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1 **A review of impact testing methods for headgear in sports: Considerations for improved**
2 **prevention of head injury through research and standards**

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24 **Abstract**

25 Standards for sports headgear were introduced as far back as the 1960s and many have remained
26 substantially unchanged to present day. Since this time, headgear has virtually eliminated catastrophic
27 head injuries such as skull fractures and changed the landscape of head injuries in sports. Mild
28 traumatic brain injury (mTBI) is now a prevalent concern and the effectiveness of headgear in
29 mitigating mTBI is inconclusive for most sports. Given that most current headgear standards are
30 confined to attenuating linear head mechanics and recent brain injury studies have underscored the
31 importance of angular mechanics in the genesis of mTBI, new or expanded standards are needed to
32 foster headgear development and assess headgear performance that addresses all types of sport-related
33 head and brain injuries. The aim of this review is to provide a basis for developing new sports
34 headgear impact tests for standards by summarizing and critiquing: 1) impact testing procedures
35 currently codified in published headgear standards for sports and 2) new or proposed headgear impact
36 test procedures in published literature and/or relevant conferences. Research areas identified as
37 needing further knowledge to support standards test development include defining sports-specific

38 head impact conditions, establishing injury and age appropriate headgear assessment criteria, and the
39 development of headgear specific head and neck surrogates for at-risk populations.

40 **Keywords:** Headgear, helmet, impact testing, head injury, injury prevention, standards

41 **1. Introduction**

42 Protective headgear is used in many sports to reduce the risk of head injuries, being any insult to the
43 scalp, skull or brain [1]. The introduction and development of sports headgear was typically in
44 reaction to events of catastrophic head trauma such as death or severe brain injury [2,3]. Headgear has
45 been remarkably successful in preventing these types of head injuries, with significant risk reductions
46 realised in bicycling, American football (subsequently referred to as football), ice hockey
47 (subsequently referred to as hockey), skiing and snowboarding [4–7]. This success is primarily related
48 to preventing skull fractures, a role for which hard shell helmets have demonstrated effectiveness in
49 literature dating back to the 1960s [8]. Skull protection, however, does not necessarily preclude all
50 injury to the brain. The rate of sports-related mild traumatic brain injury (mTBI) has been steadily
51 increasing over the past two decades, likely due to improvements in detection but possibly due to a
52 true increase in incidence [9]. The evidence for headgear effectiveness in preventing mTBI is
53 inconclusive in most sports [4,5,10–13], motivating new research efforts into evaluating headgear for
54 reducing the risk of mTBI.

55 The most important aspect of sports headgear for prevention of head injury is how it performs in an
56 impact, so long as the helmet is engaged in the impact (i.e. has adequate coverage), and remains in
57 place for the impact events (i.e. has an effective retention system). Effective headgear prevents injury
58 by redistributing the impact force on the head both spatially and temporally, thus attenuating the peak
59 force and peak strain experienced by the tissues of the head. In order to assess impact performance of
60 headgear designs, impact tests are performed in the laboratory. Ideally, headgear would be evaluated
61 in all potential impact orientations, using a test surrogate that responds like a human and mimics
62 injuries exactly as a human would sustain injuries, and assesses the risk of all possible head injuries.
63 In reality, headgear is typically designed to satisfy the requirements of a limited number of impact

64 tests defined in safety certification standards. These discrete tests are pragmatic simplifications of the
65 wide range of impact events and human head impact responses that occur in sports.

66 The development of headgear standards for bicycling, football and hockey is well-documented.
67 Impact tests for these applications first involved a guided drop of a humanoid headform and were
68 introduced between 1961 and 1973. The standards built upon the then-existing helmet requirements
69 for motorcyclists and motor sport participants [3,14–16], and considered the guided drop test
70 representative of critical injurious impact scenarios occurring at the time. For instance, hockey helmet
71 standard development was primarily concerned with minimising the force on the skull in a backwards
72 fall and an occipital impact with the ice [15]. Since the introduction of headgear standards and their
73 success in preventing catastrophic head injuries, the landscape of head injuries in sports has changed.
74 Today, the primary head injury of concern in hockey is mTBI resulting mainly from checking [17–
75 19], an impact scenario considered to be of less importance during initial hockey helmet standards
76 development [15]. This change in head injuries and injurious impact conditions has occurred in many
77 sports, and warrants a review of certification standards and consideration of new requirements.

78 Injury biomechanics research has progressed considerably since the first headgear impact tests were
79 devised and standards were implemented, particularly those aspects relating to brain injury. It is now
80 known that many brain injuries, such as diffuse axonal injury and subdural haematoma, correlate with
81 the rotational response of the head in an impact [20–27]. Since many current headgear impact testing
82 standards neither measure nor allow rotation of the surrogate head, some researchers have asserted
83 that these standards inadequately represent most real helmeted head impacts and thus have limited
84 applicability for evaluating brain injury risk [2,28–36]. Many new impact test methods are emerging
85 in headgear research, based on both recreating specific brain injury mechanisms and head impact
86 scenarios that more closely resemble injurious events in sports. Novel headgear technologies are also
87 being introduced, touting benefits in brain injury risk reduction [35,37–39]. In order to determine
88 whether these promoted benefits will be realised in real-world impacts, it is important to consider and
89 review the methods in which these novel headgear were tested. For future headgear standards, an
90 appropriate method of assessing the risk, or the relative risk, of TBI is needed. The objective of this

91 study is to provide a basis for developing new sports headgear impact tests for standards by
92 summarizing and critiquing: 1) impact testing procedures in current headgear standards for sports and
93 2) new headgear test methods in published literature and/or at relevant conferences.

94 **2. Impact attenuation testing in current headgear standards for sports**

95 The impact performance requirements within headgear standards for sports, set by the Canadian
96 Standards Association (CSA), the U.S. Consumer Product Safety Commission (CPSC), the American
97 National Standards Institute (ANSI), the American Society for Testing and Materials (ASTM), the
98 National Operating Committee on Standards for Athletic Equipment (NOCSAE), and the Snell
99 Memorial Foundation, the European Committee for Standardization (CEN), and the International
100 Organization for Standardization (ISO), are reviewed in Table 1. The following sections describe the
101 impact condition, test surrogate and headgear assessment criteria specified for energy attenuation tests
102 within the reviewed standards. Supplementary requirements for headgear within these standards, such
103 as retention system requirements, are not reviewed.

104 Table 1 Summary of impact energy attenuation tests in headgear standards for sports

Headgear /helmet type	Certification standards (last year of update)	Test apparatus	Impacts per site	Impact surface(s) ^a	Impact location	Impact severity ^b			Test failure threshold
						Energy (J)	Velocity (m/s)	Drop height (m)	
Bicycling	CAN/CSA D113.2-M89 (2009) Cycle helmets[40]	ISO/DIS 6220 headform, magnesium or aluminium. Guided drop. Drop assembly mass 5 kg.	Single	Flat anvil Flat anvil Cylindrical anvil	Any point above test line	80 55 55	5.7 4.7 4.7	1.63 1.12 1.12	250 g 250 g 250 g
	CPSC 16 CFR Part 1203 (1998) Safety standard for bicycle helmets[41]	ISO/DIS 6220 headform, K1A magnesium. Guided drop. Drop assembly mass 5 kg.	Single	Flat anvil Hemispherical anvil Curbstone anvil	Any point above test line chosen to provide most severe test	96 58 58	6.2 4.8 4.8	2.00 1.20 1.20	300 g 300 g 300 g
	ANSI Z90.4 (withdrawn 1995) Protective headgear for bicyclists[42]	ISO/DIS 6220 headform. Guided drop. Drop assembly mass 5 kg.	Single	Flat anvil Hemispherical anvil	Any point above test line. On fasteners. At least one impact 12 mm above test line.	52 52	4.57 4.57	1.00 1.00	300 g 300 g
	Snell B-95 (1998) Standard for protective headgear for use with bicycles[43]	ISO/DIS 6220 headform, rigid low resonance metal. Guided drop. Drop assembly mass 5 kg.	Single	Flat anvil Hemispherical anvil Kerbstone anvil	Any point on or above the test line	110 72 72	6.63 5.37 5.37	2.24 1.47 1.47	300 g 300 g 300 g
	Snell B-90A (1998) Supplementary standard for protective headgear for use with bicycles[44]	ISO/DIS 6220 headform, rigid low resonance metal. Guided drop. Drop assembly mass 5 kg.	Single	Flat anvil Hemispherical anvil Kerbstone anvil	Any point on or above the test line	100 65 58	6.32 5.10 4.82	2.04 1.33 1.18	300 g 300 g 300 g
	Snell N-94 (1994) Standard for protective headgear for use in non-motorized sports[45]	ISO/DIS 6220 headform, rigid low resonance metal. Guided drop. Drop assembly mass between 5 and 6.5 kg.	Multiple (conditioning impacts prior to test impacts)	Flat anvil Hemispherical anvil Edge anvil Kerbstone anvil	Any point on or above the test line	100 72 72 72	6.32 5.37 5.37 5.37	2.04 1.47 1.47 1.47	300 g 300 g 300 g 300 g
	ASTM F1447 (2012) Standard specification for helmets used in recreational bicycling or roller skating[46]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Variable drop assembly mass.	Single	Flat anvil Hemispherical anvil Curbstone anvil	Any point on or above the test line	96 58 58	6.2 4.8 4.8	2.00 1.20 1.20	300 g 300 g 300 g

	ASTM F2032 (2015) Standard specification for helmets used in BMX cycling[47]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Variable drop assembly mass.	Single	Flat anvil Hemispherical anvil Curbstone anvil	Any point on or above the test line	96 58 58	6.2 4.8 4.8	2.00 1.20 1.20	300 g 300 g 300 g
	ASTM F1952 (2015) Standard specification for helmets used for downhill mountain bicycle racing[48]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Variable drop assembly mass.	Single	Flat anvil Hemispherical anvil Curbstone anvil	Any point on or above the test line	96 78 78	6.2 5.6 5.6	2.00 1.60 1.60	300 g 300 g 300 g
	EN 1078 (2014) Helmets for pedal cyclists and for users of skateboards and roller skates[49]	Metal EN 960 headform. Free-falling headform with a guided carrier. Variable mass headform.	Single	Flat anvil Kerbstone anvil	Impact sites within the test area to present worst-case conditions. On perceived weak areas.	73 52	5.42 4.57	1.50 1.06	250 g 250 g
Low speed scootering	ASTM F1898 (2015) Standard specification for helmets for non-motorized wheeled vehicle used by infants and toddlers[50]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Variable drop assembly mass.	Single	Flat anvil Hemispherical anvil Curbstone anvil	Any point on or above the test line	96 58 58	6.2 4.8 4.8	2.00 1.20 1.20	300 g 300 g 300 g
Skateboarding, roller skating	ASTM F1447 (2012)[46]	See “Bicycling”							
	ASTM F1492 (2015) Standard specification for helmets used in skateboarding and trick roller skating[51]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Variable drop assembly mass.	Multiple (three on one site with flat anvil)	Flat anvil Cylindrical anvil Triangular hazard anvil	Any point on or above the test line	52 52 52	4.57 4.57 4.57	1.00 1.00 1.00	300 g
	EN 1078 (2014)[49]	See “Bicycling”							
Ice hockey, ringette	CSA Z262.1 (2015) Ice hockey helmets[52]	Rigid CEN 960 headform magnesium. Guided drop. Variable drop assembly mass.	Three	MEP pad	Crown, front, front boss, rear, rear boss, side and a non-prescribed site above the test line	51	4.5	1.03	275 g
	NOCSAE ND030 (2016) Standard performance specification for newly manufactured ice hockey helmets[53]	Urethane NOCSAE headform. Guided drop. Variable drop assembly mass.	Three	MEP pad	Front, front boss, side, rear boss and a random location on or above the test line	30 60 75	3.46 4.88 5.46	0.61 1.22 1.52	SI 300* SI 1200* SI 1200*

