

1 **Abstract**

2 *Barefoot running has experienced a resurgence in footwear biomechanics literature, based on*
3 *the supposition that it serves to reduce the occurrence of overuse injuries in comparison to*
4 *conventional shoe models. This consensus has lead footwear manufacturers to develop shoes*
5 *which aim to mimic the mechanics of barefoot locomotion.*

6 *This study compared the impact kinetics and 3-D joint angular kinematics observed whilst*
7 *running: barefoot, in conventional cushioned running shoes and in shoes designed to*
8 *integrate the perceived benefits of barefoot locomotion. The aim of the current investigation*
9 *was therefore to determine whether differences in impact kinetics exist between the footwear*
10 *conditions and whether shoes which aim to simulate barefoot movement patterns can closely*
11 *mimic the 3-D kinematics of barefoot running.*

12 *Twelve participants ran at $4.0 \text{ m}\cdot\text{s}^{-1} \pm 5\%$ in each footwear condition. Angular joint kinematics*
13 *from the hip, knee and ankle in the sagittal, coronal and transverse planes were measured*
14 *using an eight camera motion analysis system. In addition simultaneous tibial acceleration*
15 *and ground reaction forces were obtained. Impact parameters and joint kinematics were*
16 *subsequently compared using repeated measures ANOVAs.*

17 *The kinematic analysis indicates that in comparison to the conventional and barefoot inspired*
18 *shoes that running barefoot was associated significantly greater plantar-flexion at footstrike*
19 *and range of motion to peak dorsiflexion. Furthermore, the kinetic analysis revealed that*
20 *compared to the conventional footwear impact parameters were significantly greater in the*
21 *barefoot condition.*

22 *Therefore this study suggests that barefoot running is associated with impact kinetics linked*
23 *to an increased risk of overuse injury, when compared to conventional shod running.*
24 *Furthermore, the mechanics of the shoes which aim to simulate barefoot movement patterns*
25 *do not appear to closely mimic the kinematics of barefoot locomotion.*

26 ***Introduction***

27 In recent years the concept of barefoot running has been the subject of much attention in
28 footwear biomechanics literature. Furthermore, a number of well known athletes have
29 competed barefoot, most notably Zola Budd-Pieterse and the Abebe Bikila who both held
30 world records for the 5000m and marathon events respectively. This demonstrates that
31 barefoot running does not appear to prevent athletes from competing at the highest levels
32 (Warburton 2001). Barefoot locomotion presents a paradox in footwear literature (Robbins
33 and Hanna 1987); and has been used for many years both by coaches and athletes (Nigg 2009)
34 based around the supposition that running shoes are associated with an increased incidence of
35 running injuries (Lieberman et al., 2010, Robbins and Hanna 1987; Warburton 2001).

36

37 Based on such research and taking into account the barefoot movement's recent rise in
38 popularity, shoes have been designed in an attempt to transfer the perceived advantages of
39 barefoot movement into a shod condition (Nigg 2009). Yet, given the popularity of barefoot
40 running, surprisingly few investigations have specifically examined the both the impact
41 kinetics and 3-D kinematics of the lower extremities of running barefoot and in barefoot
42 inspired footwear in comparison to shod. Furthermore, there is a paucity of research reporting
43 the prospective epidemiological investigations into the aetiology of injury in runners and how
44 footwear may affect the frequency of injury. This study provides a comparison of the kinetics
45 and 3-D kinematics of running: barefoot, in conventional running shoes and in barefoot
46 inspired footwear, in order to highlight the differences among conditions.

47

48 The aim of the current investigation was therefore to determine 1: whether differences in
49 impact kinetics during running exist between the footwear conditions and 2: whether shoes

50 which aim to simulate barefoot movement patterns can closely mimic the 3-D kinematics of
51 barefoot running.

