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Vol. 9 October 2015

論文



Japan Association of Systemic Functional Linguistics

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今年も本学会の活動の結実として Proceedings of JASFL 第 9 巻を発行することができました。これもひとえに会員諸氏の精力的な研究活動と学会活動へのご尽力の賜物と感謝しております。

今回発行されました Proceedings of JASFL Vol. 9　2015 は昨年 10 月 11 日と 12 日に龍谷大学・大阪梅田キャンパスで開催された日本機能言語学会第 22 回秋期大会の研究発表内容を論文に改定した論文集です。若手研究者の活力ある発表、熟考を重ねた中堅・古参研究者の発表とその内容は広範で多岐にわたり、2 日間にわたる有意義な質疑応答や議論の成果が反映された力作ぞろいとなっています。絵本を題材にしたマルチモダリティーの談話分析、メタ機能の観点からの日英分析、英語教育の実践における SFL の応用、同一のジャンル内における日中英の多言語談話分析、インターネット上におけるマルチモダリティーの談話分析、絵本における多角的機能性の分析、実験的な会話分析、マルチモダリティーの観点から考察したアイデンティティー、そして、語彙文法の中の modal の果たす役割についてなど、9 編掲載されていますが、いずれも最新の SFL 理論を準用した秀作ぞろいとなっています。

また特別講演としては、西オーストラリア、カーティン大学のKay L. O'Halloran 博士をお迎えし、'Digital Approaches to Multimodal Analysis: Challenges and Future Directions'と題して講演していただきました。講演では今までのマルチモダリティーに関する研究を概観された後に、これからICT技術を駆使することで、どのような研究の可能性があるかを示していただき、刺激と示唆に富む講演となりました。

上記のような SFL に関する最新の研究、知見などが満載された Proceedings of JASFL Vol. 9 2015 が会員諸氏にとって今後の SFL 研究の一助になれば、本学会を代表するものとして、これにまさる喜びはありません。

日本機能言語学会会長
龍城正明

# PROCEEDINGS OF JASFL

Vol. 9 October 2015

論文



**Japan Association of Systemic Functional Linguistics**

# 『機能言語学研究』
# **Proceedings of JASFL**
## 編集委員
## Editorial Board of *Japanese Journal of Systemic Functional Linguistics* and *Proceedings of JASFL*

# 絵本の絵と文：表現の得手不得手と協力関係
# Words and Pictures in Picturebooks: Strength and Weakness in Meaning Making and Their Collaboration

早川 知江
**Chie Hayakawa**
名古屋芸術大学
**Nagoya University of Arts**

**Abstract**

'Symmetrical' is one of the features of the system LOGICO-SEMANTIC RELATIONS BETWEEN VERBAL AND VISUAL TEXT IN PICTUREBOOKS. The term refers to the scenes in a picturebook where the words (verbal text) and pictures (visual text) are redundant and roughly convey the same kinds of meanings.

This paper focuses on how redundant the meanings actually are. I analyze symmetrical scenes from the classic picturebook, *Millions of Cats* by Wanda Gág (1928), and conducted comparative analysis on the meanings created by the words and pictures. As a result, it is found out that the meanings typically created by words only are those related to time, relationship between characters and objects, appraisal (especially judgment), psychological descriptions, and causal relations; the meanings communicated mainly by pictures are related to appearance (including clothing, pose, facial expressions and gaze), relative positions and sizes of characters and objects, background settings, and changes over time; and the both media can express existence, attributes, actions and transfers, and changes in attributes.

The goal of this paper is to reveal the strength and weakness in meaning making of verbal and visual texts, and to show how picturebooks unite these two to create the utmost meanings and effects.

## 1. はじめに： 絵本の魅力

絵本が他の意味手段と異なる最大の特徴は、文と絵という二つの意味モードを組み合わせている点である。その組み合わせ方を工夫することで、文だけでも、そして絵だけでも表せない意味を生み出せるところが、絵本の魅力といえる。この魅力を端的に表した引用を見てみたい：

> 文学と絵画の総合芸術である絵本は、この二つのジャンルの節度ある調和と支えあい、表現の分担が、的確な判断をもってなされなければ成功しません。(松居 1973: 149)

この引用は、福音館書店で「こどものとも」の編集長として優れた絵本を作り続けてきて、自身が児童文学家でもある松井直氏の著作からとった。この「文学と絵画の総合芸術」という言葉が、絵本の存在意義を明確に表している。というのも、文ですべてが伝えられるならば小説があれば十分であり、絵ですべてが表せるなら絵画があれば十分だからである。しかしこの世に絵本というジャンルがあるからには、その両方が合わさった時に初めて生み出せる効果・意味があるはずである。それが何かを、主観的にではなく、言語学の分析枠組みを用いて客観的に説明したいというのが、本稿を含めた私の絵本研究の大きな目標である。

その大きな目標の中で、今回特に注目したいのは、文と絵の「表現の分担」である。絵本というと、一般的には、文が語る内容に対して、その内容の通りの挿絵が載せてある、というイメージを抱きがちである。しかし実際には、絵本の文と絵の内容は必ずしも一致しない。意味のうちの、ある部分は文が、ある部分は絵が担当し、両者が合わさった時に最大の効果を生み出すように計算されているのが優れた絵本なのである。本稿では、このことを実際の絵本の分析を通して明らかにしたい。

この研究は早川(2014)で示した研究の補足、発展にあたるため、分析に入る前に、まず次節でその概要をまとめたい。

## 2. 早川(2014)の概要

早川(2014)の要点は、以下の 2 点にまとめられる：

1. 絵本の文と絵は、必ずしも内容が一致しない。
2. 絵が文を補足したり、大げさにしたり、ときには文と矛盾する意味をもつ。

一例だけ紹介する。早川(2014)で分析したのは、Ian Falconer 絵・文の *Olivia* シリーズである。この中から、場面 1 を見てみたい（この場面は、早川(2014)では「場面 2」と番号が振られている）：

**場面 1：*Olivia Saves the Circus* の冒頭部**

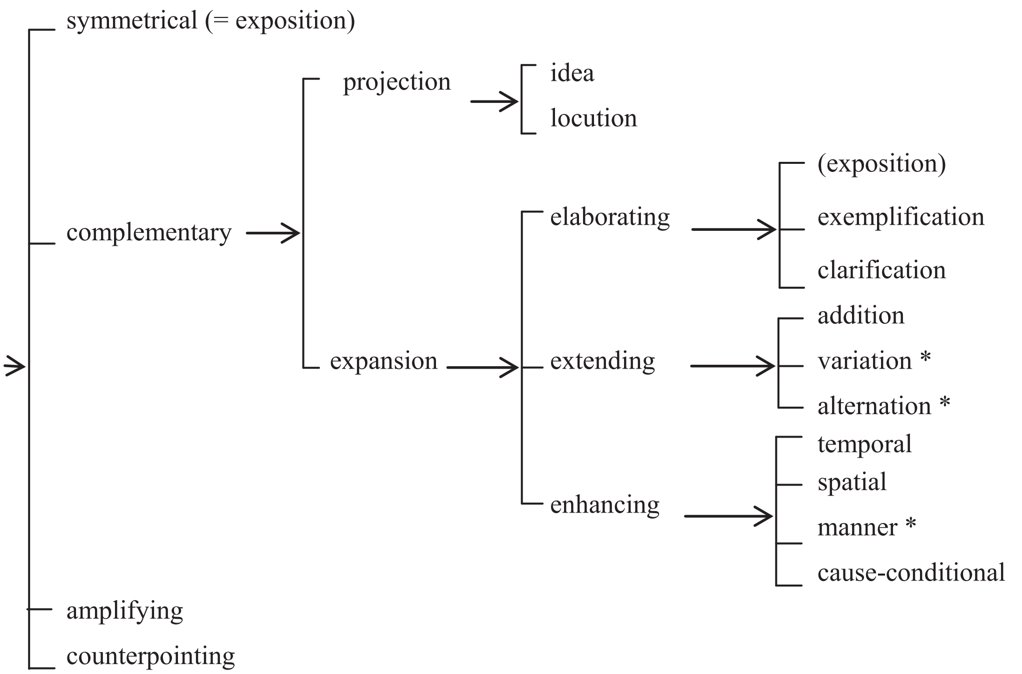
シリーズ 2 作目の冒頭部、Olivia が毎朝、弟たちのためにパンケーキを焼いてあげるという場面である。パンケーキを弟たちに食べさせ、使った食器を片づける場面につけられた文はこうである：This is a big help to her mother.（それでお母さんは大助かり）。しかし、そのページの絵が描いているのは、台所の流しに汚れた食器が乱雑に積み重ねられ、床には水しぶきや汚れが飛び散った様子である。

このように、文では「お母さんは大助かり」としながらも、同時に絵では、ぐちゃぐちゃに散らかった台所の様子を描いている。つまり、実際にはどう見てもお母さんが助かっているようには見えず、余計な仕事が増えているだけである。ここでは、意図的に文と絵の内容を矛盾させることで、「手助けに

なっていると思っているのは Olivia 本人だけ」という皮肉を生み出し、ユーモアを生じさせている。

このように、絵本の文と絵というのは、同じ意味を表すだけでなく、様々な関係性で組み合わさっている。そのため早川(2014)では、文と絵の関係性をタイプ別に分類し、システムの形にまとめた。それによって、文と絵の意味の組み合わせの可能性を明らかにするのが目的であった。

その結果、できあがったシステムが図 1 である。




（*は分析テクスト中には見つからなかった選択肢を表す。）

**図 1: 絵本の文と絵の関係性システム**

図 1 に見られるように、文と絵の関係は、大まかに言って、symmetrical（文と絵が一致する場合）、complementary（文にない意味を絵が補足する場合）、amplifying（文の意味を絵が大げさにする場合）、counterpointing（文と絵の意味が矛盾する場合）の 4 タイプに分かれる

早川(2014)は、主に、complementary、amplifying、counterpointing の選択肢に焦点を当てて実例を多く紹介した。つまり、文と絵の間になんらかのギャップがある場合である。本稿では逆に、symmetrical の選択肢、すなわち、文と絵の内容がほぼ一致する場合に注目したい。分析の主眼は、symmetrical とはいっても実際に、文と絵が伝える意味はどの程度重複しているのかを探ることである。

## 3. 問題の所在： symmetrical

問題の所在をまとめる。前節で述べたように、symmetrical とは定義上、「文と絵の表す意味が一致・重複する」場合である。しかしこれはあくまで、文と絵の間に目立った意味の矛盾がない、というだけのことである。実際には、絵と文は異なるモードであるため、表す意味が「完全に一致」することはありえない。例えば、文で「Olivia は歩きました」と書かれているページに、実際に Olivia が歩いている絵が描いてあるというような場合、もちろん上記のシステムに基づいて分類すれば symmetrical となる。しかし、絵には必然的に、文では表されていない Olivia の顔かたちや、服装などの外見が描かれる。それが、文とは重複しない、絵だけのプラスアルファの意味となる。逆に、文の中に、絵では伝えられていない意味が含まれることもあるだろう。

このように、絵本の文と絵は多くの場合、一致しているように見えて、実際にはそれぞれのモードのみが伝える意味を出し合って、全体でより多くの意味を伝えているものなのである。そこで本稿は、一見「一致」しているように見える文と絵を詳細に分析することで、文だけが伝えている意味、絵だけが伝えている意味、また両方が重複して伝えている意味にはどんなものがあるかを調べる。同時に、そうした意味を具現している文法手段も分析する。つまり、文では伝えられない意味を生み出すために絵はどのような表現手段を用いているか、逆に、絵では表せない意味を生み出すために文はどのような文法資源を用いているかを明らかにする。そうすることで、それぞれのモードの意味のしかたの特性がより明らかになるだろう。

これらを分析することによって、文と絵それぞれの表現の得手不得手を知るとともに、絵本における両者の協力関係を明らかにしたいというのが本稿の趣旨である。

## 4. 分析テクスト

分析に用いるのは、この絵本である：

Wanda Gág (1928) *Millions of Cats*. New York: Puffin Books.
(ISBN: 978-0-14-240708-0)

この作品は、日本では、『100 まんびきのねこ』というタイトルで、石井桃子氏の訳で出版されている。あらすじは以下の通りである：

子どものいない老夫婦がいて、寂しがる老婆のために、老人は、はるばる遠くの「猫でいっぱいの丘(a hill which was quite covered with cats)」に猫を拾いに行く。老人は最も可愛い一匹だけを選んで連れ帰ろうと思うのだが、見る猫みな可愛いように思え、結局は丘中の猫をみな連れ帰ってきてしまう。家にたどり着き、老婆に「こんなにたくさんは飼えない」と拒否されると、猫たちは口々に、「自分が一番可愛いから、飼われるのは自分だ」と主張し始め、大げんかの末、「食べあっこ (have eaten each other all up)」して、いなくなってしまう。ところが一匹だけ、「自分が一番可愛い」と主張しなかったた

めに争いに巻き込まれず、生き残った痩せっぽちの猫がいた。その猫を老夫婦は慈しんで育て、丸々太った美しい猫に育て上げる、というもの。

この作品を選んだ理由は、全編にわたり、文と絵がほぼ symmetrical な組み合わせとなっているからである。つまり、文と絵の意味が大きく乖離している部分はなく、文が構築するストーリーに沿った内容の絵がついている。

次節からは、この絵本の文と絵を詳細に分析し、両者の意味が実際にどの程度重なっているのかを確かめていく。

## 5. 分析枠組み

分析枠組みとしては、Systemic Functional Theory（以下 SFT）を用いる。この理論は絵本の分析に非常に適した言語理論だといえる。というのは、文(verbal text)と絵(visual text)を同じ枠組みの中で分析できるため、両者の比較が容易だからである。

具体的には、文の分析枠組みとして Halliday and Matthiessen (2004)、絵の分析枠組みとして Kress and van Leeuwen (1996)を用いる。これらの研究はいずれも、SFT の枠組みで様々な意味の選択システムを提案している。両者の扱う意味領域を表 1 にまとめた。

**表 1: Halliday and Matthiessen (2004)と Kress and van Leeuwen (1996)の研究領域**

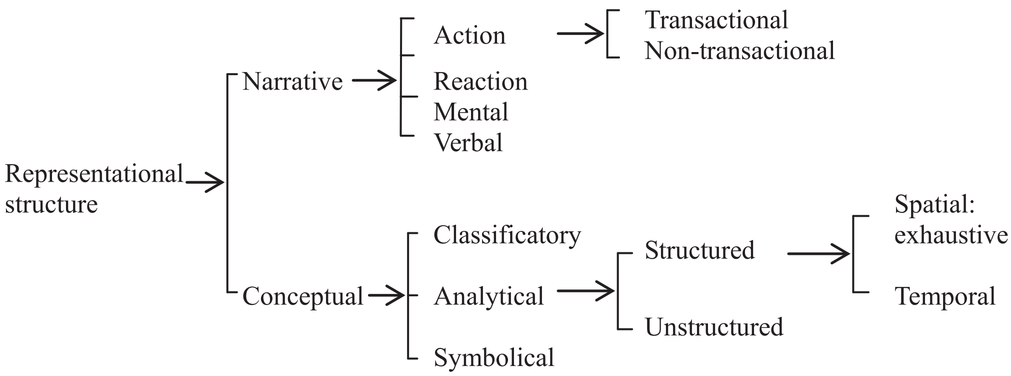
| 文の分析枠組み<br>**Halliday and Matthiessen (2004)** | 絵の分析枠組み<br>**Kress and van Leeuwen (1996)** |
|---|---|
| Ideational meaning (PROCESS TYPE, LOGICO-SEMANTIC RELATION) | Chap 2. Narrative representation |
| | Chap 3. Conceptual (Analytical) representation |
| Interpersonal meaning (POLARITY, MODALITY, MOOD etc.) | Chap 4. Interactive meaning (CONTACT, SOCIAL DISTANCE, ATTITUDE) |
| | Chap 5. Modality |
| Textual meaning (THEME, INFORMATION STRUCTURE etc.) | Chap 6. Compositional meaning (INFORMATION VALUE, SALIENCE, FRAMING) |

表 1 で、左欄と右欄が対応していることに注目してほしい。つまり、Halliday and Matthiessen (2004)の Ideational meaning の領域は、ちょうど Kress and van Leeuwen (1996)の Narrative representation と conceptual representation の領域に相当し、どちらも、「誰がどこで何をしているか」という観念的意味内容を扱っている。同様に、Interpersonal meaning は、絵画の interactive meaning や modality の領域に相当し、どちらも対人的な意味を生み出すシステムを扱う。Textual meaning は、画像の compositional meaning に相当し、情報の組織立てに関わる意味を扱う。

このように、互いに対応した枠組みの中で分析できるため、文で表されている観念的な意味(ideational meaning)が絵ではどの程度重複して表されているか、あるいは、文と絵で表されている対人的意味はそれぞれどのように異なるか、といったことを容易に比較することができる。

今回の分析では、この3つの意味の中でも、特に観念構成的な領域に絞って、*Millions of Cats* の文と絵が表す意味を比較した。すると、絵本全篇を通してある一定の傾向がみられた。つまり、文だけによって表される意味領域、逆に、絵だけによって表される意味領域は、絵本全体を通してどのページでも共通する傾向があったのである。その一例として、次節では、*Millions of Cats* の冒頭部の分析を詳しく見てみたい。

分析にあたり、言語のシステムに比べ、絵の分析システムの方はあまり知られていないため、ここに、絵の representational system を図2として簡単にまとめる。




（Kress and van Leeuwen (1996) Fig. 2.12 (p.56)、Fig 2.32 (p.73)、Fig. 3.32 (p107)をまとめたもの。）

**図2: 絵の Representational System**

図2が示すように、絵の representational system は、最初に大きく動きを表す絵(Narrative)と動きのない絵(Conceptual)に分かれる。Narrative はさらに、動作の描かれた絵(Action)、視線によって反応を表した絵(Reaction)、表情や吹き出しによって気持ちや台詞を表した絵(Mental、Verbal)に分かれる。一方の Conceptual はさらに、分類関係を図示した絵(Classificatory)、ものの外見を描写した絵(Analytical)、何かを象徴した絵(Symbolical)に分類される。Analytical はさらに、空間的に外見を描写した絵(Spatial: Exhaustive)と、時系列的に発展段階を描写した絵(Temporal)に分かれる。

言語の分析システム、例えば PROCESS TYPE system については、Halliday and Matthiessen (2004: 168-305)に詳しいため、ここでは説明を省くこととする。

## 6. *Millions of Cats* 冒頭部の分析

ここからは、*Millions of Cats* 冒頭部の文と絵の分析に入る。

### 6.1 文と絵に共通する意味

まず文から見てみると、絵本の出だしは以下の通りである（邦訳は早川による）:

Once upon a time there was a very old man and a very old woman.（昔々あ

るところにおじいさんとおばあさんがいました）
They lived in a nice clean house which had flowers all around it, except where the door was.（彼らは素敵なこぎれいな家に住んでいて、その家は、ドアの前以外はぐるっと花に囲まれていました）
But they couldn't be happy（でも彼らは幸せではありませんでした）
because they were so very lonely.（なぜならとても寂しかったからです）

このページに描かれた絵は、「おじいさんとおばあさんがいて、家に住んでいた」という文の通り、おじいさんとおばあさんと家を並べて描いている。しかし、文と絵の内容はまったく同じというわけではない。このことは後に詳述するが、ここではまず、文でも絵でも共通して表されている意味にはどのようなものがあるか、またその意味はどのような文法手段で具現されているかを表 2 としてまとめた。

**表 2: 冒頭部で文と絵に共通する意味と具現手段**

| 共通する意味 | 文の具現手段 | 絵の具現手段 |
|---|---|---|
| 老人と老婆の存在 | Relational: Existential Process (there was…) | Conceptual: Analytical: Exhaustive Process で人物を描写 |
| 家の存在 | Material Process の Circumstance (They lived in a … house) | Conceptual: Analytical: Exhaustive Process で家を描写 |
| 老夫婦の属性：年寄り | 名詞群の Epithet (old) | Conceptual: Analytical: Exhaustive Process で人物を描写（白髪・白髭（老人）、顔のしわ（老夫婦）） |
| 家の周囲の様子：家の周り、ドアが開くところ以外ぐるっと花が植えてある | Relational: Possessive process (which had flowers all around it, except where the door was) | Conceptual: Analytical: Exhaustive Process で家を描写 |

例えば、「老人と老婆がいた」という 2 人の存在の意味は、文では、Relational: Existential Process（つまり「there was 誰々」という節）で構築されている。一方、絵では、Conceptual: Analytical: Exhaustive Process で老人と老婆の姿をそのまま描写することで具現している。

以下、「家があった」という家の存在や、「老夫婦は年寄りであった」という属性、家の周囲の様子、特に「家の周り、ドアが開くところ以外ぐるっと花が植えてある」ことなど、すべて文と絵に共通して表されている。

これらの意味を具現するための手段を、文も絵もどちらの意味モードも備えている。文の場合は主に、Relational Process という過程型を選択することで存在や状態を表すが、それ以外にも、名詞群の Epithet に old のような形容詞を持ってくることでも属性を表せる。一方の絵は、Conceptual: Analytical: Exhaustive Process を選択して、老夫婦や家の外観を描くことで、その存在や

属性を表すことができる。

### 6.2 文だけが伝える意味

今度は、文では表されているが、よく見てみると絵には含まれていない情報を探してみたい。

**表 3: 冒頭部で文だけで表されている意味とその具現手段**

| 意味 | 具現手段 |
|---|---|
| **時間**：<br>昔起きたこと | Circumstance (Once upon a time)<br>時制 (past tense) |
| **関係性**：<br>老夫婦と家の関係 | Material Process (lived in) の Actor と Circumstance<br>＊絵は Unstructured analytical process のため関係性不明。 |
| **価値づけ、心理描写** | APPRAISAL: GRADUATION: FORCE: intensifier<br>Epithet の強調: とても年寄り (very)、とてもとても寂しい (so very); |
| | APPRAISAL: ATTITUDE: judgment<br>Epithet：nice で clean な家 |
| | APPRAISAL: ATTITUDE: affect<br>Relational Process の Attribute：二人は lonely で not happy; |
| **因果関係**：<br>不幸せな原因 | LOGICO-SEMANTIC RELATION (because) |

ここからは、表 3 について詳しく説明していく。

文だけで表されていた意味の一つは時間、すなわち、この話全体を「昔起きたこと」と位置付ける設定である。この意味は、文法手段としては、Once upon a time という冒頭の節の Circumstance によって具現される。またすべての節の時制が、There was、they lived、they couldn't のように過去形になっていることでも具現される。こうした時間の概念は、絵では全く表されていない情報で、絵をいくら見ても、それが昔の様子なのか今の様子なのか、未来の様子なのかは分からない。この絵に限らず、絵というのは一般に時間を表すことが難しく、例えば絵の中に時計やカレンダーを描きこむとか、登場人物が時代を象徴するような服装をしているなどの特殊な場合でなければ、時間を表すことはできない。