	ASTM F1045 (2015) Standard performance specification for ice hockey helmets[54]	Rigid K1A magnesium EN960 headform. Guided drop. Variable drop assembly mass.	Multiple (depending on conditioning)	MEP pad	Crown, front, front boss, rear, rear boss, side and two non- prescribed sites on or above the test line.	51	4.5	1.03	300 g
	ISO 10256-2 (2016) Protective equipment for use in ice hockey – Head protection for skaters[55]	Metal EN 960 three quarters headform. Free-falling headform with a guided carrier. Variable mass headform.	Multiple (depending on conditioning)	MEP pad	Crown, front, front boss, side, rear, rear boss and two non- prescribed sites on or above the test line	51	4.5	1.03	275 g
		Sectioned EN 960 magnesium headform. Guided drop. Variable drop assembly mass.	Multiple (depending on conditioning)	MEP pad		51	4.5	1.03	275 g
Skiing, snowboarding	CSA Z263.1 (2014) Recreational alpine skiing and snowboarding helmets[56]	Rigid K-1A magnesium EN960 headform. Guided drop. Variable drop assembly mass.	Three	MEP pad	Any location at or above the test line	51	4.5	1.03	250 g
	Snell RS-98 (1998) Helmet standard for use in recreational skiing and snowboarding[57]	ISO/DIS 6220 headform, rigid low resonance metal. Guided drop. Drop assembly mass 5 kg.	Single	Flat anvil Hemispherical anvil Edge anvil	Any point on or above the test line	100	6.32	2.0	300 g
						80	5.66	1.6	300 g
						80	5.66	1.6	300 g
Snell S-98 (1998) Helmet standard for use in skiing[58]	ISO/DIS 6220 headform, rigid low resonance metal. Guided drop. Drop assembly mass between 5 and 6.5 kg.	Single	Flat anvil Hemispherical anvil Edge anvil	Any point on or above the test line	120	6.93	2.4	300 g	
					100	6.32	2.2	300 g	
					100	6.32	2.2	300 g	
ASTM F2040 (2011) Standard specification for helmets used for recreational snow sports[59]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Drop assembly mass 5 kg.	Single	Flat anvil Hemispherical anvil Edge anvil	Anywhere on or above the test line	96	6.2	2.0	300 g	
					58	4.8	1.2	300 g	
					58	4.8	1.2	300 g	

	EN 1077 (2007) Helmets for alpine skiers and snowboarders[60]	Metal EN 960 headform. Free or guided fall of the headform. Variable mass headform.	Single	Flat anvil	Within the defined test area	73	5.42	1.5	250 g
Short track speed skating	ASTM F1849 (2012) Standard specification for helmets used in short track speed ice skating (not to include hockey)[61]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Drop assembly mass 5 kg.	Single	Flat anvil Skate blade anvil	Any point on or above the test line	96	6.2	2.0	300 g
						36	3.8	0.75	300 g
Lacrosse	NOCSAE ND041 (2015) Standard performance specification for newly manufactured lacrosse helmets with faceguard[62]	Urethane NOCSAE headform. Guided drop. Variable drop assembly mass.	Three	MEP pad	Front, front boss, side, rear boss and a random location on or above the test line	30	3.46	0.61	SI 300*
						60	4.88	1.22	SI 1200*
						75	5.46	1.52	SI 1200*
Football	NOCSAE ND002 (2015) Standard performance specification for newly manufactured football helmets[63]	Urethane NOCSAE headform. Guided drop. Variable drop assembly mass.	Multiple (up to five)	MEP pad	Front, front boss, side, rear boss and a random location on or above the test line	30	3.46	0.61	SI 300*
						45	4.23	0.91	SI 1200*
						60	4.88	1.22	SI 1200*
						75	5.46	1.52	SI 1200*
						75	5.46	1.52	SI 1200*
ASTM F717 (withdrawn 2017) Standard specification for football helmets[64]	Rigid ISO/DIS 6220 headform. Guided drop. Drop assembly mass 5 kg.	Multiple (up to six)	MEP pad	Front, front boss, side, rear boss, rear and crown.	75	5.47	1.53	275 g	
					75	5.47	1.53	300 g	
Baseball, softball, T-ball	NOCSAE ND022 (2015) Standard performance specification for newly manufactured baseball/softball batter's helmets[65]	Urethane NOCSAE headform. Variable headform mass. Fired projectile.	Single	Softball Baseball	Front, front boss, side, rear boss and a random location on or above the test line	53	24.6	-	SI 1200*
						54	26.8	-	SI 1200*
NOCSAE ND024 (2017) Standard performance specification for newly manufactured baseball/softball	Urethane NOCSAE headform. Guided drop. Variable drop assembly mass.	Two	Steel half cylinder anvil	Front, front boss, side, rear boss and a random location on or above the test line	45	4.23	0.91	SI 1200*	
					45	4.23	0.91	SI 1200*	

	catcher's helmets with faceguard[66]	Urethane NOCSAE headform. Variable headform mass. Fired projectile.	Single	Softball Baseball		53 54	24.6 26.8	- -	SI 1200* SI 1200*
	NOCSAE ND029 (2015) Standard performance specification for newly manufactured baseball/softball fielder's headgear[67]	Urethane NOCSAE headform. Variable headform mass. Fired projectile.	Single	Softball Baseball	Front, front boss, side, rear boss and a random location on or above the test line	63 65	27.0 29.5	- -	SI 1200* SI 1200*
Equestrian, horse racing, harness racing, polo	Snell E2016 (2016) Standard for protective headgear for use in horseback riding[68]	ISO/DIS 6220 headform, rigid low resonance metal. Guided drop. Variable drop assembly mass.	Single	Flat anvil Hemispherical anvil Horseshoe anvil	Any point on or above the test line	92 74 64	6.06** 5.42** 5.07**	1.87 1.50 1.31	275 g** 275 g** 275 g**
	Snell H2000 (2000) Helmet standard for use in harness racing[69]	Rigid DOT FMVSS 218 low resonance metal headform. Guided drop. Drop assembly mass between 5 and 6.5 kg.	Single	Flat anvil Hemispherical anvil Horseshoe anvil	Any point on or above the test line	145 145 145	7.62 7.62 7.62	2.9 2.9 2.9	300 g 300 g 300 g
	ASTM F1163 (2015) Standard specification for protective headgear used in horse sports and horseback riding[70]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Variable drop assembly mass.	Single	Flat anvil Equestrian hazard anvil	Anywhere above the centre of the impact line. At least one at the front, rear, or side.	90 63	6.0 5.0	1.8 1.3	300 g 300 g
	NOCSAE ND050 (2015) Standard performance specification for newly manufactured polo helmets[71]	Urethane NOCSAE headform. Guided drop. Variable drop assembly mass.	Single on anvils Three on MEP pad	Hemispherical anvil Equestrian hazard anvil MEP pad	Front, front boss, side, rear boss and a random location on or above the test line	75 75 30 75 75	5.46 5.46 3.46 5.46 5.46	1.52 1.52 0.61 1.52 1.52	SI 1200* SI 1200* SI 300* SI 1200* SI 1200*
	ASTM F2530 (2013) Standard specification for protective headgear with faceguard used in bull riding[72]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Drop assembly mass 5 kg.	Single	Flat anvil Equestrian hazard anvil	Any point on or above the test line	90 63	6.0 5.0	1.8 1.3	300 g 300 g

Pole vaulting	ASTM F2400 (2016) Standard specification for helmets used in pole vaulting[73]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Variable drop assembly mass.	Single	Flat anvil Curbstone anvil	Any point on or above the test line	96 58	6.2 4.8	2.0 1.2	300 g 300 g
		ASTM F2397 (2015) Standard specification for protective headgear used in martial arts[74]	Rigid K1A-F ISO/DIS 6220, EN960 headform. Guided drop. Drop assembly mass 5 kg.	Multiple (up to four)	Flat anvil	Anywhere on or between the test lines and should represent the sites with the greatest risk of failure.	20 40	3.0 4.0	0.46 0.82
Aluminium covered with vinyl skin Hybrid III headform with segmented rubber and aluminium Hybrid III neck with centre cable hanging head-down from 25 kg steel mass. Spring loaded strike from aluminium tube.	Multiple (up to four)		Aluminium tube striker	56 144	5.0 8.0		- -	50 g 150 g	
Soccer	ASTM F2439 (2016) Standard specification for headgear used in soccer[75]	Aluminium covered with vinyl skin Hybrid III headform with segmented rubber and aluminium Hybrid III neck with centre cable. Guided drop. Drop assembly mass 8.8 kg.	Multiple (up to six)	Headform anvil Steel post anvil MEP pad	Anywhere within the impact area	64 18 28	3.8 2.0 2.5	0.74 0.20 0.32	80 g 80 g 92 g
Motorized sports	ASTM F3103 (2014) Standard specification for testing off-road motorcycle and ATV helmets[76] (Impact tests specified in FMVSS 218[77] at 10.1)	Rigid K-1A DOT FMVSS 218 headform. Guided drop. Variable drop assembly mass.	Two	Flat anvil Hemispherical anvil	Any point on the area above the test line	90 68	6.0 5.2	1.83 1.38	400 g; or more than 2 ms above 200 g; or more than 4 ms above 150 g

	Snell M2015 (2015) Standard for protective headgear for use with motorcycles and other motorized vehicles[78]	Rigid ISO/DIS 6220 low resonance metal headform. Guided drop. Variable drop assembly mass.	Two for flat and hemispherical anvils. One for edge anvil.	Flat anvil Hemispherical anvil Edge anvil	Any point on or above the test line	150 115	7.75** 6.78**	3.06 2.34	275 g 275 g	
	Snell SA2015 (2015) Standard for protective headgear for use in competitive automotive sports[79]	Rigid ISO/DIS 6220 low resonance metal headform. Guided drop. Variable drop assembly mass.	Two for flat and hemispherical anvils. Three for roll bar anvil. One for edge and kerbstone anvils.	Flat anvil Hemispherical anvil Roll bar anvil Kerbstone anvil Edge anvil	Any point on or above the test line. Specific lateral impact tests onto kerbstone anvil.	181 100 90 63 141	8.50** 6.31** 6.00** 5.00** 7.50**	3.68 2.03 1.83 1.27 2.87	300 g 300 g 300 g 200 g 200 g	
	Snell EA2016 (2016) Standard for protective headgear for use in elite automotive sports[80]	Rigid ISO/DIS 6220 low resonance metal headform. Guided drop. Variable drop assembly mass.	Two for flat and hemispherical anvils. Three for roll bar anvil. One for edge anvil.	Flat anvil Hemispherical anvil Roll bar anvil Edge anvil	Any point on or above the test line	219 90 90	9.35** 6.00** 6.00**	4.46 1.83 1.83	275 g 275 g 275 g	
	Snell K2015 (2015) Standard for protective headgear for use in kart racing[81]	Tested as per Snell SA2015 or Snell M2015.								
	Snell CM2016 (2016) Standard for protective headgear for use in children's motor sport activities[82]	Rigid ISO/DIS 6220 low resonance metal headform. Guided drop. Variable drop assembly mass.	Two for flat and hemispherical anvils. One for edge anvil	Flat anvil Hemispherical anvil Edge anvil	Any point on or above the test line. Chin bar.	150 90 76	7.75 6.00 5.50	3.06 1.83 1.54	290 g 290 g 275 g	

105 ^a Anvils are rigid. MEP (Modular Elastomer Programmer) pad is a molded polyurethane thermoplastic elastomer with consistent and repeatable impact properties. Softball

106 mass 166-174 g, circumference 10.875-11.125 inches (276.2 – 282.6 mm) and Compression-Displacement at 0.25 inches (6.4 mm) of no less than 300 lbs (1334.5 N).

107 Baseball mass 142-149 g, circumference 9-9.25 inches (228.6 – 235.0 mm), Coefficient of Restitution of 0.5-0.55, Compression-Displacement at 0.25 inches (6.4 mm) of

108 200-300 lbs (889.6 – 1334.5 N) and construction as specified by Major League Baseball. Aluminium tube striker is 500 mm long from pivot point to strike point and a

109 further 50 mm long beyond the strike point, external diameter of 80 mm and mass of 4.5 kg uniformly distributed along its length.

110 ^b Bolded values are specified in the standard. Values in grey have been calculated here based on the values provided in the standard. All calculations of impact energy, impact

111 velocity and drop height are based on a drop assembly mass of 5 kg unless otherwise specified.

