on the: second toe, fifth metatarsal head, first metatarsal head,  
118 lateral and medial malleolus, lateral and medial epicondyles of the femur, greater trochanter,  
119 anterior superior iliac spine, iliac crest, posterior superior iliac spine, acromioclavicular joint,  
120 anterior and posterior glenohumeral joint, greater tubercle, lateral and medial epicondyle of the  
121 humerus, radial and ulnar styloid processes, and the third metacarpal head. Additionally, a head  
122 band fitted with 4 markers was used to track the head, and marker tracking clusters were placed  
123 bilaterally on the heel, shank, thigh, upper arm and forearm.

124 The lighting in the laboratory was dimmed to 3 foot candles prior to the walking trials to  
125 assist in concealment of the contaminated tile, but bright enough for participants to navigate the  
126 walkway. Participants engaged in multiple practice walking trials to adjust to the harness system  
127 and the dimmed lighting conditions until they achieved a consistent walking speed of 1.35-1.5 m/s.  
128 All trials (non-slip and slip) monitored gait speed to ensure participants remained within the target  
129 speed. To avoid anticipatory gait changes to a potential perturbation, care was taken by slightly  
130 dimming the lighting so that participants were unaware of the location of the Teflon tile and which  
131 trial the contaminant would be applied [24,25].

132 Kinematic data were obtained during 4 non-slip walking trials once participants were  
133 acclimated to the instrumentation and procedures. Between each trial, participants faced away  
134 from the walkway for 60 seconds so that they would be uncertain as to the trial in which a  
135 contaminate would be placed on the floor to induce a slip. Loud music was projected throughout

136 the laboratory during each of the 1-minute breaks between trials to act as an additional distraction  
137 and avoid the participant detecting contaminant being applied. Mineral was placed on the Teflon  
138 tile after obtaining a minimum of 4 non-slip walking trials at the appropriate gait speed. Following  
139 the slip trial, participants were asked if they had anticipated the slip trial or if they had observed  
140 the contaminant. Any anticipation or observation of the contaminant resulted in the participant  
141 being excluded from this study. All participants were slipped on their right foot and were only  
142 exposed to 1 slip during the course of the study.

### 143 *Data Analysis*

144 For purposes of this study, only data from participants who recovered their balance  
145 immediately following the slip were used for analysis. The determinant outcome of the slip,  
146 recovery or fall, was determined by the Omega load cell. An outcome was categorized as a fall if  
147 the individual displaced more than 30% of their body weight onto the harness system [23].

148 Kinematic data were filtered using an 2nd order, 6-Hz, low pass Butterworth filter with  
149 zero-lag compensation. Fifteen body segments (head, pelvis, thorax, and bilateral feet, shank,  
150 thigh, upper arm, forearm, and hand) were created through a custom designed model template  
151 using Visual 3D software (C-Motion, Inc., Germantown, MD, USA). The global coordinate system  
152 was defined with Y as the anterior-posterior (AP) axis, X as the medio-lateral (ML) axis and Z as  
153 the vertical axis. The coordinate system for the thorax were based on the work of Wu and others  
154 [26]. Trunk kinematics in the sagittal and frontal plane were exported and analyzed in MATLAB  
155 (Mathworks, Natick, MA, USA). Peak sagittal and frontal plane trunk angles after slip initiation  
156 were used for analysis. To calculate excursion in each plane, the trunk angle position at the time  
157 of heel strike was considered the start position and the final position was the greatest deviation  
158 away from the start (Fig. 1 & Fig. 2).

159 *Statistical Analysis*

160 A shapiro-wilk test was conducted to test for normality of the data. A paired t-test was  
161 performed to test for differences in peak trunk angles between the sagittal and frontal plane.  
162 Statistical analysis was performed using SPSS software (SPSS, Chicago, IL, USA). Significance  
163 levels were set at  $p < 0.05$ .

164 **Results**

165 The results depicted below are from the 13 participants who recovered their balance as  
166 three individuals fell. Peak trunk angles from the sagittal and frontal plane trunk movements were  
167 normally distributed. However, trunk excursion in the sagittal and frontal plane were not normally  
168 distributed. As such, trunk excursion comparisons were assessed with a Mann-Whitney U test. The  
169 results of the Mann-Whitney U test revealed that there was no significant difference in peak trunk  
170 angles between the sagittal and frontal plane ( $18.7^\circ \pm 7.2$  vs.  $20.4^\circ \pm 9.8$ , respectively,  $p = 0.73$ ,  
171 Fig. 3). The participants' range for frontal plane trunk right flexion was 3.71 to 32.91 degrees.