次に、登場人物どうしの関係性、この場合は老夫婦と家の関係が挙げられる。文では、They lived in a house という Material Process の中で、老夫婦が Actor、家が Circumstance とされているため、老夫婦と家は、「住む」という関係性で結びついていることが分かる。ところが絵では、老夫婦と家はただ並列に並べられているだけなので、これが彼らの住む家なのか、あるいは彼らがこの家を訪ねてきたところなのか、あるいはこんな家が欲しいと想像しているところなのか、その関係性は不明である。これは、冒頭部の絵が、図 2 に示した representational system でいうと Unstructured analytical process で描かれているためである。Unstructured analytical process とは、いくつかの部分

から成るものを、全体像を示さずにその部品だけを並べて描くという選択肢である。冒頭部の絵でも、家とその中に住んでいる住人という一種の「全体ー部分」関係の中から、その構成要素だけが取り出されて並べられているので、互いの関係性が分からなくなっている。

次に、価値づけと心理描写がある。これらはいずれも appraisal に属する意味だが、これも文が得意とする意味領域である。このうち graduation とは、性質の程度を表すシステムである。絵本冒頭部では、very old とか so very lonely のように、Epithet を強調することで、単に「年寄り」とか「寂しい」というのではなく、「どの程度年寄りか」、「どの程度寂しいか」を具現している。絵では、顔の皺や白髪などによって、「年寄り」という性質は表すことができるが、「すごい年」か「ちょっと年」かの graduation まではなかなか正確に表せない。

また同じく appraisal の領域で、judgment という選択肢がある。これは、nice で clean な家というように、主に良し悪しの観点からものを価値づけする選択肢である。これも、ことばを使えば、名詞群の Epithet にそれなりの形容詞をもってくることで簡単に具現できる。しかし絵によって「良いか悪いか」という価値づけを具現することは難しい。家は、次節に見るように、石造りの小ぢんまりとした小屋として描かれているが、もし文がなければ、その絵を「素敵なきれいな家」と解釈する人もいれば、「みすぼらしいせまい家」と解釈する人もいるだろう。

また、affect つまり感情を表すのも appraisal の領域である。文では、老夫婦が lonely で not happy というように、Relational Process の Attribute に感情を表す形容詞を用いることで、彼らの内面を具現している。一方、絵を見てみると、たまたまこの絵は老夫婦の外見を描写することに焦点を当てているので、不幸そうにも寂しそうでもないニュートラルな表情で描かれている。もちろん絵でも、もう少し表情をつければ単純な喜怒哀楽くらいは示すことができる。しかし、それもせいぜい笑っているか怒っているか泣いているかくらいで、「寂しい」というような微妙な感情は、なかなか絵では正確に表わせない。

最後に、文だけで表されている重要な意味として、因果関係がある。文では、because という原因を表す論理-意味的関係を選択することで、「老夫婦が不幸せな理由は寂しかったため」という因果関係がはっきり具現されている。一方絵では、そもそも不幸とか寂しいという感情が表されていなかったが、もしそれを何らかの方法で表したとしても、それらの感情の間にある因果関係を絵で説明する方法は思い浮かばない。このように、因果関係は絵の不得手とする意味領域だと言える。

### 6.3 絵だけが伝える意味

逆に、絵でのみ表されていて、文では表されていない意味を表 4 にまとめる。

**表 4: 冒頭部で絵だけで表されている意味とその具現手段**

| 意味 | 具現手段 |
| --- | --- |
| 老人の外見 | Conceptual: Analytical: Exhaustive process で描写<br>縁なし帽<br>長い顎鬚<br>パイプを吸っている<br>スモックのような上着<br>シンプルなズボンと靴 […] |
| 老婆の外見 | Conceptual: Analytical: Exhaustive process で描写<br>（詳細は省略） |
| 家の外見 | Conceptual: Analytical: Exhaustive process で描写<br>石造り<br>ドアが 1 つ、窓が 2 つ、煙突が一本<br>家の周りの花はすべて同じ種類だが花の向きが一つ一つ違う<br>花の外側に石が並べてある（花壇になっている）<br>庭の周りに柵<br>柵の杭は間隔がまちまちで傾いているのもあり<br>柵に一か所出入り口<br>家のドアから柵の出入り口まで小道がある |

表 4 に見られるように、絵でのみ表される意味の代表は、人や物の外見である。例えば、文では「老人がいた」としか書かれておらず、老人がどんな見た目かは一切説明されない。しかし絵ではそれが一目でわかる。Conceptual: Analytical: Exhaustive process を使って、老人の外見をそのまま描写できるからである。具体的には、老人が縁なし帽をかぶっている、長い顎鬚をもっている、パイプを吸っている、スモックのような上着をきている、シンプルなズボンと靴を履いているなどの情報が分かる。しかも、さらに詳しく見ようと思えば､パイプの形や服の模様などの情報も絵から読み取ることができる。今回の絵はたまたまモノクロ版画なのだが、これがカラーなら、絵のもつ情報量はもっと多くなってくる。

家の外見についても同様である。家が石でできている、ドアが 1 つで窓が 2 つある、など、挙げればきりがないので記述は省略する。

ここで、これらの情報と同じ内容を文で表せるかを考えてみたい。不可能ではないかもしれないが、非常に長い説明が必要となる。例えばこんな感じだろう：

> 昔々、老人と老婆がいました。その老人は縁なし帽をかぶり、長い顎鬚があり、パイプを吸っていました。そのパイプはこげ茶色の木でできていて、柄の部分が湾曲しており…

このように、説明はきりがない。しかも、どれだけことばを費やしても、必ず描写されない部分が残ってしまう。例えば、登場人物の髪型については

描写しても、目の形については言及がないなどの現象が起こる。一方、絵なら、一目で全身の様子がまんべんなくわかる。このように、外見描写は絵の得意分野だといえる。

また同時に、これらの外見描写の重要な役割は、全体的な雰囲気や印象を形成することである。例えば、先ほど見た老夫婦の絵、特にその地味な服装から、読者は、文で特に言及がなくても、 この老夫婦に対し「質素で善良そう」という印象を持つだろう。

家についても同様で、文では「素敵なきれいな家」と書かれ、それが大きな家か小さな家か、豪華か粗末かは書かれていない。しかし絵からは、「質素だが頑丈で住みやすそう」という印象が伝わる。要するに質実剛健というイメージである。こうした、絵による総合的な印象や感じというのは、ことばによる appraisal ほど明示的な価値づけではない。そのため、作者による判断を押し付けずに、間接的に読者の印象を左右することのできる、重要な効果だといえる。

## 7. まとめ：文と絵の得手不得手と協力関係

前節まで、冒頭部のみを詳細に見てきたが、そこで見た、文のみで表されていた意味、すなわち文の得意分野と、逆に絵でのみ表されていた意味、すなわち絵の得意分野は、*Millions of Cats* 全体を通して、どのページでも一致する傾向があった。それを表 5 としてまとめる。

表 5: 文と絵の表現の得意分野

| 文の得意分野 | 文・絵の得意分野 | 絵の得意分野 |
|---|---|---|
| ・時間(CIRCUMSTANCE / TENSE)<br>・人やものの関係性 (PARTICIPANT ROLE)<br>・価値づけ、特に「程度」「良し悪しの判断」(APPRAISAL)<br>・心理描写(APPRAISAL)<br>・因果関係 (LOGICO-SEMANTIC RELATION) | ・ものの存在<br>・単純な属性<br>・動作・移動<br>・属性・存在の変化 | ・服装・外見／それによる全体的印象 (Conceptual: Analytical: Exhaustive process )<br>・（人物の）ポーズ・表情・視線・リアクション (Narrative: Reactional Process)<br>・人やものの相対的位置・大きさ (Conceptual: Analytical: Exhaustive process )<br>・風景・背景・それによる場面設定 (Conceptual: Analytical: Exhaustive process )<br>・時系列的変化 (Conceptual: Analytical: Structured: Temporal)<br>＊複数の絵の並置による |

表 5 の左欄は、*Millions of Cats* の中で、主に文のみによって表されていた意味分野、右欄は主に絵のみによって表されていた意味分野、真ん中は主にどちらのモードでも表わされていた意味分野である。文の得意分野としては、冒頭部でもみた「時間」「人や物の関係性」「価値づけ」「心理描写」「因果関係」がある。絵の得意分野は、要するに視覚的要素である。まず冒頭部で見たような、服装や外見とそれによる全体的印象がある。それ以外にも、冒頭部では例を見ることができなかったが、見た目に関わるその他の領域、すなわち、登場人物のポーズ・表情・視線や、それにより表されるリアクション、登場人物や物の相対的位置関係や大きさ、風景や背景とそれによる場面設定、時系列的変化（特に、何かが徐々に大きくなっていくなどの連続的変化）はすべて絵によってのみ表される傾向があった。このように、文と絵はそれぞれに、表すのを得意とする意味と不得意な意味をもつ。そのことを指して本稿のタイトルを、「文と絵の得手不得手」とした。

このように、一見 symmetrical で内容が一致している文と絵でも、実際に重複して伝えられるのは中央欄の意味だけで、ほとんどの意味は、文か絵か、片方のモードだけによって伝えられていることが、表 5 から明らかに分かる。逆に言えば、文と絵それぞれが、別の意味を「持ち寄る」ことで、1 つのページで伝えられる意味は倍増する。つまり、絵本というのは、文と絵、それぞれの得手不得手を踏まえて、両者を協力させることにより、最小の材料で最大の情報を伝え、最高の効果を生み出すように工夫されているジャンルだといえる。

今回分析したのは 1 冊の絵本だけなので、この傾向がほかの絵本にも当てはまるのかは今後の課題となる。また、一口に絵本と言っても、文がなく絵だけの絵本から、比較的文の分量が多い絵本まで幅がある。そうした絵と文の使用比率は、それぞれのモードの得手不得手とどのように関連しているのか、なども興味深いトピックとなりうるだろう。いずれにせよ、絵本は多くの意味の可能性をもっており、その全体像を明らかにするためには、今後も継続した研究が必要である。

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# 対人的メタ機能とテクスト形成的メタ機能の観点からの日英コードスイッチングの分析
# Analyzing Japanese-English Code-switching from the Perspectives of Interpersonal and Textual Meta-functions

**難波和彦**
**Kazuhiko Namba**
**京都産業大学**
**Kyoto Sangyo University**

**Abstract**

In studies of code-switching (CS here after) from the structural perspective, intra-clausal CS can be broadly categorized into insertion and alternation (Muysken, 2000). Switching between typologically distant languages such as Japanese and English frequently involves the switching of discourse markers and interpersonal particles. In order to clarify whether the switching of these pragmatic items is insertion or alternation, the framework of Systemic Functional Linguistics (Halliday and Matthiessen, 2013) is employed. Code-switched clauses are extracted from a corpus of international high school students' natural conversations and explained from the perspectives of interpersonal and textual meta-functions of SFL. From the interpersonal meta-function point of view, the insertion of negotiators and the alternation of Mood are identified. From the textual meta-function point of view, the insertion of textual Themes and alternation with topical Themes are identified.

## 1. はじめに：コードスイッチングへの文法構造面からのアプローチ

バイリンガル話者が、一連の談話の中で 2 言語を切り替えて使用する現象をコードスイッチング(code-switching, これ以降 CS)と呼ぶが(山本、2014)、節の中 (intra-clausal) で CS が起こっている場合、文法構造的にどのような説明が可能なのか。Muysken (2000)は insertion、alternation、congruent lexicalization、の 3 つのカテゴリーに分けることを提唱している。

Insertion は、Myers-Scotton (1997, 2002) が母体言語フレームモデル(The Matrix Language Frame Model)として提唱したもので、節内での CS が起こっているとき、文法的枠組を作っている母体言語 (matrix language、これ以降 ML)にもう一方の埋め込み言語 (embedded language、これ以降 EL)が挿入されているものである。

(1) All the やさしい怪獣 did 合体 (Namba, 2012a)

例(1) では、英語が文法的枠組みを作り、‘the’ 、‘did’といった英語の機能語が使われていて、一方、日本語は ‘やさしい’、‘怪獣’、 ‘合体’といった内容語を提供している。ここでは、英語が ML で、そこに日本語が EL として挿入されている、という説明が可能である。EL としてどのような文法的要素が挿入されるのか、内容語に加えて機能語を 3 つに分類し 4 種類の形態素の中で、どのようなものが挿入されやすいのか、そうでないのかについて説明をする 4M モデルも Myers-Scotton and Jake (2000)によって提唱されている。

一方、alternation は、例(2)のように、ML が節の中であっても切り替わっている場合である。前半部分は、英語が ML であるが、‘ゴールキーパー’という借用語の挿入をきっかけに、後半部分は ML が日本語に切り替わっている。

(2) I want to be ゴールキーパーになりたい (Namba, 2012a)

ML が切り替わるきっかけになるものを trigger と呼ぶ(Clyne, 2003)。ここでは借用語が trigger となっているが、話し相手、文法構造の違いなどが trigger となる場合も考えられる。alternation パターンに分析には、文法のみならず、語用論的視点も必要となってくる。

3 つめのカテゴリーである congruent lexicalization は、言語類型的に近い言語間で起こる(Muysken, 2000)ものであり、日本語–英語間の CS を見ている本稿ではあつかわないが、子供の同時バイリンガルの研究で例があがっている場合もある(Namba, 2012b を参照)。

上記 insertion と alternation は、排他的なカテゴリー分けではなく、例えば例(2)では、 英語の ML に日本語の借用語である‘ゴールキーパー’が insertion で入ってきて、それが trigger になり日本語の ML に alternation として切り替わった、という説明ができる。insertion と alternation は連動して同じ節の中で起こることもあるのである。

言語類型的に離れた言語である日本語と英語の CS によく見られるパターンとして、次のような例がある。

(3) で there was a typo やねんな

例(3)を文法構造的に見ると、‘で’と‘やねんな’の CS は insertion あるいは、alternation のどちらと考えられるだろうか。‘で’は、接続詞であるが、この前の会話をこの節に導くディスコースマーカーの役割をしている。一方断定の助動詞と終助詞の組み合わせである‘やねんな’は、話者と聞き手の間の対人関係を操作する役割をしている。このようなディスコースマーカーや語用論的な役割を果たす部分が切り替わっているという例は、コードスイッチングとしては、よく見られるが、文の外側で起こっていること(extra-sentential)とされる場合が多く、タグの切り替え(tag switching)と呼ばれている (Poplack, 1980)。Muysken(2000)も文の周辺部での切り替えは、alternation となりやすいとしている。日本語と英語の CS でもよく見られる(Namba, 2012b 参照)が、

文の外側ではなく、終助詞など、節の内側で起こっているという見方もできる。こういったパターンの CS を、語用論的な要素も分析に含める選択体系機能言語学(Systemic Functional Linguistics)の面からどのように説明できるのか、本稿では見ていく。

## 2. コードスイッチングのデータ

コードスイッチングは、自然な会話の中で起こりやすい (山本、2014)ということから、本稿で使用しているデータは、ふだんから CS で会話をすることが自然なスタイルとなっている、日本にある国際学校の高校生及び卒業生から集めたコーパスから使用をしている。参加者たちは、英語を母語とする国から帰国した生徒、または両親のどちらかが英語を母語とする国際結婚家庭で育った生徒たちで、バランスのとれた均衡バイリンガル(山本、2014) とみなされる。3 人のグループに、学校行事、進路、海外で住んでいたときのことなどについて、約 40 分の会話をしてもらい、ビデオに録画し、会話部分を書き起こし、コードスイッチングをしている節(clause)を選んだデータベースを作成した。5 グループ分のデータで、5993 節(clause)あるうちの 19.7%にあたる 1178 の節で、なんらかの形の CS が見られた。本稿ではここで観察されたデータを使って、前節(3)のような、文の外側で起こっているとされる語用論関連の CS を、SFL の視点からの分析、説明方法を提案するものである。

## 3. 3 つのメタ機能

選択体系機能言語(SFL)では、節(clause)は 3 層のメタ機能、経験構成的メタ機能(experiential meta-function)、対人的メタ機能(interpersonal meta-function)、テクスト形成的メタ機能(textual meta-function)を持っている(Matthiesen and Halliday, 2013)。例(3)をその 3 層のメタ機能で分析してみると、つぎのようになる。

| | で | there | was | a typo | やねん | な |
|---|---|---|---|---|---|---|
| 経験構成的メタ機能 | | | PRC | EXT | | |
| 対人的メタ機能 | ADJ | SBJ | FNT | CMP | | |
| | | Mood | | | | |
| | | | PRD | | | NGT |
| | | | Mood | | | |
| テクスト形成的メタ機能 | TXT | TPT | | | | |
| | Theme | | Rheme | | | |

| | | | |
|---|---|---|---|
| ADJ: adjunct | CMP: complement | EXT: existent | FNT: finite |
| NGT: negotiator | PRD: predicator | PRC: process | SBJ: subject |
| TPT: topical theme | TXT: textual theme | | |

経験構成的メタ機能は、話し手の内的、外的経験を言語として表す機能で、

ここでは existential process として分類される。‘a typo’という事象(Existent)が、‘あった’ (was)ことを表している。他の部分は、経験構成的メタ機能の面からは、役割はないとみる。

対人的メタ機能では、英語の部分の‘there’が subject、‘was’が finite を表していて、この節が declarative mood であることを示している。一方後半の‘a typo やねん’という部分は英語の名詞句が日本語の中で使われる predicator、終助詞の‘な’は、negotiator であり、この二つの要素で、日本語の節としても declarative mood を表している。つまり英語と日本語の双方で Mood が 2 回表現されているのである。

テクスト形成的メタ機能の面では、メッセージを伝えるという観点から、前の節とこの節をつなげたり、メッセージの出発点となる Theme が重要な役割を果たす。ここまで見てきた他のメタ機能では、大きな役割のなかった‘で’はここでは、前の節とこの節を繋げる textual Theme としての役割を負っている。

次の 4 節で、対人的メタ機能の視点から、さらにその次の 5 節では、テクスト形成的メタ機能の視点から、insertion と alternation の CS の説明を行う。

## 4. 対人的メタ機能関連の CS

### 4.1 Mood の alternation

対人的メタ機能は、話し手と聞き手の対人関係を表現する機能であるが、Mood はその中でも、発話の役割と、何をやりとりしているのかを示す必須の部分である。英語の Mood は、subject と finite から成り立っている。次の例(4)のように、subject＞finite の順になっている時、その節は、話し手が聞き手に情報を与えるという陳述の役割を果たしている。もしこの部分が“should we do ～”のように finite＞subject という順になれば、この場合はこの節が話し手が聞き手に情報を求めるという質問の役割を果たしていることがわかる。

(4)　we　should do secret Santa　しよう　よ

SBJ　FNT

MOOD

PRD　NGT

MOOD

上記(4)では日本語部分‘しよう’predicator＋‘よ’negotiator、の部分が日本語のほうの Mood である。英語とはちがい、日本語の Mood では、predicator が必須の要素で、negotiator は話し手と聞き手の交渉の役割を加えて、predicator をサポートしている。

日本語の Mood の必須要素である predicator の役割を担うのは、(4)のような動詞の例だけでなく、(5)の例のように名詞句＋断定の助動詞の組み合わせの場合もある。

(5) which is another good place や けど

SBJ FNT

MOOD

PRD NGT

MOOD

(5)では英語の名詞句が日本語‘〜や’の枠組みに入っている。‘や’は断定の助動詞でコピュラの役割があり、標準語の‘だ’の関西弁での言い方である。ここに negotiator として若者言葉で見られる‘けど’が加わっている。

さらに(6)では英語の形容詞 yummy と日本語のコピュラ‘な’の組み合わせが predicator の役割をし、日本語の negotiator‘の’が加わって Mood を作っている。

(6) it' s not yummy な の

SBJ FNT

MOOD

PRD NGT

MOOD

上記の例(4)、(5)、(6)では、英語の Mood と日本語の Mood が両方存在しており、特に意味上は、同じ内容を両言語で繰り返していることになる。このような左右対称のような構造は両開きの鞄構文 (the portmanteau structure) (Chan, 2009)と呼ばれており、言語類型的に離れた日本語と英語の CS などで見られる(Nishimura, 1997) パターンである。節のもつ対人的メタ機能において、主要な役割をする Mood が英語、日本語の双方で現れており、英語から日本語へ ML が切り替わっている alternation のパターンの CS と考えられる。

**4.2 Negotiator の insertion**

次の(7)、(8)の例は、上記の前節の例のように、英語の節の途中に日本語の対人的機能を表す要素が出現している例である。

(7) I play softball, soccer volleyball かな

SBJ FNT

MOOD

NGT

(8) everything takes so much time ね

SBJ FNT

MOOD

NGT

(7)では、自問自答をしていることを表す‘かな’、(8)では同意を求める‘ね’

とそれぞれ negotiator が節の最後に現れているが、動詞やコピュラなど、日本語の predicator は見当たらず、ここに日本語の Mood は表れていない。対人的メタ機能の面でみると双方の例ともに、英語の Mood があり、ML は英語であるが、日本語の negotiator が挿入され、対人的機能に意味を加えている、insertion のパターンの CS ということができる。

## 5. テクスト形成的メタ機能関連の CS

### 5.1 Textual Theme の挿入

節のテクスト形成的メタ機能では、メッセージの出発点を表す Theme とメッセージの内容にあたる Rheme に分かれるが、Theme の部分での切り替えに注目してみる。次の(9)の例では Theme の中でも、2 言語が使い分けられている。その節のメッセージのスタート地点としての topical Theme は、英語の代名詞 you であるが、前の節とのつながりを示す textual Theme のほうは、日本語の逆説のディスコースマーカー‘でも’となっている。

(9)

| でも | you | don’t have to be eighteen |
|---|---|---|
| TXT | TPT | |
| Theme | | Rheme |

Theme の中でも、主要部分である topical Theme 以外の部分が、他の言語からきている場合は、insertion が起こっていると考えられる。

### 5.2 Topical Theme の alternation

Topical Theme そのものが、他の言語から入ってくる例もある。次の(10)では、‘ほかは’と主題マーカーの‘は’を伴って日本語の topical Theme が表れ、そのあとは、英語の節が Rheme として続く。この英語の Rheme の内側でも、what が topical Theme で、are you taking の部分が Rheme となっている。

(10)

| ほかは | what | are you taking? |
|---|---|---|
| TPT | | |
| Theme | Rheme | |
| | TPT | |
| | Theme | Rheme |

(11)も同様の例で、日本語で Topical Theme があってから、英語の節が続く形になっている。

(11)

| 日本って | you | don't really hear too much about hippy |
|---|---|---|
| TPT | | |
| Theme | Rheme | |
| | TPT | |
| | Theme | Rheme |

テクスト形成的メタ機能で主要部分を表す Theme の中の必須要素である topical Theme が日本語と英語でそれぞれ現れているので、このメタ機能の面から見ると、alternation が起こっているという見方ができる。4.1 の対人的メタ機能面でみたときに、Mood の alternation が起こっている時は、英語と日本語で同じ意味を表す内容での繰り返しがあったが、ここでは同じ内容の繰り返しにはなっていない。

## 6. Insertion か Alternation か

CS で、節の母体言語(ML)がどちらかを判断して、一つの ML があるときは、insertion で、ML が切り替わっているときが、alternation という定義を最初にしたが、ML の判断基準は、容易ではない。Myers-Scotton(2002)は、判断基準として、語順と文法的形態素は ML から来ている、と提唱しているが、この‘文法的’という部分を、SFL の 3 層のメタ機能の観点からさらに細かく設定することが有効だと考えられる。

対人的メタ機能の面から見れば、Mood を形作っている方の言語が ML である。言語を使って意味のやり取りをするときに、話し手と聞き手の役割、何をやりとりするのかを表す Mood が、節の対人的メタ機能の枠組みを作っているからである。テクスト形成的メタ機能の面からみると、主要な役割をする topical Theme を提供している方の言語が ML である。本稿で出てきた例をここで、再度使い、二つのメタ機能面からみてどちらが ML なのか、insertion と alternation のどちらが起こっているのかということを分析してみる。

(12) everything takes so much time ね

対人的メタ機能、テクスト形成的メタ機能の双方とも ML は英語であるが、対人的メタ機能のほうで、negotiator の insertion がおこっている。

(13) we should do secret Santa しようよ

テクスト形成的メタ機能面では ML は英語、対人的メタ機能面では、ML が英語から日本語に alternation している。

(14) でも you don't have to be eighteen

対人的メタ機能、テクスト形成的メタ機能の双方とも ML は英語であるが、テクスト形成的メタ機能のほうで、textual Theme の insertion がおこっている。

(15) ほかは what are you taking?