112 * SI (Severity Index). SI of 1200 has been approximated to be equivalent to 215g in a typical helmet impact.[83]

113 ** Impact speed and peak allowable acceleration criterion change based on test headform size. Impact speeds and thresholds listed here are for headform size J.

114 **2.1 Impact condition**

115 In the reviewed headgear standards, the impact test methods typically involve a linear guided drop of
116 the helmeted headform onto an impact surface as shown in Figure 1. This test method restricts the
117 headform from rotating, limiting the motion to a single axis.

118 Another type of falling headform impact test, in addition to the guided headform drop, is specified in
119 the ISO standard for hockey [55] and the CEN standard for alpine skiers and snowboarders [60]. The
120 additional method involves a free-falling headform with a guiding carrier, shown in Fig. 2, which
121 allows unrestricted headform motion following the impact event. This free-falling headform impact
122 test is the only test method specified in the CEN standard for bicycle helmets [49].

123 Baseball and softball helmet standards do not use a falling headform drop test method and are instead
124 tested by firing baseball and softball projectiles at a helmeted headform [65–67].

125 In addition to the guided headform drop test, martial arts headgear is tested in ASTM F2397-09 using
126 an apparatus designed to strike the protected headform with an aluminum tube (see Fig. S1) [74].

127 Impact tests within martial arts and soccer headgear standards perform impact tests with the headform
128 attached to the Hybrid III anthropometric test device (ATD) surrogate neck [74,75]. No other
129 reviewed headgear standards use a flexible neck.

130 Predominant impact surfaces in headform drop tests are rigid anvils of various shapes (flat,
131 hemispherical, edge, curbstone), or a Modular Elastomer Programmer (MEP) pad intended to
132 represent a ground surface on which sports participants fall [75]. A number of headgear standards
133 have anvils representative of hazards encountered in the specific sport. For example, a skate blade
134 anvil is used in the speed skating helmet standard [61], a steel half cylinder anvil (representing a
135 baseball bat) is specified in the baseball catchers' helmet standard [66], and a headform anvil
136 (representing another player) and steel post anvil (representing a goal post) are referenced in the
137 soccer headgear standard [75].

138 Impact severities (here characterized by the energy of the impact) range from 18 J (soccer headgear to
139 steel post anvil [75]) to 145 J (harness racing helmet onto rigid anvils [69]). For reference, the impact
140 energy specified in bicycle helmet standards ranges from 52 J to 110 J. The process for setting the
141 impact energy for headgear testing in the reviewed standards is not clear. However, headgear
142 standards with the highest impact energy drop tests appear to be the sports in which participants
143 achieve the highest travelling speeds or highest falling distances, such as motorized sports (219 J),
144 harness racing (145 J), skiing and snowboarding (120 J) and bicycling (110 J).

145 There was also variability within the reviewed standards regarding the number of impacts performed
146 at one site on the headgear, likely related to the risk of repeated head impacts in each sport. Football,
147 hockey, martial arts and soccer headgear are always subjected to multiple impacts per site whereas
148 bicycle and equestrian helmets are typically subjected to one impact per site.

149 ***2.2 Human head test surrogate***

150 Rigid metal headforms (such as a low-resonance magnesium K1A alloy headform), specified in ISO
151 Draft International Standard (DIS) 6220 [84], European Standard EN 960 [85] or U.S. Department of
152 Transport (DOT) Federal Motor Vehicle Safety Standard (FMVSS) 218 [77], are required for impact
153 testing in many of the reviewed standards, see Table 1. Other headforms specified in the reviewed
154 standards include the NOCSAE urethane headform [86] (Southern Impact Research Centre, LLC,
155 Rockford, TN, USA) and Hybrid III ATD headform [87] (Humanetics, Huron, OH, USA).

156 Variable headform sizes are required for impact testing in most reviewed standards. For example,
157 ASTM standards reference six rigid headform sizes and NOCSAE standards reference three urethane
158 headform sizes [86,88]. Headgear is typically tested on the appropriate test headform size yet this is
159 not always possible. NOCSAE standards prescribe shimming for helmets too large for the largest
160 headform size so that the impacted area fits the head as intended if the helmet were a proper fit to the
161 headform. Helmets too small for the smallest headform are not tested in NOCSAE standards but
162 approved so long as the other sizes of that helmet model meet all requirements [86]. Martial arts
163 headgear is tested with an appropriate size Hybrid III headform in ASTM F2397 [74]. Soccer

164 headgear of all sizes is tested using the 50th percentile male Hybrid III headform in ASTM F2439
165 [75].

166 **2.3 Assessment criteria and thresholds**

167 The assessment criteria in the reviewed headgear standards relate to the linear acceleration response at
168 the test headform centre of gravity during the impact. A peak linear acceleration criterion is the most
169 common performance requirement, while NOCSAE standards use the Severity Index which involves
170 integrating the linear acceleration over the time duration of the impact [89].

171 The allowable threshold of peak linear acceleration, expressed in g (standard acceleration due to
172 gravity at 9.8 m/s²), for sports headgear varies between sports as well as between standards for the
173 same sport but typically lie in the range of 250-300 g. The aluminum tube striker test for martial arts
174 headgear and the soccer headgear drop tests have lower threshold values of 80-150 g [74]. NOCSAE
175 standards typically enforce a threshold limit of 1200 for the Severity Index, reportedly equivalent to
176 215 g “in a typical helmet impact” [83].

177 A number of headgear standards have separate performance requirements for a low and high severity
178 impact. NOCSAE standards for hockey, lacrosse, football and polo include a Severity Index limit of
179 300 for a low velocity impact in addition to higher velocity impact tests with a Severity Index limit of
180 1200. The ASTM martial arts headgear standard specified a peak linear acceleration threshold of 100
181 g for a 20 J drop test and a 300 g threshold for a 40 J drop test [74].

182 **3. New headgear test methods**

183 Researchers have devised different test procedures for studying headgear impact performance beyond
184 impact tests specified in standards. New (relative to impact tests in standards) headgear impact test
185 methods in published literature and/or at relevant conferences are summarised in Table 2. This review
186 categorised new impact test methods based on the type of headform, the impact opponent, the
187 dynamics of the impact and the assessment criteria. Impact test severities achievable by these methods
188 were variable (typically on a continuous scale) so tested impact speed is not included in Table 2. The

189 review was not restricted to the types of sports headgear reviewed in Table 1 and includes impact
190 mitigation studies that tested motorcycle helmets, industrial helmets, fall protection headgear and
191 helmet accessories. Tests of these other headgear and accessories use biomechanical principles similar
192 to those needed for sports impacts, hence their inclusion. Test methods relating to military helmets
193 were excluded since the primary purpose of military headgear is protection from ballistic threats
194 rather than from blunt impacts like those occurring in sports [90]. The following sections summarise
195 and synthesize the main components of the new headgear test methods.

196 **Table 2 Review of new headgear test methods found in literature and/or at relevant conferences**

First author (year)	Headgear tested	Headform ^c	Head boundary condition at impact ^c	Pre-impact headform motion	Impact opponent/surface	Impact dynamics	Assessment criteria ^d	Image/diagram of test setup
Harrison (1996) [91] Halldin (2001) [35] Aare (2003) [28]	Motorcycle	Ogle (aluminium headform coated with PVC plastisol). Hybrid III.	None	Free-fall	Horizontally moving steel plate covered with 80 SiC grit grinding paper. Horizontally moving steel plate covered with polystyrene foam.	Free-fall of headform to impact horizontally moving impact surface	Linear and angular accelerations. Angular velocity change. Duration of angular acceleration.	Figure S2
Mills (2008) [92]	Bicycle	Ogle aluminium headform with PVC plastisol skin and acrylic wig.	None	Free-fall	Horizontally moving aluminium surface. Horizontally moving aluminium surface covered with 120-grade SiC grit grinding paper.	Headform free-falls onto horizontally moving impact surface	Linear and angular accelerations. Impact forces.	Figure S2
Chinn (2001) [93] Ghajari (2013) [94]	Motorcycle	Hybrid II	None	Free-fall	Various impact surfaces based on specific crash cases, e.g. textured slabs, hemisphere, kerbstone, bar, steel edge, vehicle components. Various impact angles from 15° to 90°.	Headform free-falls onto impact opponent	Linear and angular accelerations. Impact force.	Figure S3
Willinger (2014) [95] (2015) [96] Bourdet (2016) [97]	Proposals for bicycle and motorcycle helmets	Hybrid III	None	Free-fall	45° angled impact anvil covered with friction paper (80 gr).	Headform free-falls in different starting orientations onto the angled impact surface	Linear and angular accelerations. FE model criteria.	Figure S4
Bland (2018) [98]	Bicycle	Medium NOCSAE	None	Free-fall	45° angled steel anvil coated with 80 grit sandpaper.	Headform free-falls in different starting orientations onto the angled impact surface.	Linear acceleration. Change in angular velocity.	Figure S4

Ebrahimi (2015) [99]	Motorcycle	Size J rigid ISO/DIS 6220 EN 960	None	Free-fall	Flat steel anvil inclined at 15° or 30° to the vertical covered with grade 80 closed-coat aluminium oxide abrasive paper.	Headform free-falls in different starting orientations onto the angled impact surface	Linear and angular accelerations	Figure S4
Finan (2008) [36]	Football	Hybrid III	None	Free-fall	Flat anvil angled between -45° and 45° at 15° increments.	Headform free-falls onto the angled impact surface	Linear and angular accelerations. HIC.	Figure S4
Klug (2015) [100]	Bicycle	Hybrid III with modified mass and moment of inertia	None	Free-fall	Rigid anvil angled 30° from horizontal covered with 80 grain abrasive paper.	Headform free-falls onto angled impact surface	Linear and angular accelerations. Angular velocity. HIC36 HIP BrIC	Figure S5
Stigson (2017) [101]	Bicycle	Hybrid III	None	Free-fall	Rigid anvil angled 45° covered with grinding paper Bosch quality 40.	Headform free-falls onto angled impact surface	Linear and angular accelerations. Angular velocity. FE model criteria	Figure S6
Stuart (2017) [102]	Ski and snowsport	Hybrid III	None	Propelled at a variable angle toward the impact surface	Concrete and linoleum floor. Proposed for in situ snow surfaces.	Free-flight headform propelled using a spring-loaded carriage onto impact surface	Linear and angular accelerations	Figure S7
Saczalski (2016) [103]	Football	Hybrid III 5 th percentile female	Hybrid III 5 th percentile female neck	Swinging pendulum	Non-yielding surface.	Inverted headform and neck is swung using a “free pendulum” horizontally into the impact opponent.	Linear and angular accelerations. Angular velocity. Pulse duration. HIC.	Figure S8
Roseveare (2016) [39]	Motorcycle	Hybrid III	Hybrid III neck attached to a pendulum acting as a cantilevered mass	None	Rigid impact surface angled at 30° from vertical.	Angled impact surface falls in a guided-drop to impact the headform attached to cantilevered mass	Linear and angular accelerations. FE model criteria.	Figure S9
Dressler (2012) [104]	Ski	Hybrid III	Hybrid III neck attached to 16 kg drop carriage	Guided free-fall	Soft snow. Hard snow.	Guided drop of headform onto flat impact surface	Linear acceleration. HIC-15. Neck loads.	Figure S10