172 **Discussion**

173 The purpose of the current study was to characterize the trunk motions in the sagittal and  
174 frontal planes during a slip incident. There were no significant differences in the peak trunk angles  
175 between the sagittal and frontal plane. Surprisingly, the direction of the trunk in the sagittal plane  
176 was opposite of what we expected. Overall, these findings suggest that further analyses into frontal  
177 plane mechanics of the arms and legs countering trunk motion during a slip are warranted.

178 The finding of this study differed from other studies that reported a backwards movement  
179 within the sagittal plane. Previous studies have reported that a backwards loss of balance occurs  
180 after an individual experiences a slip [5,7,9,27–31]. In this study, the initial response of our



181 participants exhibited a trunk flexion response immediately following slip initiation, followed by  
182 an overcompensation trunk extension response (Fig. 1). It is possible that the differences in sagittal  
183 plane mechanics differ as the methodology to induce a slip differs between studies. Our study  
184 utilized mineral oil on the floor as a contaminant, whereas other studies used moveable platforms  
185 [30], vinyl covers with detergent [31], and wax paper [24]. Regardless of the differing sagittal  
186 mechanics, a focus on the sagittal plane has neglected the importance of analyzing slips in the  
187 frontal plane, and this is important as a sideways loss of balance is what can lead to increased risk  
188 of hip fractures [14].

189         There was frontal plane motion of the trunk induced by a slip incident. The initial  
190 movement responses of the trunk in the frontal plane were directed towards the side of the slipped  
191 foot. In this particular study, all the participants experienced a slip on their right foot and their  
192 trunk demonstrated right trunk flexion. To note, individuals that experienced a slip on their left  
193 foot exhibited left trunk flexion in our pilot testing suggesting this is a mechanical response and  
194 not dependent on dominant or non-dominant limbs. To the best of our knowledge, this study is the  
195 first study to address the frontal plane movement of the trunk during a slip and provides support  
196 to the claim that slip incidents can cause hip fractures [32].

197         From a theoretical biomechanical perspective, an overground slip incident during walking  
198 would inherently induce frontal plane motion. A slip incident begins with an individual making  
199 foot contact onto a slippery surface where the foot intends on accepting weight. During a slip  
200 however, the perturbed foot slides anteriorly away from the body while still maintaining weight  
201 on the foot as the slip progresses. This weight bearing on the anteriorly shifting perturbed foot  
202 would lower the height of the hip on the perturbed side causing the trunk to shift within the frontal  
203 plane. A schematic of this theoretical biomechanical movement is demonstrated in Figure 4. This

204 theoretical concept is observable in our participant as shown in Figure 5. As shown in Figure 5,  
205 the frontal plane motion of the trunk is exhibited, whereas the sagittal plane excursion is less  
206 present.

207 Frontal plane motion during a slip could be difficult to control. A slip incident results in  
208 the body experiencing rapid movements of the extremities and trunk [3,5,8,10,20,31,33]. The head,  
209 arm and trunk (HAT) account for approximately 67.8% of total body weight [34]. Having majority  
210 of the weight of the body rapidly rotating towards the left or the right would be difficult to control  
211 as it carries most of the mass of the body. One study showed that head and trunk velocities were  
212 significantly greater in the frontal plane compared to the sagittal plane during a walking treadmill  
213 slip [35]. This issue of frontal plane loss of balance becomes more troublesome when applying  
214 this concept to older adults. While adults shift postural strategies from an ankle strategy to a hip  
215 strategy as they age, it was reported that older adults demonstrated low activation of the rectus  
216 abdominus which led to higher trunk movements in a platform perturbation [36]. Furthermore, the  
217 legs are focused on regaining balance by restoring the base of support from the anteroposterior  
218 disturbance of the slip, and the legs are limited on the frontal plane motion it can contribute to  
219 sideways loss of balance. This is likely why the arm movements exhibit frontal plane movement  
220 to counter a sideways loss of balance [9,21,37]. It is likely that uncontrolled frontal plane trunk  
221 movement during a slip incident is what leads to older adults fracturing their hip as that is the  
222 direction which is the most difficult to control [14].

223 While frontal plane trunk motion is difficult to control, there are ways for individuals to  
224 mitigate the severity of frontal plane-induced mechanics from a slip. The arms were shown to act  
225 as a counterweight during a sideways platform by having the arms move opposingly to the  
226 direction of the perturbation [38]. The counterweight movement of the arms would likely oppose

227 the direction of frontal plane trunk disturbance by minimizing the center of mass trajectory [21,39].  
228 Furthermore, arm abduction during an overground slip incident reduces center of mass dynamics  
229 and increases the margin of stability to assist in regaining balance within the frontal plane during  
230 a slip incident [21]. Lastly, these frontal plane arm movements are shown to reduce falls 70%  
231 during an overground slip [20]. These counter-movements would only be present if a frontal plane  
232 trunk disturbance was induced during a slip incident.

