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Transformational strategies in diaphasic translation

Three case studies

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Transformational strategies in diaphasic translation: Three case studies

Abstract
This article is concerned with a special case of translation, namely the registerial transformation of specialized LSP discourse into lay-oriented texts. This type of rewriting is intralingual mostly, but may also occur in combination with an interlingual element. Since previous research has mainly been concerned with one specific genre (Patient Information Leaflets as products of registerial rewriting), the present study investigates and compares three additional genres, all belonging to the field of medicine. Using the classic 'coupled-pairs' method (Toury 1995), the investigation uncovers the lexical and grammatical changes underlying the interregisterial derivation of targets from sources. The three genres turn out to be remarkably similar in terms of transformational strategies, with largely the same types of lexicogrammatical changes manifested in all target texts. However, a comparison of the different *types* of changes with each other reveals remarkable heterogeneity in terms of stylistic effect. In fact, different groups of strategies turn out to contribute very differently to the lay-oriented 'skopos' of the target texts. To capture these differences, a superordinate typology of five 'genera' of strategies (each subsuming a small handful of 'species') is proposed and arranged on a cline according to their degree of lay-orientedness.

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Keywords
Diaphasic transformation, intralingual derivation, expert-to-lay communication, strategies.

1. Introduction
Situated at the crossroads between Translation Studies (TS) on the one hand and register and genre studies on the other, the present article is concerned with a type of rewriting (usually monolingual) that is increasingly coming to be recognized as a special case of *translation*, viz. the registerial transformation of specialized LSP discourse into texts suitable for a lay audience. The motivation behind the article is thus to contribute to the mapping of relatively new research territory within TS. While it is still far from uncontroversial (see Subsection 2.1) to argue for an expansion of the translation concept beyond the traditional understanding (translation as the *inter*lingual equigeneric ST-to-TT transfer of meanings only), the last couple of decades have seen a growing body of empirical research into various subtypes of *intra*lingual rewriting conceptualized as translation. This research covers intralingual translation between dialects (e.g. Denton 2007, Pillière 2010, Brems 2017), modernizations of classics and canonical texts (e.g. Berk Albachten 2013, 2014, Remediaki 2013, Seel 2015, Karas 2017, Delabastita 2017[1]) and the adaptation of specialized medical and pharmaceutical texts for a lay target audience (Hill-Madsen 2015a, 2015b, 2019, Piorno 2012, Muñoz-Miquel 2019). Despite such manifestations, intralingual translation remains an empirically underresearched phenomenon (see also Kajser-Wietrzny et al. 2016: 240), and after a decade and a half, Zethsen's (2009: 810) call for more research in the field continues to be relevant. The present study, therefore, specifically aims to contribute to the empirical exploration of registerial transformation (here to be termed *diaphasic translation* (from Petrilli 2003b, Gottlieb 2018), by investigating three different lay-oriented text types within the field of medicine that have not previously been researched as products of diaphasic transformation. Specifically, the aim will be to

[1] Delabastita (2017), however, is hesitant to identify his investigation (modernizations of Shakespeare) with intralingual translation.

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chart commonalities and differences in the way in which the lay-oriented target texts are derived from their specialized sources through micro-level lexicogrammatical changes.

While the article is thus mostly concerned with *monolingual* diaphasic translation, it should be emphasized, however, that the focus is on the diaphasic aspect first and foremost, which may in fact occur not only monolingually but also interlingually (see section 2.2). The latter is the case when the target text is not only a product of registerial transformation but also written up in a different (national) language from that of the source text. The empirical investigation in this article includes cases where the diaphasic transformation is combined with *inter*lingual translation (see section 3).

The structure of the rest of the article will be the following: Section 2 summarizes previous theoretical research arguing the case for expanding the concept of translation; Section 3 presents methods and materials; Section 4 presents analytical results; and Section 5 generalizes across the derivational strategies observed.

2. Theorization of intralingual translation

It should be made clear that since the present article is an empirical study, very limited space can be devoted to arguing the case for broadening the concept of translation so as to accommodate types of rewriting like those investigated here. Such expansion of the translation concept has already been extensively argued by TS scholars such as Zethsen (2007, 2009) and Schmid (2008, 2012), and most recently in Zethsen and Hill-Madsen (2016), which will serve as the theoretical foundation of the present study. Only the main points in Zethsen and Hill-Madsen's (2016) argumentation, therefore, will be summarized in Subsection 2.1. In Subsection 2.2, diaphasic transformation will be theorized as a specific subtype of translation by being taxonomically 'sited' among a range of other translational phenomena.

2.1. Main arguments for broadening the translation concept

One of the most important points in Zethsen and Hill-Madsen's (2016) argument for an expansion of the translation concept relies on the distinction (from Halliday and Matthiessen 1999) between 'folk' notions and scholarly conceptualizations of a given domain. Dismissing the traditional, and narrow, understanding of translation as a 'folk' notion, Zethsen and Hill-Madsen (2016) argue the need for a scholarly definition that, based on explicit and reasoned criteria, may well include a broader range of translational phenomena. Combining Toury's (1995: 33) famous criterial definition with Stecconi's (2004, 2007) semiotic approach, Zethsen and Hill-Madsen (2016) argue in favour of a translation concept that is synonymous with *mediated semiosis*, i.e. the representation of one instance of semiosis by another to facilitate comprehension across some kind of semiotic barrier (for a similar view, see Whyatt 2017). In accordance with Jakobson's (1959: 233) well-known triadic translation typology, such barriers may be *inter*lingual, *intra*lingual or intersemiotic (for a graphic representation of this typology, with the intralingual category elaborated with a number of subcategories, see section 2.2 below).