Dressler (2014) [105] Dressler (2018) [106]	Football	Hybrid III	Custom surrogate neck attached to 16 kg drop carriage	Guided free-fall	Steel impact platen covered with two layers of yoga mat foam.	Guided drop of headform onto impact surface	Linear and angular acceleration. HIC-15	Figure S11
Caccese (2014) [34] Ferguson (2015) [107] Seidi (2015) [108]	Protective headgear for falls	Hybrid III	Hybrid III neck attached to 8.2 kg twin-wire drop carriage	Guided free-fall	Concrete with vinyl tile. Steel plate. MEP pad.	Guided drop of headform onto flat impact surface	Linear and angular accelerations. HIC-15. RIC-36. PRHIC.	Figure S12
Pellman (2003) [109] Viano (2005) [110] (2006) [111] Withnall (2005) [112] Newman (2005) [113]	Soccer. Football.	Hybrid III	Hybrid III neck attached to drop rail	Guided free-fall	Hybrid III head and upper torso suspended from a hoist assembly. Artificial turf placed on rigid plate.	Guided drop of headform onto impact opponent	Linear and angular accelerations	Figure S13
Butz (2015) [114] Knowles (2017) [115]	Bicycle. Hockey. Helmet accessories. Wearable sensors.	Hybrid III	Hybrid III neck attached to gimbal (total mass 10 kg) on drop rail	Guided free-fall	Steel impact surface. MEP pad.	Guided drop of headform onto impact opponent	Linear and angular accelerations. Angular velocity. Impact forces. FE model criteria.	Figure S14
Clark (2015) [116] (2016) [117]	Hockey	Hybrid III	Unbiased neckform on drop rail	Guided free-fall	MEP pad.	Guided drop of headform onto flat impact surface	Linear and angular accelerations. Impact duration. FE model criteria.	Figure S15
Karton (2012) [118]	Speed skating	Hybrid III	Hybrid III neck attached to drop rail	Guided free-fall	Hemispherical nylon pad covering a MEP 60 Shore Type A disc secured to large metal anvil.	Guided fall of headform onto impact surface	Linear and angular accelerations	Figure S16
Posey (2006) [119]	Full90 soccer headguard	Hybrid III	Motorcycle ATD neckform on drop rail	Guided free-fall	Hybrid III head. Cylinder anvil.	Guided drop of headform onto impact opponent	Linear and angular accelerations. GAMBIT.	Figure S17

Aldman (1976) [120] (1978) [121]	Motorcycle	Ogle-Opat	Ogle-Opat neck attached to a drop rail carriage by a hinge upon a horizontal axis	Guided free-fall	Rotating ring of road surfaces: clean wood particle board (smooth), coarse grinding cloth (Naxos CKRG 20), angular stones, subangular-round stones, subangular-round stones with a thin layer of oil.	Guided drop of headform onto the rotating road surface	Linear and angular accelerations	Figure S18
Mills (1996) [30]	Motorcycle helmet materials (foam and shell)	2D slice with 12 mm thick web and 25 mm wide aluminium rim, outer diameter of 222 mm and mass of 2.255 kg	Attached with a rigid bar and pivots at the centre of the headform slice to a drop carriage which is attached to a drop rail	Guided free-fall	Buehler metallographic polishing table with a brass table covered with 150 grit Silicon Carbide paper rotating at either 730 or 1460 rpm prior to test. The table was allowed to free-wheel as the headform is dropped, so it could be decelerated in the impact.	Headform slice falls along guide rail to impact rotating table resulting in axial rotation of the headform slice	Angular acceleration. Impact force. Helmet deflection.	Figure S19
Pang (2011) [29] McIntosh (2013) [32] (2013b) [31]	Motorcycle	Hybrid III	Hybrid III neck attached to guided drop carriage	Guided free-fall	Horizontally moving aluminium striker plate covered with a high-friction outdoor surface tread.	Guided fall of headform onto horizontally moving impact surface	Linear and angular accelerations. Neck loads.	Figure S20
Dau (2012) [122] Hansen (2013) [37]	Bicycle	Rigid ISO/DIS 6220	Hybrid III neck attached to drop rail	Guided free-fall	30° angled steel anvil.	Guided drop of headform onto angled surface	Linear and angular accelerations. HIC. FE model criteria. Neck loads.	Figure S21
Giacomazzi (2009) [123]	Hockey	Hybrid III	Hybrid III neck attached to small trolley on linear bearing track	None	Impact pendulum with flat impact face weighing 70 kg.	Impact pendulum swung to impact headform	Linear and angular accelerations. GAMBIT HIP FE model criteria	Figure S22

Jadischke (2016) [124]	Football	Hybrid III	Hybrid III neck attached to linear slide table	None	Helmeted Hybrid III headform mounted to a 1.58 m pendulum arm via a rigid neck, total pendulum weight of 31 kg.	Impact pendulum swung to cause helmet to helmet impact of headforms	Linear acceleration. Change in linear velocity. Change in momentum. Neck loads.	Figure S23
Newman (2005) [113] Pellman (2006) [125]	Football	Hybrid III	Hybrid III neck attached to rigid platform or sliding table	None	Impact pendulum with weighted hammer. Impact surface has convex face covered with a layer of polycarbonate.	Impact pendulum swung to impact headform	Linear and angular accelerations. HIC Severity Index Neck loads.	Figure S24
Rowson (2015) [126]	Hockey	Medium NOCSAE	Hybrid III neck attached to linear slide table	None	Impact pendulum with rectangular arm 1.9 m long, total mass of 36.6 kg with 16.3 kg at the impact end. Flat, rigid, nylon impactor face with 12.7 cm diameter.	Pendulum swung to impact headform	Linear and angular accelerations	Figure S24
Tyson (2018) [127]	Football	Medium NOCSAE	Hybrid III neck attached to 5-degree-of-freedom Biokinetics slide table with a 16 kg sliding mass.	None	Pendulum impactor with 1.9 m long arm, total mass 37 kg with 15.5 kg impacting mass at the end. Nylon impactor face 20.3 cm in diameter with 12.7 cm radius of curvature.	Pendulum swung to impact headform	Linear and angular accelerations.	Figure S24
Bartsch (2012) [128]	Football	NOCSAE	Hybrid III neck attached to a rigid support	None	Swinging pendulum with NOCSAE headform fitted with a Riddell VSR-4 helmet, weighing a total of 6.2 kg.	One headform swung as pendulum to impact other, stationary headform	Linear and angular accelerations. Angular velocity. FE model criteria. Neck loads.	Figure S25
Pellman (2006) [125]	Football	Hybrid III	Hybrid III neck attached to torso which was mounted on a translating joint and table	None	Hemispherical surface with polycarbonate layer.	Impactor pneumatically driven to impact headform	Linear and angular accelerations. Neck loads. Chest accelerations.	Figure S26

Gwin (2010) [129]	Football	NOCSAE	Hybrid III neck attached to linear bearing table	None	Linear impactor head weighing 13.3 kg with a convex face padded with polyurethane foam.	Impact ram pneumatically accelerated to contact the headform	Linear acceleration. Severity Index.	Figure S27
Rousseau (2009) [130] (2009b) [131] (2009c) [132] Walsh (2012) [133]	Hockey	Hybrid III	Hybrid III neck attached to sliding table with 12.8 kg mass	None	Linear impactor with vinyl nitrile 602 foam disc and hemispherical nylon cap weighing a total of 16.6 kg.	Impactor pneumatically driven to impact headform	Linear and angular accelerations	Figure S27
Post (2013) [134] (2014) [135]	Hockey	Hybrid III	Hybrid III neck attached to sliding table with 12.8 kg mass	None	Linear impactor with MEP disc and hemispherical nylon cap weighing a total of 16.6 kg.	Impactor pneumatically driven to impact headform	Linear and angular accelerations. FE model criteria	Figure S27
Clark (2015) [116] (2016) [117]	Hockey	Hybrid III	Unbiased neckform on 12.8 kg sliding table	None	Nylon disc covering vinyl nitrile 602 foam. Nylon disc covered with vinyl nitrile R338 V foam and a Reebok 11 k shoulder pad.	Impact opponent pneumatically driven to impact headform	Linear and angular accelerations. Impact duration. FE model criteria.	Figure S27
Post (2012) [136]	Football	Hybrid III	Hybrid III neck attached to sliding table	None.	Linear impactor with vinyl nitrile 602 foam and nylon cap weighing a total of 13.1 kg.	Impactor pneumatically driven to impact headform	Linear and angular accelerations. FE model criteria	Figure S27
Hoshizaki (2016) [137]	Football	Hybrid III	Hybrid III neck attached to sliding table	None	Linear impactor head weighing 13.1 kg with hemispherical nylon cap and 1.5 in. MEP Shore 60A layer.	Impactor pneumatically driven to impact headform	Linear and angular accelerations	Figure S27
Pellman (2006) [125] Beckwith (2012) [138] Viano (2012b) [139] Jadischke (2016) [124]	Football.	Hybrid III	Hybrid III neck attached to sliding table	None	Linear impactor cap with vinyl nitrile foam covered by hard Nylon cap with convex shape of radius 127 mm. Total ram mass was 14 kg.	Impact ram pneumatically driven to impact the headform	Linear acceleration. Change in linear velocity. Change in momentum. Angular velocity. Neck loads.	Figure S28

Funk (2017) [140]	Football.	Hybrid III	Hybrid III neck attached to sliding carriage of mass 17.7 kg	None	Spherical extruded nylon 6/6 cap attached via Velcro to 1½” thick vinyl nitrile foam attached via Velcro to 14.3 kg linear ram	Impact ram accelerated to desired speed then disengaged from propulsion source so it strikes the specimen while coasting.	Linear acceleration. Linear velocity. Angular acceleration. Angular velocity. HIC. Combined metric.	Figure S27
Rowson (2008) [141]	Football	Hybrid III	Hybrid III neck attached to full Hybrid III dummy	None	Linear impactor with impacting characteristics of a typical football helmet	Impactor pneumatically driven to impact headform	Linear acceleration. Angular velocity. Impact force. Neck loads.	Figure S29
Viano (2012) [142]	Football. Mouthguards.	Modified Hybrid III with articulating mandible	Hybrid III neck attached to linear slide table	None	Linear impactor with foam and plastic cap assembly which simulates an impacting football helmet.	Impactor pneumatically driven to impact headform	Linear acceleration. Severity Index. HIC-36 Mandible forces.	Figure S30
Johnston (2015) [143]	Football	Rigid magnesium	Attached to a sliding table by a joint that allowed transverse plane rotation	None	Done-shaped nylon impactor weighing 14 kg.	Impactor pneumatically driven to impact side of facemask of helmeted headform	Linear and angular accelerations. Severity Index. Angular velocity. Angular displacement.	Figure S31
Kis (2013) [144]	Hockey	NOCSAE	Attached to specifically designed neck attachment that restricts rotational movement to a single axis with different neck attachments used for each of the three axes. The neck attachment was mounted to a rigid frame.	None	Impact piston, not further specified.	Impact piston pneumatically driven to impact headform	Linear and angular accelerations	Figure S32

McIntosh (2015) [145]	Boxing headguards and glove	Hybrid III	Hybrid III neck attached to a massive stand	None	Spring driven linear impactor guided by linear bearing weighing approx. 3.9 kg. Impact heads included a cylindrical mallet covered by a boxing glove and a disc-pad (not further specified).	Spring-loaded linear impactor driven to impact headform	Linear and angular accelerations. HIC-15 Impact force.	Figure S33
Ivarsson (2003) [146] King (2003) [147]	Football. Foam padding.	Hybrid III	Hybrid III neck attached to mini-sled	Propelled horizontally	Angled aluminium plate at 30° from vertical covered with various foam samples.	Mini-sled with upright headform and neck pneumatically accelerated to desired velocity and decelerated by the crushing of aluminium honeycomb with headform impacting impact surface	Linear and angular accelerations. Angular velocity. HIC36	Figure S34
Tyson (2018) [148]	Soccer	NOCSAE	Hybrid III neck attached to a 16 kg sliding mass	None	NOCSAE headform attached to Hybrid III neck attached to a 16 kg sliding mass	The striking headform, neck and sliding mass is propelled toward the struck headform using a cable and pulley system	Linear and angular accelerations.	Figure S35
Alem (1980) [149]	Industrial	Hybrid III	Hybrid III neck attached to linear rails	None	A 9 lb drop weight.	Drop weight released in free-fall or guided free-fall to hit the top of the headform causing a plunging motion of the head along the spinal (axial) direction	Linear acceleration. Impact force/acceleration. Neck loads.	Figure S36