233         There are some considerations that must be addressed when interpreting the results of this  
234 study. Firstly, this study recruited and analyzed young and healthy adults so these results should  
235 not be generalized to older adults. Further exploration of studies investigating older adults’  
236 mechanics during a slip incident is warranted to generalize findings. Secondly, the sample size of  
237 the study was 13 participants which may be considered small, however all participants  
238 demonstrated a sideways rotational behavior of the trunk as shown in the photographs. A third  
239 consideration is the slip methodology used in this study and others. This study induced a slip during  
240 walking using oil on a floor, whereas other studies used treadmills, moveable platforms, wax  
241 paper, soapy water & vinyl covers with detergent and do both standing and walking slips. While  
242 it is important to note the type of slip methodology for interpretation, we believe the information  
243 in this study is still relevant as individuals slip on floors with lower friction values such as  
244 restaurants workers stepping on oily surfaces or ice, individuals walking on muddy tiles in outdoor  
245 spaces, or individuals stepping on wet bathroom floors.

## 246 Summary

247         There was a similar amount of frontal plane trunk motion compared to sagittal plane trunk  
248 motion providing evidence that the frontal plane mechanics of a slip warrant investigation. The  
249 participants in our study exhibited an initial trunk flexion response in the sagittal plane differing

250 from previously reported literature. Frontal plane mechanics observed during a slip warrant further  
251 investigation as hip fractures result from individuals falling on their sides.