52

53 *Methods*

54 *Participants*

55 The procedure utilized for this investigation was approved by the University of Central
56 Lancashire, School of Psychology, ethical committee. Twelve experienced male runners
57 completing at least 30 km per week, volunteered to take part in this study. All were injury free
58 at the time of data collection and provided written informed consent. The mean characteristics
59 of the participants were; age 24.34 ± 1.10 years, height 178.10 ± 5.20 cm and body mass
60 76.79 ± 8.96 kg. A statistical power analysis was conducted using G* Power Software using a
61 moderate effect size (Erdfelder et al., 1996), to reduce the likelihood of a type II error and
62 determine the minimum number participants needed for this investigation. It was found that
63 the sample size was sufficient to provide more than 80% statistical power.

64

65 *Procedure*

66 Participants ran at $4.0 \text{ m}\cdot\text{s}^{-1}$ over a force plate (Kistler, Kistler Instruments Ltd., Alton,
67 Hampshire) embedded in the floor (Altrosports 6mm, Altro Ltd,) of a 22 m biomechanics
68 laboratory. Running velocity was quantified using Newtest 300 infrared timing gates
69 (Newtest, Oy Koulukatu, Finland), a maximum deviation of $\pm 5\%$ from the set velocity was
70 allowed. Stance time was defined as the time over which 20 N or greater of vertical force was
71 applied to the force platform (Sinclair et al., 2011). A successful trial was defined as one
72 within the specified velocity range, where all tracking clusters were in view of the cameras,
73 the foot made full contact with the force plate and no evidence of gait modifications due to
74 the experimental conditions. Runners completed a minimum of six successful trials in each

75 footwear condition. Participants were non-habitual barefoot runners and were thus given time
76 to accommodate to the barefoot and barefoot inspired footwear prior to the commencement of
77 data collection. This involved 5 minutes of running through the testing area without concern
78 for striking the force platform.

79

80 Kinematics and tibial acceleration data were also synchronously collected. Kinematic data
81 was captured at 250 Hz via an eight camera motion analysis system (Qualisys Medical AB,
82 Goteburg, Sweden). Calibration of the system was performed before each data collection
83 session. Only calibrations which produced average residuals of less than 0.85 mm for each
84 camera for a 750.5 mm wand length and points above 3000 in all cameras were accepted prior
85 to data collection.

86

87 The marker set used for the study was based on the calibrated anatomical systems technique
88 (CAST) (Cappozzo et al., (1995). In order to define the right foot, shank and thigh retro-
89 reflective markers were attached unilaterally to the 1st and 5th metatarsal heads, medial and
90 lateral maleoli, medial and lateral epicondyle of the femur and greater trochanter. To define
91 the pelvis additional retro-reflective markers were placed on the anterior (ASIS) and posterior
92 (PSIS) superior iliac spines. Rigid tracking clusters were positioned on the shank and thigh.
93 Each rigid cluster comprised four 19mm diameter spherical reflective markers mounted to a
94 thin sheath of lightweight carbon fibre with length to width ratios in accordance with
95 Cappozzo et al., (1997). A static trial was conducted with the participant in the anatomical
96 position in order for the positions of the anatomical markers to be referenced in relation to the
97 tracking clusters, following which they were removed.

98 A tri-axial (Biometrics ACL 300, Gwent United Kingdom) accelerometer sampling at 1000Hz
99 was utilized to measure axial accelerations at the tibia. The device was mounted on a piece of

100 lightweight carbon-fibre material using the protocol outlined by Sinclair et al., (2010). The
101 combined weight of the accelerometer and mounting instrument was 9g. The voltage
102 sensitivity of the signal was set to 100mV/g, allowing adequate sensitivity with a
103 measurement range of ± 100 g. The device was attached securely to the distal antero-medial
104 aspect of the tibia in alignment with its longitudinal axis 8 cm above the medial malleolus.
105 This location was selected to attenuate the influence ankle rotation can have on the
106 acceleration magnitude (Lafortune & Hennig, 1991). Strong non-stretch adhesive tape was
107 placed over the device and leg to avoid overestimating the acceleration due to tissue artefact.