対人的メタ機能面では ML は英語、テクスト形成的メタ機能面では、日本語から英語の ML への alternation が起こっている。

## 7. 終わりに

本稿では、Muysken(2000)のカテゴリーのうちの insertion と alternation の CS データに、選択体系機能言語学(SFL)の 3 種類のメタ機能のうち対人的メタ機能(interpersonal meta-function)とテクスト形成的メタ機能(textual meta-function)の観点を加えた分析を行う方法を提示した。その結果 1）対人的メタ機能面での negotiator の insertion、 2）対人的メタ機能面での Mood の alternation、 3) テクスト形成的メタ機能面での textual Theme の insertion、4) テクスト形成的メタ機能面での topical Theme の alternation という分類ができ、文法面からだけ ML を設定する場合に比べて、より緻密な分析が可能であることが示唆された。Mood の alternation については、同じことの繰り返し、両開きのカバン構文という日英 CS の alternation でよく見られる特徴を持っているが、Theme の alternation のほうは、同じ内容の繰り返しというわけではないので、議論の余地があるところである。

ここでは、Mood と textual Theme, topical Theme に焦点をあてたが、今後それ以外の要素、modal adjunct, interpersonal Theme なども同じ視点から見ていく必要がある。さらに SFL の 3 層のメタ機能のうち、今回は含められていない経験構成的メタ機能(experiential meta-function)の面からの分析を含めた分析をしていくことが必要である。

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# Utilizing Systemic Functional Grammar to Support Comprehension in the Language Classroom

**Peter McDonald**
**J. F. Obirin University**

**Abstract**

Teaching comprehension is becoming a challenge because of the increasing number of image-based multi-modal texts used in the English Language Teaching (ELT) classrooms. Research suggests that defining the underlining graphic/written text relations that constitute image-based multi-modal texts can help teachers meet that challenge (Royce, 2002). However, this area is still being studied. This paper proposes a theoretical model of graphic/written text relations that can support reading comprehension in ELT classrooms. Developing the model entails aligning two areas of research, namely, the systemic functional grammar (SFG) research and second language reading (L2) comprehension research (Lui, 2004). Such alignment demonstrates the applicability of the model to an authentic multi-modal text to predict the effects of the text on the reading comprehension of students. The study tests the predictions in a classroom context and discusses the extent to which the model can be successful. Moreover, this study discusses the extent to which a definition of graphic/written text relations is practical in an ELT classroom context, as well as suggests that conducting further research on a more comprehensive definition of graphic/written text relations is an appropriate goal for ELT and SFG researchers and practitioners.

## 1. Introduction

The goal of this study is to investigate the extent to which the image classifications identified by Kress and Van Leeuwen (2006), as well as the graphic/written text relations summarized by Unsworth (2008), can be applied to English as a Foreign Language (EFL) reading comprehension research. The EFL research is based on the study of Lui (2004), which revealed that the graphic/written text relations contained in multi-modal texts can have four effects on reading comprehension (pp. 235-239).

The first effect is support. Support is created when the graphic text repeats the same information as the written text, and the proficiency level of the students is just below the level of the written text. In this situation, the students can use the images to infer the meaning of the words. The second effect is redundancy. Redundancy occurs when a graphic/written text relationship of reiteration exists, but the proficiency level of the students is above the level of the written text. Thus, they do not need the graphic text to infer the meaning of the words. Therefore, the students do not use the graphic text.

The third effect is incomprehension. Rather than reiterating one another, the graphic and the written texts contain closely related information that augments each other in a certain way. Incomprehension occurs in this type of graphic/written text relation when the proficiency of the students is lower than the words in the text. The lack of textual integration means students cannot use the graphic text to infer the meaning of the words, preventing them from understanding the text.

The fourth effect is miscomprehension. Miscomprehension takes place when rather than reiterating the information in the written text, the graphic text augments it in a certain way. Furthermore, the proficiency level of the students is lower than the written text. However, the students in this situation make the wrong assumption regarding the graphic/written text relationship. They assume that the graphic text reiterates the information in the written text, that is, the graphic text can support the words. However, the lack of harmony between the written and the graphic text clues results in processing difficulties. Subsequently, the students make the wrong inferences regarding the text. Thus, the graphic text hinders the comprehension of the written text.

While the 2004 study of Lui shows that different types of graphic/written text relations produce different effects on reading comprehension, these offer no detailed definition of the graphic/written text relations that create, support, or inhibit reading comprehension. The current study attempts to build on the 2004 study of Lui by offering such a definition using semiotic research, as summarized by Unsworth (2008). Semiotic researchers examine how graphic text combines with the written text to communicate the overall meaning of the multi-modal text to the reader. As the combinations of graphic/written text relations can be wide ranging and complex (see Unsworth, 2008 for a full treatment), the present study focuses on two definitions. The first definition is concurrence, where the graphic and the written texts combine to send highly similar messages. The second definition is complementation where the graphic and the written texts combine to send messages that, while closely related, do not repeat one another but rather augment one another to communicate the overall message of the text to the reader.

The current study suggests that the graphic/written text relations of reiteration in the research of Lui can be directly related to the graphic/written text relations of concurrence. Moreover, the more complex relationships that produce, inhibit, or hinder reading comprehension can be directly related to the graphic/written text relations of the complementation outlined in the preceding paragraphs. These findings are summarized in Table 1.

**Table 1: Graphic/Written Text Relations and Their Effects on L2 Comprehension**

| Graphic/Written Text Relation | Students Proficiency Level | Effect On Comprehension |
|---|---|---|
| Concurrence | Just Below Text Level | Support |
| Concurrence | Just Below Text Level | Redundancy |
| Complementation | Above the Text Level | Incomprehension/ or Miscomprehension |

Therefore, by aligning these two areas of research, a model of graphic/written text relations that is directly applicable to teaching reading comprehension in EFL classrooms can be created. Furthermore, the current study utilizes the principles of SFG, as identified by Kress and Van Leeuwen (2006), to define two relations: the graphic/written text relations of concurrence that may, as the present study suggests, support reading comprehension or cause redundancy; and the graphic/written text relations of complementation that may, as this study suggests, produce incomprehension or miscomprehension.

## 2. Applying the Model of Kress and Van Leeuwen to the Definitions of Graphic/Written Text Relations

### 2.1 Representational Content

Based on the model of Kress and Van Leeuwen, the representational content of a picture can be utilized to define how participants, processes, and circumstances are portrayed (i.e., represented) in a picture (Kress and Van Leeuwen, 2006: 114). This model can be visually presented in two ways, namely, as **narrative images** or as **concept images**.

#### 2.1.1 Narrative Images

Narrative images, of which Figures 1 and 2 are examples, are images that are composed to create a sense of action or a sense of an event taking place in the imagined world. This result is achieved by creating a “vector,” a line that connects two or more participants in an image (Kress and Van Leeuwen, 2006: 59). In Figure 1, the vector is created by direction. All the participants (the king, his son, the attendant, and the eavesdropping soldier) are gazing at or pointing to the direction of the wounded soldier. Likewise, the soldier is returning the gaze by looking in the direction of the king. This situation tells the reader that the main event in the picture is the wounded soldier reporting the news to king. In Figure 2, the vector is the fire. The attention of the witches is focused on the fire, and the fire is connected to the witches by framing and color. This arrangement communicates to the reader that the main action of the image is centered on the witches and the fire.

### 2.1.2 Concept Images
In concept images, the participants are not represented in action; no vector joins them. Rather, the participants are represented in a fixed state of being, such as a portrait painting (Kress and Van Leeuwen, 2006: 79). Figure 3 is a concept picture. In this scenario, the witch is represented in a close-up, similar to a portrait, staring in the direction of the viewer.

## 2.2 Interactive Content
The interactive content of a picture is highly similar to the interpersonal function. Therefore, just as the language content can be categorized into two basic positions, either offering or demanding information/goods and services (Halliday 2004: 107), the content of images can also be categorized into two types of images, namely, **offer image** or **demand image**.

### 2.2.1 Offer Images
Figures 1 and 2 are pictures offering information to the viewer. The reader of the image is placed, through long shots, at a detached distance from the image and is expected to observe and analyze various elements framed in the picture: the participants, what the participants are saying, and the circumstances.

### 2.2.2 Demand Images
Figure 3, in contrast to Figures 1 and 2, demands attention from the viewer. The receiver is placed at a close-up, almost face to face with the sender of the information. Thus, the illustrators have increased the value of the elements placed in the picture. The reader is expected to focus on the words in the text, which carry the general meaning of the text because these have been given salience and placed on top. Additionally, the reader is expected to focus on the face of the witch, and with eye to eye contact between the reader and the witch, the reader is expected to be emotionally involved with the sender of the information (Eisner, 2004: 89).

# 3. Supporting Reading Comprehension Through a Definition of Graphic Written Text Relations
The current study asserts that aligning the three areas of research outlined in the preceding section, (the 2004 study of Lui, the 2008 semiotic research of Unsworth, and the Kress and Van Leeuwen model) creates a model of graphic/written text relations that can be used to predict the potential effects that a text will have on reading comprehension. This section explains the model.

## 3.1 Concurrence in Narrative Offer Panels
To recap, concurrence occurs when the visual and the written texts send equivalent information (Unsworth, 2008: 387). This relationship is shown in Figure 1. The information in the graphic text concurs with, that is, repeats the information in the written text. The written information framed in the text box “In his camp at Forres, King Duncan receives news of his army’s battle …” is repeated in the visual frames. The receivers of the news, the king and his attendants, are framed in one frame line, receiving the news. The wounded soldier is framed in a separate frame line,

delivering the news. Similarly, the graphic frame supports the information framed in the speech bubbles of the central dialogue. When the king asks "Who is this man covered in blood?" he is referring to the wounded soldier framed at a distance from himself.


**Figure 1: Concurrent Offer Panel**

This type of panel, with a reiteration of the key linguistic items in the visual, is expected to support reading comprehension (Lui, 2004: 237). However, although this panel has the potential to support reading comprehension, the images may be redundant for L2 learners because they may not need the images to support the words. In the current study, this type of panel is called concurrent offer panel (CCOP).

### 3.2 Complementation in Narrative/Offer Panels

Complementation occurs when the graphic and written texts send messages that are clearly connected, but do not reiterate one another (Unsworth, 2008). As previously mentioned, the reader is expected to process complex information that is spread across both the graphic and the written texts (Figure 2). Thus, the graphic text framed at the top communicates the main action of the witches casting a spell. The written text framed beneath the image does not directly reiterate the graphic text; the written text augments the graphic text by adding additional details, such as the words of the spell itself. Relating the words ("I come Graymalkin," "Paddock calls," and others) to the visual text may be difficult unless the reader has a linguistic and perhaps, cultural knowledge of witchcraft.


**Figure 2: Complementary Offer Panel**

This graphic/written text relation can be connected to reading comprehension research. In these panels, the graphic and the written modes do not closely reiterate the same message. Therefore, these are not expected to support reading comprehension (Lui, 2004: 238). Incomprehension or miscomprehension may occur with these types of panels. In the present study, these panels are called complementary offer panels (COP).

### 3.3 Complementation in Demand/Concept Pictures

The graphic/written text relation of complementation occurs in demand/concept pictures as well. In Figure 3, the written text contains information that is not directly integrated with the graphic information. The writers/illustrators have chosen to make the words salient. Moreover, they have chosen not to illustrate the underlying function of the words in the image. Rather, they focused the attention of the reader on the face of the speaker. From a textual viewpoint, this situation increases the significance of the written text and the emotional content of the graphic text. However, from an L2 perspective, the image cannot help the readers create a mental picture of the written text because the image is communicating a message that is different from that of the written text.


**Figure 3: Complementary Demand Panel**

A generalization can be made on these types of panels in texts. If illustrators use these demand/concept panels, they expect the readers to focus on the written text and the image to receive an emotional message. From a reading comprehension perspective, if this type of panel exists in a narrative text, the role of the L2 learners is expected to be extremely active in this panel. The readers must linguistically process all the words without visual clues and subsequently process the significance of the image separately. Relating this type of image to reading comprehension research (Lui, 2004: 238) with slight integration between the graphic and the visual texts, the image is not expected to support reading comprehension. Rather, the image is expected to create incomprehension or miscomprehension. In the present study, these types of images are called complementary demand panels (CDP).

## 4. Defining the Graphic/Written Text Relations in the Macbeth Text

Theoretically, at least in this reading context, creating a model of graphic/written text relations that can be used to predict the potential effects a text will have on reading comprehension is possible. Thus, the SFG principles can be employed to define the graphic written text relations. Moreover, the definitions of graphic/written text relations can be related to reading comprehension research to assess the potential comprehension of the students. The validity of this model was tested using an excerpt from an authentic text not produced for the TESOL classroom. A total of 10 panels from Scenes 1 and 2 of Act 1 of “Macbeth: The Graphic Novel” (McDonald et al., 2008) were used.

### 4.1 Determining Panel Types in the Macbeth Text

Applying the representational and interactive functions to the Macbeth text, the 10 panels were classified into two types: narrative offer panels and concept demand panels (summarized in Table 2). Table 2 shows that the majority of the panels are narrative offer panels, while concept demand panels constitute only three of the 10 panels.

**Table 2:** ***Image Types in the Macbeth Text***

| **Image Type 1** | **Image Type 2** |
|---|---|
| Narrative/ Offer | Concept/ Demand |
| *Panels 1,5,6,7,8,9,10* | *Panels 2,3,4* |

## 4.2 Predicted Effects of the Graphic/Text Relations on Reading Comprehension

The results of the analysis of the underlying graphic/written text relations of the Macbeth text and their potential effects on reading comprehension are shown in Table 3. Only panels 1 and 7 show the graphic/written text relation of concurrence that is expected to support reading comprehension. The other images ask the reader to process complementary written text messages and graphic text messages, which are not closely integrated. Therefore, students are expected to find the text difficult to process.

**Table 3: Graphic/Written Text Relations and Their Effects on Reading Comprehension**

| **Panel Type** | **Panel Number** | **R/C Relationship** |
|---|---|---|
| **CCOP** | 1 | Support/Redundancy |
| **CCOP** | 2 | Supports/Redundancy |
| **CDP** | 3 | No support/hindrance |
| **COP** | 4 | No support/hindrance |
| **COP** | 5 | No support/hindrance |
| **COP** | 6 | No support/hindrance |
| **COP** | 7 | No support/hindrance |
| **COP** | 8 | No support/hindrance |
| **COP** | 9 | No support/hindrance |
| **COP** | 10 | No support/hindrance |

**Key: CCOP = Concurrent Offer Panel; CDP = Complementary Offer Panel; COP = Concurrent Offer Panel; R/C = Reading Comprehension**

## 5. Summary of Classroom Research

The validity of the theoretical model was tested in the classroom to measure whether these predicted reading comprehension relationships can actually occur in a group of (L2) learners. The classroom study was based on the 2004 study of Lui. The goal of the current study is to replicate the study of Lui by using an authentic graphic text in a classroom situation with a modified research instrument. The participants were intermediate Japanese university students with ages between 18 and 22 years.

### 5.1 Data Collection

Data collection was based on immediate recall protocols (IRPs) used in the 2004 study of Lui. IRPs offer advantages over other methods (e.g., comprehension questions, true/false questions, etc.) because these avoid the problem of “interrelatedness” (Bernhardt, 1983: 27-28). Interrelatedness refers to how the information in a research instrument repeats key information from the passage and, therefore, provides extra linguistic clues. For example, in a comprehension question, skilled readers can relate key words in the question to key words in the passage, a common test-taking strategy. In this type of study, which measures the effects of visual information compared with linguistic information, these key words may provide extra linguistic clues to the readers.

### 5.2 Student Feedback Sheets

Student feedback sheets were produced to collect the data. The feedback sheets divided the texts into a series of information units: graphic text information Units (GIU) for group A (12 students) based on comic book panels and written text information units (WIU) for group B (12 students). The sheets were divided into IUs rather than panels or chunks of written text to ensure that both groups of students had identical written information at each stage of the summary process. Both groups of students read the text. As the students read the text, they were asked to summarize the information they understood for each IU in the relevant box on the feedback sheets. Due to the potential difficulty in some areas of the authentic text, the students were informed that summarization could be detailed or brief and in English or Japanese.

### 5.3 Results

The results of the t-test (Table 3) show the absence of significant statistical difference in reading comprehension between the two groups. However, this is a very small sample; thus, caution should be exercised when discussing the findings. As predicted in the theoretical model of graphic/written text relations, CDP (Table 3: CDP 2, Group A = 6, Group B = 8) did not support reading comprehension for Group A. In fact, fewer students understood the text in Group A than in Group B. Similarly, COP did not support reading comprehension. COP 6 (Table 3: Group A = 3, Group B = O), COP 7 (Table 3: Group A = 2, Group B = 0), and COP 8 (Table 3: Group A = 1, Group B = 0) show no support. However, the results for COP 4 (Table 3: Group A = 9, Group B = 3), although not statistically significant, are interesting because despite the predicted effects of incomprehension or miscomprehension, nine students were able to understand the text in group A, whereas only three understood it in Group B.

The interpretation of the written text in this panel (the words “I come Graymalkin,” “Paddock calls,” etc.) rely on linguistic and perhaps, cultural knowledge of witchcraft. The ability of Group A to decipher these ambiguous terms of witchcraft seems to have been created by a combination of the sequencing of the visual panels and the changes in color modality, which allowed the students to create an overall picture slowly. Thus, referring to Appendix 1, the students could read the setting of the scene offer picture (panel 1) through the detail that provides demand pictures (panels 2, 3, and 4) to the final climatic offer pictures (panels 4 and 5). Moreover, the color modality of the panels changes, from the neutrality of greens and browns to the drama of red, as the spell is being cast. This observation supports the contention that other factors, such as the juxtaposition of images (McCloud, 1993: 2-8) or color modality (Kress and Van Leeuwen, 2006: 160-174), must likewise be drawn into any model to define how multi-modal texts organize information to create meaning. Moreover, an explanation for the positive effects of visuals could be derived from the schema theory (Cook, 1989). The schema theory suggests that incoming data must be matched with the expectations of the readers for comprehension to occur. For the nine Group A students, the juxtaposition of the images and the color modality may have assisted them in interpreting and matching the incoming data with their own expectations. This is an area that can be investigated in future research.

In CCOP, no significant difference between the two groups exists (Table 3: CCOP 1, Group A = 11, Group B = 12, CCOP 5, Group A = 12, Group B = 12). However, these results cannot provide insights into the level of support offered by the concurrent graphic/written text relations. In both groups, the comprehension of the students was high, which suggests that their proficiency level was not below the written text level. Therefore, the effects of the support level of the graphic/written text relation cannot be measured. However, the results indicate redundancy. Thus, from an L2 perspective, the graphic text is redundant because students could understand the words even without the images.

**Table 4: Differences in Comprehension Between Groups A and B**

| Panel Type | Group A | Group B |
|---|---|---|
| **CCOP 1** | 11 | 12 |
| **CCOP 5** | 12 | 12 |
| **CDP 2** | 6 | 8 |
| **COP 3** | 9 | 10 |
| **COP 4** | 9 | 3 |
| **COP 6** | 3 | 0 |
| **COP 7** | 2 | 0 |
| **COP 8** | 1 | 0 |
| **t-test** | 0.315890663 | |
| **Mean** | 5.923987851 | 5.625 |

*The table shows that no significant statistical difference exists in the comprehension of the texts by the two groups. The paired, two tail t-test yielded a t of 0.315890663, which was insignificant at $p < 0.05$ (with $df = 23$) and a critical value of 2.069.*

**Key: CCOP =** Concurrent Offer Panel**; CDP =** Complimentary Demand Panel**; COP =** Complimentary Offer Picture.

## 6. Discussion: Question and Answer with Participants

The following points were discussed during the conference.

**a) In teaching, can you recommend types of images that could support curriculum goals? For example, what types of images could support academic reading/writing?**

To the best of the writer's knowledge, a taxonomy of graphic/written text relations that could address different curriculum goals has not been formulated yet. However, the SFG study could help create such taxonomy because the SFG models, such as the one outlined in this paper, enable teachers to classify graphic/written text relations. Teachers can use the classifications to investigate the types of images that support their teaching goals. For example, in classes where the language or concepts being introduced are difficult for learners, the concurrent graphic/written text relations are most appropriate. Conversely, complementary graphic/written text relationships would be suitable in classes where learners are being encouraged to think creatively.

**b) Questions on the validity of the model and the findings were raised.**

Participants believed intuitively that images would support written text comprehension. Moreover, the participants put forward the idea that the model was too crude to account for the inherent complexities in the cognitive comprehension process. The current study could be expanded/replicated to account for this complexity. The following suggestions were provided: 1) expand the model to include a wider range of current multimodal research; 2) repeat the experiment using larger groups of students and a wider range of texts; 3) conduct similar experiments in which the research instruments are different and where comprehension questions, rather than IRPs, can be used (comprehension questions may provide different results and the problem of interrelatedness could be mitigated because both groups would have the same linguistic clues); and 4) investigate the extent to which cultural issues could interfere with comprehension. In this experiment, the Shakespeare texts, both image and the written texts, were loaded with cultural information, which may have hindered the comprehension of Japanese students. Extensive research needs to be conducted to determine how culture knowledge can influence the comprehension of multimodal texts.