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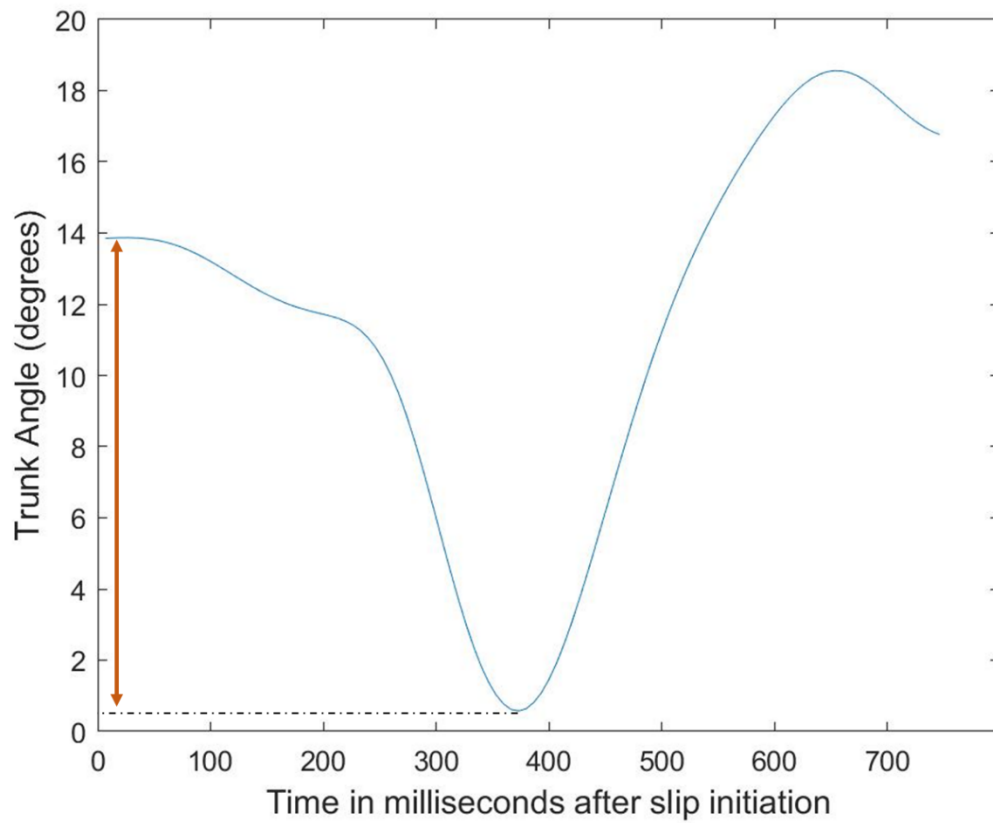
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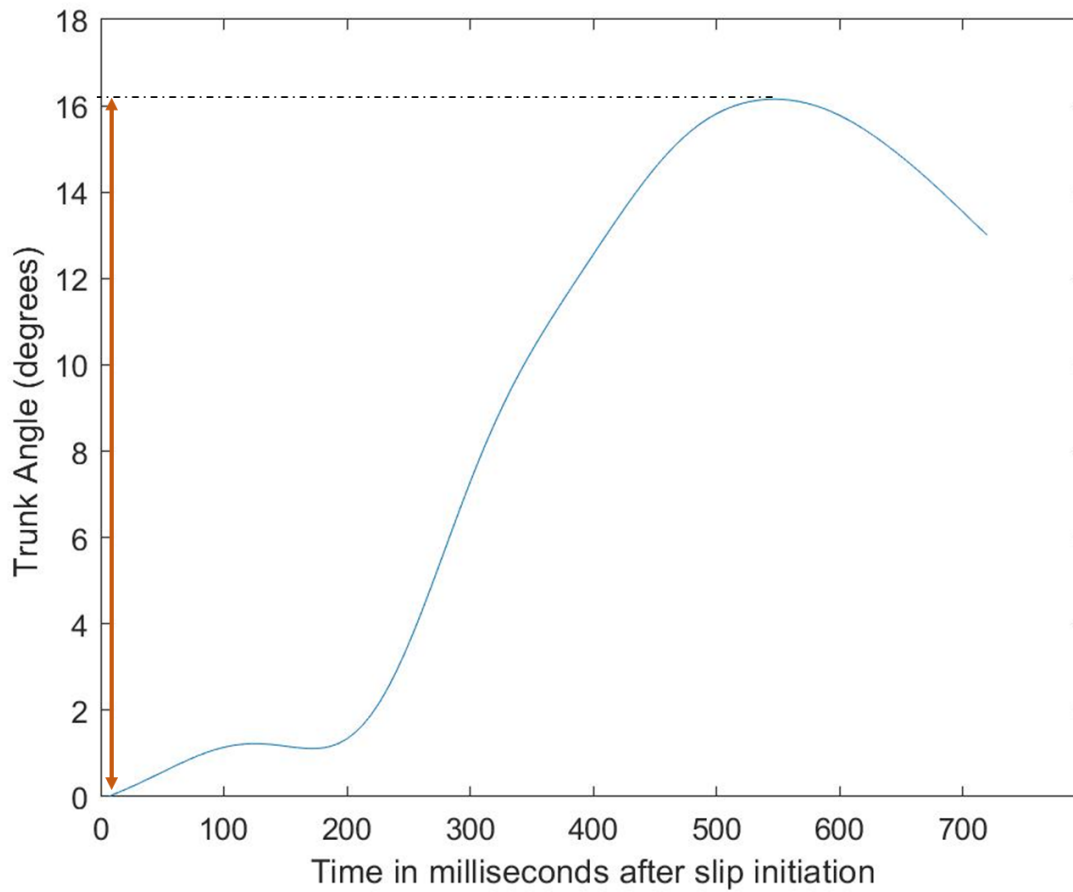


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371 Figure 1. An example from a participant's sagittal plane trunk behavior over time after a slip  
372 initiation. The orange doubled-sided arrow depicts the calculation of excursion. A positive value  
373 indicates trunk extension whereas a negative value indicates trunk flexion.