Bartsch (2012) [150](2012b) [151]	Boxing headgear and glove. MMA glove.	Hybrid III	Hybrid III neck attached to Hybrid III dummy without lower extremities seated in a chair and secured with tie-down straps and 3500 N of sandbags	None	Steel sphere impact pendulum of 3.6 kg.	Impact pendulum swung to impact the headform	Linear and angular accelerations. Angular velocity. Neck loads.	Figure S37
O'Sullivan (2013) [152]	Taekwondo	Hybrid II	Hybrid II neck mounted in an inverted position to a free-hanging iron pendulum	None	Bowling ball weighing 6.75 kg suspended by a steel-lined cable.	Bowling ball swung to impact the headform	Linear acceleration	Figure S38
Withnall (2005) [112]	Soccer	Hybrid III	Hybrid III neck on 15.8 kg sliding table	None	FIFA inspected size 5 soccer ball, 430 g, 0.8 bar inflation pressure	Ball fired from air cannon as a projectile into headform	Linear acceleration. HIP.	Figure S39
Clark (2015) [116] (2016) [117]	Hockey	Hybrid III	Unbiased neckform on 12.8 kg sliding table	None	Hockey puck.	Puck fired from pneumatic launcher into headform	Linear and angular accelerations. Impact duration. FE model criteria	Figure S39
McIntosh (2003) [153]	Baseball. Hockey. Cricket.	Hybrid III 5 th percentile female	Hybrid III 5 th percentile female neck	None	Cooper CVB official league solid core centre baseball. Kookaburra Comet cricket ball. Vegum "official" hockey puck.	Impact projectiles fired using an air cannon into headform	Linear acceleration	Figure S39
Goldsmith (1982) [154]	Baseball	Valgem Corp headform	Coil spring simulating the neck which terminated in a flat plate attached to a 22.7 kg metal block	None	Little League baseball with mass of 148.2 g and average diameter of 7.23 cm.	Baseball fired from air cannon at helmeted headform which was suspended in an inverted position	Linear acceleration. Impact duration. Impact force. Contact area. Impact stress.	Figure S40

Viano (1993) [155]	Baseball	Hybrid III 5 th percentile female	Hybrid III 5 th percentile female neck attached to full Hybrid III 5 th percentile female dummy in a seated position	None	Commercially available baseballs.	Baseballs pneumatically fired to impact the headform	Linear acceleration. HIC. Neck loads.	Figure S41
Yang (2014) [156]	Baseball	Hybrid III	Hybrid III neck attached to full Hybrid III dummy seated, constrained in a chair fixed to the floor.	None	Baseballs meeting the weight and circumference specifications of the NOCSAE standard.	Baseballs fired using JUGS Curveball Pitching Machine to strike the forehead or left temple of the headform.	Linear and angular accelerations. HIC. SI.	Figure S41
Stepan (2010) [157]	Watersports	Hybrid III	Hybrid III neck attached to full Hybrid III dummy in seated posture	None	Metal boom from a J24 sailboat mounted horizontally onto a vertical rotating pole.	Boom accelerated to reproduce angular velocities seen during jibing to contact the occipital region of the headform, six feet away from the axis of rotation.	Linear acceleration.	Figure S42
Ghajari (2011) [158]	Motorcycle	Hybrid III	Hybrid III neck attached to full Hybrid III dummy in seated posture	Free-fall	Flat anvil.	Free-fall of dummy for frontal head impact into flat impact surface	Linear acceleration. Impact force. Neck loads.	Figure S43
Hering (2000) [159] Chinn (2001) [93] Ghajari (2011) [158]	Motorcycle	Hybrid III	Hybrid III neck attached to full Hybrid III pedestrian dummy	Free-fall	Flat anvil and oblique anvil at 15° from vertical covered with abrasive paper (grade 80 closed-coat aluminium oxide)	Suspended dummy released to free-fall with the first impact being the headform onto the anvil	Linear and angular accelerations. Impact force.	Figure S44
Aldman (1978) [160]	Motorcycle	Ogle-Opat	Ogle-Opat neck attached to full 50 th percentile male test dummy	Free-fall	New unpolished asphalt concrete surface Ab8t.	Dummy suspended from the side of a moving test cart released in different orientations to strike the impact surface	Linear and angular accelerations	Figure S45

Corner (1987) [161]	Motorcycle	GM Hybrid Head	GM Hybrid Neck attached to block of wood with wood enclosed in sand filled canvas	Propelled on test sled by a falling weight and pulleys	Various points on a car body. Laboratory floor.	Test sled accelerated to 12 m/s, then decelerated over 0.5 m, launching the surrogate at the impact opponent	Linear and angular accelerations	Figure S46
Hodgson (1990) [162]	Bicycle	Hybrid III	Hybrid III neck attached to full Hybrid III dummy torso	Propelled horizontally	Concrete barrier inclined at angles of 30°, 45°, 60° and 90°.	Dummy driven horizontally in-line with body longitudinal axis by spring propulsion so head impacted angled surface with dummy neck horizontal	Linear and angular accelerations. Impact force. Neck loads.	Figure S47
Scher (2006) [163] Richards (2009) [164]	Ski or snowsport	Hybrid III	Hybrid III neck attached to full Hybrid III dummy in standing posture on snowboard	Guided fall along cable path followed by backward fall of standing dummy	Snow.	Dummy released to fall along declining cable path while upright, exiting the cable at a mound of snow to cause the “opposite-edge” snowboarder trip mechanism causing the dummy to fall backward	Linear acceleration. HIC. Neck loads.	Figure S48
Scher (2008) [165]	Ski or snowsport	Hybrid III 10-year-old	Hybrid III 10-year-old neck attached to full Hybrid III 10-year-old dummy in standing posture	Swinging pendulum	Bar stock mounted for chest impact (inertial head loading). Wooden pole. 5 th percentile female Hybrid III full dummy.	Dummy swung like a pendulum in the AP axis direction to impact against impact opponent while in the standing position	Linear acceleration. HIC. Neck loads.	Figure S49
Yamaguchi (2014) [166]	Climbing	Size J rigid magnesium. Hybrid III.	Hybrid III neck attached to full Hybrid III dummy with standing pelvis	Swinging pendulum	Vertical steel barrier.	Dummy swung in the AP axis and transverse axis directions to impact opponent while horizontal to the ground	Linear acceleration. HIC. Neck loads.	Figure S50

Yamaguchi (2014) [166]	Climbing	Size J rigid magnesium. Hybrid III.	Hybrid III neck attached to full Hybrid III dummy with standing pelvis	Upright free-fall	Steel slotted test bed.	Dummy released to free-fall while upright to impact surface first with feet, followed by the buttocks, shoulders and then occipital head	Linear acceleration. HIC. Neck loads.	Figure S51
Newman (2005) [113] Pellman (2006) [125]	Football	Hybrid III	Hybrid III neck attached to full dummy	Guided suspended free-fall using a gantry	Full Hybrid III dummy in guided, suspended free-fall from a gantry.	Two gantries suspended two Hybrid III dummies which were released in guided free-fall to impact each other at a predetermined impact site and velocity	Linear and angular accelerations	Figure S52

197 ^e Unless otherwise specified, reference to anthropometric test devices, such as the Hybrid III, refer to the 50th percentile adult male.

198 ^d HIC – Head Injury Criterion, RIC – Rotational Injury Criterion, PRHIC – Power Rotational Head Injury Criterion, GAMBIT – Generalized Acceleration Model for Brain Injury Threshold,

199 HIP – Head Impact Power, FE – finite element, BrIC – Brain Injury Criterion.

200 ***3.1 Impact condition***

201 There were three ways of producing a head impact with an impact opponent in the new headgear test
202 methods. The first used pre-impact motion of the headform to contact a stationary impact opponent.
203 The headform is either dropped vertically under gravity or propelled using a spring, pendulum or
204 mini-sled. The second type of impact involved a moving impact opponent contacting a stationary
205 headform. Impact opponents were propelled via cannons, pneumatic linear impactors, pendulums or
206 fell due to gravity to impact an initially stationary helmeted headform. The final type of test
207 performed an impact while both the headform and the impact opponent were in motion, for example
208 the headform falling onto a translating or rotating surface, or two test surrogates propelled into contact
209 with one another.

210 There was a wide range of impact opponents in the reviewed new headgear tests including roadway
211 surrogate surfaces, snow, other helmeted headforms, various impactor tips, projectiles as well as rigid
212 anvils and MEP surfaces referenced in current certification standards.

213 The impact orientation was variable in most new tests and involved two components: 1) the
214 orientation of the headform with reference to the impact opponent and, 2) the relative velocity vector
215 between the test surrogate and the impact opponent. Common strategies for achieving different impact
216 orientations included changing the pre-impact headform position relative to the impact opponent,
217 varying the angle of the impact surface and changing the point of impact on the helmet.

218 ***3.2 Human head test surrogate***

219 Headform types used in the reviewed new test methods ranged in complexity from a metal 2D
220 cylinder to rigid metal humanoid headforms, manikins, the NOCSAE headform and headforms from
221 automotive ATDs including the Ogle OPAT, the Hybrid II and the Hybrid III of various sizes.

222 The new headgear test methods applied various types of boundary conditions to the test headform at
223 impact. Many studies affixed the headform to a flexible neck while others applied no boundary
224 conditions to the head at impact. Studies using a neck variously attached the lower neck to a drop

225 carriage, drop rail, translating table, cantilevered mass, ATD torso or full ATD. The types of necks
226 and ATDs were predominantly from automotive applications and included the Ogle OPAT,
227 motorcycle ATD and Hybrid III of various sizes. Other non-rigid neck surrogates included the so-
228 called “unbiased neckform”, simple uniaxial mechanical joints and a coil spring.

229 ***3.3 Assessment criteria and thresholds***

230 All of the new testing studies used linear acceleration of the headform as an assessment criterion, see
231 Table 2. Additional kinematic assessment criteria included angular acceleration and angular velocity
232 of the headform, the Severity Index, the Head Injury Criterion (HIC), the Rotational Injury Criterion
233 (RIC) [167], the Power Rotational Head Injury Criterion (PRHIC) [167,168], the Generalized
234 Acceleration Model for Brain Injury Threshold (GAMBIT) [169], and Head Impact Power (HIP)
235 [170]. Further criteria related to headform motion utilised finite element models of the head. These
236 criteria involved applying a measured headform response to a rigid skull and deformable brain
237 computational model. Headgear assessment compared finite element outputs such as stress, strain and
238 strain rate developed within the simulated brain tissue [97,134,136,171–173]. Load criteria used to
239 assess headgear in the new impact tests included impact forces, mandible forces and neck loads. Other
240 headgear assessment criteria included impact duration, contact area, impact stress and helmet
241 deflection.

242 In the new test methods, pass/fail thresholds for allowable headform response were rarely specified.
243 Typically, these studies provided some estimate of head injury risk in the test impacts by referring to
244 previously published studies, such as human cadaver impact experiments [174], animal studies
245 [25,175], and tissue level models [176–178]. Established head injury risk curves were also referenced,
246 such as those developed in automotive applications for specific surrogates such as the Hybrid III
247 [114,120,162,163,166,179], or developed through reconstruction of real-world helmeted football
248 incidents [172,180–183].

249 **4. Discussion**

250 ***4.1 Requirements of a standard***

251 The new headgear test methods reviewed in Table 2 are primarily research studies incorporating
252 greater complexity in the impact condition and exploring more potential headgear assessment metrics
253 than impact tests in the current standards summarised in Table 1. Most new impact test methods are
254 unsuitable for a standards test in their current form due to their complexity. An impact test suitable for
255 certification standards should be simple, robust and capable of producing repeatable and reproducible
256 results [184]. For a given test method, the same results should be achievable for commercial test
257 houses, headgear manufacturers and academic researchers in order to facilitate the processes of
258 ongoing headgear development and certification.

259 Practically, impact tests in standards should be only as complicated as is needed to adequately
260 represent the injurious event. Often the process of defining what is adequate can take considerable
261 research. For example, a series of studies published by Pellman and colleagues [109,110,125,185,186]
262 analysed and reconstructed mTBI-producing impacts that occurred in football games using full
263 reconstructions involving two complete ATDs. These tests and others were used as a precursor to
264 developing a simpler laboratory impact test method that simulates helmet-to-helmet impacts (Fig.
265 S28) [125,138]. Since the resulting pneumatic linear impactor test has acceptable repeatability,
266 reproducibility and practicality, it is being added to the NOCSAE standard for football helmets,
267 effective November 2019 [187,188]. This test development process highlights a difference between
268 the aims of a headgear researcher, who may want to recreate the injury event as realistically as
269 possible, compared to the needs of a standard test, where some realism is sacrificed to achieve other
270 benefits.

271 Sensitivity is another important aspect of a standards test. If the impact condition, test surrogate and
272 assessment criteria are not sensitive to the injury related conditions, essentially being unable to
273 distinguish between a protective and non-protective (or less-protective) headgear, the test does not
274 achieve what is intended.