## 7. Conclusions

The definition of graphic/written text relations was successful. The definition could predict the effects that multi-modal texts would have on reading comprehension. Thus, in the relationships defined as concurrence, where the images may have supported reading comprehension, the graphic text made no positive contribution to reading because the students could understand the written text without the images at this level of proficiency. In the relationships defined as complementation, where the graphic text added to or augmented the information given in the written text, rather than repeating it, the graphic/written text relation did not support reading comprehension because the students could not use the images to infer the meaning of the words. However, as discussed in the preceding sections, these findings are tentative and should be investigated further.

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## Appendix One

# Rhetorical Relations in Japanese and English Corporate Enabling Texts

**Sonya Chik**
**The Hong Kong Polytechnic University**

**Abstract**

This is a follow-up study on linguistic strategies employed by corporations in organizing customer behavior through public discourse (see Chik, 2014). In this paper, instances of corporate enabling texts in Japanese and English are examined to identify the rhetorical strategies in construing knowledge and enacting command. More specifically, this paper examines the similarities and differences in the choice of lexicogrammatical resources that realize the rhetorical relations in company privacy policy, a regulating text that explains and regulates the handling of personal information in the commercial context. The system of RHETORICAL RELATIONS developed by Matthiessen (1995, 2002, 2015), a modified version of the Rhetorical Structure Theory (RST, see Mann and Thompson, 1987, 1988) is deployed to analyze the rhetorical relations that form the principle organization of the text. First, the sample texts are analyzed to identify a global rhetorical organization that characterizes privacy policy. Next, rhetorical relations that increase the reader's inclination to accept the propositions and those that increase the reader's readiness to comply with the proposals are scrutinized. Finally, lexicogramamtical resources that realize the rhetorical relations in Japanese and English privacy policies are compared and discussed.

## 1. Introduction

Modern corporation is a social system in which social practices are produced, shaped and negotiated through discourse between the interactants within the system of corporate communication. Corporate communication, therefore, can be viewed as a meaning system that consists of a set of activities in which corporations send messages to different stakeholders including consumers, business partners, employees, investors, media and the general public with the aim at creating favorable point of view among them (c.f. Riel and Formbrun, 2007; Breeze, 2013). This study is concerned with privacy policy, a written discourse that shapes and negotiates the handling of personal information under the legal domain within the meaning system of corporate communication. Organizations face tremendous challenge from both the government and general public to produce written privacy policies that are comprehensible for the lay readers (Dataguidance.com, 2013). The lack of standardization and regulation on the language use in privacy policies led to variation in word choice, length and grammatical construct of the discourse. As a result, privacy policies became target for criticisms on intelligibility and clarity issues due to their lengthy and complex linguistic features, many of which are borrowed from the legal register (e.g. Cellan-Jones, 2014).

In terms of text typology, it is a representative example of 'enabling - regulating' text type, one of the eight broad categories under the registerial cartography developed by Matthiessen and Teruya (see e.g. Matthiessen, 2006, in press; Teruya, 2007). Unlike pure procedural instructional texts such as recipes that are mainly organized by enhancing relations in temporal sequence (Matthiessen, 2002, 2015), corporate enabling texts often focus on extensive reasoning that involves circumstance, condition, purpose and cause to inform and instruct or regulate the reader based on policies and rules in the business environment (cf. Iedema, 1997).

To investigate how global corporations explain and describe the complex notion of privacy, and regulate and control customer behavior linguistically through privacy policies, rhetorical relations that organize segments of text to 'justify' events that may be vulnerable to threats of privacy invasion, and to 'motivate' and 'enable' customers to take certain actions are analyzed systemic functionally. The findings will demonstrate how language is used similarly and differently in Japanese and English in corporate communication to establish the corporation as a law-abiding corporate citizen yet a trustworthy and professional service provider in the social context of privacy policy.

## 2. Research methodology

This study is part of a long-term project on comparative study of Japanese and English written discourse. A sample data that consists of six privacy policies (23,391 words) with length ranging from 2,731 words to 8,397 words from companies of different industry sectors is selected randomly for text analysis. Both translated and parallel texts in Japanese and English are analyzed to identify linguistic features that characterize the variation of language use in the source text as well as the target text. Drawing on SFL's holistic approach to text in context, this study examines privacy policies in a tri-stratal manner by first exploring the contextual parameters of field, tenor and mode. Next, it examines the semantics that realize the context with a focus on the system of RHETORICAL RELATIONS (see Matthiessen, 1995, 2002, 2015), a modified version of RST that was originally developed by Mann, Thompson and Matthiessen in 1980s. Finally, it investigates the lexicogramamtical resources that realize the rhetorical relations.

### 2.1 The System of RHETORICAL RELATIONS

Rhetorical Structure Theory (RST) is a framework that describes and classifies rhetorical relations based on hierarchical structure and functional terms (Mann and Thompson, 1987, 1988). Under the classical RST, texts are organized in pre-defined schemas that specify how component parts of text combine to form the whole text. The key elements of RST are relations and text segments. The relation definitions identify particular relationships that can hold between two text segments. The most frequent structural pattern is that two segments of text are related such that one of them has a specific role (more central to the writer) relative to the other: nucleus-satellite relation (see Figure 1).

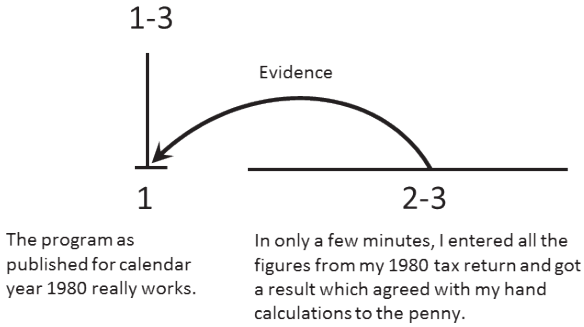



**Figure 1: Nucleus-satellite structure by RST**

Nucleus-satellite relation is graphically represented as a vertical line that represents the nucleus and a curved line that links the supporting satellite to the nucleus. In figure 1, clause [1] is the nucleus that represents the writer's proposition and the satellite that is realized in clauses [2]-[3] serve as 'evidence' in an enhancing rhetorical relation, which increases the reader's inclination to accept or have positive regard toward the nucleus. Another structural pattern is multinuclear, which is characterized by relations that hold among two or more text segments of equal weight in the discourse structure with no corresponding satellites (see Figure 2).

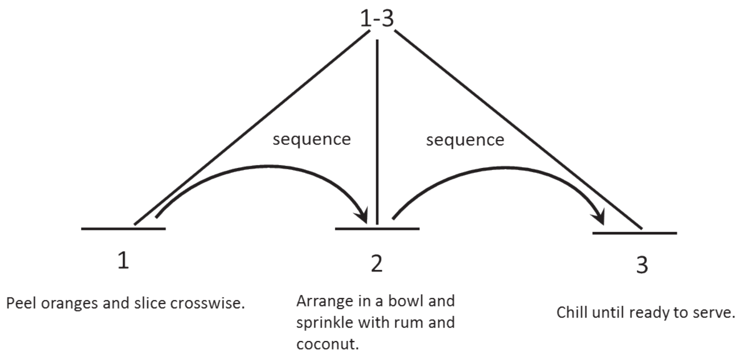



**Figure 2: Multinuclear structure by RST**

The multinuclear relation is graphically represented by a sequence of adjacent nuclei organized in multiple straight lines that descend from one node. Using a recipe as an example, Figure 2 illustrates the multinuclear relations of sequence that hold clauses [1] to [3]. While there is no corresponding satellite to a single nucleus, each clause is a nucleus of equal weight organized in sequence of time.

This study adopts the system of RHETORICAL RELATIONS developed by Matthiessen (1995, 2002, 2015), a modified version of the classical RST that represents the logical organization of text that takes into consideration the spectrum of metafunctions of SFL, covering the different modes of meaning including ideational, interpersonal and textual. In terms of stratification, the system of RHETORICAL RELATIONS is located under the field of discourse. The nature of the activity is reflected in the choice of the rhetorical relations used to develop the text in terms of its overall organization. In terms of metafunction, it is within the logical mode of the ideational metafunction, realized directly by clause complexing under the systems of TAXIS and LOGICO-SEMANTIC RELATIONS. Table 1 gives a summary of the rhetorical relations that correspond to the logico-semantic type under ideational meaning.

**Table 1: Logico-semantic type and nuclearity in rhetorical relations (Matthiessen, 2015)**

| LOGICO-SEMANTIC TYPE | | | NUCLEARITY | |
|---|---|---|---|---|
| primary delicacy | secondary | tertiary | **nucleus-satellite** | **multinuclear** |
| projecting | | | nucleus satellite projection [†] | multinuclear projection [†] |
| expanding | elaborating | | elaboration | |
| | | expository | restatement | |
| | | summative | summary | |
| | extending | adversative | | contrast |
| | | additive | | addition (joint) |
| | | replacive | antithesis | |
| | | alternative | | disjunction |
| | enhancing | conditional | condition; otherwise | |
| | | concessive | concession | |
| | | purposive | purpose; solutionhood | |
| | | causal | evidence, motivation, justify; cause: volitional/ non-volitional, result: volitional/ non-volitional | |
| | | temporal | circumstance | sequence |
| | | means | enablement, background; means | |

Under the system of RHETORICAL RELATIONS, three primary systems, TAXIS, ORIENTATION and LOGICO-SEMANTIC TYPE are at work simultaneously to organize text. In this study, the discussion will be focused on the systems of TAXIS and LOGCIO-SEMANTIC TYPE. TAXIS, also referred to as nuclearity presents the choice between ‘nucleus-satellite’ relations where one segment of text has more weight than the other, and ‘multi-nuclear’ ones where all segments of text are equally weighted. The system of LOGICO-SEMANTIC TYPE presents the choice between two primary types of logical relations, ‘projection’ and ‘expansion’. This system corresponds to the one at lexicogrammatical level with the same sub-types of extending, elaborating and enhancing under ‘expansion’, and quoting and reporting under ‘projection’. Figure 3 presents a diagrammatical representation of the partial system of RHETORICAL RELATION.

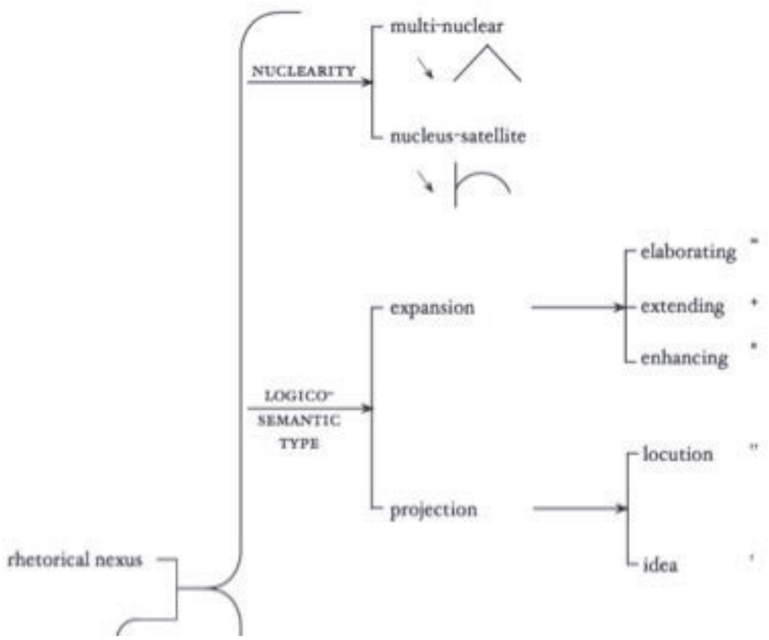



**Figure 3: A partial system of RHETORICAL RELATIONS (adopted from Matthiessen, 2015)**

Texts vary registerially in whether the most global rhetorical nexuses are multi-nuclear or nucleus-satellite nexuses (Matthiessen, 2015). For example, taxonomic expounding texts tend to be organized by nucleus-satellite relations of elaborating type, whereas procedural enabling texts such as recipes are typically organized by multi-nuclear relations of circumstance in sequence of time. From a systemic functional perspective, rhetorical relations can be realized in a number of ways. For example, they can be realized directly in a congruent manner by clause combining (e.g. Matthiessen and Thompson, 1988; Matthiessen, 2002) with explicit markers such as structural conjunction *if, because, so* and cohesive conjunction *however, therefore, consequently* (c.f. Halliday and Hasan, 1976; Halliday and Matthiessen, 2004). Moreover, they can be realized metaphorically through experiential grammar in terms of process type or verb e.g. *p causes q* in a relational clause and circumstantial elements such as preposition *because of*, both of which carry the meaning of ‘cause and effect’ (e.g. Matthiessen, 1995). This study focuses on the ideational grammatical realization of rhetorical relations to explore how corporate enabling text is organized systemic functionally to (i) increase reader’s belief in the proposition and (ii) increase reader's ability to comply with command in Japanese and English within the domain of 'enabling' in corporate communication.

## 3. Summary of findings

### 3.1 Contextual parameters

In terms of field, privacy policy is categorized under the socio-semiotic process of 'enabling' with the subtype of 'regulating' (see Halliday and Matthiessen, 2014; Matthiessen, in press; Teruya, 2007 for eight primary types of socio-semiotic processes). The major social functions are to build knowledge about rights and obligations regarding privacy and to enact relationship between company and customer through command and request. Tenor is characterized by the institutional roles assumed by service provider and customer, with unequal power between the two interactants. The writer (service provider) is an expert in the particular information on privacy handling and therefore has power over the addressee (customer), who is novice in this situation. However, the addressee has power to file a complaint or even to terminate the service all together. In regulating customer behavior, the writer is the regulator and the addressee is the one being regulated. In terms of mode, privacy policy is a formal written monologic text published on the web channel with language assuming the constitutive role in construing experience.

### 3.2 Global organization

A rhetorical-relations analysis of the six sample texts reveals that the global organization for privacy policy resembles that of a taxonomy expounding text, which is characterized by a generic structure of *General Statement ^Description* based on nucleus-satellite relations (Matthiessen, 2015). A General Statement that introduces the subject matter of the privacy policy is realized by a global nucleus e.g. *This Privacy Policy describes how and when Twitter collects, uses and shares your information when you use our Services (Twitter),* and the Description is realized by a global satellite. The global satellite comprises the remainder of the text organized in 'additive' series of segments, which are categorized under headings in noun phrases that correspond to the verb elements in the General Statement. For example, headings such as *collection and use of information* and *sharing of information* correspond to *Twitter* ***collects***, ***uses*** and ***shares*** your information in the General Statement. The rest of the text then develops through elaborating and extending relations to provide details for each component part of the policy. See Figure 4 for a diagrammatic illustration of the nucleus-satellite structure of an example of the global organization of English privacy policy under the system of RHETORICAL RELATIONS.

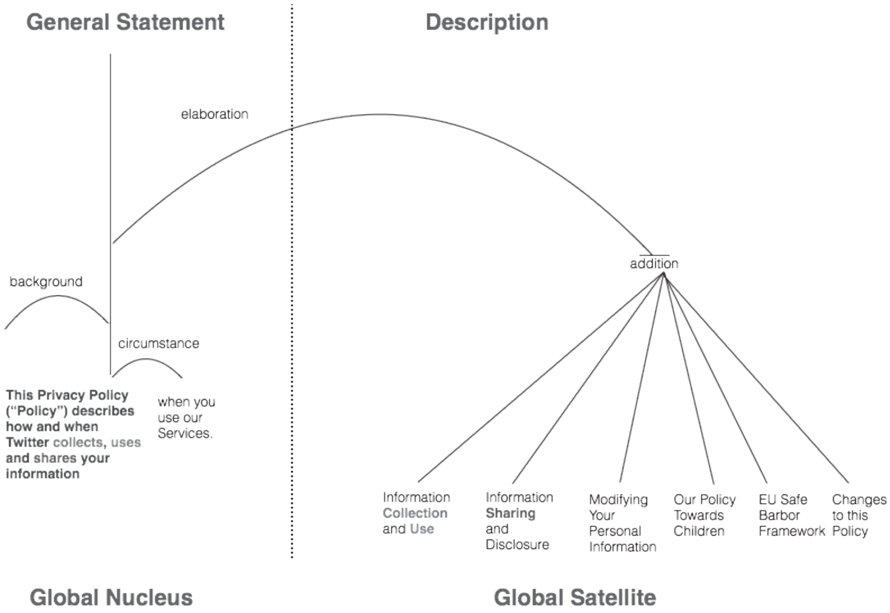



**Figure 4: Global organization of privacy policy under the system of RHETORICAL RELATIONS (Twitter privacy policy)**

However, since privacy policy is subject to ongoing update and revision to comply with the changing privacy laws and regulations, the sections under Description may expand and not directly correspond to the exact wordings in the General Statement. In some instances, General Statement may contain wordings that are general e.g. *Handling of Personal Information in Telecommunication (Softbank*), in which *handling* is an umbrella term that can include various actions including collecting, using, sharing, etc. Nonetheless, the 'additive' series of satellite do contain corresponding sections that describe the different aspects of 'handling' of personal information such as *purpose of use* and *sharing*. Other sample texts employ a combination of specific and general wordings to indicate to the reader what to expect in the Description. e.g. *This Privacy Statement addresses what personal information we* ***collect*** *and how we* ***handle*** *the personal information* ***shared*** *with us (General Motors)*. Moreover, three out of six privacy policies contain an optional *Background* section, which sets the scene for the *General Statement*. The potential generic global organization of privacy policy can therefore be further refined to *[Background] ^ General Statement ^ Description*.

### 3.3 Local organization

Considering the functional diversity within privacy policy, a sub-section "Information Collection and Use" (Texts 1&2) is selected for the analysis of rhetorical relations at the local level as well as comparative analysis between

Japanese and English. The macro-structure of the sub-section also resembles that of the overall generic structure of *General Statement ^ Description* (See Figures 5 & 6). In terms of logico-semantic type, the text is organized mainly through expansion dominated by enhancing relations in both languages. No projection is found in this sample text (see Table 2).

English: enhancing 48% > elaborating 37% > extending 14%
Japanese: enhancing 48% > extending 33%> elaborating 19%

**Text 1 - Twitter privacy policy "Information Collection and Use" (English)**

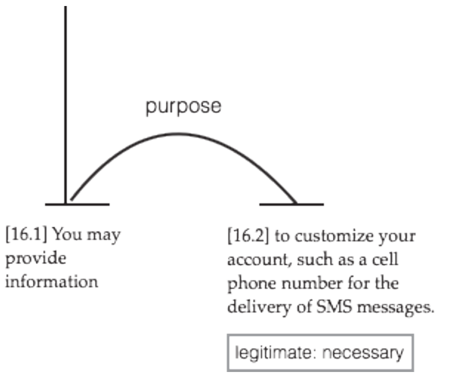
**Information Collection and Use**
[10.1] We collect and use your information below [10.2] to provide our Services [10.3]and to measure and improve them over time.
**Basic Account Information**: [11.1]When you create or reconfigure a Twitter account, [11.2] you provide some personal information, such as your name, username, password, and email address. [12.1] In some cases, you may be required to provide your phone number, [12.2] for example, to use Twitter via SMS [12.3] or to help us prevent spam, fraud, or abuse. [13]Your name and username are listed publicly on our Services, including on your profile page and in search results. [14] Some Services, such as search and public user profiles, do not require registration.
**Additional Information**: [15.1] You may provide us with profile information [15.2] to make public, such as a short biography, your location, your website, or a picture. [16.1] You may provide information [16.2] to customize your account, such as a cell phone number for the delivery of SMS messages. [17.1] We may use your contact information [17.2] to send you information about our Services [17.3] or to market to you. [18.1] You may use your account settings [18.2] to unsubscribe from notifications from Twitter. [19.1] You may also unsubscribe [19.2] by following the instructions contained within the notification or the instructions on our website. [20.1] We may use your contact information [20.1] to help others find your Twitter account, including through third-party services and client applications. [21] Your privacy settings control whether others can find you by your email address or cell phone number. [22.1] You may choose to upload your address book [22.2] so that we can help you find Twitter users you know [22.3] or help other Twitter users find you. [23] We may later make suggestions to you and other users on Twitter based on imported address book contacts. [24] You can delete your imported address book contacts from Twitter at any time. [25.1] If you email us, [25.2] we may keep your message, email address and contact information [25.3] to respond to your request. [26.1] If you connect your Twitter account to your account on another service [26.2] in order to cross-post between Twitter and that service, [26.3] the other service may send us your registration or profile information on that service and other information that you authorize. [27.1] This information enables cross-posting, [27.2] helps us improve the Services, [27.3] and is deleted from Twitter within a few weeks of your disconnecting from Twitter your account on the other service. [28] Learn more here. [29] Providing the additional information described in this section is entirely optional.

**Table 2: Frequency counts of rhetorical relations in English source text and Japanese target text of Twitter's "Information Collection and Use" section.**

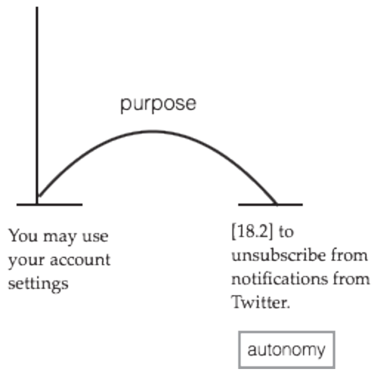
| **Logico-semantic type** | | **Nuclearity** | | **English** | | **Japanese** | |
|---|---|---|---|---|---|---|---|
| **primary** | **secondary** | **nucleus-satellite** | **multi-nuclear** | count | % | count | % |
| expanding | elaborating | elaboration | | 4 | 14% | 5 | 19% |
| | extending | | addition | 10 | 35% | 8 | 29.5% |
| | | antithesis | | 1 | 3% | 1 | 3.5% |
| | enhancing | condition | | 2 | 7% | 0 | 0% |
| | | purpose | | 9 | 32% | 6 | 22% |
| | | circumstance | | 1 | 3% | 5 | 19% |
| | | motivation | | 1 | 3% | 1 | 3.5% |
| | | enablement | | 1 | 3% | 1 | 3.5% |

Within the enhancing type, the purpose relation is most frequent in both languages. It is observed in the sample text that rhetorical relations of the enhancing type function to increase addressee's inclination to accept or acknowledge propositions by legitimizing events that open up the privacy boundary *You may provide information*, arguing that it is necessary *to customize your account…* (see Example 1), or by increasing the addressee's ability *You may use your account setting* to accept the proposal of providing autonomy *to unsubscribe from notifications from Twitter* (Example 2).