While a growing number of translation scholars recognize certain types of intralingual rewriting as translation (see e.g. Petrilli 2003a, Ponzio 2003, Göpferich 2004, 2007, Tymoczko 2007, Kajser-Wietrzny et al. 2016, Whyatt 2017), TS literature also affords numerous examples of brief and *en passant* dismissals of any attempt to expand the translation concept (see e.g. Eco 2003: 127-30, Mossop 1998: 252, Newmark 1991: 69, Trivedi 2007: 285-86 and Schubert 2005: 126). Only Mossop (2016) provides a lengthy and reasoned opposition to the concept of intralingual translation, with a key criticism centring on the alleged impossibility of achieving ST-TT equivalence. In levelling this criticism, however, Mossop (2016) ignores the long-standing debate within TS about the illusory nature of equivalence *altogether* in translation (for a complete dismissal of equivalence in interlingual translation, see e.g. Arrojo's contribution in Chesterman and Arrojo 2000). In Zethsen and Hill-

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Madsen (2016), the concept of equivalence is also discounted and replaced with Chesterman's (1996) concept of *relevant similarity* between ST and TT.

2.2 Taxonomical 'siting' of diaphasic translation (intra- and interlingual)

In taxonomically locating diaphasic rewriting among other translational phenomena, two different typologies must be considered, viz. one intralingual and one interlingual. An intralingual typology is provided by Hill-Madsen (2019), developed as a combination of a comprehensive Jakobson-inspired typology by Gottlieb (2005, 2008, 2018) and one by Petrilli (2003b):

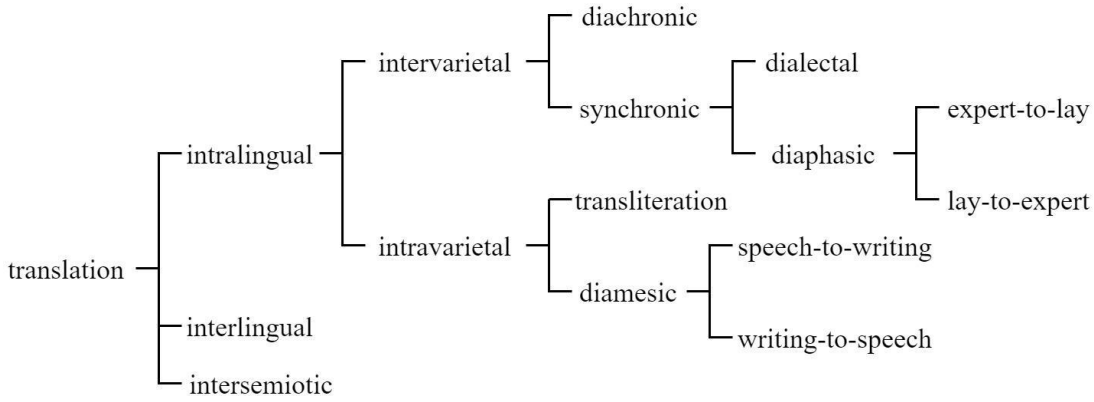

Fig. 1. Intralingual translation typology (from Hill-Madsen 2019: 544).

As Fig. 1 shows, intralingual translation may be either *intra- or intervarietal*. In the former case, translation takes place *within* one and the same language variety, either in the form of *transliteration* or as a *diamesic* shift from speech to writing or vice-versa (for a vindication of the 'translation-hood' of these two intravarietal categories, see Hill-Madsen 2019). Where intralingual translation is *intervarietal,* the difference between the two varieties involved is either *diachronic* (between temporal varieties, as in the case of modernizations of classics) or *synchronic*. In the latter case, the distinction is between a *dialectal* divide and a *diaphasic* one, i.e. between registers or genres with different levels of specialization. In the case of a registerial transformation, the 'direction' may either be from an expert ST to a lay-oriented TT to or vice versa, with one example of the latter being the situation where a physician translates a patient's description of his/her symptoms into the specialized terminology appropriate for the medical record (example taken from Hill-Madsen 2015a: 88). The other 'direction' – from an expert to a lay register – is the central preoccupation of the present investigation, and the (only) one that will be tentatively subclassified here:

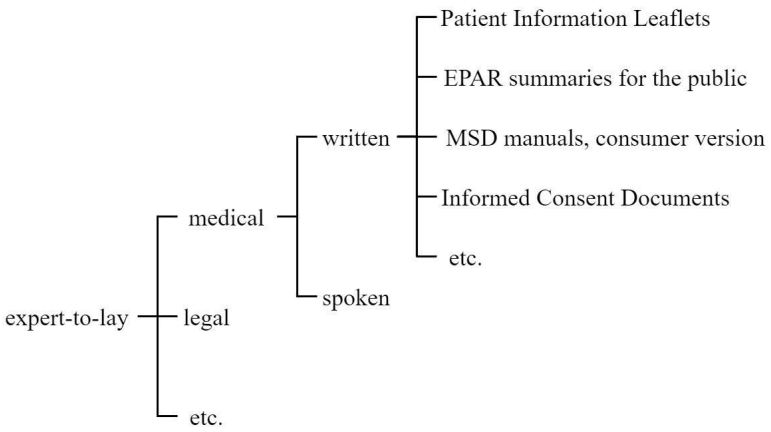

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Fig. 2. Subclassification of expert-to-lay diaphasic intralingual translation