108

109 *Data Processing*

110 Trials were processed in Qualisys Track Manager in order to identify anatomical and tracking
111 markers then exported as C3D files. Kinematic parameters were quantified using Visual 3-D
112 (C-Motion Inc, Gaithersburg, USA) after marker data were smoothed using a low-pass
113 Butterworth 4th order zero-lag filter at a cut off frequency of 10Hz. This frequency was
114 selected as being the frequency at which 95% of the signal power was below. 3-D kinematics
115 of the hip knee and ankle joints were calculated using an XYZ cardan sequence of rotations
116 (where X is flexion-extension; Y is ab-adduction and is Z is internal-external rotation). All data
117 were normalized to 100% of the stance phase then processed gait trials were averaged. 3-D
118 kinematic measures from the hip, knee and ankle which were extracted for statistical analysis
119 were 1) angle at footstrike, 2) angle at toe-off, 3) range of motion during stance, 4) peak angle
120 during stance and 5) relative range of motion from footstrike to peak angle.

121 The acceleration signal was filtered using a 60 Hz Butterworth zero-lag 4th order low pass
122 filter in accordance with the Lafortune and Hennig, (1992) recommendations to prevent any
123 resonance effects on the acceleration signal. Peak positive axial tibial acceleration was

124 defined as the highest positive acceleration peak measured during the stance phase. To
125 analyze data in the frequency domain, a fast fourier transformation function was performed
126 and median power frequency content of the acceleration signals were calculated.

127 Forces were reported in bodyweights (BW) to allow normalisation of the data among
128 participants. From the force plate data, peak braking and propulsive forces, stance time,
129 average loading rate, instantaneous loading rate, peak impact force and time to peak impact
130 were calculated. Average loading rate was calculated by dividing the impact peak magnitude
131 by the time to the impact peak. Instantaneous loading rate was quantified as the maximum
132 increase in vertical force between frequency intervals.

133

134 Shoes

135 The shoes utilized during this study consisted of a Saucony Pro Grid Guide 2 and a Nike Free
136 3.0. The shoes were the same for all runners; they differed in size only (sizes 6, 7 and 9 in
137 men's shoe UK sizes).

138

139 Statistical Analysis

140 Descriptive statistics including means and standard deviations of 3-D kinematic, impact shock
141 and impact force parameters were calculated for each footwear condition. Differences
142 between the parameters were examined using repeated measures ANOVA's with significance
143 accepted at the $p \leq 0.05$ level. Appropriate post-hoc analyses were conducted using a
144 Bonferroni correction to control for type I error. Effect sizes were calculated using a μ^2 . If the
145 sphericity assumption was violated then the degrees of freedom were adjusted using the
146 Greenhouse Geisser correction. The Shapiro-Wilk statistic for each footwear condition

147 confirmed that all data were normally distributed. All statistical procedures were conducted
148 using SPSS 19.0 (SPSS Inc, Chicago, USA).

149

150 Results

151 Figure 1 presents the mean 3-D angular kinematics of the hip, knee and ankle joints during
152 the stance phase. Tables 1-4 present the kinetic and 3-D kinematic parameters observed as a
153 function of footwear.

154

155 Kinetic Results

156

157 @@@TABLE 1 NEAR HERE@@@

158 The results indicate that a significant main effect was observed for the instantaneous loading
159 rate $F_{(1.08, 11.88)} = 20.05, p \leq 0.01, \mu^2 = 0.65$. Post-hoc analyses revealed that the instantaneous
160 loading rate was significantly higher in the barefoot condition in comparison to the footwear
161 designed to simulate barefoot locomotion ($p=0.011$) and conventional shoe ($p=0.001$)
162 conditions). Furthermore the post-hoc analysis also showed that the footwear designed to
163 simulate barefoot locomotion was associated with a significantly ($p=0.001$) higher instantaneous
164 loading rate than the conventional shoe condition. In addition a significant main effect was also
165 observed for the average loading rate $F_{(1.08, 11.84)} = 9.19, p \leq 0.01, \mu^2 = 0.46$. Post-hoc analyses
166 revealed that the average loading rate was significantly lower in the conventional shoe condition
167 in comparison to the shoes designed to simulate barefoot running ($p=0.004$) and barefoot
168 conditions ($p=0.02$) which did not differ significantly ($p=0.084$) from one another. A significant
169 main effect was observed for the time to impact peak $F_{(1.23, 13.58)} = 7.94, p \leq 0.01, \mu^2 = 0.41$. Post-