**Example 1**




**Example 2**




**Text 2-Twitter privacy policy "Information Collection and Use" (Japanese)**

***joohoo no shuushuu oyobi shiyoo***

*[11.1Twitter wa service no teikyoo oyobi kongo no service hyooka to koojoo o mokuteki to shite, [11.2] ika no User joohoo o shuushuu shi, [11.3] shiyooshimasu.*

***kihon account joohoo****: [12.1] Twitter account o sakusei mata wa saisettei suru baai, [12.2] shimei, User mei, password, mail address nado no kojin joohoo o goteikyoo itadakimasu. [13] baai ni yotte wa, SMS keiyuu de no Twitter no shiyoo ya, spam, gisa, iyagarase no booshi nado no tame ni, denwa bango no goteikyoo o onegaisuru koto mo arimasu. [14] shimei ya User mei wa, gojishin no profile page ya kensaku kekka nado no service joo de kookai saremasu. [15]kensaku, kookaisareteiru user profile nado ichibu no service wa, tooroku fuyoo de goriyoo itadakemasu.*

***tsuika joohoo****: [16] kantan na jikoshookai ya, ichijoohoo, gojishin no website ya shashin nado, kookai suru profile joohoo o Twitter ni teikyooshite itadaku baai ga arimasu. [17] SMS message o jushin suru tame no keitai denwa no bangoo nado, gojishini no account o customize suru tame no joohoo o goteikyoo itadakubaai mo arimasu. [18.1] Twitter wa, service ni kansuru joohoo o sooshin suru baai ya service no goshookai o suru baai ni, [18.2] gorenraku saki joohoo o shiyoo suru mono to shimasu. [19] User ni wa jishin no account settei page de, Twitter kara no tsuuchi o kaijo dekimasu [20] mata, tsuuchi no kaijo wa, Twitter kara no tsuuchi mata wa Twitter website ni shijisarete-iru tejun ni shitagatte okonau koto mo dekimasu. [21] Twitter wa daisansha no service ya client application keiyuu nado, User no Twitter account o kensaku dekiru yoo ni suru mokuteki de, User no gorenraku saki joohoo o shiyou suru mono to shimasu. [22] mail address mata wa keitai denwa bangoo o tsukatta hoka no User ni yoru kensaku wa, privacy settei page de seigen dekimasu. [23] address choo o upload suru koto mo dekimasu. [24.1] address choo wa, shiri-ai no Twitter User o mitsuketari, hoka no Twitter User ga anata o mitsuketari-suru sai ni [24.2]yakutachimasu.*

*[25] Twitter wa, import-sareta address choo no renraku saki no motozuki, follow suru User o osusume-itadaku koto ga arimasu. [26] Import-sareta address choo wa, itsu demo Twitter kara sakujo dekimasu. [27.1] Twitter ni mail o okuri-itadaku baai, [27.2] otoiawase ni kaitoosuru tame、[27.3] ookuri-itadaita message, address oyobi gorenrakusaki joohoo o Twitter ga hokan dekiru mono to shimasu. [28.1] Twitter to betsu no service ni dooji kakikomi (double post) o okonau tame ni,、[28.2] User ga betsu no service no account ni Twitter account o setsuzoku shita baai,[28.3] hoka no service wa, tougai service ni okeru User no tooroku joohoo mata wa profile joohoo oyobi User ga ninshoo suru sono ta no joohoo o Twitter ni sooshin dekimasu. [29.1]konojoohoo ni yotte dooji kakikomi (double post) ga kanoo to nari, [29.2] service no koojoo ni mo yakutachimasu.[30] nao, konojoohoo wa hoka no service de Twitter to setuzoku shinakunatte kara suushuukan inai ni Twitter kara sakujo saremasu. [31] shoosai wa, kochira o goran-kudasai. [32] honkoo kisai no tsuikajoohoo no teikyoo wa, kanzen ni nin-i to narimasu .*

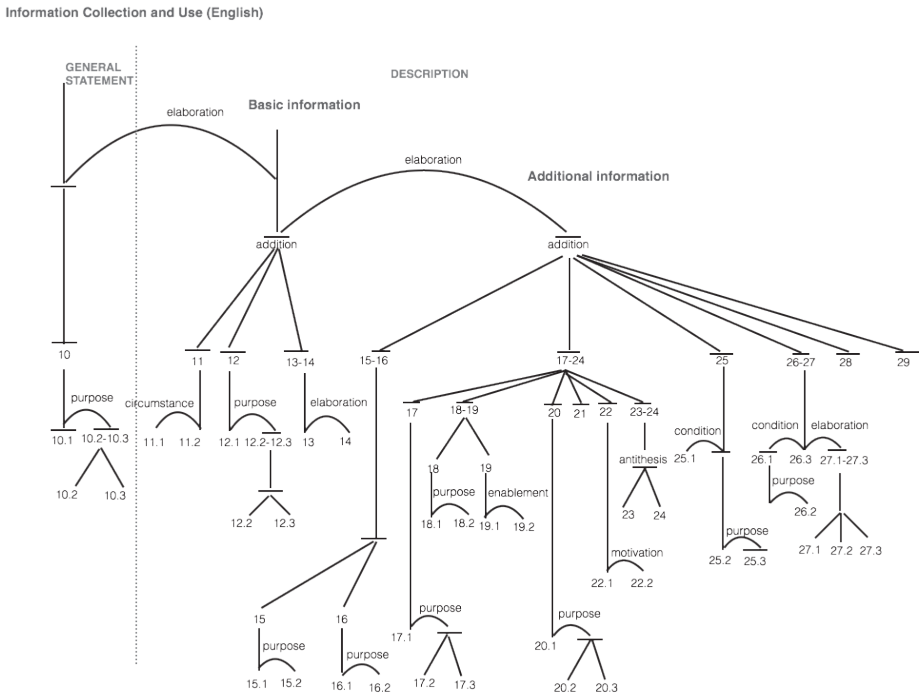



**Figure 5: Rhetorical relations of “Information Collection and Use” –English**

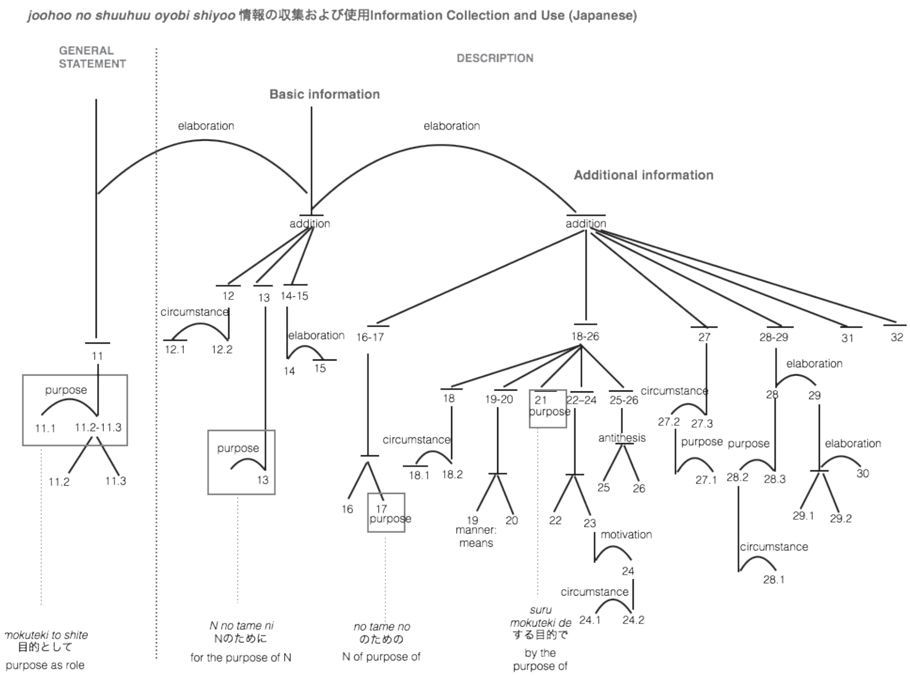



**Figure 6: Rhetorical relations of “Information Collection and Use” - Japanese**

While in English original text, all of the rhetorical relations are realized directly by the grammar in structural conjunctions such as *to* for purpose relations, *if* for condition relations, etc., most of the purpose relations (four out of six instances, see clauses 11, 13, 17, 21 in Figure 5) in the Japanese target text are realized in the enhancing noun *mokuteki* 目的 'purpose' or noun phrase using *no tame* 'purpose of'. Let's take a look at one of the examples and compare the Japanese target to its English original.

**Example 3: English source text: clauses [10.1-10.3]**

| Semantics | | Lexicogrammar | |
|---|---|---|---|
| Rhetorical Relations | | TAXIS | Logico-semantic |
| Nucleus | [10.1] We collect and use your information below | α | |
| Satellite (purpose) | [10.2] to provide our Services | ×β 1 | purpose |
| | [10.3]and to measure and improve them over time. | +2 | additive |

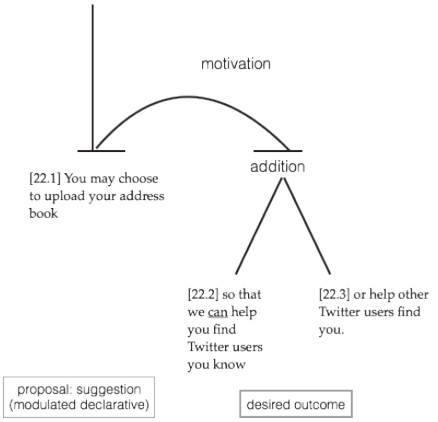
**Example 4: Japanese target text: clauses [11.1-11.3]**

| Semantics | | Lexicogrammar | |
|---|---|---|---|
| Rhetorical Relations | | TAXIS | Logico-semantic |
| Satellite (purpose) | [11.1]Twitter はサービスの提供および今後のサービス評価と向上を**目的**として、<br>*Twitter wa service no teikyoo oyobi kongo no service hyooka to koojoo o mokuteki to shite,*<br>Twitter regards the provision of service and the evaluation and improvement of service as our purpose, | β× | temporal: progressive |
| Nucleus | [11.2] 以下のユーザー情報を収集し、<br>*ika no user joohoo o shuushuu shi,*<br>and collects the user information below, | α 1 | additive |
| | [11.3] 使用します。<br>*shiyoo shimasu.*<br>and uses (the user information below). | 2+ | |

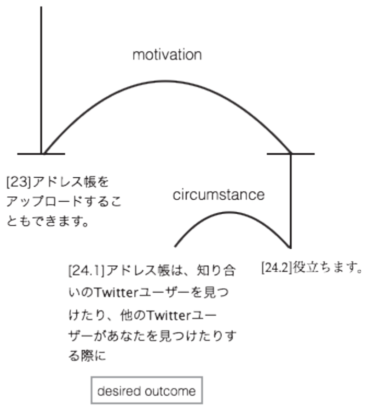
The purpose relations in example 4 is realized by the enhancing noun *mokuteki* 目的 'purpose', which is assigned the experiential role of Identifier in an "assigned" type of relational clause where the two events organized as satellites are also nominalized as *service no teikyoo* サービスの提供 'the provision of service' and *service hyooka to koojo* サービス評価と向上'the evaluation and improvement of service' to support the nucleus [11.2 – 11.3] Other indirect realization of purpose relations through enhancing nouns including clauses [13] *no tame ni* ‘purpose of’, [17] *no tame no* ‘of the purpose of’ and [21] *suru mokuteki de* ‘by means of purpose of’ (as highlighted in Figure 4.10).

Since privacy policy is a regulating text, the success of the text also relates to the tenor or the interpersonal relationships that are enacted the in the context of situation. In this case, the internal rhetorical relations such as motivation and enablement that organizes proposals in the form of suggestion and recommendation function to increase the addressee’s readiness to comply with the proposals.

**Example 5**




**Example 6**




In English (example 5), the nucleus realized in a proposal (suggestion) [22.1] *You may choose to upload your address book* is motivated by a desired result realized in the satellite [22.2] *we can help you find Twitter users you know*. The rhetorical relation of motivation is realized grammatically by structural conjunction *so that* to indicate the causal relation at the lexicogrammatical level, which functions as a motivation to accept the proposal at the semantic level. However, in Japanese (example 6), the same motivation relation is realized indirectly through Thematic development and lexical cohesion by repeating the lexical item *adoresu choo*アドレス帳 ‘address book’ as Goal in [23] that the customer is empowered to *upload* through modalization of ‘ability’ *upload suru koto ga dekimasu* and also as Theme in [24.1] and Subject that helps to achieve a desired outcome described in the satellite.

## 4. Concluding remarks

Rhetorical relations are useful resources in identifying strategies employed to organize text to achieve the intended objectives as defined by its contextual environment. In privacy policy, the main activities in the field are to explain and regulate privacy. A generic global rhetorical structure of *[Background] ^ General Statement ^ Description* is identified from the sample texts. The global nucleus is realized in a General Statement, which is elaborated by a global satellite in the form of a Description organized in an ‘additive’ series of text segments that develop the remainder of the text. This pattern of global organization is typical in corporate legal texts such as ‘Terms and Conditions’ and ‘Privacy Policy’. At the local level, attributing to the success in explaining and regulating privacy are enhancing relations such as *purpose* relations that increase the addressee’s acceptance of the propositions to ‘provide or disclose personal information’ through satellites that are presented as legitimate and beneficial, and *motivation* and *enablement* relations that increase addressee’s acceptance of proposals. Additive relations organize satellites that are of equal weights into taxonomy of propositions to guide addressee from one component to another. Rhetorical relations help construct a rhetorical map to guide the addressee through the logical development of the text. However, they are also influenced by the lexicogrammatical resources in which they manifest, especially when different languages have different preferences in the selection of lexicogrammatical resources due to structural, contextual and socio-cultural constraints.

In this study, it is observed that rhetorical relations are comparable between Japanese and English at the global level. However, at the local level, difference in lexicogrammatical choices between the two languages start to emerge at increasing levels of delicacy. For example, in realizing purpose relations, Japanese has a general tendency to select lexical items such as an enhancing noun (see example 4) or Theme and lexical cohesion (see example 6) instead of structural conjunction as preferred by English. The preference in the linguistic selection in Japanese could be structurally and registerially motivated. In written legal discourse, the identifying relational process is commonly selected over material process as it gives the speaker the power as the ‘regulator’ who legitimize the act by assigning identity and attribute to events instead of directly involving in the event as Participant e.g. *service no teikyoo o mokuteki to shite* ‘we consider the provision of service as the purpose’ is selected over the congruent way *service o teikyoo suru tame* ‘in order to provide service’ (see example 4). This kind of selection is consistent across Japanese whether in source text or target text within the sample data, indicating that to fully uncover the rhetorical strategies in Japanese corporate enabling text, textual analysis may provide complementary perspectives in addition to logico-semantic type. The next step is to extend the study to include a systematic investigation of textual realization of rhetorical relations through the system of THEME & COHESION and to verify findings with Japanese as source and target text with reference to English equivalents.

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# A Survey of Travel Reviews for <Mount Fuji Fifth Station> Entered on TripAdvisor.com in August, 2014

**David Dykes**
**Yokkaichi University**

**Abstract**

Martin and Rose's (2008) repertory of *instructing* and *informing* text-types has been influential in Systemic Functional text studies for some years, and has helped to provide attainment goals for first-language writing training and, to some extent, in second-language learning as well. However, only certain widely used text types have been singled out for attention, and the ones that have been chosen are often treated in ways that are more firmly fixed than is realistic. A more conceptual and less institutional approach to potential text types is also needed, at least as a corrective, and that is being supplied recently through the work of Matthiessen, Teruya and Lam (2010) on text-types understood as a typology of what is possible. In this presentation I consider this problem of how to deal with these less fixed text functions and patterns in the form of a small survey of the sorts of travel reviews currently found on the TripAdvisor website.

## 1. Fields of socio-semiotic process and activity

In a previous conference presentation to this association (Dykes, 2014) I commented on a 'topological' approach to the analysis of socio-semiotic field processes perfected some five years ago by Matthiessen, Teruya and Lam (2010: 95-96) and now integrated into mainstream SFL theory (Halliday and Matthiessen, 2014: 39-40). This approach has since been applied to a varying range of social contexts (e.g., Chik, 2013) to provide a base for text comparisons in many fields of activity and language use. At its simplest, it confronts the analyst with a choice among eight 'process' or 'activity' categories of *expounding*, *reporting*, *recreating*, *sharing*, *doing*, *enabling*, *recommending* and *exploring*, which can be set out conceptually as segments on a wheel of interaction patterns:

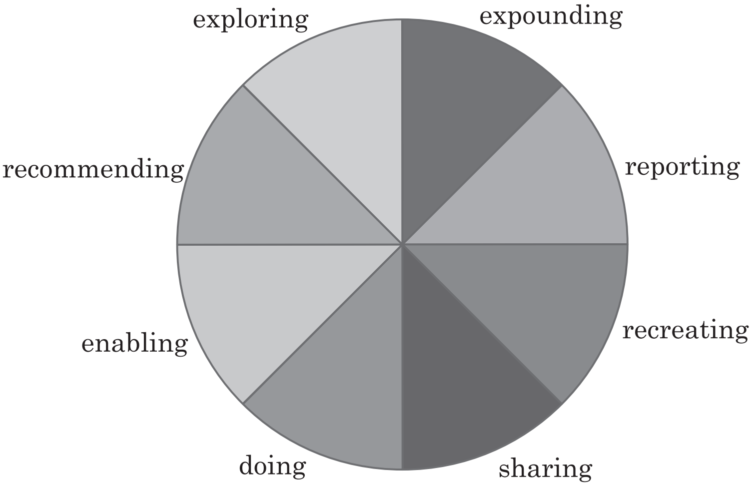


**Figure 1: Field – socio-semiotic process (activity) represented as a topology (Halliday, rev. Matthiessen, 2014: 37, simplified)**

My arrangement of this figure differs in two respects from the one found in Halliday and Matthiessen. For one thing, I have rotated it 22½ degrees clockwise, so that the vertical axis does not bisect the ‘expounding’ and ‘doing’ segments at top and bottom, but follows the dividing line between ‘exploring’ and ‘expounding’ at the top and ‘doing’ and sharing’ at the bottom. It seems to me that this helps to reveal an implied division between processes of ‘proposal’ (with goals in action or outcome) on the left side of the axis and processes of ‘proposition’ (with goals in representation or experience) on the right. This in turn helps to relate the figure to the fundamental division into ‘instructing’ (left) and ‘informing’ (right) in Martin and Rose (2008: 7) and, long before that, to the division into exchanges of ‘directing’ (for outcomes in action) and ‘informing’ (for outcomes in knowledge) in Sinclair and Coulthard (1975: 28). The terms ‘proposal’ and ‘proposition’, the reader will probably have noticed, come from the discussion of primary speech functions in Halliday and Matthiessen (2014: 138-139), which derives in turn from the primary division of clause functions into imperative and indicative.

My second modification of the figure is that I have simplified it by leaving out an outer ring in which each process type is more divided into subtypes. My purpose here is to make the representation less cluttered and more practical. But for completeness’ sake, let me specify that ‘doing’ in the original figure is divided into subtypes of collaborating or directing; ‘enabling’ into regulating or instructing; ‘recommending’ into advising or promoting; ‘exploring’ into reviewing or arguing; ‘expounding’ into explaining or categorizing; ‘reporting’ into inventorying, surveying or chronicling; ‘recreating’ into narrating or dramatizing; and ‘sharing’ into the sharing of either experiences or values. Finally, there is also a complication to note in the evolution history of the figure. The segments for ‘enabling’ and ‘recommending’ in Halliday and Matthiessen (2014) began the other way round in

Matthiessen, Teruya, and Lam (2010: 221). My surmise is that this change in order was so as to allow ‘enabling’ to be represented as a step up in complexity from directing or collaborating, with ‘recommending’ as a step up again, requiring a fuller evaluation of purpose. If this is so, ‘exploring’ in the 2014 version is a ceiling-level process of reviewing such purposes and arguing for them.

In my last presentation (Dykes, 2014: 29-30), I used this division into ‘proposals’ and ‘propositions’ as a key for looking back over past grammatical theory and examining relations between the grammar of mood and the pragmatics of speech function. Here, I note this only in passing, without going into detail. My aim this time is the more practical one of using the categories in the topology wheel (as modified in Figure 1) as a basis for identifying distributions of functions in a corpus of user-generated ‘reviews’ from a one-month period (August, 2014) for the attraction the ‘Fifth Station of Mount Fuji’ on the website *TripAdvisor*. As recorded above, Matthiessen, Teruya and Lam (2010: 92) locate ‘reviewing’ on the outer ring of their topology wheel as a subtype of ‘exploring’, specifically the exploring of ‘societal values in public’. But as we shall see, the texts actually posted as reviews on the *TripAdvisor* site also include passages of ‘expounding’, ‘recommending’, and especially ‘sharing’. To ascertain how these actual hybrid reviews fit in with the primary process or activity types presented in the topology, I will need first to survey what types, or combinations of types, can be identified as recurring most often.

## 2. Sharper and looser interaction purposes

One of the creators of the Fig. 1 topology diagram has confirmed to me in a private conversation that the arrangement of the categories in it did not depend on a prior scheme of ordering (Teruya, 2013: private conversation). I am ready to accept, at any rate, that it was not constructed, in the way that Martin and Rose’s (2008: 22) ‘repertory’ of text genres was, from an ordered sequence of binary distinctions such as ‘things/events’ or ‘specific/general’. Nevertheless, it seems unescapable that the division into proposals on the left and propositions on the right is a hard fact, and that the processes are motivated more simply (towards doing / sharing) at the bottom and more complexly (towards exploring / expounding) at the top. If the top left and right segments complement each other as neatly as the bottom left and right ones do, this is because socially complex patterns of ‘exploring’ are as intimately grounded in patterns of ‘expounding’ as simpler patterns of ‘doing’ are in patterns of ‘sharing’. But this is no more than is to be expected in any sort of interaction exchange where ‘instructing’ and ‘informing’ motives are methodically coordinated.

But it is not always the case that parties in an interaction are impelled by matching motives, or even by systemically complementary ones. The exchange of user-generated reviews on a website is an example of an activity that, while closely controlled in procedure and format, can be engaged in for widely diverging purposes. In any one coupling of a review writer with a reader, there is not much to constrain the reader to react to the contents in the way expected by the writer, or to constrain either the writer or the reader to keep to a particular kind of reviewing agenda favoured by the site creator. For one review writer, the main purpose of the review may be to share an experience while for another the point may be more to provide guidance to future visitors or to subject local management failings to public criticism.

And in each case, the reader – if this textual intention is even noticed at all – may choose to be guided by it or to dismiss it as a local case of bad luck or as the private outlook of one person.

One reason for my choice of *TripAdvisor* as a text source is because it also offers an illustration of how the apparently fixed intentions of the site owner may change over time. *TripAdvisor* was created in 2000 as a platform for travel information from various sources, of which the user-generated category proved to be outstandingly popular. The name '*TripAdvisor*' was not meant to be associated with user-generated reviews, however, and no claim has ever been made that self-nominated review writers are a sound source of advice in individual cases. However, this has not held back the growth of a more general perception that even if reviewers are individually misleading, they can be trusted cumulatively if read in sufficient numbers and with an allowance for variable expectations. In this sense, the site owner (since 2004, Expedia Inc.) does appear to offer reviews as a specific information resource rather than as an open site users' forum. Those who distinguish themselves by contributing a sufficient number of ratings or comments can earn themselves status titles such as 'senior advisor', conferred by the owner.