The first subdivision of the expert-to-lay type represents the institutionalized fields where expert-to-lay intralingual translation is most likely to occur. Others are conceivable, but the two most obvious ones are here assumed to be the fields of medicine and law, in both of which the encounter between professionals and lay citizens is central, or even constitutive (in the case of medicine). In the field of law, an example of expert-lay intralingual translation is the type of situation where a legal professional (lawyer or judge) explains points of law to e.g. clients or jurors (see e.g. Heffer 2008a, 2008b, Anesa 2012). In the field of medicine, expert-to-lay intralingual translation may be written as well as spoken, with the latter being the case, e.g., in hospital situations where the nurse intralingually translates the doctor's diagnosis for the benefit of the patient. Written genres are those represented as the typological endpoints in Fig. 2 (obviously not an exhaustive list). Apart from the Patient Information Leaflet genre (already investigated in studies such as Piorno 2012, Hill-Madsen 2015a, 2019), those listed are the ones to be investigated in section 4.

As for an *inter*lingual typology, one adapted from Gottlieb (2018) may once again be offered. With one single deviation (see Fig. 3 below), the adapted model corresponds to the *intralingual* one (Fig. 1), reflecting the conception that interlingual translation may feature a diachronic/dialectal/diaphasic etc. element *in combination with* the 'mere' switch between language systems (e.g. between English and German). The specific possibility of combining diaphasic and interlingual translation is similarly recognized by García-Izquierdo and Montalt (2013: 45-46), Jensen (2015: 167-68), Whyatt (2017: 188). The present investigation thus assumes that when interlingual translation features diaphasic transformation, the latter should be viewed as a separate translational element which it is possible to isolate or 'extract' from the accompanying switch in language systems (for further details, see section 3).

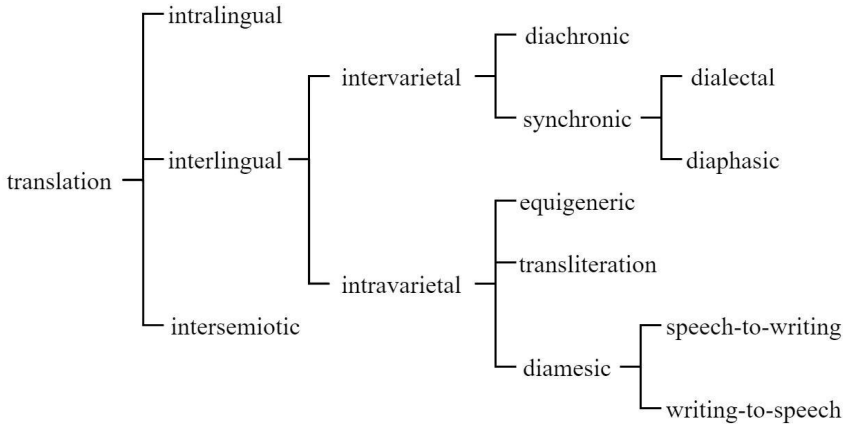

Fig. 3. A typology of interlingual translation (based on Gottlieb 2018).

The only deviation between the two models (Fig. 2 and 3) is the taxonomic feature *equigeneric* in Fig. 3, which refers to the 'ordinary' or default type of interlingual translation, i.e. with generic correspondence between source and target. What should also be noted is that the feature *diaphasic* has not been subcategorized (unlike the corresponding feature in the intralingual model). Any possible subcategorization of this specific feature in Fig. 2 will have to belong to future research.

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3. Materials and methods: Three case studies

It is here assumed that diaphasic target texts within the field of medicine may have one or several of the following four types of communicative purpose: a) instruction, e.g. in how to handle a prescribed drug, b) preparatory information, i.e. information to patients about a future operation or medical experiment they will be participating in, c) education, consisting in the mediation of generalized, conceptual knowledge about a medical disorder or a class of drugs, and d) reporting of medical research results for interested patient groups. To represent these different functions (with the exception of 'instruction'[2]), three target-text genres have been selected for the present study:

- MSD manual entries: A free online encyclopedia of medical disorders is the website *MSD manuals*[3] where "comprehensive medical information [... is] offered as a free public service to healthcare professionals and the general public" (Merck Sharp & Dohme Corp. 2020). Entries on individual medical disorders are available in a specialized as well as a lay-oriented version, with the latter derived from the former, and with both source and target texts in English. Belonging to the genre of encyclopedia entries, the communicative purpose of the texts is predominantly educational. The length of the target texts varies, but averages around 1200 words. For this specific case study, the entry on the disorder named *fibromyalgia* (1164 words in length) was randomly selected.
- European Public Assessment Report (EPAR) summaries for the public: As a service to the general public in the EU, the European Medicines Agency publishes short documents[4] about all the individual medicinal products authorized for marketing within the EU. The documents provide the general characteristics of both the drug in question and the disease/disorder for which the drug is designed, and they report the outcome of the clinical trials preceding authorization. Thus, in terms of communicative purpose the genre merges educational and reportive elements. The individual texts average around 1000 words, with the document sampled for this study numbering 1204 words. The text, which was randomly selected, concerns the product *Mycamine* (a drug used to treat fungal infections). In this case, too, the sources as well as the target text are in English.
- Informed Consent Documents (ICDs): In connection with medical research projects, the researchers in charge register a mandatory *research protocol*, providing a detailed account of the purpose, procedure, potential risks etc. of the investigation. Based on the research protocol, and as a precondition to obtaining test subjects' consent to participating in the investigation, a short lay-oriented text describing the project, the so-called *Informed Consent Document*, must be drawn up (and signed by the patient). In terms of communicative purpose, the target texts provide preparatory information to the patient about what to expect from the future medical experiment s/he is asked to participate in. Two text pairs have been selected for this investigation, one concerned with the development of certain new scanning techniques, and the other with the investigation of certain areas of skin termed *dermatomes.* The reason why two text pairs instead of just one were analysed is that target texts within this genre (on average around 850 words) are somewhat shorter than the two above genres. The two target texts are 873 and 902 words in length, respectively. Randomly selected from a larger collection of text pairs obtained by this author via contacts in the Danish hospital sector, the two ICD texts are those featuring *interlingual* diaphasic translation, with source texts in English and target texts in Danish. In section 4 below, examples from these texts will