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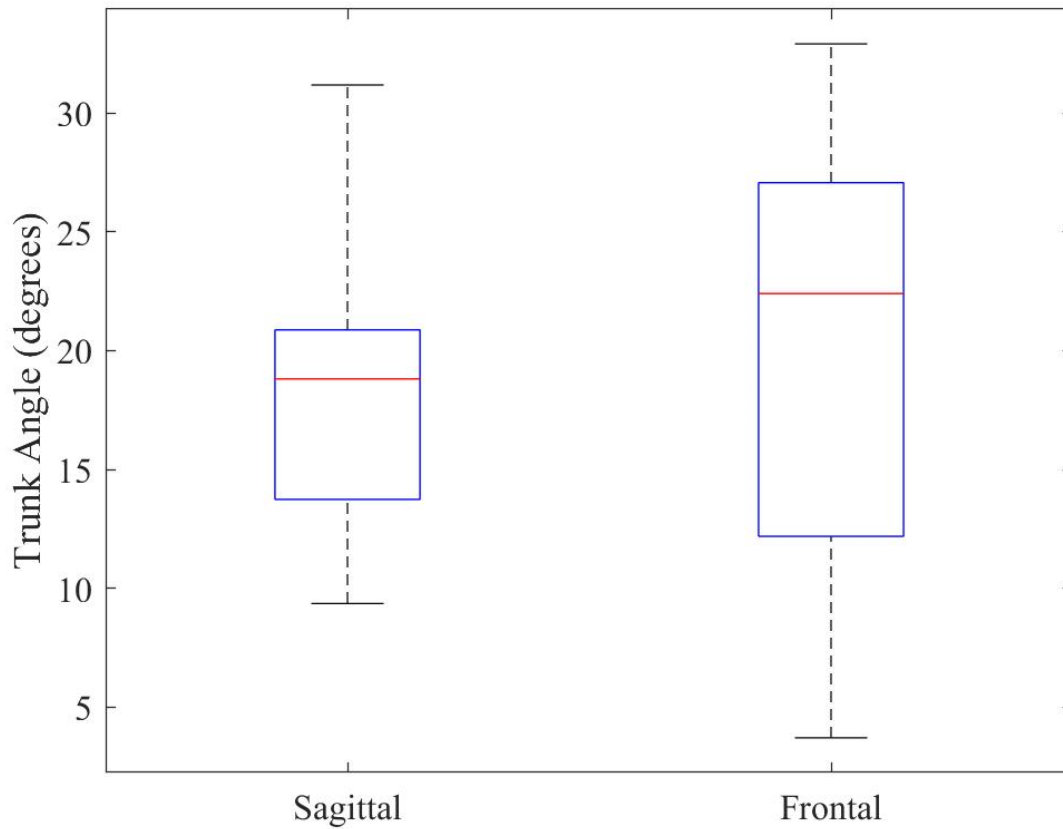
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377 Figure 2. An example from a participant's frontal plane trunk behavior over time after a slip  
378 initiation. The orange doubled-sided arrow depicts the calculation of excursion. A positive value  
379 indicates right trunk flexion whereas a negative value indicates left trunk flexion.

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382 Figure 3. The peak trunk angles of the sagittal and frontal plane after slip initiation (n = 13, p =  
383 0.73). Positive values are trunk extension (sagittal) and right trunk flexion (frontal).

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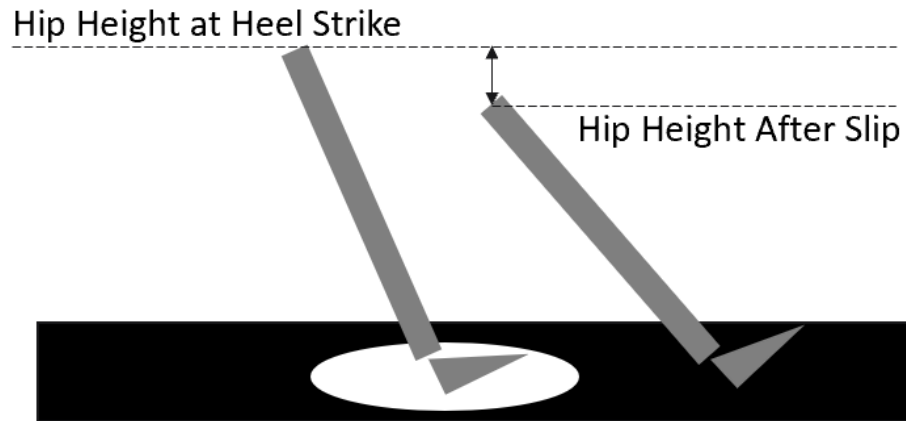
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393 Figure 4. A schematic depicting the theoretical biomechanical inducing of frontal plane motion  
394 during a slip incident. The left gray limb is the right leg at heel strike. The white circle represents  
395 a slippery substance on the floor. The top horizontal dashed black line represents the hip height  
396 at heel strike. The right gray limb represents the right leg during the slip after the foot slides  
397 forwards. The bottom horizontal dashed black line represents the hip height after slip initiation.  
398 The double-sided vertical arrow represents the hip height difference on the side of the slipped  
399 foot between the hip height before and after the slip.

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407 Figure 5. An example of a participant experiencing a slip incident in the laboratory. The  
408 photograph depicts three different progressions of the individual undergoing the slip incident.  
409 The vertical white box labeled “A” shows a frontal view (top) and sagittal view (bottom) of an  
410 individual just prior to heel strike on the slippery surface. The vertical white box labeled “B”  
411 shows a frontal view (top) and sagittal view (bottom) of an individual after slip initiation. The  
412 vertical white box labeled “C” shows a frontal view (top) and sagittal view (bottom) of an  
413 individual towards the end of the slip incident. The frontal plane motion of the trunk is visible in  
414 the frontal view, and the sagittal plane rotational behavior of the trunk is quite minimal in this  
415 participant.