If the site had not become so influential, this consensus-forming function might have gone on working reliably. The system was open to manipulation, however, and eventually evidence began to mount up of positive or negative bogus reviews being posted on a large scale. In 2012, the UK Advertising Standards Authority upheld a group of complaints and ordered *TripAdvisor* to drop its claim of offering 'reviews that you can trust' (http://www.bbc.com/news/technology-16823012). Currently, on the site's homepage (www.tripadvisor.com), 'reviews and advice' are more carefully referred to as two distinct services, and a standard introductory remark at the top of the review form identifies the content preemptively as the writer's private input: 'Your first-hand experiences really help other travelers. Thanks!'

Comparing this standard remark with the descriptions of the eight socio-semiotic processes or activities in Halliday and Matthiessen (2014: 35-36), however, it soon becomes clear that the site owner is taking every step possible to avoid the responsibility of carrying information that can be definitely assigned to any of them. 'First-hand experiences' suggest 'sharing', but in Halliday and Matthiessen's list, this is described as 'sharing personal experiences and values, prototypically in private' – which is far removed from the business-influencing effect of a *TripAdvisor* review. 'Help other travelers' suggests the 'advice' subtype of 'recommending', except that it is not clear – and needs to be kept strictly deniable – that the review is 'recommending some course of activity … for the sake of the addressee through advice'. The name 'review' for the user-generated text seems to connect with the 'reviewing' subtype of 'exploring', which has to do with 'exploring societal values …, prototypically in the public arena', but again, if these are commercially marketed societal values, such as hotel or restaurant services, this would lay the site owner open to charges of unfair interference in business, which probably accounts for why the word 'review' has been replaced here by 'first-hand experiences'. Finally, the signing-off word 'Thanks!' sets the site owner's part in the overall exchange discreetly apart as a secondary (separate-responding) act of 'acceptance' rather than as a primary (shared-initiating) act of advancing whatever proposal or proposition the user-generated review might be claimed to have realised.

In other words, all the elaborate linguistic attention given to the user-generated review just at the point where the writer is invited to compose and post it seems to be calculated to ensure that its socio-semiotic field status cannot be confidently assigned to any one place on the topology wheel. This is not necessarily a failing of the wheel diagram itself. On the contrary, all of this avoidance of clear classification may be a sign that Halliday and Matthiessen's wheel accurately represents usual assumptions in commerce and business that a successful website owner accordingly needs to be able to squirm past linguistically.

My interest here, however, is not with the ambiguous wording of the review writing instructions so much as with the writers' variable understandings of what it is that they are expected to post on the *TripAdvisor* site. My analysis of this, based on a small corpus of eleven examples, will follow in the next section.

## 3. The eight process categories

The categories into which I mean to sort passages in the review texts are the ones in Figure 1 ('doing', 'enabling', 'recommending', 'exploring', 'sharing', 'recreating', 'reporting', 'expounding'), using the recognition criteria in Halliday and Matthiessen (2014: 35-36). But in addition, I wish to make some further remarks about the places of the processes or activities in the wheel. I have already said that, with a shift to the axis, it is possible to divide the wheel into a left-hand half for action or outcome proposals and a right-hand half for representational or experiential propositions. Further, I have noted that the social scope of the processes is more particular lower down and more general higher up. Based on these broad characteristics, I now want to suggest that the figure can be divided into quadrants:

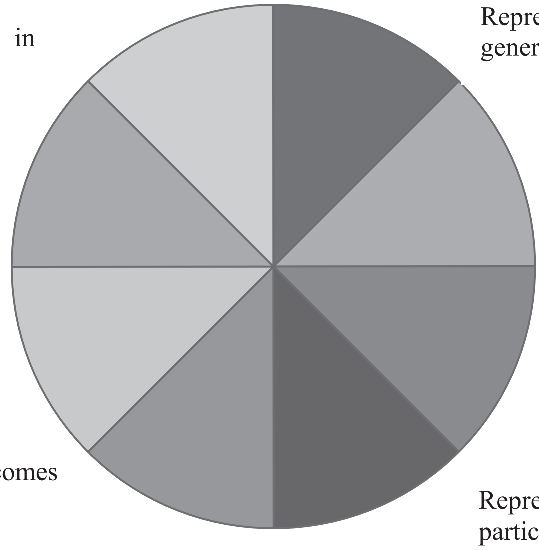


**Figure 2: More general semantics behind the processes (activities) of Figure 1**

Working up clockwise from the vertical axis in the ACTS quadrant, there is a progression from a direct use of actions (in collaborating and then directing) to a use of words in instructing and regulating. A relaxation of coercive power then leads into the VALUES quadrant, starting a reliance on personal authority in recommendation, in the forms of either advising or promoting, and continuing with more appeal to the normative authorities of value reviews and arguments. Then returning back down to the bottom again and working up anti-clockwise from the EXPERIENCES quadrant, the progression up the right-hand side starts from a sharing of particular experiences and emotions to a more public recreation of dramatised or narrated ones. In the FACTS quadrant, this is followed by a similar but now more objective progression from reports of limited factual relations to the much more general activities of categorisation and explanation. And both at the bottom and top ends of the vertical axis, where socialisation is either slight or near-saturated, there seems to be a strong likelihood that the sharing of particular experiences and acts, or the exploration of general reasons and values, will readily blend together.

## 4. Summary of results

Most of the review texts are too long to be discussed fully, so I report my findings in summary, with abbreviated examples. By selecting a travel destination (Mount Fuji, Fifth Station) in the *TripAdvisor* ‘attraction’ category, I have deliberately left scope for a range of text types, not only the overtly evaluative sort that might predominate in reviews of service facilities. As the Fifth Station also happens to be the uppermost limit for bus access to Mount Fuji, I have further allowed for a mixed sample of committed climbers and passing day trippers.

For August 2014, there were 11 reviews for the Fifth Station. I have analysed them into text-type segments ([1], [2], …), generally set off by discontinuities in selections of subject, mood, tense, evaluative language and so on. In two instances (Reviews 6, 8), against my initial intention, I find myself recognising successive but distinct passages of Sharing/experience or Sharing/values, marked off by breaks only in topic continuity. My results for the 11 reviews, in skeletal form, are:

**Review 1** (*Simply stunning!*)
[1] Doing/directing (title), [2] Sharing/values ("beautiful"), [3] Exploring/reviewing (" takes your breath away").

**Review 2** ( *we could not see the mountain, but the whole journey was awesome*)
[1] Doing/directing (title), [2] Recommending/advising ("best option is …"), [3] Sharing/values ("helpful beyond our expectation"), [4] Enabling/instructing ("take bullet train to Odawara"), [5] Sharing/values ("whole journey awesome").

**Review 3** (*so great to hike*)
[1] Doing/directing (title), [2] Doing/directing ("Anyone can do it"), [3] Exploring/arguing ("can be done fast though if one is in shape"), [4] Enabling/regulating ("just don't let your heart rate get too high").

**Review 4** (*The best view ever*)
[1] Doing/directing (title), [2] Sharing/values ("the view was perfect")

**Review 5** (*When in Tokyo, Visit Mt. Fuji*)
[1] Doing/directing (title), [2] Expounding/categorising ("An iconic Japanese destination…"), [3] Recommending/advising ("you gotta visit Mt. Fuji"), [4] Sharing/values ("a colorful energetic place…"), [5] Enabling/instructing ("you can walk the start of the trail…"), [6] Recommending/advising ("Take the bus from Tokyo, enjoy the scene…").

**Review 6** (*I WAS IMPRESSED TO SEE MT FUJI*)
[1] Doing/directing (title), [2] Sharing/experience ("I was on a day tour…"), [3] Sharing/experience ("We were allowed 20 minutes…"), [4] Sharing/values ("to experience the buzz of people…"), Exploring/reviewing ("the Hakone Day Tour should not have been included with Mt. Fuji Tour").

**Review 7** (*One of my two biggest disappointments in Japan*)
[1] Doing/directing (title), [2] Sharing/experience ("it was cloudy"), [3] Exploring/reviewing ("It's becomed a tourist attraction for Japanese people."), [4] Reporting/surveying ("in groups of 30 people in all ages, making it almost impossible to get by"), [5] Sharing/experience ("I was so disappointed").

**Review 8** (*MT FUJI, JAPAN'S SYMBOL*)

[1] Doing/directing (title), [2] Expounding/categorising ("The UNESCO World Heritage City site …"), [3] Expounding/explaining ("a stratovolcano surrounded by 5 very beautiful lakes…"), [4] Reporting/surveying ("From here on wards, no vehicles are permitted…"), [5] Sharing/values ("lucky to get a glimpse…"), [6] Sharing/values "a colorful and energetic feel to the place…"), [7] Recommending/advising ("Don't forget to bring your raincoat").

**Review 9** (*One of the highlights of my long stay in Japan!*)
[1] Doing/directing (title), [2] Expounding/categorizing ("Japanese people visit the mountain as a form of pilgrimage"), [3] Sharing/experience ("we enjoyed it thoroughly!"), [4] Sharing/values ("The climb was quite nice"), [5] Reporting/surveying ("The seriously difficult part…"), [6] Sharing/experience ("took us just over 8 hours…"), [7] Sharing/values ("The views were stunning"), [8] Sharing/experience ("My knees started hurting"), [9] Sharing/values ("Would I do it again? ABSOLUTELY YES!!").

**Review 10** (*A complete trip to Tokyo when stood in front of Mt Fuji taking picture!*)
[1] Doing/directing (title), [2] Sharing/experience ("I joined a day tour to Mt Fuji"), [3] recommending/advising ("important to bring a jacket along"), [4] Sharing/experience ("didn't have the chance to fully explore the shops…"), [5] Exploring/arguing ("Though joining day tour is the easiest way…").

**Review 11** (*Climbed Mt Fuji and started from here*)
[1] Doing/directing (title), [2] Expounding/categorising ("the place to stock up for climbing needs…"), [3] Exploring/reviewing ("Chance of getting clear sky … is highly dependent on the weather").

## 5. Discussion of results

Without going into any fine detail at all, a number of interesting general points can be made about the results of this small survey.

### 5.1 The titles of the review texts

The title is an obligatory element in the set form that is used for posting a review to *TripAdvisor*. Of the 11 examples, six (Reviews 1, 2, 4, 7, 9 and 10) express reactions to Mount Fuji that are also expressed in the body of the review. Another two (3 and 6) express reactions that are not so obviously in the reviews. Two others (8 and 11) assert the status of Mount Fuji, while the remaining one (5) offers practical advice. More generally, it is not easy to decide how the function of title announcement should fit into the topology of Figure 1. My view is that it is the writer's way of 'directing' the reader to the reference and discourse intention of the review, and thus fits most easily into the 'doing' part of the diagram.

### 5.2 Occurrences of socio-semiotic processes or activities in the review texts

On the basis of the results recorded, and excluding titles, 'Sharing' is by far the most common activity pursued in these review texts, with 20 instances (11 of value sharing, nine of experience sharing). This is not a surprising result, but it may be encouraging to rating website owners: writers of reviews for *TripAdvisor* are not primarily setting themselves up as advisors, at any rate not in cases where the thing being asked about is an 'attraction'. But this may not be a finding that can be simply transferred to reviews of service in hotels and restaurants.

Three other processes or activities figure in the review texts with smaller scores of five or six each. These are processes of 'exploring' (four of reviewing, two of arguing), 'recommending' (five of advising), and 'expounding' (four of categorising, one of explaining). The fact that these occur less frequently may not signify much, of course. It is reasonable to think that shared values and experiences are of minor interest when offered one by one and are likely to be delivered in series.

Other processes are of only occasional importance. There are three instances of 'reporting' (all of them surveys, e.g. of current climbing conditions) and three of 'enablement' (two of instructing and one of regulating). Finally, there is a case where a review title is further elaborated on, which on the way of reading adopted above counts as the writer 'doing' something to direct the reader. Processes of 'recreation' (narration or enactment) play no part at all in the small corpus.

There is not enough data here to allow much to be added in the way of fine detail. If the 'sharing' of experiences and values is a staple of most user-generated review writing, as seems to be indicated, the balance maintained among the 'exploring', 'expounding' or 'recommending' functions could well be what most decisively distinguishes one way of review writing from another. It is also worth noticing that while 'expounding' characteristically comes at the start of a review, recommending, and to some extent 'exploring', are more likely to come later.

Despite the use of the name 'review' to designate the short texts posted by users on sites such as *TripAdvisor*, there appears to be no standard regarding what kinds of proposals or propositions are obligatory or optional in this kind of activity. While review writer number 3 constructs a whole text out of value and action proposals, writer 9 comes close to delivering one in categorising, reporting, and sharing propositions.

## 6. A word of conclusion

Compared with the assumptions in a work such as Martin and Rose (2008) that a text written in a certain genre (for the due accomplishment of a certain social goal) will have a form that is basically stable enough to be taught and learnt, a travel review is not fixed enough in its purposes to be tied down to a particular objective or layout. It can be anything from a personal blog to a reasoned recommendation. For an analysis task of this indeterminate sort, the topology wheel figure developed by Matthiessen, Teruya and Lam (2010) and adapted with minor modifications in Halliday and Matthiessen (2014) provides a useful resource for identifying how the review writer has chosen to undertake the review writing task in any actual given case. At least with the 11 examples examined without any subjective pre-selection in this small study, the socio-semiotic categories in the topology wheel appear to fit the data well enough, and allow the characteristics of the various different reviews to be ascertained and compared. This work can be carried out without any preassumptions as to what a *TripAdvisor* review is or should be, and therefore clearly has a valuable place to fill in discourse and text studies. I look forward to pursuing further studies of this sort with hard-to-define text types in the near future.

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# 絵本における見開きを単位とした
# 多層的意味構築の様相
# The Dynamics of Multilayer Meaning-Making on a Double-Page Spread in a Picturebook

奥泉香
**Kaori Okuizumi**
日本体育大学
**Nippon Sport Science University**

**Abstract**

In an advanced information society, texts that learners read and write are structured in a multimodal manner, not by characters alone. Kress & van Leeuwen (1996, 2006) defined the word “mode” as semiotic resources, and in particular have placed emphasis on “multimodal” literacy in their research. Unsworth and Cleirigh (2009) also stated the importance of “multimodal” literacy in school curricula. In the field of language education, many researchers have argued the importance of a multimodal approach as one of the ways to read picturebooks as bimodal texts.

This paper explores the dynamics of multilayer meaning-making from picturebooks as bimodal texts. It also examines how the frameworks of SFL will help readers to make meaning from these texts. For that purpose, this presentation focuses on a double-page spread in a picturebook, and exemplifies the processes of meaning-making from it.

## 1. はじめに

学習者を取り巻くテクスト環境は、大きく変化してきている。オーストラリアの言語教育研究者 Unsworth and Cleirigh(2010)は、その変化の中でも、特に「紙媒体においても電子媒体においても、多モード(multimodal)化の傾向を無視することはできず、この点を考慮した学習内容・学習方法の再構築を検討する必要がある」と述べている(Unsworth and Cleirigh, 2010:151-164)。モードとは、この場合歴史的な流れの中で、意味構築のために社会・文化的に形成されてきた「物質の潜在的可能性から選択された記号資源(semiotic resources)」(Kress, 2005:5)のことである。そしてテクストの多モード化とは、これまで言語、特に文字を中心として生成され意味構築されてきたテクストが、映像や音声、またそれらの配置関係等といった他の記号資源を複合的に組み合わせて生成され、意味構築されてきている状態を指す。

こういった流れを受けて英語圏を中心とする母語教育の教育課程においては、1988 年英国（イングランド及びウェールズ）の教育改革法によるナショ

ナルカリキュラム [1)]の策定を皮切りに、カナダ、オーストラリア連邦、アメリカ合衆国 [2)]等において、テクストの多モード化に対応する学習内容を、系統的に扱うための領域や下位領域を設定する試みが重ねられ改定されてきている（奥泉, 2006）。そしてこの種の学習を有効に実現するための学習材の開発や学習方法の整理・検討も盛んに行われてきている。

こういった背景を受けて、本研究では上述の多モードテクストの一種類であり、絵と言葉という 2 種類の異なるモード間から意味構築を体験・学習することのできる絵本に焦点を当てて、特に見開きを単位とした意味構築の様相を検討する。そしてその過程において、選択体系機能理論のどのような枠組みが、どのような絵本からの意味構築の可能性や、学習の可能性を拡げることができるのかを検討・例示する。

## 2. 検討の対象とする例示絵本

分析の対象として、本稿では絵本『満月をまって』[3)] を選定し使用する。それは、以下のような理由による。一つめの理由は、この絵本が、本稿でメタ言語として使用する選択体系機能理論の枠組みを学習・使用できる発達段階の学習者にも、充分検討し得る価値を含んだ絵本であると考えられるからである。この絵本は、2.1 でも示すように、実在していた社会的グループに焦点を当てたテーマを扱っている。

また、二つめの理由は、この絵本の絵や言葉の部分が、特殊な筆致やレイアウトで描かれていないためである。例えば絵の部分が、特殊な筆致や方法で描かれたり、省略されたりしていないため、この絵本で分析した事は、多くの他の絵本に適応できると考えられる。また言葉の部分も、見開き内における提示の仕方が、所謂ポストモダン絵本と呼ばれるような、特殊な組み合わせ方で提示されていないため、このことからも、本稿で検討した内容が、他の多くの絵本に対しても広い汎用性を期待できると考えたからである。

### 2.1　例示絵本の概要

本稿では上述のような理由で、『満月をまって』を選択し使用する。特に分析では、この絵本のクライマックス部に当たる場面(pp.17-18)に着目して分析・検討を行う。

#### 2.1.1　粗筋

この物語は、百年以上前にコロンビア郡の山間に住んでいた実在の人々をモデルにした物語である。その人々は「風の声」を聞き、山の木で丈夫な籠を作る能力と技術を持っていた。そして人々は、籠を作ってはニューヨーク州のハドソンに売りに行き、現金収入を得て生計を立てていた。

主人公の少年はその中で成長し、父や叔父の籠作りの能力や技術に憧れ、そのことに誇りと憧れを持って大きくなる。しかし、やっと憧れの籠作りの手伝いができるようになり、父とハドソンの町に籠を売りに行けるようになった少年は、その初めての帰り道、町の男たちに蔑むような言葉を浴びせら

れてしまう。今まで誇りに思っていた籠や父、叔父たちをあざ笑われてしまったのである。

それ以来籠作りは少年にとって色褪せて見え、憧れの対象ではなくなってしまう。暫く悶々とする少年。しかし叔父の言葉や「風の声」を実感できるようになった少年は、葛藤を乗り越え再び自分が大切に思ってきた籠作りに誇りを持ち直す。その姿が絵と言葉で表現されている。

### 2.2　分析に用いる見開きの場面

本稿で検討するのは、上述の粗筋に対応させて示すならば、主人公の少年が初めて父とハドソンの町に籠を売りに行けるようになり、その帰り道に町の男たちに蔑むような言葉を浴びせられてしまう場面である(pp.17-18)。この見開きには、左半分にページを超えるように広場の様子が描かれている。草木の美しい緑色と、中央の白と水色の噴水、そして噴水を巡るように整備さ

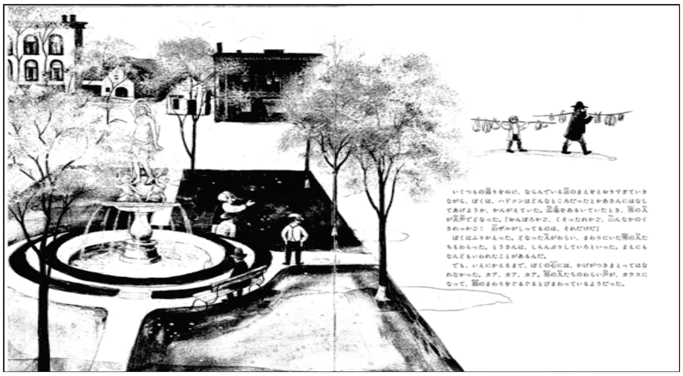


**図 1 :『満月をまって』(pp.17-18)**

れた白い道が十字の形に延びている。手入れされた芝生の上一面には、小さな丸いタンポポのような花も咲いている。背景には、煉瓦色とクリーム色の家々が整然と並んでおり、陽射しが明るい広場の光景である。

## 3. 見開きにおける絵の部分(image)からの意味構築

まず、上掲の見開きの絵の部分について、どのような意味を構築することができるのかを、選択体系機能理論を絵本に援用した Painter et al. (2013)の枠組みを参照しながら考えてみる。そしてその後、それらと言葉の部分との関係からの意味構築について検討する。

具体的には、選択体系機能理論における次の三つのメタ機能の観点から、例示の見開きについて、どういった意味が構築できるのかを検討する。

① 観念構成的メタ機能(ideational metafunction )

② 対人的メタ機能(interpersonal metafunction)

③ テクスト形成的メタ機能(textual metafunction )

①の「観念構成的メタ機能」では、絵本の場合テクスト中で展開される出来事やそこに関与する者や物、またその状況や場の意味構築を行うことがで

きる。また②の「対人的メタ機能」では、テクストと読み手との関係や登場人物相互の関係に関する意味構築を行うことができる。特に絵本においては、Painter et al.(2013)において、1) 登場人物相互 2) 登場人物と読み手との関係という 2 種類の対人的な意味構築を検討する必要があると述べられている(Painter et al., 2013:15)。そして③の「テクスト形成的メタ機能」では、①と②の意味を相対的重要性や配置関係等によって、テクストとして編成し意味構築することができる。

これら三種類のメタ機能から、例示絵本の見開きにおける絵の部分の意味を構築してみる。

### 3.1　観念構成的メタ機能による意味構築

上で述べたように、観念構成的メタ機能とは「テクスト中で展開される出来事やそこに関与する者、またその状況や場」について意味を構築する機能であった。例えば、見開きのページの中央近くを見ると、ズボン吊りを付けた＜男の人が芝生の上に立っている＞。また右上の方を見ると、＜男の子が道を歩いている＞。このように、観念構成的メタ機能の観点から、テクスト中の絵の部分で展開されている出来事や事象の意味を構築していくことができる。

そしてその際、テクストから意味を切り出す単位として、言語の場合同様過程構成(transitivity)の枠組みを用いることができる(Painter et al., 2013: 54-55)。その過程構成の枠組みとは、以下の a~c の要素の組み合わせによって､内的世界､外的世界で起きていることを意味構築していく枠組みである。

a. 「過程中核部(process)」

b. 「参与要素(participant)」

c. 「状況要素(circumstance)」

Langer(1987)は、絵のような図像テクストは、「部分を構成する各要素に分けることが難しく、文字記号のように意味を担った単語のような単位がはっきりとしない」と述べている(Langer／大久保訳, 1987: 60-64) 。そして、このような図像テクストの持つ特徴を、Goodman(2001)は「連続的で充満したシステム」と整理し､こういった特徴を｢稠密性(density)｣と呼んでいる(Goodman and Elgin／菅野訳, 2001:187-189)。この過程構成の枠組みは、「思索の様式(mode of reflection)」とも言われているため、こういった特徴を持つ図像テクスト中においても､「出来事の際限のない変化と流れに秩序を与える」ことができる（Halliday／山口・覓, 2003: 157）。