[2] The instructional function is represented in the Patient Information Leaflet genre, which, as previously mentioned, has already been extensively studied from the point of view of diaphasic intralingual translation.
[3] Link to website: https://www.msdmanuals.com/.
[4] Link to the site of publication: https://www.ema.europa.eu/en/medicines.

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be accompanied by a back translation into English of the Danish TT excerpts, to isolate the diaphasic transformation from the interlingual switch.[5]

4. Data analyses

In this section, the results of the comparative analyses of source and target texts will be presented and exemplified. To uncover the strategies behind the derivation of targets from sources, the well-known 'coupled-pairs' method (Toury 1995) was applied in a manual analysis of the text pairs.[6] Thus, *strategies* are here identical with the 'classic' TS concept of translational *shifts* (see Bakker et al. 2009) between micro-level ST and TT units (corresponding words, phrases and clauses). As part of the exemplification of analytical results, the stylistic effect of shifts, primarily in terms of enhanced lay-friendliness, will be specified where relevant.

The investigation was divided into two main categories of shifts: Grammatical (4.1) and lexical (4.2). What unites these two categories is the presence of overt, corresponding grammatical and/or lexical material on either side of the ST-TT divide. A third category, *explicitation*, was identified, covering cases where overt material on the TT side was found to correspond to an (only) implicit item in the source text (4.3). A fourth, and very prominent derivational strategy, however, was deliberately ignored, viz. the sheer reduplication (or direct interlingual translation) of ST wordings in the TT without any kind of lexicogrammatical change. Considerable parts of all TTs are in fact derived in this way, but since this strategy does not involve any diaphasic *transformation*, reduplication is irrelevant to the present study.

An overall result emerging from the analyses is that the different types of strategies identified are largely the same across the three genres investigated. In each of the following sections, strategies recurring in the three genres will be presented first, and the few types that are unique to a single genre will be presented last.

4.1 *Grammatical shifts*

A number of grammatical shifts occur across the three genres, at clause level as well as phrase level. Thus, all of the four target texts feature shifts in VOICE from a passive to an active construction, with Example (1) below taken from the MSD manual:

Example (1): Shift in VOICE, from passive to active (17 occurrences altogether across the corpus)

Source text	**Target text**
Fibromyalgia may be precipitated by a viral or other systemic infection (eg, Lyme disease) or a traumatic event, … (MSD 2020a)	Sometimes a viral or other infection (such as Lyme disease) or traumatic event can trigger fibromyalgia. (MSD 2020b)

Apart from the ST verb phrase (*may be precipitated*) having been changed into the active in the TT (*can trigger*), the reformulation enables the semantic 'agent' (*a viral or other infection (such as Lyme disease) or traumatic event*) to map onto the grammatical subject. According to Halliday and Matthiessen, the identity of 'agent' and grammatical subject is the "typical or unmarked" case (2014: 82), i.e. what language users normally expect, thus facilitating enhanced readability. Moreover, active constructions predominate in spoken discourse (cf. Matthiessen 1995: 598), thereby connoting a more colloquial and less formal register.

[5] Bibliographical details for all source and target texts are listed in Appendix A.
[6] The present author was alone in conducting the analyses.

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Another type of clause-level shift that is relatively frequent across the four target texts pertains to the grammatical clause-level paradigm (or 'system') termed *PROCESS TYPE* (Halliday and Matthiessen 2014: 219) in Systemic-Functional Grammar (SFG). What is conceptualized as different types of verb-argument configurations in other grammatical theories (see e.g. Jackendorff 1990) is in SFG treated as a paradigm of different clause types differentiated by verb type ('process') and the associated arguments/participants. An example is:

Example (2): shift in PROCESS TYPE (19 occ. across the corpus)

Treatment success (PPS) for micafungin was 89.6% (181/202), Ambisome 89.5% (170/190). (EMA 2008: 28)	In the study of invasive candidiasis, around 90% of the adults receiving either Mycamine or amphotericin B were successfully treated. (EMA 2009b)

The ST clause in Example (2) is a so-called 'relational' one (Halliday and Matthiessen 2014: 259-300), centred around the copula verb *was*, and with the grammatical subject *Treatment success (PPS) for micafungin* identified with the semantic role of 'Carrier' and the subject complements *89.6% (181/202)* and *89.5% (170/190)* with the semantic role of 'Attribute'. In the target text, on the other hand, the ST nominalized structure *treatment success* has been converted (or 'de-nominalized' – see comment on Example (3) below) into the TT clausal construction *... were successfully treated*. As a result, the main verb of the TT segment is now the 'material'[7] verb *treat*, which is associated with the two semantic roles of 'Actor' (or 'agent') and 'Goal'. Since the ST clause is a passive one,[8] only the Goal (or 'patient') is present, realized by the NP *around 90% of the adults receiving either Mycamine or amphotericin B*.