275 The goal for new impact tests in headgear standards is to create the simplest, most repeatable set of
276 tests that capture the greatest number of injury related risk factors and thus results in the greatest

277 reduction of injuries. The ideal situation would use high fidelity impact and injury research data to
278 contrive a simple standards test that was ultimately entirely effective at stratifying tested headgear as
279 to their relative ability to protect against defined severities of mTBI and severe TBI/skull fracture.
280 The following sections discuss how new headgear research methods and other studies can inform
281 development of standards-appropriate impact tests.

282 ***4.2 Impact condition***

283 There is significant variation in the types of head impacts that occur in different sports and within the
284 same sport yet impact tests in certification standards use very similar impact test dynamics across
285 sports (Table 1). New laboratory impact tests have greater impact condition variation and from a
286 research perspective, accurate definition of real injurious impact conditions is critical for recreating
287 realistic head impact scenarios in the lab. Of importance are the pre-impact orientation of the head
288 relative to the impact opponent, the relative velocity vector between the head and the impact
289 opponent, and the mechanical response of the impact opponent.

290 Research efforts to define the impact condition in sports head impacts have utilised a number of
291 different techniques and information sources. In football, in-game head impact events were analysed
292 and reconstructed through video analysis [109,113,189]. For bicycle and motorcycle helmets,
293 headform impact orientations and the relative velocity vector between the headform and the impact
294 opponent have been informed by crash investigations [93,97,190]. Impact orientation and severity
295 have also been estimated based on the residual damage of single impact helmet liners such as
296 expanded polystyrene liners commonly used in bicycle and motorcycle helmets [191,192]. However,
297 using residual deformation to estimate impact severity is challenging, has high variability and requires
298 data on specific helmet models making it potentially unreliable for widespread application [192].

299 Definition of the head impact condition in other sports suffers from a paucity of available real world
300 head impact data. Multibody simulations and parametric studies have been used to fill this void by
301 estimating unknown parameters that describe the impact condition such as head impact location and
302 velocity [193]. A technique called model-based image matching has been used to approximate head

303 impact velocities in an alpine skiing crash from uncalibrated video sequences [194]. Others have
304 directly measured head impact events during sports using instrumentation mounted on the helmet,
305 skin or within mouthguards, reducing the reliance on physical or simulated incident reconstruction
306 [195–204]. These efforts inform researchers about the head impact orientation and resulting
307 kinematics in specific sports but are not without limitations. Imperfect coupling between the impact
308 measurement device and the skull introduces inaccuracies in some systems [205–208] and false
309 positives can be common [209,210], meaning video confirmation of head impact events is important
310 [211]. High quality, detailed field and clinical data is essential to ensuring headgear impact tests are
311 relevant to injurious scenarios that occur in the real world.

312 For a standards test, it is not necessary to recreate all injurious head impact scenarios if the headgear
313 response in one injurious impact type correlates to the headgear response in another. Exploratory
314 testing can define the minimum number of independently responding injurious impact configurations,
315 reducing the number of required test configurations. Test method complexity can also be reduced
316 through exploratory testing. For example, the response of a falling test headform impacting a
317 translating roadway surface surrogate can, in some circumstances, be replicated with the easier to
318 manage test setup of a falling headform impacting a stationary oblique-angled anvil [212].

319 Details regarding the impact opponent are typically easier to define than the impact dynamics but the
320 number of potential impact opponents in different sports can be vast. Controlled in-field testing of
321 impact opponents is needed to capture the range of conditions for variable impact surface conditions
322 such as snow or loose-fill materials. Development of standards-suitable repeatable impact surface
323 materials can follow. Previous examples of this include the pneumatic linear impactor face which was
324 designed to simulate helmet-to-helmet contacts in football [125] and the MEP pad which provides a
325 reproducible impact surface surrogate to simulate impacts with the ground [75,213,214].

326 In standards testing, rigid steel impact surfaces are common and represent worst-case impact
327 opponents for linear impact evaluation due to the maximized potential for fully compressing headgear
328 padding. Rigid surfaces, however, may not represent the worst-case scenario when considering

329 angular headform response and consideration of other surfaces will be necessary for new standards
330 tests. King et al. [215] performed head impact tests using a Hybrid III head and neck on a mini-sled
331 and found that, in four out of nine front impact tests with a bicycle helmet and two out of nine tests
332 with a football helmet, added compliance of the helmet increased the rotational acceleration of the
333 headform compared to the unhelmeted condition. In another study, hockey shoulder pads added to a
334 pneumatic linear impactor tip at an impact velocity of 6.5 m/s reduced the peak linear acceleration
335 experienced by the headform (151.9 g to 100.9 g) but increased the peak angular acceleration (7.4
336 krad/s^2 to 8.2 krad/s^2) compared to a bare impactor condition [216]. Exploratory testing is needed to
337 ensure higher injury risk impact opponents are identified and accounted for in a standards test.

338 The high incidence of sports-related mTBI despite headgear protection has generated discussion
339 regarding the impact severity at which sports headgear are tested. Most standards call for headgear to
340 be tested in impacts at or near the highest levels of severity deemed reasonable [217]. Headgear that
341 meet the required response in these impacts are considered protective for all impacts of equal or lesser
342 severity, although they are tested at only the one high impact severity [217]. This approach might
343 ignore headgear performance in lower severity impacts and mTBI is often sustained in impacts that
344 exhibit resultant peak linear head accelerations well below the threshold level allowed in certification
345 standards [195,218–220]. Bicycle, motorcycle, football and martial arts headgear subjected to linear
346 impact tests at different severities show an approximately linear relationship between impact severity
347 and peak linear acceleration of the headform up to bottoming-out of the protective liner
348 [150,217,221–223]. Such a relationship suggests that indeed the linear response of these headgear at
349 lower levels of impact is largely determined by the single, higher impact severity threshold [217].

350 Whether this linear relationship at increasing impact severity holds for angular headform response in
351 impact tests with additional headform degrees of freedom and across various head impact
352 configurations, impact opponents and for emerging helmet technologies that leverage different energy
353 attenuating strategies to crushable foam is unknown.

354 A relatively recent issue for sports headgear testing is the increasing use of aftermarket helmet
355 accessories, such as cameras or add-on caps. Cameras influence interaction between the helmeted

356 head and the impact opponent, since camera-mounting points alone project further from the headgear
357 surface than is allowed in many headgear standards. It is also unclear whether the camera-mounting
358 points are designed to collapse or break on impact [114]. A laboratory study investigating this issue
359 by performing flat surface impacts to a surrogate camera mounted on a bicycle helmet found that the
360 presence of a camera altered the kinematics and forces experienced by the headform. The average risk
361 of severe concussion, using Cumulative Strain Damage Measure-25 injury risk curves [172], was
362 reduced in 4 m/s impacts with the camera attached (from 25% to 7%), but was increased, on average,
363 in 6 m/s impacts (from 18% to 58%) [114]. The effect these accessories have during oblique impacts
364 where they can potentially snag on the impact opponent has not been methodically assessed.

365 Aftermarket helmet add-on caps have been developed with the aim of mitigating concussions in
366 football but change the impact response of the helmet. According to NOCSAE, these additions create
367 a new and untested helmet model, as defined in NOCSAE standards, and therefore make the
368 certification of previously certified helmet models voidable [224]. Published impact test results for
369 add-on caps are scarce but, even within the limited test data available, additional padding applied to
370 the helmet exterior may not always reduce the severity of the impact in a drop test [225,226].
371 Developing separate standards for different types of headgear accessories would help better
372 understand their effect on injury risk and control their influence in sport head impacts.

373 ***4.3 Human head test surrogate***

374 Rigid headforms are not designed to respond like a human head to impact but most often have a
375 defined shape based on human anthropometry. The NOCSAE urethane headform and Hybrid III
376 headform have a humanlike shape, mass, moment of inertia and are designed to respond like the
377 human head in certain impact conditions [227–229]. However, the NOCSAE and Hybrid III
378 headforms are not interchangeable. The NOCSAE headform is considered more anatomically accurate
379 than the Hybrid III, particularly at the base of the skull, cheeks, jaw and chin [230,231]. The
380 anatomical inaccuracies of the Hybrid III headform are a limitation for headgear assessment since the
381 chin and nape, in particular, affect the fit and retention of headgear and may therefore affect the
382 helmeted impact response. The NOCSAE headform was originally designed to be mounted on a rigid

383 arm whereas the Hybrid III headform is compatible with the Hybrid III neck, although a method now
384 exists to affix the NOCSAE headform to the Hybrid III neck [125,230]. The Hybrid III is the most
385 extensively used humanoid headform in biomechanical research and the earliest to incorporate a
386 system of measuring both the linear and angular kinematics in an impact [230]. Head injury risk
387 estimates have been developed with the Hybrid III headform which might be a reason attracting
388 headgear researchers to use the Hybrid III rather than other surrogates [174].

389 It is appealing to evaluate headgear using a surrogate designed to respond like the human head to
390 impact. Hence, the biofidelic impact response of the Hybrid III is commonly referenced as
391 justification for it being used in the reviewed new headgear tests [34,93,112,179]. However, the
392 biofidelity of the Hybrid III headform for headgear impact testing has relatively little validation. The
393 Hybrid III headform was originally developed to respond like the human head in unprotected, short
394 duration impacts against rigid anvils rather than in helmeted impacts [228]. In a study that compared
395 the linear impact response of the Hybrid III and rigid headforms to the response of human cadavers in
396 motorcycle helmeted impacts, the rigid DOT headform, rather than the Hybrid III headform, most
397 closely resembled the cadaver response [191]. The NOCSAE headform was designed to have similar
398 static load/deflection characteristics of the human cadaver skull and humanlike impact response in a
399 small series of helmeted and athletic turf impacts [227]. Despite both being based on human cadaver
400 head response, the NOCSAE and Hybrid III headforms provide significant differences in peak linear
401 and angular accelerations in comparative impact tests [232,233]. Given these differences, the specific
402 test methods and impact locations of any new or broader standard for sports headgear will determine
403 which of these headforms is more suitable. Indeed, it is also possible that neither headform is valid for
404 the task and that a new headform will be needed to properly assess how headgear attenuates linear and
405 angular kinematics and their respective injury risks.

406 Another issue related to headforms for headgear evaluation is the available sizes. While rigid
407 headforms have the most extensive array of sizes at circumference increments of 10 mm [84,85], size
408 variations of the Hybrid III and NOCSAE are limited. At least three more Hybrid III sizes are needed
409 to cope with all helmet sizes [234], and NOCSAE standards provide exceptions or specify procedures

410 to deal with poor fit as described in Section 2.2 of this review. The issue of humanlike impact
411 response is further complicated when considering paediatric size variations. The head impact response
412 of current paediatric Hybrid III ATDs does not agree with age-matched unprotected human skull
413 cadaver impacts [235]. Corresponding human paediatric head impact response data is sparse,
414 particularly for padded impacts, but is needed to create biofidelic paediatric head surrogates for
415 headgear impact testing.

416 With increasing emphasis on the angular response of the protected headform in an impact, a critical
417 concern is the surface characteristics of the headform, or more generally, the friction at the interface
418 between the helmet and the headform. For instance, covering a rigid magnesium headform with 1 mm
419 thick silicone rubber increased peak rotational acceleration from 6.1 rad/s² to 11.6 rad/s² (89%
420 increase) compared to the uncovered headform in a free-flight headform drop onto a 30° oblique anvil
421 [99]. None of the headforms currently used for headgear testing have surface friction representative of
422 dry or sweaty human hair or skin. A recent study identified that headforms do not include scalp-skull
423 friction and therefore there is no tensioning effect of the skin [236]. Furthermore, the coefficient of
424 friction at the human cadaver scalp and helmet liner interface (0.29) was significantly different to the
425 Hybrid III headform and helmet liner interface (0.75), and to the rigid magnesium EN960 headform
426 and helmet liner interface (0.16) [236]. In past attempts to address this issue, researchers have made
427 surface modifications to test headforms by addition of an artificial scalp and wig [28,92], a layer of
428 PVC plastisol [35], silicon rubber [99], or two layers of nylon stocking material [113,207]. The
429 fidelity of these modifications to human skin and hair has not been demonstrated.