また､図像テクストにおける参与要素(participant)は､Kress らの議論を経て輪郭線で括られた対象(figure)として意味を構築でき､過程中核部(process)は､テクスト中の形象を描くために用いられた角度を持った線や、参与要素の向き、それらの手足の方向によって示されるベクトル(vector)や、視線等によって意味を構築できるよう整理されてきている。さらに、これらの背景に描かれた情景は､状況要素(circumstance)として設定(setting)を構築することができる(Painter et al., 2013: 55)。

### 3.1.1　関係過程による登場人物の造型(characterization)

絵本において重要な役割を果たす登場人物は、上で述べた参与要素として意味構築することができる。そしてその特徴や属性を視覚的側面から造型(characterize)していくためには、上掲の関係過程における下位枠組みを活用することができる。関係過程における下位枠組みとは、以下のような枠組みである。

・内包的（intensive: a は b である。）
・状況的（circumstantial: a は b にある In, on, for,)
・所有的（possessive: a は b を持っている。）

またこれらの枠組み毎に、属性的、同定的な枠組みがある。絵に描かれた登場人物を見れば、その服装や色、ヘアースタイル、身体的特徴等、ある程度それらの外見から人物像を分析することができる。しかしそれらの属性がどのように絡み合い、その人物の造型を構築しているのかを検討するためには、選択体系機能理論が提示する上記の枠組みが助けとなる。登場人物の特徴を属性的(attributive)な特徴と同定的(identifying)な特徴に分け、その各々について、内包的、状況的、所有的な枠組みに整理して検討することができるからである。

属性的な特徴とは、ある「クラスの成員である」（Halliday／山口・筧, 2003: 179）と解釈できるような特徴で、容姿や能力（内包的）、持ち物などの所持品（所有的）、そしてその人物と関わりの深い周りの時間的・空間的な状況（状況的）に特色づけられる登場人物の特徴のことである。それに対して同定的な特徴とは、登場人物の特徴が継続的な傾向性に関わる「同一性を限定する」（Halliday／山口・筧, 2003: 183）もののことである。同定的な特徴は、視覚的側面からの分析においては、多くの場合属性的な特徴が複数絡み合った形で表現されていたり、あるいは複数の属性的な特徴から読者自身が物語の展開との関係で推測したりしなければならないことが多い。

これらの枠組みを用いて、例えば例示絵本の見開き中央に描かれている白髪の老人について、意味構築を行ってみよう。内包的な属性としては、「白髪である」や「白いひげが生えている」、「お年寄りである」といった意味を構築することができる。また所有的な属性としては、「荷物を何も持っていない」や「薄着」「茶やベージュ色の服を着ている」といった意味が構築できる。さらに状況的な属性を検討してみると、「きれいな芝生の上にいる」や「立派な家々の前にいる」などの意味を構築することができる。そしてこれらを統合して人物造型を考えてみると、この老人は、「立派な家々の近所に暮らす、白髪のお年寄り」ということができる（実際には、台詞や前後のページとの関連によって、さらなる人物造型を行うことができる）。

このように、登場人物の造型は、周りの状況的な属性によっても特徴づけることができる。こう考えると、見開き右上に描かれている親子の状況的な属性は、何も無い道の上を歩いているので、先の老人たちとは異なる人物造型がなされていることも意識することができる。

### 3.1.2　システムネットワークを活用した意味構築

3.1.1 において、登場人物の周りの状況的な属性について述べたので、先の白髪の老人が立っている広場について、さらに詳しく検討してみる。先述した過程構成の枠組みを用いれば、「噴水があり」、「芝生に覆われ」、「木も立っている」という意味は構築することができる。しかし、それではこの「噴水があり」、「芝生に覆われ」、「木も立っている」広場は、いったいどのような広場として位置づけることができるのだろうか。つまり、この親子が通りかかった広場とは、どのような広場だったのだろうか。

このことは、選択体系機能理論におけるシステムネットワークを活用することによって検討することができる。同理論では、テクストとは「選択された諸要素の結合体」であると捉える考え方がある(Halliday and Matthiessen, 2014: 22-23)。そして、選択された選択肢やその集合の意味は、選択されなかった選択肢を含むシステムとの関係において検討することができる。

このことを、例えば以下に広場のシステムを示しながら検討してみる。広場の大きさは、どの程度の規模と考えることができるだろう。また、備え付けられている設備はどうだろう。さらに、この広場は整然とした広場なのだろうか。それとも、ゴミで汚れている広場なのだろうか。このようにシステムネットワークを活用して、この親子が通りかかった広場とは、どのような広場なのかを検討してみると、相対的にこの広場の位置づけが明らかになってくる。このように検討してみると、この広場は立派な噴水のある、ゴミ一つ落ちていない手入れされた芝生に覆われた、中規模の広場であることがわかる。また背景の家並みからも、この広場は町はずれにある広場ではないこともわかる。

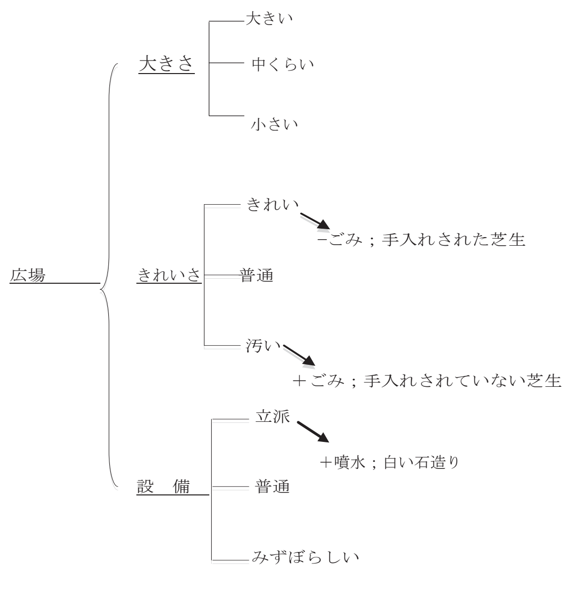



**図 2：広場のシステム**

そして、上記のようなシステムを書いて検討してみることによって、選択されてはいるが、直接的には絵に描きにくい表現も前景化させ、検討できることもわかる。例えば、「ゴミ一つ落ちていない」といった意味構築がその例である。

### 3.2　対人的メタ機能による意味構築

今度は同じ見開きから、対人的メタ機能に着目して意味を構築してみる。Kress and van Leeuwen (2006)は、絵や写真における読み手と対象との関係について、社会的距離(SOCIAL DISTANCE)や、関与(INVOLVEMENT)、力関係(POWER)といった枠組みを提示している。そしてこれらを基に、Painter et al. (2013)は絵本における絵を分析するために、次の 3 種類の改良を加え枠組みの再整理を行っている。一つめの改良は、社会的距離(SOCIAL DISTANCE)の枠組みを、登場人物と読み手との関係に使用し、登場人物相互の距離は近接性(PROXIMITY)という登場人物間の距離によって検討できるよう、枠組みを 2 種類に再整理したことである。

また二つめの改良は、Kress & van Leeuwen (2006)が登場人物と読み手との関与(INVOLVEMENT)の度合いや力関係(POWER)を、登場人物と読み手や登場人物相互の視覚的角度によって具現されると考える枠組みについてのものである。この枠組みについても Painter et al. (2013)は、さらに登場人物同士の身体の向きという対峙関係(ORIENTATION)の枠組みを加えている。読み手から見て登場人物が正面に向いていると、関与(INVOLVEMENT)の度合いは高まり、斜めに描かれていると、関与の度合いは低くなる。そして見上げる・見下ろすといった仰角によって、力関係(POWER)は具現される(Kress & van Leeuwen, 2006)。

三つめの改良は、Kress and van Leeuwen (2006)で提示されている接点(CONTACT) とモダリティ (MODALITY) という枠組みを、焦点化(FOCALIZATION)、感情(AFFECT)、同調の度合い(PATHOS)、色等による雰囲気(AMBIENCE)と強弱(GRADUATION)といった枠組みに整理し直しているものである(Painter et al. , 2013: 15-39)。本稿では、これら再整理された枠組みの内、同調の度合い(PATHOS)や色の効果を捉える雰囲気(AMBIENCE)という枠組みを用いて検討する。PATHOS とは、絵の描かれ方や筆致によって、読み手が絵にどの程度同調しやすくなるかという枠組みである。

#### 3.2.1　登場人物相互の対人的な意味構築

これらの枠組みを用いると、例示した見開きから、次のような意味を構築することができる。まず登場人物相互は、近接性の枠組みを用いることによって、その違いから 6 人の参与要素を 3 グループに分けることができる。白髪の老人とズボンつりの男性、さらに近くに腰かけている男性のグループと、右上に離れて描かれている親子、さらには広場のベンチに座っている男性の 3 グループである。これら 3 グループの参与要素は、先の 3.1.1 における関係過程の枠組みを用いても、各々の属性や人物造型が異なることがわかる。例

えば噴水近くにいる 3 人は、薄着で荷物を持っていない。しかし、右上の親子は厚着で荷物をたくさん持っている。ベンチに座っている男性は、荷物は無いように見えるが、噴水近くの 3 人とは違った上下揃いの改まった服を着ている。おそらく近所の住人というよりは、たまたま通りかかった人ではないだろうか。そして、これらの参与要素間の対峙関係(ORIENTATION)は、各々が誰とも向き合っておらず、親疎関係は薄いと捉えることができる。

### 3.2.2　登場人物と読み手との対人的な意味構築

また上記に関連して、参与要素と読み手との関与(INVOLVEMENT)の度合いも、参与要素が正面ではなく斜めに描かれていることから、その度合いは低いと捉えることができる。しかし、後ろを向いてはいるが、読み手の正面に一番近く位置するのはズボン吊りを付けた男性であり、そのため、読み手はこの男性の背中越しに、やや上方からこの見開きで起きていることを見ているような関与の仕方を意味構築することができる。

そして同調の度合い(PATHOS)の枠組みに関しても、一般的な筆致(generic)が採られていることから、読み手は傍観的な位置づけであるという意味も構築することができる。さらにこのことは、社会的距離(SOCIAL DISTANCE)の枠組みを用いると、読み手に一番近い距離に描かれているのがベンチに座っている男性であることから、やはり同調の度合いである(PATHOS)同様、傍観的立場として位置づけられていると捉えることができる。

また仰角による力関係(POWER)は、この光景を傍観する読み手が、親子を見下ろす位置に位置づけられていないことから、対等な力関係においてこの光景を眺めるよう構成されていることがわかる。そして雰囲気(AMBIENCE)は、噴水の水の明るい青と、周りに拡がる道の白、そして芝生の緑と、くっきりと鮮やかで、決して暗くはない。

### 3.3　テクスト形成的メタ機能による意味構築

さらにテクスト形成的メタ機能に着目して、同じこの見開きから意味を構築してみる。この見開きには、広場を覆う緑の芝生が、ページの左半分を超えて描かれている。そしてその芝生の右端は、斜めにまっすぐ延びる芝生の縁の線によって(SEAMLESSNESS)、芝生の上にいる参与要素と右上の路上を歩く参与要素である親子とを、分断する機能を果たしている。そして、3.1.1 との関連で言えば、読み手は手前に向かって拡がる広場の芝生の延長上に居て（絵本という媒体は普通身体の前で開いて読むので）、そこからこの光景を眺めるよう位置づけられているという意味を構築することができる。

勿論以上のような意味構築は、3 つのメタ機能に着目した意味構築の例示であるため、全ての読み手が上述のように意味構築を行うとは限らない。しかしこの例示によって、選択体系機能理論におけるメタ機能の枠組みを用いると、絵の部分から多層的な意味が構築できることは、示せたのではないだろうか。

## 4. 見開きにおける言葉の部分(verbiage)との関係による意味構築

最後に、3 までで検討してきた例示絵本における絵の部分からの意味構築に加え、同見開きの右下に記されている言葉の部分との関係を検討してみよう。同見開きの言葉の部分には、次のような言葉が書かれている。

> いくつもの通りをぬけ、ならんでいる店のまえをとおりすぎていきながら、ぼくは、ハドソンはどんなところだったとかあさんにはなしてあげようか、かんがえていた。広場をあるいていた時、男の人が大声でどなった。「おんぼろかご、くそったれかご、山んなかのくされっかご！山ざるがしってるのは、それだけだ」
> ぼくはふりかえった。どなった人がわらい、まわりにいた男の人たちもわらった。とうさんは、しらんぷりしていろといった。まえにもなんどもいわれたことがあるんだ。
> でも、いえにかえるまで、ぼくの心には、かげがつきまとってはなれなかった。カア、カア、カア。男の人たちのわらい声が、カラスになって、頭のまわりをぐるぐるとびまわっているようだった。

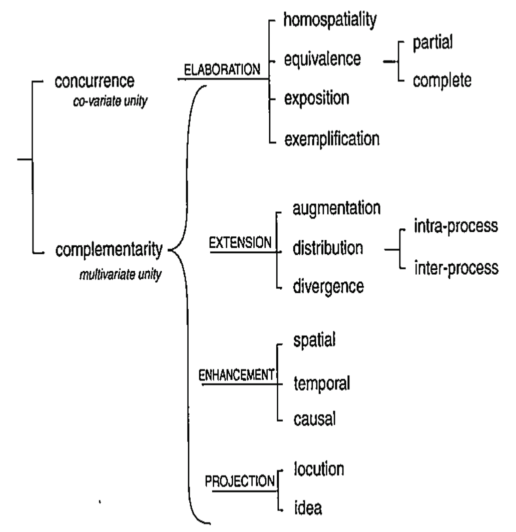
### 4.1　絵と言葉との関係の枠組み：“concurrence”と“complementarity”

紙幅の関係上、上掲の言葉の部分から、幾つかを選んで検討・提示する。

2 文めに「広場をあるいていた時」と、「男の人が大声でどなった」という節があるので、これらについて考えてみよう。これらの部分から、言葉の部分にも、先に検討した絵の部分にも、「広場」や「男の人」が表現されていることがわかる。このように、絵と言葉という 2 種類のモードからなるバイモーダル・テクストにおいて、双方のモードに同様の表現が見られる場合、「一致性(concurrence)」の研究(Royce, 2002)や、「モード間結束性(inter-modal coherence)」の研究(Gill, 2002)として、その種類が検討されている。そしてこの場合は、Lemke(1998)が指摘するように、絵と言葉が各々持つ「機能的特殊性(functional specialization)」によって、「広場」や「男の人」という言葉の内実を、絵がより具体的に詳しく提示する機能を果たしている。

さらに 3 文めでは、その「男の人」の発した言葉が、言葉の部分(verbiage)で示されている。これは、前項で言及した枠組みを用いると、「発言過程」ということになり、「男の人」が Sayer、「大声で」が状況要素の manner、「どなった」が Process となることからもわかる。

この場合には、この発した言内容は絵の部分からはわからないので、バイモーダル・テクストにおける「相補性(complementarity)」の枠組みで検討することができる。この“complementarity”の枠組みは、オーストラリア連邦ニューサウスウェールズ州の義務教育期間における読みの州テストの基盤として長年検討を重ねられてきており、Chan(2011)においてほぼ安定的に使用できる枠組みが整理されているので、これに当てはめて検討する。下図が、その枠組みの整理である。



A summary of the framework for describing intermodal relations

図 3：“complementarity”の枠組みのシステム(Chan, 2011:175)

## 4.2 「投射」による相補的な意味構築

図 3 を参照すると、上記の 3 文めに書かれた節と、男の人の絵は「投射(projection)」という相補関係と捉えることができる。そして、そのことによって、Sayer である男の人の絵と、「どなった」内容である被投射節の言葉の部分とは、往還的に意味の構築を補い合う、あるいは相乗効果を構築する関係となる。男の人の絵に対して、被投射節の言葉の部分は、その男の人が親子に対してどういった言葉を向けたのかを補うことによって、男の人の人物造型について、3.1.1 で検討した「立派な家々の近所に暮らす、白髪のお年寄り」という意味構築に、ある種の修正を要求することになる。そして被投射節の言葉の部分の側からは、これを「どなった」参与要素とは、どのような人物であり、またそういった人物によって発せられたことによって、この言葉の意味は、どのような解釈を加える必要が生じるのかを検討することになる。

### 4.2.1 インスタンス化の観点からの検討

このことを検討するには、この見開きをインスタンス化の観点からも検討してみる必要がある。インスタンス化の観点から検討するとは、この見開きやその中に描かれている男の人、その発した言葉、またその場面となっている広場を、潜在性(potential)の具体的な例(instance)と考え、そのインスタンスの側からと、その「あらゆるインスタンスを生成する可能な選択肢の総体」である潜在性の側から検討してみることである。このインスタンスと潜在性との関係は、Halliday and Matthiessen (2014: 27)によって天気と気候との関係

に喩えられて説明されている。

例えば、描かれている白髪の老人をインスタンスと考えた時、そのクラインを潜在性側に移動させて考えてみると、インスタンスタイプはどのようなものになるだろうか。このように考えると、この被投射節の言葉の部分を発するために選択された人物は、若い柄の悪い男性でもなく、井戸端会議をしている噂好きの女性グループでもないことが検討できる。ペインターら(2013)は、このインスタンス化の過程で、登場人物にコミット(commit)される意味の質と量が変わることを、“commitment”という枠組みを用いて示している。

そしてこのインスタンスのタイプを検討することによって、被投射節の言葉の部分は、この公園に居合わせたこの老人が、たまたま意地が悪かったために述べたのではないのではないかという意味も構築できる。この人物の発した被投射節の 3 文め「おんぼろかご、くそったれかご、山んなかのくされっかご！」についても併せて検討してみよう。この 3 回繰り返される罵りのことばは、アプレイザル分析という語彙文法層において対人的意味を明らかにするテクスト分析法と、佐野(2012)の「日本語アプレイザル評価表現辞書」とを使って分析してみると、Judgment の中の「性情」(disposition)の枠組みで分析することができる。「性情」とは、「評価対象の特定の内属要素を指定して評価を示す表現を使って評価を表すもの」(佐野、2012: 40)で、「異端」「下手（かて）」「劣勢」(佐野、2012: 35)等の枠組みに分析することができる。また、「山んなかの」は「位地(social location)」を表す枠組みで分析することができる。このように、言葉の部分を重ねて検討してみると、この老人の言葉は、籠やその籠を作る技術、あるいは社会的な居住地域や位置に関する評価の優劣を含んだものであることがわかり、言葉の部分も分析することによって、絵で表された老人のインスタンスのタイプは、より明確に検討することができる。つまり、この老人はどのような人たちのインスタンスとして描かれているのかと言えば、周辺の山に住むこの親子たちの作る籠やその技術を低く見、彼らに偏見を持っている、街に住む一般的な市民の代表例として選ばれ、描かれていることがわかる。

そしてこのことは、この老人一人、あるいは一緒にいる 3 人が、この親子をそのように見て発言しているという意味に留まらない。ここに描かれているような、近所に住む普通の地味な色の服を着た一般の市民、しかも一般的には、分別があると考えられている老人が発言しているということは、この街の多くの人は、この親子に対してこのような見方をしているという意味の構築が可能となる。

また、言葉の部分の 7 文めに、「まえにもなんどもいわれたことがあるんだ」という節がある。これは、「まえにも」という時間表現を Theme ポジションにもってきていることから、この見開きで起きていることが、たまたま一回だけ起きたことではなく、恒常的なものであることを強調する機能を果たしている。ここでも、見開きに描かれている場面が、言葉の部分で伝えていることの一つのインスタンスであるというインスタンス化の観点からの検討が

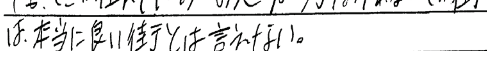
重要となってくる。そしてこのことによって、この見開きに描かれている場面自体が、時間的・空間的な拡がりをもってくる。つまり、陽射しの明るい手入れの行き届いたこの広場で、この街に住む普通の老人がこの被投射節にあるような言葉を、しかも見ず知らずの子どもに向けるというインスタンスを提示することによって、別の時間、別の広場や街角で、この父親が受けてきた、直接的にはテクストに描ききれない差別の経験の集積を、この見開きから意味構築することができるのである。

## 5.　まとめと今後への課題

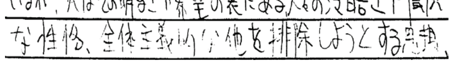
以上、例示した絵本の見開きを例に、絵と言葉との相互構築性に着目して多層的な意味構築の様相を検討してきた。またその過程において、選択体系機能理論におけるどういった枠組みが、どのような意味の構築を助けるのかについても検討した。例えば、過程構成の枠組みが、「稠密性」の高い絵のような図像テクストにおいても、意味を構築する単位として有用であることもわかった。またそのことによって、絵と言葉というモードの異なる記号間の関係から意味を構築しようとする際、双方の意味や構造的な単位を揃えて関係を検討することが可能であることも考察した。このことによって、テクストが一枚の静止画であっても、そこから切り出し構築することのできる意味は、各々性質の異なる過程(process)によって、整理・構築できることもわかった。例えば、例示した絵本のページで考えてみると、公園の噴水は水音をたてて流れ、白髪の老人の声は右上の親子に向けられて響き、その親子は移動し続け公園から離れていく。この絵の中で起きていることは、顕現化された行動もあれば、直接的には見えない内的過程もある。そして絵のそこここで起きている現象は、時間的順序を伴って動的に展開し、あるいは重なって起きている。過程構成の枠組みを用いることによって、静止画で構成された絵本の見開きに込められた、こういった多層的な動的過程の様相も検討することが可能になった。

また、絵本における絵と言葉との相補的な関係から意味を構築する枠組みについても、Chan (2011)の枠組みを用いて、絵における Sayer の人物造形と被投射節との関係からの意味構築について検討した。そしてその過程において、インスタンス化の観点からも参与要素や状況要素等の検討を行う重要性について述べた。最後にこのインスタンス化の観点からの検討も併せることによって、実際の読みの質がどのように変わる可能性があるのかを、例示した絵本について、神奈川県内の中学 1 年生に書いてもらった文章を示す。初読の段階では次の A、B のように書いていた生徒が、この見開きの登場人物にインスタンス化の過程でどういった意味がコミットされるかについて検討した後、どのような文章を書いたのかを C、D に示す。

A.


でも、そこに住んでいる人の心が汚なければ、その街は本当に良い街とは言えない。

B.


いるが、実はその明るさや希望の裏にある人々の冷酷さや陰険な性格、全体主義的な他を排除しようとする意識、

C.