As already mentioned, apart from a shift in PROCESS TYPE, Example (2) above illustrates a translational phenomenon that will here be termed *de-nominalization* (see also Hill-Madsen 2019), i.e. the conversion or 'unpacking' of a so-called Action Nominal Construction (ANC) (Koptjevskaja-Tamm 2003) into a clausal construction. This type of shift is also frequent across all target texts, one example being:

Example (3): De-nominalization (39 occ. across the corpus)

… a neurological examination will be performed, including assessment of reflexes and muscle strength in the arms or legs ... (Finnerup 2018a)	[DA:] … og derefter undersøger vi dine reflekser og din muskelkraft. [Literal EN translation: … *and after that we (will) examine your reflexes and your muscle strength.*] (Finnerup 2018b)

The ST noun phrase *assessment of reflexes and muscle strength* in Example (3) is an ANC headed by the nominalization *assessment*, derived from the verb *assess*. In the TT, the nominal construction is transformed into the TT clause [DA:] *undersøger vi dine reflekser og muskelkraft*, thus involving a shift between syntactic levels.

The phenomenon of nominalization is richly theorized in Systemic-Functional literature (especially Halliday and Matthiessen 1999: 227-296), where it is regarded as an 'incongruent', i.e. unnatural or

[7] The slightly odd term *material process* covers processes of "doing and happening" (Halliday and Matthiessen 2014: 224-245).

[8] It may be noted that the use of one lay-oriented strategy is occasionally accompanied by the introduction of less reader-friendly features, such as a passive construction in this case.

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counterintuitive, grammatical realization of an underlying semantic configuration. This is also illustrated in Example (3): In the TT version, the configuration of process and participants is grammatically realized by means of a subject-verb-object structure, which is the 'congruent' type of realization for such a semantic structure: Processes are 'congruently' realized by verbs, and participants are realized by NPs serving as grammatical subject/object. In the source text, on the other hand, the semantic process-participant structure is grammatically realized at phrase level instead, where the process *assess*(*ment*) occupies the role of Head and the participant(s) *reflexes and muscle strength* serve as Postmodifiers. The NP in itself realizes a semantic role in a clausal structure (slightly modified here for the purpose of illustration): *Assessment of reflexes and muscle strength* (Goal/'patient') *will be performed* (Process). Thus the ST construction is a layered semantic structure, with the ANC *assessment of …* nested inside a larger semantic configuration. Apart from the 'incongruent' realization that ANCs represent, the semantic nesting is likely to make such constructions harder to process for at least some readers (see Lassen 2003, Fatonah 2014). Hence, it is also likely that a more congruent, 'unpacked' version like the TT clausal construction will enhance the comprehensibility of the language, especially for lay target groups unfamiliar with scientific registers, where ANCs abound (see e.g. Halliday 2004).

At phrase level, shifts within the NP paradigm of PERSON (Matthiessen 1995: 650) have been registered, i.e. changes between 1st, 2nd and 3rd person. The shift type occurs in the two Informed Consent Documents only:

Example (4): shifts in the system of PERSON (25 occ. in the two ICDs)

After the interview, the <u>patients</u> are given at least 24 hours to decide whether <u>they</u> want to participate in the project. (Finnerup 2018a)	[DA:] Husk, at <u>du</u> har ret til betænkningstid, før du beslutter, om <u>du</u> vil underskrive samtykkeerklæringen. [Literal EN translation: *Remember that you*$_{sing}$ *have a right to deliberation time before you*$_{sing}$ *decide whether you*$_{sing}$ *want to sign the consent declaration.*] (Finnerup 2018b)

Both of the two underlined 3rd-person items in the source text are replaced by the 2nd-person pronoun *du* in the TT. In this case, this grammatical shift is a direct result of the change in contextual setting, i.e. the transformation from an expert-to-expert context to one where the medical expert is addressing the patient directly.

4.2 *Lexical shifts*

A frequent lexical strategy in the registerial transformation of all four expert-oriented source texts consists in the choice of a TT general-language equivalent to replace a corresponding specialized medical term (with 85 occurrences altogether across the corpus). This must be regarded as an absolutely central strategy in the diaphasic adaptation, without which key semantic components of the original message would remain inaccessible to the lay reader. A small handful of examples from each of the texts have been selected:

Examples from the MSD manual (MSD 2020a, 2020b):
(5) *palpate → touch*
(6) *myalgias → pain in the muscles*

Examples from the EPAR summary (EMA 2009a, 2009b)
(7) *neonates → babies*

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(8) *pyrexia → fever*

Examples from the *DECA* ICD (Buus 2017a, 2017b):
(9) *biopsy* → [DA:] *vævsprøve* [EN: *tissue sample*]
(10) *perfusion* → [DA:] *blodgennemstrømning* [EN: *blood-through-streaming*]

Examples from the *Dermatomal mapping* ICD (Finnerup 2018a, 2018b):
(11) *sacral → nakken* [EN: *the back of the neck*]
(12) *sensory abnormalities → føleforstyrrelser* [EN: *sensing-disturbances*]

In a number of cases mainly occurring in the EPAR summary (14 occurrences), the replacement of a specialized term with a non-technical equivalent takes the particular shape of so-called *morphemic translation* (Vermeer 2008: 7, see also Hill-Madsen 2015a), i.e. the morpheme-by-morpheme translation of the Greek or Latin components of the medical term. A few cases are featured among the above examples: In the Danish TT word (*blod*)*gennemstrømning*, the preposition *gennem* [EN: *through*] is a direct translation of the Latin preposition *per*, and *-strømning* [EN: *streaming*] is similarly a(n almost) literal translation of *-fusion*. In the case of ST *myalgias*, the Greek component *my-* corresponds to TT (*in the*) *muscle* and ST *-alg-* to TT *pain* (the Greek *-ia* ending denotes 'condition of').