170 hoc analyses revealed that the time to impact peak was significantly greater in the conventional
171 shoe condition in comparison to the shoes designed to simulate barefoot running ($p=0.006$) and
172 barefoot ($p=0.042$) conditions which did not differ significantly ($p=0.504$) from one another.
173 Finally, a significant main effect $F_{(1.21, 13.35)} = 15.81, p \leq 0.01, \mu^2=0.59$ was found for the
174 magnitude of peak axial impact shock. Post-hoc analysis revealed that peak impact shock was
175 significantly greater in the barefoot $p=0.021$ and shoes designed to simulate barefoot running
176 $p=0.01$ conditions in comparison to the conventional shoe condition. The spectral analysis of the
177 acceleration signal revealed that a significant main effect $F_{(1.29, 14.14)} 14.09, p \leq 0.01, \mu^2=0.56$
178 existed for the median frequency content. Post-hoc analysis revealed that the conventional shoe
179 condition was associated with a significantly lower frequency content than the barefoot $p=0.001$
180 and shoes designed to simulate barefoot conditions $p=0.0001$. No significant differences were
181 observed between the barefoot and shoes designed to simulate barefoot conditions $p=0.35$.
182 Finally, a significant main effect $F_{(2, 22)} = 8.10, p \leq 0.01, \mu^2=0.42$ was found for the stance time
183 duration. Post-hoc analysis revealed that stance times were significantly shorter in the barefoot
184 $p=0.003$ and the shoes designed to simulate barefoot $p=0.008$ conditions in comparison to the
185 conventional shoe condition. No significant differences $p=0.512$ were found between the
186 barefoot and shoes designed to simulate barefoot running.

187

188

189 Kinematic results

190 @@@FIGURE 1 NEAR HERE@@@

191

192 Hip

193 @@@TABLE 2 NEAR HERE@@@

194 A significant main effect $F_{(1.25, 13.73)} = 5.24, p \leq 0.05, \mu^2 = 0.32$ was found for peak flexion.
195 Post-hoc analysis revealed that peak flexion was significantly $p=0.039$ greater in the
196 conventional shoe condition, in comparison to the barefoot condition.

197

198 Knee

199 @@@TABLE 3 NEAR HERE@@@

200 No significant ($p \leq 0.05$) differences were in knee joint kinematics were found among footwear
201 conditions.

202

203 Ankle

204 @@@TABLE 4 NEAR HERE@@@

205 A significant main effect $F_{(2, 22)} = 7.91, p \leq 0.01, \mu^2 = 0.42$ was observed for the magnitude of
206 plantarflexion at foot strike. Post-hoc analysis revealed that in the barefoot condition the ankle
207 was significantly more plantar flexed than in both the conventional $p=0.01$ and the shoes
208 designed to simulate barefoot running $p=0.015$. A significant main effect $F_{(1.06, 11.66)} = 8.23,$
209 $p \leq 0.01, \mu^2 = 0.43$ existed for the range of movement from footstrike to peak dorsiflexion. Post-
210 hoc analyses revealed that this motion was significantly greater in the barefoot condition in
211 comparison to the barefoot inspired footwear $p=0.011$ and conventional shoe $p=0.013$
212 conditions.

213

214 The results indicate that a significant main effect $F_{(2, 22)} = 7.23, p \leq 0.01, \eta^2 = 0.40$ exists for
215 the magnitude of peak axial rotation. Post-hoc analysis revealed that the barefoot condition

216 was significantly $p=0.001$ more externally rotated in comparison to the shoes designed to
217 simulate barefoot running. The results indicate that a significant main effect $F_{(2, 22)} = 6.09$,
218 $p \leq 0.01$, $\mu^2 = 0.36$ exists for the magnitude of axial rotation at toe-off. Post-hoc analysis
219 revealed that external rotation was significantly $p=0.001$ greater in the barefoot condition in
220 comparison to the shoes designed to simulate barefoot running.