430 Headform inertial properties are a further important contributor to the angular response in helmeted
431 impacts. The moments of inertia of automotive ATD headforms are within the wide range reported for
432 human heads although considerable differences exist between headforms (see Table 3) [237–239]. In
433 the typical head reference frame, the human head products of inertia are non-zero, since this reference
434 frame is not aligned with the principal axes of the head, but are not reported in literature. It is not
435 known whether automotive ATD headform products of inertia match the human head and the degree
436 to which incorrect properties will influence the headform response in a protected sports head impact.

437 **Table 3 Mass and inertial properties comparison between human cadaver data and automotive**
 438 **ATD headforms.**

Head/ headform [ref]	Mass (kg)	Ixx (kg- cm ²)	Iyy (kg- cm ²)	Izz (kg- cm ²)	Ixy (kg- cm ²)	Ixz (kg- cm ²)	Iyz (kg- cm ²)
Human cadaver [237,238]	4.5	211	231	179	-	-	-
Hybrid III [239]	4.54	153	210	181	180	198	198
NOCSAE [239]	4.51	183	240	167	207	192	200
ES-2re [238]	4.00	147	193	163	-	-	-
WorldSID [238]	4.24	189	159	149	-	-	-

439 The choice of human head surrogate for headgear impact testing in standards could look beyond
 440 currently available test devices. A simple head surrogate may be appropriate if other factors such as
 441 the assessment criteria, headform boundary conditions and impact dynamics are well defined. For
 442 instance, if mTBI relates to angular velocity change of the head in an impact, an ellipsoid that mimics
 443 the inertial properties of the head and neck as well as the surface friction and geometry of the
 444 head/helmet interface could provide adequate headgear assessment of relative mTBI risk.

445 ***4.4 Head surrogate boundary conditions***

446 One of the criticisms of headgear impact testing in standards is the lack of rotation since the guided
 447 drop test restricts motion of the headform in all but one axis (Fig. 1). Every research impact test
 448 summarised in Table 2 allowed additional headform degrees of freedom, though there were
 449 considerable differences among the boundary conditions applied to the head.

450 One major question is how the neck influences the kinematics of the headform in a protected head
 451 impact and whether headgear impact tests need to include a neck. A number of studies suggest the
 452 neck plays only a small role in helmeted head impact response. In a finite element simulation study of
 453 24 bicycle helmet impact configurations and three helmet conditions (no helmet, road bicycle helmet,
 454 skate bicycle helmet) analysed for durations up to 15 ms after impact, the detached head, on average,
 455 produced 6% higher peak linear acceleration, 8% higher peak angular acceleration, 5% higher peak
 456 angular velocity and 4% higher peak brain tissue strain compared to the head attached to a neck and
 457 body [240]. In a simulation study reconstructing bicycle crashes using multibody analysis, the head
 458 was regarded as mechanically separated from the human body for the first 2-3 ms of the impact such
 459 that the neck has a negligible influence of the head response in this period of time [241]. Furthermore,

460 Willinger et al. [190] showed experimentally that the angular acceleration response of the detached
461 Hybrid III head protected by a bicycle helmet is similar to the response attached to the Hybrid III neck
462 for the first 10 ms of the impact, admitting the neck influences head kinematics for longer durations
463 after the impact. Axial and oblique padded impacts to the head of cadaver head and neck preparations
464 have shown a time delay of up to 9 ms between force generation at the point of impact (head to
465 padded anvil) and forces measured at the lower neck (T1), possibly suggesting mechanical separation
466 and minimal influence of the neck on head kinematics for this time duration [242]. Given the above
467 studies, and the fact that human cadaveric specimens exhibit an atlanto-occipital neutral zone (joint
468 motion with no force) in the range of 10 degrees, Willinger et al. [234] reason that headgear impact
469 testing without a neck is valid for certain short-duration (5-10 ms) impact configurations resulting in
470 up to 10 degrees of headform rotation. European Working Group 3 within COST TU1101 is
471 developing a bicycle helmet impact test method without a neck using these assumptions [234].

472 On the other hand, several studies suggest that the neck has a significant influence on head
473 kinematics, particularly the rotational response, during protected head impacts. Greater angular
474 accelerations of the head were predicted for simulated helmeted jockey incidents using only the head
475 compared to the full body in a multibody modelling approach [243]. It was also noted that the
476 direction of head acceleration can be altered by the absence of a neck [243]. Similarly, Beusenberget
477 al. [244] simulated four football helmeted impact configurations and varied the headform boundary
478 conditions finding that neck coupling, while having a limited effect on the linear head accelerations,
479 can reverse the direction of angular acceleration in some rotational axes. Physical impact testing of
480 motorcycle helmets onto a flat anvil found that the influence of the neck and body is strongly
481 dependent on the impact configuration [159]. In drops onto the parietal region of the head with the
482 body oriented perpendicular to the flat impact surface, peak rotational acceleration was much greater
483 using a complete dummy (mean of 5.3 krad/s² at 6.0 m/s) compared to the detached head (mean of 3.4
484 krad/s² at 6.0 m/s) thought to be due to the body dynamics transmitting large forces to the head
485 through the neck [159]. Against an oblique anvil, angled 15 degrees from the direction of headform
486 motion, peak rotational acceleration was also greater in full dummy drops compared to the detached

487 head. Equivalent peak head kinematics to full body dummy head impacts at 6.0 m/s were achieved for
488 detached headform impacts at between 6.0 and 7.5 m/s. The increased peak angular acceleration was
489 due to the momentum of the body causing rotational motion about an axis in the neck area, motion
490 that was not present in detached headform impacts. Contrastingly, peak rotational acceleration was
491 lower using a complete dummy compared to the detached head for frontal head impacts with the body
492 angled 30 degrees from the flat impact surface (mean values of 3.7 krad/s² vs 4.8 krad/s² at 6.0 m/s)
493 and for rear head impacts with the body parallel to the flat impact surface (mean values of 4.3 krad/s²
494 vs 5.6 krad/s² at 5.2 m/s). The freedom of movement of the impacting headform is reduced when
495 connected to the body in these orientations, lowering the peak rotational accelerations [159].

496 The choice of whether a neck is necessary to accurately replicate helmeted head impact kinematics is
497 therefore dependent on the impact condition and the assessment criteria of a proposed impact test. The
498 impact condition in sports head impacts can depart from where the neck appears to have negligible
499 influence on the headform response, for example at longer durations of 8-20 ms observed for head
500 impacts against racetrack turf [243], or the average 15 ms duration of football helmeted head-to-head
501 or head-to-body impacts resulting in concussion [109]. If rotational assessment criteria are needed in a
502 longer duration impact test, perhaps against a less than rigid impact opponent, the influence of the
503 neck on the headform kinematics cannot be ignored.

504 A further influence of the neck that is important for headgear testing is the effect on foam crush.
505 Ghajari et al. simulated flat anvil drop tests of a motorcycle helmeted Hybrid III headform with and
506 without the neck and body attached [158]. At 6 m/s the detached head experienced higher peak linear
507 acceleration (133 g compared to 113 g) and lower liner crush (64% compared to 79%) than the full
508 dummy attached headform. However at 7.5 m/s, greater peak linear head acceleration was
509 experienced by the full dummy attached headform rather than the detached headform (278 g
510 compared to 216 g) due to densification of the protective liner (91% crush compared to 81% crush).
511 Greater liner crush due to the presence of the neck and body has also been demonstrated using human
512 body models in impacts to an oblique surface and in impacts onto a flat surface with an initial oblique

513 velocity vector [94,245]. Modifying the inertial properties of the detached headform for use in free-
514 flight headform tests has been suggested to account for these differences in liner crush [94,158].

515 When headgear impact testing needs a neck, the accuracy of the recreated head motion is dependent
516 on the biofidelity of the neck surrogate. The most common neck surrogate in the new impact test
517 methods belongs to the Hybrid III ATD, a neck originally designed so that the flexion-extension
518 motion of the Hybrid III headform matched that of volunteer and cadaver automotive sled test data
519 [246]. Outside frontal and rear-end car crash applications, the Hybrid III neck has substantial
520 biofidelity limitations. It is being increasingly used in headgear evaluation studies despite being too
521 stiff and providing excessive resistance to horizontal translational motion between the head and torso
522 [247,248]. The Hybrid III neck response corridors are not adequate to properly reproduce human
523 motions of the neck, and therefore the head, in situations where load comes in multiple directions,
524 such as rollovers [249] and so potentially the same is true for head impacts in sports. One finite
525 element simulation investigation has suggested that, for certain helmeted impacts, the headform
526 kinematics when attached to the Hybrid III neck could be less humanlike than without a neck
527 altogether [234]. In this investigation, three helmeted impact configurations were simulated with a
528 Hybrid III headform model and three boundary conditions: no neck, attached to a Hybrid III neck
529 model, attached to a human cervical spine neck model by merging the skull base to the rigidly
530 modelled aluminum Hybrid III headform base [234]. There are substantial caveats to the
531 interpretation, namely that neither the Hybrid III nor human neck models had been validated to the
532 simulated impact conditions and substantial divergence of the headform angular velocity was noted
533 between the no neck and attached neck simulations at durations longer than 15 ms in two of three
534 configurations [234].

535 Alternative mechanical neck surrogates have been used for headgear evaluation. Head impacts with a
536 predominantly axial orientation have been replicated using a novel mechanical neck surrogate
537 validated to the range of motion and stiffness data of human cadavers in flexion-extension rotation
538 and axial compression [105,106,250,251]. A so-called unbiased neck is used in other studies, but the
539 biofidelity of this surrogate has not been reported [252,253]. The motorcycle ATD neck has been used

540 to test soccer headgear [112]. Without further validation, it is difficult to be confident these or other
541 automotive neck surrogates are appropriate for headgear testing. This is also true of paediatric
542 automotive neck surrogates. Thus there is an urgent need for biofidelic neck surrogates capable of
543 accommodating multi-directional head impact events such as those that occur in sports.

544 Attachment of the lower neck is considered in a number of the new headgear impact test methods.
545 Translating tables and cantilevered masses are used to simulate the mass of the torso in some studies
546 [39,254], although the difference in headform response necessitating these features has not been
547 quantified. A study simulating 4 configurations of a helmet to helmet impact in football found very
548 little effect (not quantified) of changing the attached body mass from 5 kg to 50 kg on the resulting
549 head kinematics [244]. In 4.4 m/s impacts imparted to the Hybrid III head and neck by a 3.6 kg
550 pendulum, no significant difference was observed in linear or angular headform response for a rigidly
551 mounted lower neck compared to the lower neck mounted to a 12.78 kg translating table [254].

552 Aldman et al. [120,160] compared drops of a complete ATD from a moving carriage to rail-guided
553 dummy headform and neck drops onto a rotating disc, simulating the relative vertical and horizontal
554 velocities between the dropped ATD and the roadway. Comparison of similar test configurations
555 (occipital impact with inclined neck/body, unpolished/unworn road surface, polycarbonate shell
556 helmet, horizontal velocity component of 8.1 – 8.4 m/s and vertical velocity component of 5.1 – 5.2
557 m/s) show peak linear headform acceleration of 120 – 150 g and peak angular acceleration of 5500 –
558 11400 rad/s² in the full dummy drops compared to 90 – 135 g and 8000 – 13500 rad/s² for the guided
559 headform and neck drops onto the rotating disc [120,160].

560 Practically, a standards test for headgear is unlikely to use a complete ATD, which could potentially
561 have the most humanlike boundary conditions for the head. Inclusion of a neck does not appear to
562 hinder test practicality, as evidenced by the many ways a neck has been incorporated into new impact
563 tests (Table 2), however there is a pressing need for appropriately biofidelic neck surrogates for
564 headgear testing. Defining an appropriate headgear assessment criteria and consideration of the
565 impact condition, particularly the impact duration, will determine for each specific sport what
566 boundary conditions are needed for headgear impact tests in standards.