In all of the four texts, the choice of a general-language equivalent (without morphemic translation) occasionally interacts with other lexical shifts such as meronymy (5 times), holonymy (12 times, all occurring in the *Mycamine* text), hyperonymy (4 times) and antonymy (4 times). Examples are:

(13) *thorax → chest and rib cage* (MSD 2020a, 2020b)
(14) *allogeneic haematopoietic stem cell → bone marrow* (EMA 2009a: 2, 2009b)
(15) *administered → receive* (EMA 2009a: 3, 2009b)
(16) *biopsies* → [DA:] *prøver* [EN: *samples*] (Buus 2017a, 2017b)

In (13), the two general-language TT items *chest* and *rib cage* each refer to only a part (and must hence be regarded as meronyms) of what is covered by the specialized anatomical term *thorax*. In (14), on the other hand, the TT *bone marrow* denotes the 'whole' of which *allogeneic haematopoietic stem cell(s)*[9] are only a part. The TT item thus stands in a holonymic relation to the ST item. In (15), TT *receive* is an antonym or converse (Lyons 1977: 279-80) of *administer*, which is the medical/pharmaceutical term for 'giving' a medication to a patient (in the form of a pill/an injection etc.). In (16), TT *prøver* [EN: *samples*] is a hypernym of ST *biopsies*: The non-hypernymic general-language equivalent of *biopsy* in Danish would be *vævsprøve* [EN: *tissue sample*].

In three of the four texts (the *Dermatomal mapping* ICD being the exception), hyperonymy between an ST and a TT item also occurs altogether 24 times with no accompanying decrease in specialization, either because both items are relatively specialized, as in example (17), semi-specialized as in (18), or belong to core-vocabulary as in (19):

(17) *bupivacaine or lidocaine → local anaesthetics* (MSD 2020a, 2020b)
(18) *chest, abdomen and pelvis*[10] → [DA:] *bløddelene* [EN: *the soft tissue*] (Buus 2017a, 2017b)
(19) *patients → people* (MSD 2020a, 2020b)

[9] Located in the bone marrow, *allogeneic haematopoietic stem cells* are the cells that produce new blood.
[10] The term *pelvis*, which usually refers to the bone named thus, is here used to refer to the soft-tissue cavity within the bony pelvis.

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Another frequent lexical shift type occurring across the texts is synonymy (29 occurrences), with no change in the level of specialization:

(20) *widespread* → *general* (MSD 2020a, 2020b)
(21) *critical* → *essential* (MSD 2020a, 2020b)
(22) *injury* → *damage* (EMA 2008: 14, 2009b)
(23) *interpreted* → [DA:] *analyseret* [EN: *analysed*] (Buus 2017a, 2017b)
(24) *undergo* → [DA:] *deltage i* [EN: *participate in*] (Finnerup 2018a, 2018b)

In cases like (20) and (23), the lexical relation between ST and TT item is near-synonymy rather than complete synonymy, and (24) should possibly be categorized as paraphrase, rather. The three shift types (synonymy, near-synonymy and paraphrase) may in fact be regarded as related strategies, co-existing as adjacent points or zones on a cline of ST-TT equivalence ranging from close to distant semantic relatedness. Paraphrase is thus at the furthest remove from a complete semantic ST-TT match, being definable as a strategy whose outcome is "a TT version that can be described as loose, free, in some contexts even undertranslated. Semantic components at the lexeme level tend to be disregarded in favour of the pragmatic sense of some higher unit such as a whole clause." (Chesterman 1997: 104). For present purposes, paraphrase as an analytical category has been applied to cases where an ST and a TT item simply belong to the same lexical field or are, in some other way, merely contextually related. The category is frequently instantiated across the four TTs, one example being:

Example (25): Paraphrase (89 occ. across the corpus)

Patients tend to be stressed, tense, anxious, <u>fatigued</u>, ambitious, and sometimes depressed. (MSD 2020a)	Many affected people <u>do not sleep well</u> and feel anxious, and sometimes depressed or tense. (MSD 2020b)

The relation between the underlined items in Example (25) (ST *fatigued* and TT *do not sleep well*) is far removed from any kind of semantic equivalence. They do, however, belong to a shared lexical field to do with fatigue and sleep and are in fact related via an effect-and-cause relationship: *Not sleep*[*ing*] *well* must be regarded as the cause of being *fatigued.*

It should be noted that instances of paraphrase frequently combine with a decrease in technicality across the three genres. For reasons of space, however, this combination will not be exemplified.