221

222 *Discussion*

223 This study represents is the first to examine synchronously examine alterations in 3-D
224 kinematics, force and axial impact shock associated with running barefoot, in conventional
225 footwear and in footwear designed to simulate barefoot running.

226

227 The results from the kinetic analysis indicate that the conventional shoes were associated with
228 lower impact parameters than running barefoot. This finding corresponds with the results of
229 previous investigations (Dickinson et al., 1985, De Koning and Nigg 1993, De Clercq et al.,
230 1994 and De Wit et al., 2000) who reported significantly greater impact parameters when
231 running barefoot. This however opposes the findings of Squadrone and Gallozzi (2009) and
232 Lieberman et al., (2010) who observed that those running barefoot were associated with
233 smaller collision forces than shod. Moreover, that instantaneous loading rate was found to be
234 significantly greater in the barefoot condition in comparison to the barefoot inspired shoes
235 opposes the findings of Squadrone and Gallozzi (2009) who reported that impact forces did
236 not differ significantly between barefoot and barefoot inspired footwear. These observations
237 may relate to the differences in barefoot running experience between studies. Squadrone and
238 Gallozzi (2009) and Lieberman et al., (2010) utilized habitual barefoot runner which is in
239 contrast to the non-habitual barefoot runners examined in the current investigation. Therefore
240 the kinetic observations in barefoot analyses may relate to the experience of the participants in

241 barefoot locomotion, this is an interesting notion and future research may wish to replicate the
242 current investigation using habitually barefoot runners.

243

244 The results also indicate that stance times were significantly shorter whilst running barefoot
245 and in barefoot inspired footwear in comparison to the conventional running shoe condition.
246 This also corresponds with previous investigations with respect to shorter stance times being
247 associated with barefoot running (De Wit et al., 2000, Warburton 2001). Furthermore it would
248 also appear to confirm that the barefoot condition was associated with a greater step
249 frequency/reduced step lengths, as De Wit et al., (2000) found stance times to be strongly
250 correlated with step length. With respect to the hip joint complex, in the sagittal plane a
251 significant increase in peak flexion during the early stance phase was found in the
252 conventional shoe condition in comparison to the barefoot condition. It is surmised that this
253 finding is attributable to the mechanical alterations that runners make when running barefoot
254 (as described above). Runners traditionally take longer steps when running in traditional
255 footwear, so their centre of mass moves through a greater horizontal displacement during each
256 step. As such, during early stance the hip must flex to a greater extent in order to reduce the
257 horizontal distance from the stance leg to the centre of mass to maintain balance during the
258 early stance phase.

259

260 The results indicate that the ankle was significantly more plantar flexed at initial contact in
261 the barefoot condition in comparison to the conventional shoe and barefoot inspired footwear,
262 suggesting a mid or forefoot strike pattern. This concurs with the findings of (De Wit et al.,
263 2000, Hartveld and Chockalingam 2001 and Griffin et al., 2007) findings. Barefoot running or
264 running in shoes with less midsole cushioning is proposed to facilitate increases in plantar

265 discomfort which are sensed and moderated (Robbins and Gouw, 1991). Footwear with
266 greater cushioning i.e. the conventional and barefoot inspired footwear conditions provoke a
267 reduction in shock-moderating behaviour as evidenced by the increased dorsiflexion angle at
268 footstrike (Robbins and Hanna, 1987; Robbins et al., 1989; Robbins and Gouw, 1991). This
269 may lend support to the supposition that the body adapts to a lack of cushioning via kinematic
270 measures. However, it appears that these measures do not offer the same shock attenuating
271 properties as do cushioned midsoles found in conventional footwear.