567 *4.5 Assessment criteria and thresholds*

568 The linear acceleration and time duration based criteria and thresholds predominantly used in current
569 headgear certification standards (Table 1) appear to be based on human cadaver head impact
570 experiments performed in the 1960s and formed the Wayne State University Concussion Tolerance
571 Curve [3,255,256]. These experiments tested unprotected heads and observed the occurrence (or not)
572 of skull fracture in short duration impacts, inferring the tolerance of concussion based on the clinical
573 observation that concussion was almost always sustained in skull fracture cases [257]. Since then,
574 biomechanical research has shown that the angular response of the head is also a determinant of the
575 risk of TBI [20,24,25], leading to many other criteria being proposed for brain injury risk assessment.
576 Headgear evaluation using rotational measures in the past has primarily focussed on angular
577 acceleration, however current head injury evaluation in motor vehicle occupant protection is
578 incorporating measurements of angular velocity [172,258]. At present, there is no consensus on which
579 kinematic measure provides the best brain injury prediction, or prediction of a specific brain injury,
580 for headgear impacts. Thresholds may also differ between youth and adults and vary across the
581 paediatric age spectrum [259].

582 Acceleration and velocity are measures of the global kinematics of the head and may not capture the
583 complex and local deformation patterns in the tissues of the brain during an impact. TBI is intimately
584 related to brain tissue deformation and therefore assessment of the local response of the brain will
585 likely provide better TBI risk assessment than the global head response [215]. Metrics based on the
586 brain tissue response, such as strain or strain distribution, have been shown to better correlate with
587 risk of TBI in reconstructed road traffic, football incidents and animal tests than traditional head
588 acceleration measures [172,180–182]. Detailed finite element models of traumatic brain injury have
589 allowed researchers to predict these metrics [260,261], and to show correlation between the regions
590 with large tissue strain during impacts and the sites of injury after mild TBI [262].

591 The inclusion of an additional brain injury related criterion into future impact test standards appears
592 inevitable. European Working Group 3 within COST TU1101 are considering either a global

593 kinematic assessment variable, such as Brain Injury Criteria (BrIC) [172,182], HIP [170], RIC [167]
594 or PHRIC [167,168], or finite element head model based injury risk assessment for use in bicycle
595 helmet testing [234]. Football helmet evaluation in the NOCSAE standard will include a 6000 rad/s²
596 threshold of allowable angular acceleration in linear impactor testing from November 2019 [188]. The
597 introduction of new criteria is superfluous unless they provide improved headgear evaluation. In some
598 head impact configurations, linear acceleration is closely correlated to the headform rotational
599 response so adding an angular criterion is unnecessary [93]. In certain impact tests, finite element
600 model outputs can be predicted through statistical models and the global kinematics of the headform
601 meaning simulation in these configurations is unjustified [115,263].

602 Developing a threshold value for a headgear assessment metric is complex. The injury threshold that
603 applies to humans is usually not the same as an injury assessment reference value (IARV) that applies
604 to a human head surrogate. Both the risk of injury to a human and the response of the human
605 surrogate in a defined impact condition are needed to develop IARVs. Previously generated IARVs,
606 such as those for automotive occupants in crashes, relate to unprotected heads and their
607 appropriateness for headgear evaluation has not been demonstrated. Collections of field data from
608 helmeted football and hockey participants have been used to determine head injury risk specific to
609 sports headgear impacts for headgear consumer information rating schemes [126,264]. New reliable
610 in-field biomechanical head impact measurements are needed for continued injury risk refinement in
611 these sports and for injury risk development in other sports. Well-validated instrumented mouthguards
612 are currently available for this purpose [265–267]. Furthermore, injury risks or tolerances generated
613 for use with one human head surrogate, such as a specific finite element head model, cannot be used
614 with a different surrogate. Due to biofidelity limitations of available head and neck surrogates and the
615 practical requirements of a standards test, the ability to determine the absolute risk of head injury in
616 sports impacts may be both unachievable and unnecessary for headgear certification by standards.
617 Determining the relative risk of injury through an appropriate metric can differentiate a more
618 protective headgear from others. Using this approach, an effective threshold level can be initially set
619 and refined using continued injury surveillance and field data.

620 The current lack of diagnostic precision for sports-related mTBI is an impediment to establishing a
621 headgear assessment metric and threshold for this injury. Development of a biomechanical injury risk
622 relationship requires impact response data and corresponding clinical data to confirm the presence or
623 absence of injury. MTBI diagnosis presently relies on self-reporting and a subjective assessment of
624 symptoms making it prone to variability in distinguishing injured from uninjured sports participants
625 [268]. Moreover, TBI severity occurs along a continuum meaning not all mTBI injuries are equal.
626 There is currently no objective measure to confirm mTBI incidence or stratify into TBI severities
627 although research groups and private companies are exploring blood/fluid biomarkers, imaging
628 techniques and vision based tests [269].

629 ***4.6 Basis for developing headgear impact tests for standards***

630 Historically, headgear impact test development for standards prioritized and succeeded in preventing
631 incidents of catastrophic head injury, such as skull fracture and severe brain injury, initially in
632 motorized sports, bicycling, football and hockey. Further sport-specific standards developed by
633 incorporating anvils that reflected hazards specific to each sport while the impact test methods are
634 substantially the same, seen in Table 1. Exceptions are impact tests in more recently developed
635 standards, such as ASTM F2439 for soccer headgear that was motivated by a high incidence of
636 concussion in soccer and originally approved in 2006. The choice of test apparatus and failure
637 threshold in F2439, different to the majority of other contemporary sports headgear standards, reflect
638 the distinction in injury focus and the process that was undertaken defining the primary injury
639 mechanism and injury condition [270].

640 The field of head impact injury and prevention now benefits from improved understanding of the
641 brain injury mechanisms and the ability to define the response of the head in an impact quantitatively,
642 whether through video analysis, in-field measurement, reconstruction or simulation. The path forward
643 will utilize this progress to develop new impact tests. This review of current sports headgear standards
644 and new headgear impact test methods highlights the important aspects of an impact test method for
645 standards, which forms a set of steps for developing future standards summarised in Table 4. Table 4

646 also provides reference areas of research or impact testing strategies to support each step of the
647 process.

648 A standards impact test will necessarily require compromise between exact replication of all possible
649 situations that cause injury and the need for consistency. Analysis of in-field head impacts provides
650 priorities for impact testing in standards through identification of the most common situations that
651 result in injury and the situations that result in the most consequential injury. The most important
652 features of in-field injurious head impacts to mimic in headgear impact testing are those that influence
653 the risk of head injury. Identifying these features requires careful and thorough consideration of each
654 step listed in Table 4.

655 A dilemma for setting an impact test is if we cannot replicate all hazardous conditions, we might
656 unknowingly design a standard that can cause harm, but without developing or updating impact tests,
657 we may be limiting improvements in head injury risk reduction for sports participants. If impact test
658 development follows a thorough process, considering each important aspect listed in Table 4 and
659 utilizing the corresponding research area and testing strategy, the risk of creating a standard that could
660 unknowingly cause harm is minimised. In particular, comprehensive exploratory impact testing and
661 ongoing injury surveillance of sports participants ensures a thorough understanding of how headgear
662 performs in the field and the effect on injury outcomes.

663 At present and as always, there are limitations to what we know and our understanding of aspects of
664 head impact biomechanics and prevention is continuously evolving. Table 4 provides a roadmap for
665 researchers and those setting standards to identify what information is missing for headgear in specific
666 sports and to work toward filling the gaps in knowledge.

667 **Table 4 Sports headgear impact test development roadmap for certification standards.**

Steps and considerations in impact test development	Reference research area or strategy
1) Identify prevalent or significant head injuries to target for prevention.	Sport-specific epidemiology.
2) Identify at risk populations.	Sport-specific epidemiology.
3) Define impact conditions resulting in head injuries from 1) and 2): - Impact dynamics	Clinical injury data paired with head impact data (video analysis, in-field measurement, reconstruction, simulation) and incident

- Impact severity - Impact opponent	circumstances (video footage, interviews, and reports).
4) Determine metric(s) related to injuries identified in 1) - Type of metric (e.g. global kinematics or simulated tissue response).	Biomechanical test data, paired with clinical injury data where necessary (cadaver, animal, volunteer or cohort head impact data, computer simulation and injury data).
5) Identify or develop a test surrogate with properties relevant to 2), 3) and 4), (e.g. mass, moment of inertia, product of inertia, surface friction, impact response, boundary conditions such as a biofidelic neck at impact)	Biomechanical data (anthropometry, human cadaver and volunteer testing). Design (e.g. computer-aided engineering), materials and manufacturing techniques.
6) Design impact test to reproduce 3), using 5). - Ensure devised test method and 4) are sensitive to changes in headgear design.	Exploratory impact testing.
7) Set effective allowable threshold for assessment metric 4).	Clinical injury data paired with biomechanical test data. Injury surveillance for monitoring set threshold effectiveness.
8) Identify minimum number of independently responding impact scenarios and severities to reduce required test configurations.	Exploratory impact testing.
9) Simplify impact test apparatus, if necessary, to be practical, repeatable and reproducible. - Impact dynamics - Impact opponent	Exploratory impact testing.
10) Draft and implement standard.	Task group participation and collaboration.

668 **4.7 Future impact assessment of headgear in sports**

669 In looking to the future for headgear standards, it is important not to forget the past successes of sports
670 headgear in preventing catastrophic head injuries. A change in standards impact testing that
671 compromises the benefits to preventing death and severe head injury achieved in many sports through
672 current headgear standards is obviously undesirable. New test methods will likely be additions to,
673 rather than replacements of, current test methods in certification standards unless new tests
674 demonstrate the ability to provide at least the same level of protection as current requirements.

675 Certification standards play the most significant role in ensuring adequately protective headgear but
676 they impose only a minimum level of required performance. Consumer information rating schemes
677 are another mechanism for fostering improved headgear performance beyond meeting a standard.
678 Rating schemes currently exist for motorcycle, bicycle, football and hockey headgear
679 [98,126,148,264,271–274]. Further rating schemes are being proposed by researchers at Virginia Tech
680 University for youth football, baseball and softball headgear, as well as head impact sensors [275].

681 The impact test methods performed under these schemes require many of the same aspects as
682 standards tests, such as repeatability and reproducibility, and regularly develop directly from headgear
683 research projects. Engaging stakeholders, such as headgear users, retailers, distributors and
684 manufacturers, in what a rating scheme does and what it offers above minimum safety standards can
685 increase the effectiveness of such schemes and drive headgear improvement [271].

686 **5. Summary**

687 Impact testing of headgear in current standards employs remarkably similar methods across a diverse
688 range of sports (Table 1) even though head impact conditions can be very different. These headgear
689 test standards have remained substantially unchanged for decades despite a shifting landscape and
690 improved biomechanical understanding of traumatic head injuries. A great number of new impact test
691 methods have been used by researchers in an effort to promote improved headgear design (Table 2),
692 each allowing more headform degrees of freedom than existing standards. The diversity of these new
693 test methods highlights the different decisions that can be made to arrive at a headgear impact test.
694 This review provides a basis for headgear impact test development and research areas to call on for
695 support in defining the impact condition and surrogate boundary conditions, test surrogate
696 development and establishing assessment criteria and thresholds. Current pressing issues for
697 continued research include definition of injurious head impact conditions in sports for which current
698 data is sparse, establishment of reliable headgear assessment criteria related to the injuries of interest
699 and taking into account age and size effects, and development of headgear assessment specific head
700 and neck surrogates for at risk populations.

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704 **Conflict of interest statement**

705 Authors PAC and GPS work for a consulting company that may benefit from being associated with
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Figure Captions

Figure 1 Guided drop test apparatus used in ASTM, CSA, CPSC, ANSI and Snell standards (Reproduced, with permission from ASTM [88], copyright ASTM International, 100 Barr Harbor Drive, West Conshohocken, PA 19428).

Figure 2 Falling headform with guided carrier test apparatus used in CEN and ISO standards [55]. 1) steel base; 2) anvil; 3) guides; 4) support dolly; and 5) headform with helmet. (Copied with permission of the Standards Council of Canada (SCC) on behalf of ISO).

Table Captions

Table 1 Summary of impact energy attenuation tests in headgear standards for sports

Table 2 Review of new headgear test methods found in literature and/or at relevant conferences

Table 3 Mass and inertial properties comparison between human cadaver data and automotive ATD headforms.

Table 4 Sports headgear impact test development roadmap for certification standards.