4.3 *Explicitation*

As previously indicated, one particular shift type, usually termed *explicitation* (e.g Klaudy 2008) in TS literature, falls outside the two other main categories investigated above. As noted, only a TT item is clearly observable in this case, corresponding to an item of meaning that is not explicitly coded in the source text. Explicitation is numerously represented in all four TTs, but most of all in the EPAR summary:

Example (26): Explicitation (62 occ. across the corpus)

… defined as … a mycological response (eradication or presumed eradication) at the end of treatment (EOT).	… based on an improvement in symptoms and eradication **of the fungus** at the end of treatment.

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(EMA 2008: 26)	(EMA 2009b)

The target text in Example (26) explicitly mentions the object of eradication, viz. *the fungus*, which the source text does not.

Explicitation frequently accompanies two specific grammatical shift types, which are 1) shifts in VOICE from passive to active, where the elided agent in the ST version is brought out in the TT, and 2) de-nominalization. An example of explicitation accompanying de-nominalization is:

Example (27)

… local applications of heat, and gentle massage may provide relief (MSD 2020a)	- Applying heat to or gently massaging the affected area (MSD 2020b)

The ST nominalization *gentle massage* in Example (27) has been de-nominalized in the TT as *gently massaging.* Since the verb *massage* is transitive, a direct object has been inserted (*the affected area*), thus making explicit where the massage is to be applied.

5. Discussion and conclusion

Apart from identifying individual 'species' of shifts occurring in the corpus, section 4 also noted commonalities and differences in the form of *patterns* of occurrence: In this regard, the analyses revealed that the majority of shift types identified were represented in all four texts, with only very few 'species' confined to a single genre. Overall, it is to be concluded that the three diaphasic subtypes are remarkably homogeneous in terms of micro-level derivational strategies.

While in Section 4 the *individual* shift types were examined in terms of their specific contribution to a lay-friendly TT register, the present section will generalize *across* the 'species' (the individual types) in this regard. Accordingly, a superordinate classification will be proposed, with 'species' grouped together in 'genera' according to commonality of stylistic effect. It should be noted that the 'genera', i.e. 'groupings', proposed are not to be regarded as rigid, mutually exclusive categories. On the contrary, certain individual shift types ('species') are associated with multiple types of stylistic effects and will thus appear under several headings. The order of presentation below reflects a gradation of the different genera's contribution to lay-orientedness in TT register, from lowest to highest. Arranged on a cline, the genera are thus:

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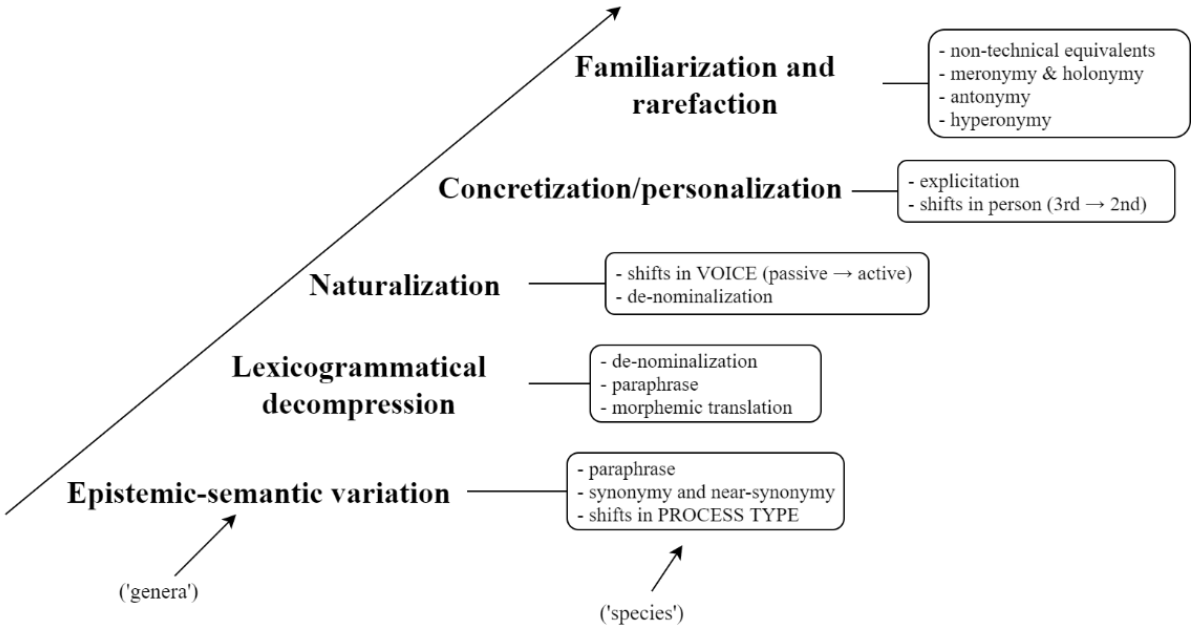

Figure 4: 'Genera' and 'species' of diaphasic translation shifts.

Epistemic-semantic variation:
Originating in the works of educational sociologist Karl Maton (e.g. 2014), the term *epistemic-semantic* is here used in the same sense as *ideational* or *propositional* meaning. An inevitable feature of diaphasic transformation appears to be some degree of epistemic-semantic variance between source and target texts, especially as a result of the following three species of strategies:

- Paraphrase (see example 25)
- synonymy and near-synonymy (ex. 20-24)
- shifts in PROCESS TYPE (ex. 2)

Consequently, source and target texts can only be said to share a certain degree of correspondence, but no exact identity in meaning. *Epistemic-semantic variation* represents the very lowest degree of lay-orientedness, being primarily a concomitant of the ST-to-TT transformation.