272

273 The increase in plantarflexion at footstrike associated with barefoot running is considered to
274 be the primary mechanism by which runners adjust to this condition (De Wit et al., 2000,
275 Warburton 2001 and Griffin et al., 2007). Thus, it appears that the barefoot inspired footwear
276 do not closely mimic the kinematics of barefoot running with respect to the ankle joint
277 complex. It is proposed that this finding is attributable to the perceptual effects of increased
278 cushioning in the barefoot inspired footwear which were found to have increased shock
279 attenuating properties. This finding opposes the observations of Squadrone and Gallozzi
280 (2009) who found that barefoot inspired footwear were effective in imitating barefoot
281 conditions. However, Squadrone and Gallozzi (2009) utilized the vibram five-fingers which
282 are characterized by their minimalist features in contrast to the Nike Free footwear utilized in
283 the current investigation which aims to simulate barefoot locomotion through a flexible
284 outsole construction. BAREFOOT SHOES ARE NOT ALL THE SAME THEREFORE
285 Future research is necessary to examine the efficacy of the various conceptual shoe models
286 which aim to replicate barefoot locomotion.

287

288 Interestingly, no significant differences were found between the three footwear conditions, in
289 terms of the peak eversion magnitude during stance. This appears to oppose the findings of
290 Warburton (2001), Shorten (2000), Edington et al., (1990), Stacoff et al., (1991) and Smith et
291 al., (1986) who reported that ankle eversion is greater during shod running. Greater ankle
292 eversion is reputed to be due to a reduction in stability caused by the cushioned midsole
293 (Shorten 2000). However like most modern footwear, both the conventional and barefoot
294 inspired footwear encompass features stiffer cushioning, stiff heel counters, insole boards,
295 medially posted midsoles, varus wedges designed to control excessive ankle eversion.
296 Therefore, whilst it appears logical that cushioning will lead to increased ankle eversion the
297 results of this investigation suggest that a combination of cushioning and features designed to
298 control pronation can be effective.

299

300 There is a paucity of research directly comparing injury rates in shod and barefoot running.
301 However, the findings of this study in conjunction with epidemiological analyses suggest that
302 running in conventional footwear may lower the incidence of impact related overuse injuries
303 as increases in impact parameters have been linked to the aetiology of a number overuse
304 pathologies (Hardin et al., 2003; Misevich and Cavanagh 1984). Furthermore, the results of
305 the kinetic analysis suggest that the barefoot inspired footwear offer shock attenuating
306 properties that are superior to barefoot conditions, but inferior to the conventional running
307 shoe. Thus it appears based on the findings from the impact kinetic analysis that the footwear
308 designed to mimic barefoot running places runners at greater risk of musculoskeletal injuries
309 compared to the conventional footwear but lesser risk in comparison to barefoot running at
310 comparable velocities.

311

312 That this investigation quantified barefoot locomotion with skin mounted markers and shod
313 motion using shoe mounted markers may serve as a limitation of the current investigation.
314 There is almost certain be movement of the foot within the shoe, thus it is questionable as to
315 whether anatomical markers located on the shoe provide comparable results to those placed
316 on the foot itself Stacoff et al., (1992). However, given that cutting holes in the shoes in order
317 to attach markers to skin would likely cause further problems by compromising the structural
318 integrity of the upper, it was determined that the current technique was the most appropriate.

319

320 In conclusion although previous studies have compared barefoot and shod running, the current
321 knowledge with respect to the degree in which these modalities differ is limited. The present
322 study adds to the current knowledge of barefoot running by providing a comprehensive kinetic
323 and 3-D kinematic evaluation. Furthermore, this study is the first to contrast synchronous 3-D
324 kinematic and kinetic variables against barefoot inspired footwear. Given that significant
325 differences were observed between running barefoot and in barefoot inspired footwear, it was
326 determined that they do not closely mimic the mechanics of barefoot running. Future research
327 will serve to determine the efficacy of footwear designed to mimic barefoot running. Finally,
328 although further investigation is necessary it appears in this case that conventional shod running
329 is superior to both barefoot running and shoes designed to mimic barefoot running, in terms of
330 protection from running injuries. Future research should focus on prospective epidemiological
331 analyses and the influence of different conditions footwear on the aetiology of running injuries.

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