Lexicogrammatical decompression:
The term *lexicogrammar* (/*-atical*) stems from Systemic-Functional Linguistics (e.g. Halliday and Matthiessen 2014), where it is used to refer to the level of wording or form in a language (as opposed to the level of semantics). *Lexicogrammar* comprises grammatical elements and structures as well as lexis. Under the genus of *lexicogrammatical decompression*, the following three species of operations are subsumed:

- de-nominalization (ex. 3)
- paraphrase (where this type of operation leads to more words being used in the TT)
- morphemic translation (ex. 6)

In all three cases, an ST unit of meaning is lexicogrammatically 'decompressed' in the target text, in the sense that a higher number of words is used to express the 'same' (or somehow corresponding) semantics. Thus, where these three species of operations are at work, the result is a target text that is

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more 'wordy' and thus less condensed than the corresponding ST segment. In this way, the three species contribute to a register that is more 'spoken' in character (see also Hill-Madsen 2015b), since, according to Halliday (1989, 2002), what differentiates 'spoken' from 'written' language is the question of density in wording, with spoken-language sentences (counterintuitively) tending to feature more words than written-language sentences. Accordingly, an increase in the number of words per semantic unit connotes a more 'spoken' register, and thus more likely to match the registerial repertoire of the average layperson. It should be acknowledged, however, that a higher number of words per sentence is not per se a lay-friendly feature, considering the general consensus within reading comprehension research that increased sentence length negatively impacts comprehension (see e.g. Crossley et al. 2017).

Naturalization:
Two species share the trait of converting certain types of ST constructions into more 'natural' TT wordings. These are:

- shifts in VOICE (passive → active) (ex. 1)
- de-nominalization

As previously pointed out (see comment on Example 1), Shifts in VOICE from passive to active enable the semantic 'agent' of a clause to map onto the grammatical subject, which is the unmarked or expected construction. In connection with de-nominalization, the element of 'naturalization' consists in (re-)establishing a 'congruent' relation between semantic and grammatical structures (see comment on Example 3).

Concretization/personalization
This 'genus' comprises explicitation and shifts in PERSON from 3rd to 2nd person. Both types of operation result in TT wordings that are more concrete and personal in character, either because the participants involved in an action or process are made explicit (see Example 26), or because the reader is addressed directly instead of being referred to in the 3rd person (see Example 4).

Familiarization and rarefaction:
Four species come under this heading:

- non-technical equivalents (ex. 5-12)
- meronymy & holonymy (ex. 13-14)
- antonymy (ex. 15)
- hyperonymy (ex. 16-19)

It was previously discussed how absolutely central to the purpose of TT lay-friendliness is the use of general-language/non-technical equivalents (NTEs) to replace ST specialized medical terms (see Examples 5-12). This is because specialized terms (either their surface lexical form or their meaning, or both) will mostly be unfamiliar to lay readers, and so their replacement by NTEs serves a purpose of *familiarization*. The same applies to those cases where NTEs combine with meronymy, holonymy or antonymy. The other important effect of NTEs is *rarefaction*, i.e. a decrease in *semantic density*. In Maton (2014), semantic density refers to the fact that by entering into elaborate, field-specific composition and/or classification taxonomies, specialized terms typically condense a large number of semantic components (cf. Martin 1993: 33, Martin 2013: 25, Wignell et al. 1993: 181-82). General-language terms, on the other hand, enter into much simpler, non-scientific taxonomies, which is why

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NTEs inevitably represent reduced semantic density. The same applies to the use of hypernyms, which, precisely because of their higher level of semantic generality, also embody less specific meanings. As already mentioned, such moves towards lower semantic density are termed *rarefaction* by Maton (2014: 130) (a metaphorical use of a term from physics and chemistry denoting a reduction in fluid pressure). For present purposes, *rarefaction* is purposefully distinguished from *lexicogrammatical decompression*, with the former pertaining to the level of meaning and the latter to the level of wording. In some cases, the two genera overlap, especially in connection with morphemic translation (see Example 6), where a decrease in density sometimes occurs at both levels.

6. Concluding remarks

Through the charting of translational shifts, the aim of this article has been to contribute to an in-depth understanding of the nature of diaphasic translation. The strategies uncovered were demonstrated to be not only very heterogeneous, but also shown to contribute very differently to the realization of the lay-oriented 'skopos' of the target texts. However, in rounding off, certain limitations of the study need to be acknowledged. Firstly, since the study is largely a qualitative one with a very limited sample size, its results and interpretations may require confirmation in a more extensive study with even more genres and a higher number of texts for each genre. Secondly, regarding the contribution of diaphasic translation to enhanced comprehensibility, the study is premised on a typified lay reader. The study is in no position to pronounce on how *actual* readers respond to the texts investigated. Given the heterogeneity of a target audience such as a 'lay adult population', diversity in reader response is inevitable. The nature of such diversity, however, must remain a question for future research.

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Appendix A: List of source and target texts

[MSD manuals, specialized ST:]

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[MSD manuals, TT:]
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Finnerup, Nanna Brix. 2018a. Human sensory mapping of cervical and lumbar dermatomes. [Unpublished document].

[*Dermatomal mapping*, ICD (TT):]
Finnerup, Nanna Brix. 2018b. Deltagerinformation om deltagelse i videnskabeligt forsøg med personer med nerveskade. [Unpublished document].

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