ハドソンの町の人達の中には、山から来た親子をあまり良く思っていな
いんがいる。この親子は、ハドソンの人達から好かれていない。

D.

ハドソン町の人々の周りは、高級な建物や噴水など、鮮
やかな色彩で色どられていたが、僕と父さんの 2人の
周りは空しい白一色だった。この背景の色彩の違いで
ハドソン町の人々と山に住む人々の格差、そして生き
る世界が違うことを表している。

インスタンス化の検討を経ない段階の生徒は、この絵本の見開きで起きている事の原因を、この老人個人の性格に起因させる傾向を見てとることができる。これに対し、検討を経た生徒は、この老人の言動の原因を、社会的構造的に捉える傾向を見てとることができる。

勿論 Nikolajeva and Scott(2001)も指摘するように、絵本の検討は今回の見開きを単位とした検討だけでなく、ページ相互の関係も含んだ検討が必要である。しかし、言語教育におけるマルチモーダルなテクストの学習では、例示したような見開きにおける異なる記号間の往還的な意味構築の多層性を検討する学習と、それを支えるメタ言語の学習が必要である。今後はこういった学習に活用できる学習材や、発問のセットを開発していきたい。

## 註

1) このナショナルカリキュラムに関しては、現在はさらに改定されている。
2) 米国では、国ではなく全米英語教師協会と International Literacy Association が策定を行っている。
3) 分析対象の絵本については、原版の英語版と日本語版を両方分析したが、中学生の反応を見るため、本研究では日本語版を用いた。

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※本稿は、2013 年 8 月日本教育心理学会における協働研究発表「言語理論と教育心理学との越境を考えるー母語学習でマルチモーダルテクストを学習する枠組みー」において、佐野大樹氏、比留間太白氏から有益な示唆をいただいた。また水澤祐美子氏からも貴重な指摘をいただいた。この場をお借りして感謝申し上げる。

# 3 人会話における優位性と（非）言語行動の関係
# A Study of Dominance and (Non-)verbal Behaviors in Three-party Conversation

伊藤紀子
**Noriko Ito**
同志社大学
**Doshisha University**
鈴木紀子
**Noriko Suzuki**
帝塚山大学
**Tezukayama University**
阪田真己子
**Mamiko Sakata**
同志社大学
**Doshisha University**

**Abstract**

This paper examines differences of verbal and non-verbal behaviors in three-party conversation between the conversation leader and the followers. It also examines the differences between conversations with a leader and without a leader.

We collected data on face-to-face isolated island task conversation in Japanese. 5 triad sessions were recorded with video cameras and transcribed. According to the results of the questionnaire to ask who led a conversation, a given participant was recognized as a conversation leader and the sessions were divided into two groups, i.e., conversations with a leader and without a leader. Moves, speech functions, eye gazes, nods and gestures for each participant, and overlaps and gaps among the participants for each session were annotated with ELAN. The frequency and duration of these annotations were calculated.

In comparison to the followers, we found that the leaders talked longer and made more initiating moves. Regarding the conversations without a leader, the participant who made more initiating moves and yet did not talk longer than the other two was not recognized as a leader. This suggests that Itakura's (2001) claim that sequential dominance is more significant than quantitative one may not be applicable to three-party conversation.

## 1. はじめに

日常生活の中で私たちはさまざまな会話を行っているが、いつも会話が上

手く進むようリードできるとは限らない。どうすれば会話をリードできるのだろうか？リードしている人とそうでない人とでは会話中の立ち振る舞いに何か違いがあるのだろうか？

多人数会話において中心となり会話をリードする役割を担う度合いは、会話における「優位性」（conversational dominance）と呼ばれ、これまでにも様々な観点から研究がなされてきた(Linell et al., 1988 など)。日本語会話に関して、参加者の言語行動に着目した研究(Itakura, 2001 など)や視線等の非言語行動に着目した研究(Nakano and Fukuhara, 2012 など)はあるが、両者を包括的に調査した研究は多くない。

そこで、本研究では、筆者らが収集した 3 人会話データにおいて、(1) 会話参加者から会話をリードしていたと認定された参加者 1 名（優位性の高い話者、リーダー）とそうでなかった参加者 2 名（優位性の低い話者、フォロワー）の違いを明らかにする、(2) リードした参加者がいた会話（リーダー有会話）とリードした参加者が明確でなかった会話（リーダー無会話）の違いを明らかにする、という 2 つを目的として、言語行動と非言語行動の分析を行った。

## 2. 先行研究

Itakura(2001)は、会話の優位性を "a multi-dimensional construct that can be measured along sequential, participatory and quantitative dimensions"として捉え、2 人会話の優位性について 3 つの尺度で分析した研究である。ここで、sequential dominance とは、会話の流れをコントロールする度合いを差し、バーミンガム学派の initiation – response - follow up 構造分析の枠組みを援用して、initiation move の量によって測ることができる。Participatory dominance とは、相手の発言権を制限する度合いを差し、相手発話への割り込みや重複の量によって測ることができる。Quantitative dominance とは、発話した単語の量やターン保持時間によって測ることができる。日本人大学生 34 名を対象に大学生活などについて日本語および英語によるそれぞれ 10 分間の会話を収録し、3 つの尺度で比較分析した結果、sequential dominance が最も重要で、次いで participatory dominance が重要であるという結論に至った。 以上を踏まえて、本研究では、sequential dominance と quantitative dominance に的を絞って、3 人会話における優位性と言語行動の関係を明らかにすることを試みた。

中野らの一連の研究(Nakano and Fukuhara, 2012 など)は、適切なタイミングで多人数会話に介入する会話エージェントシステムの実現を目指すもので、その要素技術の 1 つとして会話参加者の言語、非言語行動から優位性を推定する仕組みを提案している。3 人会話の様々な特徴量と会話映像を見た第三者による優位性判定アンケートの結果との関連性を分析した結果、発話中に他の参加者を見ていた時間、発話中に他の参加者とお互いに見合っていた時間、発話時間、ターン取得回数が会話の優位性と関連が強いことを明らかにした。

鈴木らの一連の研究(鈴木他、2011 など)は、3 人で箱型構造物をつくる共同作業中の会話という特殊な場面ではあるが、作業手順に関する発話の量などの発話内容に関連した言語行動と、視線等の非言語行動の両方を分析している点で本研究と共通している。3 人会話の様々な特徴量と会話映像を見た第三者による優位性判定アンケートの結果との関連性を分析した結果、作業の進行に関わる発話の時間長や頻度、作業を確認する時間長が会話の優位性と関連が強いことを明らかにした。

以上をまとめると、Itakura の研究では、言語行動に関して発話内容にまで踏み込んだ詳細な分析を行っている一方で、非言語行動は加味していない。中野らの研究では、視線等の非言語行動を利用している一方で、発話内容は考慮していない。鈴木らの研究は、言語行動と非言語行動の両方を包括的に扱っている点で本研究と似ているが、主な相違点として、本研究では優位性判定を行っているのが第三者ではなく会話参加者であること、各グループに必ずリーダーがいるとは想定せずにリーダーがいない場合も含めて比較を行っていること、視線以外にうなずきやジェスチャーといった非言語行動を分析対象としていることが挙げられる。

## 3. 方法

会話データの収集にあたっては、20〜22 歳の大学生 3 名（男性 1 名＋女性 2 名）×5 組に、無人島に 1 つだけ持っていくとしたら何がよいかを 1 つ決めるというテーマで話し合いを 3 分間行わせ、各参加者の様子を 3 台のビデオカメラで撮影した（図 1）。

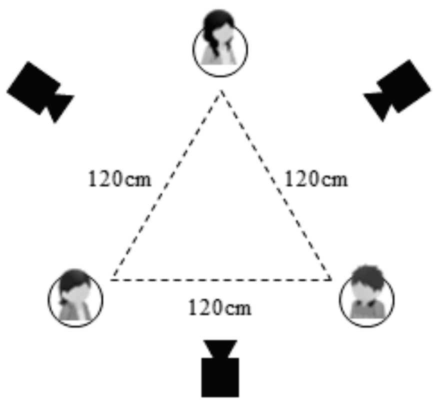


**図 1: 実験配置図**

会話後にアンケートを実施し、「会話をリードしていたのは誰か」という問いに対して参加者全員が特定の 1 人を答えたセッション（3 つ）と、回答がばらついたり「特にいなかった」と答えたセッション（2 つ）に分類した。

各セッションの動画に対して、動画アノテーションソフト ELAN(Sloetjes and Wittenburg, 2008)を用いて、参加者ごとの発話区間、発話機能、視線方向、

うなずき、ジェスチャーと、セッションごとの発話重複、発話交替時の無声休止をコーディングした。このうち、move の同定については、Eggins and Slade(1997: 186)によると、move とは“a functional semantic reinterpretation of the turn constructional unit of conversation analysis”であることを踏まえ、榎本(2009b: 75)の日本語会話のターン構成要素の境界基準に従った。ジェスチャーの分析に関しては、喜多(2002)の分類のうち、アダプターと表象的ジェスチャーに着目した。アダプターとは、状況に適用するための動作と言われており、髪いじりや貧乏ゆすり、セルフタッチなど、会話の内容に直接関係ないものを指す。表象的ジェスチャーとは、説明対象を表象するための動作で、形と意味の関係に自由度が残されており、表現内容に応じてその場その場で形を変えて使うことができるものを指す。

それぞれの時間および回数を集計した後、以下のように標準化した。

○個人単位の特徴

- 言語的特徴：
  - 200msec 以上の無音区間で区切って move を同定し、総発話時間、1 move あたりの発話時間、1 分あたりの発話時間を算出。
  - 各 move に SPEECH FUNCTION(Halliday and Matthiessen, 2004: 108)を割り当て、initiating move の割合を算出
- 非言語的特徴：
  - 実験時間中、他者を見ている時間の割合を算出
  - 1 分あたりのうなずき回数を算出
  - 1 分あたりのアダプター回数を算出
  - 1 分あたりの表象的ジェスチャー回数を算出

○グループ単位の特徴

- 言語的特徴：
  - 3 人のうち 2 人以上が同時に発話している区間を同定し、1 分あたりの発話重複時間を算出
  - 発話交替時に 3 人とも発話していない区間を同定し、1 分あたりの無声休止時間を算出

会話をリードしていた参加者とそうでなかった参加者の違いを明らかにするために、リーダー有会話参加者 9 名から、リーダー3 名、フォロワー6 名の個人単位のデータを用いてマン・ホイットニーの *U* 検定を行った。リードした参加者がいた会話とリードした参加者が明確でなかった会話の違いを明らかにするために、リーダー有会話におけるリーダー3 名、フォロワー6 名、リーダー無会話参加者 6 名の個人単位のデータを用いて、分散分析（一要因参加者間計画）を行った。さらに、リーダー有会話 3 つ、リーダー無会話 2 つのグループ単位のデータを用いて、マン・ホイットニーの *U* 検定を行った。

## 4. 結果

前節の方法で算出した個人単位のデータとグループ単位のデータを資料表 4 と表 5 にまとめた。

### 4.1 リーダーとフォロワーの比較

リーダー3 名とフォロワー6 名の言語、非言語行動の各特徴量の平均を表 1 にまとめた。

表 1. リーダー有会話のリーダーとフォロワーの各特徴量の平均

| | 発話 msec/move | 発話 msec/分 | Initiating 回数割合 | 他者視線 時間割合 | うなづき 回数/分 | アダプター 回数/分 | 表象的G 回数/分 |
|---|---|---|---|---|---|---|---|
| ﾘｰﾀﾞｰ | 1543.8 | 33622.4 | 64.3 | 55.1 | 3.4 | 2.3 | 3.5 |
| ﾌｫﾛﾜｰ | 1077.1 | 16503.8 | 33.5 | 53.9 | 3.6 | 1.1 | 6.9 |

検定の結果、1 move あたりの発話時間、1 分あたりの発話時間と initiating move の割合の 3 つにおいて差が有意であったことから（いずれも $U$ =.000, $p$ = .024, $r$ = .78 ）、それぞれリーダーの方がフォロワーよりも有意に大きいと言える。このことから、リーダーとフォロワーの間で言語行動に差はあるが、非言語行動に差はないことが分かった。

### 4.2 リーダー、フォロワー、リーダー無会話参加者の比較

リーダー無会話参加者 6 名の言語、非言語行動の各特徴量の平均を表 2 にまとめ、表 1 と合わせて差があるかを比較した。

表 2: リーダー無会話参加者の各特徴量の平均

| | 発話 msec/move | 発話 msec/分 | Initiating 回数割合 | 他者視線 時間割合 | うなづき 回数/分 | アダプター 回数/分 | 表象的G 回数/分 |
|---|---|---|---|---|---|---|---|
| ﾘｰﾀﾞｰ無 | 1271.5 | 21253.6 | 42.5 | 59.5 | 3.7 | 2.2 | 2.6 |

分散分析の結果、1 move あたりの発話時間（$F$ (2,12) = 5.405, $p$ = .021, $\eta^2$ =.474）、1 分あたりの発話時間（$F$ (2,12) = 7.513, $p$ = .008, $\eta^2$ =.556）と initiating move の回数割合（$F$ (2,12) = 8.345, $p$ = .005, $\eta^2$ =.582）の 3 つにおいて平均の差が有意であったことから、リーダー、フォロワー、リーダー無会話参加者の間で言語行動に差はあるが、非言語行動に差はないことが分かった。

より詳しくみるために HSD 法を用いた多重比較を行ったところ、1 move あたりの発話時間の平均については、リーダーがフォロワーより有意に大きかった（$MSe$ = 40797.001, $p$ = .017）。しかし、リーダーとリーダー無、フォロワーとリーダー無において差は有意ではなかった（図 2）。

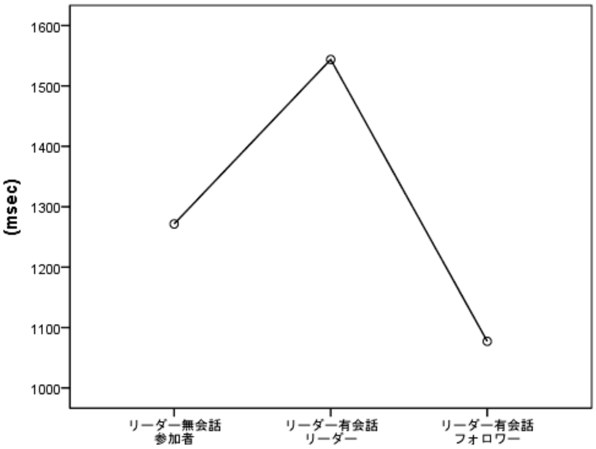


**図 2: 1 move あたりの発話時間（ミリ秒）の平均**

1 分あたりの発話時間の平均については、リーダーがフォロワーとリーダー無よりも有意に大きかった（*MSe* = 39226625.15, *p* = .006 と *p* = .040）。しかし、フォロワーとリーダー無において差は有意ではなかった（図 3）。

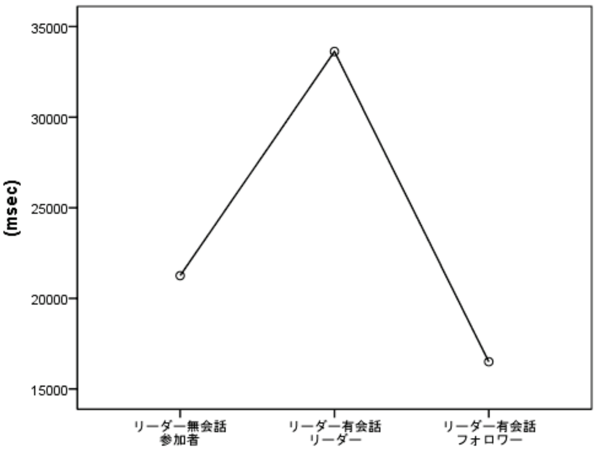


**図 3: 1 分あたりの発話時間（ミリ秒）の平均**

initiating move の回数割合の平均については、リーダーがフォロワーとリーダー無よりも有意に大きかった（*MSe* = 114.131, *p* = .004 と *p* = .034）。しかし、フォロワーとリーダー無において差は有意ではなかった（図 4）。

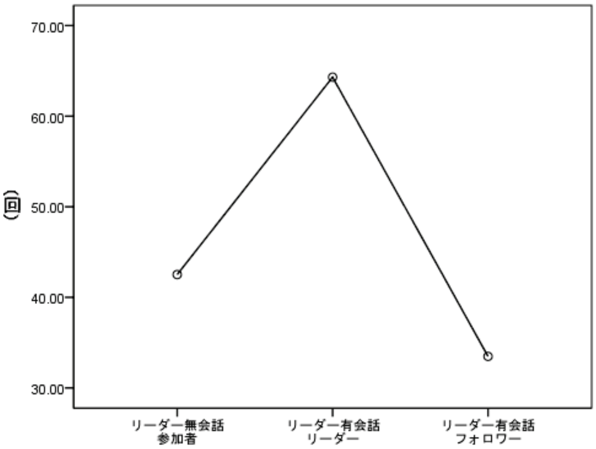


**図 4: initiating move の回数割合の平均**

### 4.3 リーダー有会話とリーダー無会話の比較

リーダー有会話を行ったグル―プ 3 つとリーダー無会話を行ったグループ 2 つの言語行動の各特徴量の平均を表 3 にまとめた。

表 3: リーダー有会話とリーダー無会話の各特徴量の平均

| | 無声休止msec/分 | 発話重複msec/分 2人重複 | 3人重複 |
|---|---|---|---|
| ﾘｰﾀﾞｰ有 | 10368.7 | 6355.8 | 2068.7 |
| ﾘｰﾀﾞｰ無 | 14673.5 | 7131.1 | 2953.8 |

検定の結果、いずれの差も有意でなかったことから、今回分析した範囲ではリーダー有会話とリーダー無会話の間に差がないことが分かった。

## 5. 考察

前節の結果より、リーダー有会話におけるリーダーとフォロワーの行動を比較すると、一番多く（1 分あたり 30 秒以上）話し、かつ一番多く initiating move を産出（50%以上）している人がリーダーとみなされた（表 4 の 043fL, 061fL, 101mL を参照）。リーダー無会話の各参加者をみてみると、例えば、グループ 8 の 081m は、一番多く initiating move を産出しており、その割合は 61.5%と、グループ 10 でリーダーとみなされた 101mL の 52.5%よりも高い。しかしながら、発話量はグループ 8 の 3 人の中で一番少なかった（1 分あたり約 17 秒）。このことから、リーダーとみなされるには、initiating move を産出するだけでなく、それ以外の発言もたくさんすることが重要であると考え

られる。

2 節で紹介した Itakura(2001)は､会話の優位性には発話量よりも隣接ペアの先行要素を発することが重要であると主張していた。それが正しければ、今回のデータで 081m がリーダーとみなされてもよさそうであるが、そうではなかった。ゆえに、Itakura の 2 人会話の分析結果に基づく結論は 3 人会話の優位性には当てはまらない可能性が示唆された。

## 6. おわりに

本研究では、会話における優位性の観点から、会話をリードしている人とそうでない人の言語、非言語行動について比較分析を行った。その結果、リードしているとみなされる人は、他の人よりも多く発言し、initiating move を取って会話を進めていくことが分かった。その一方で、initiating move は多いものの発話量が少なすぎるといった不均衡が生じた場合にはリーダーとして認定されていない事例が存在することから、会話の優位性には quantitative dominance よりも sequential dominance が重要であるとは言えなかった。

今後の課題としては、分析の指標を増やして、優位性と言語、非言語行動の関係をより包括的に調べることが挙げられる。例えば、今回の分析では、グループ間の特徴量として発話重複の時間を抽出し比較したが、誰がターンを取って話しているときに誰が割り込んできたかをみることで、個人にひも付けたデータとすることができる。これにより、今回は分析から除外した Itakura の participatory dominance についても調査することが可能になる。

今回の分析結果からは､視線等の非言語行動に関して差が見られなかった。しかし、視線に関しては、中野らや鈴木らの先行研究で優位性との関連が強く、また多くの会話研究(坊農、2008; 榎本、2009a など)で話者交替時の視線配布が次話者の決定に大きく影響していると指摘されていることから、別の観点で分析することにより優位性との関連が見出される可能性がある。誰かを見ている時間だけでなく、誰かから見られている時間やお互いに見合っている時間なども抽出し、リーダーとそれ以外の人で差がないかを調べることも今後の課題である。

また、選択体系機能言語学の枠組みで会話の分析を行う際には、発話の内容に焦点を当てて Speech Function の分類を用いることが多いが、発話に伴うジェスチャー等の非言語行動の system network 化も Martinec(1998, 2000, 2001, 2004)や Hood(2011)によって提案されている。選択体系機能言語学におけるジェスチャーのモデル化が充分に発展すれば、Muntigl(2004)や Zappavigna, et al.(2010)が行っているジェスチャーと発話といった複数モダリティ間の同期（共起）についてもより体系的な分析が可能となるであろう。このような海外の研究の動向にも目を向けつつ、日本語話者による会話中の言語行動と非言語行動に関する研究を進めていきたい。

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## 資料

表 4. 個人データの集計結果

| 参加者 | 実験時間 msec | 発話 msec/move | 発話msec/分 | Initiating 回数割合 | 他者視線 時間割合 | うなづき 回数/分 | アダプター 回数/分 | 表象的G 回数/分 |
|---|---|---|---|---|---|---|---|---|
| 021m | 180346 (3:00:346) | 1142.3 | 21662.4 | 31.6 | 30.4 | 5.7 | 1.7 | 4.3 |
| 022f | | 1102.4 | 24574.1 | 46.3 | 73 | 7.3 | 6 | 4 |
| 023f | | 1011.5 | 11778.7 | 34.3 | 80.4 | 7.3 | 1.3 | 2.3 |
| 041m | 176090 (2:56:090) | 978.6 | 14338.1 | 41.9 | 75.1 | 2.4 | 0.7 | 0 |
| 042f | | 914.3 | 9968.9 | 28.1 | 46 | 0.3 | 0 | 4.4 |
| 043fL | | 1508.5 | 34437.7 | 76.1 | 77.4 | 0.7 | 5.8 | 2 |
| 061fL | 185838 (3:05:838) | 1555.3 | 35150.6 | 64.3 | 32.6 | 4.8 | 0.6 | 3.6 |
| 062m | | 1031.3 | 8990.1 | 37 | 35.7 | 5.8 | 0.3 | 4.2 |
| 063f | | 1025.9 | 17886.9 | 25.9 | 56.4 | 3.9 | 2.6 | 7.7 |
| 081m | 174762 (2:54:762) | 1233.8 | 16520.4 | 61.5 | 46.1 | 1.4 | 1.7 | 0.7 |
| 082f | | 1359.6 | 24273.4 | 34.6 | 87.7 | 0 | 0 | 3.1 |
| 083f | | 1779.4 | 28712.5 | 46.8 | 39.1 | 0.7 | 2.7 | 1 |
| 101mL | 192445 (3:12:445) | 1567.6 | 31278.8 | 52.5 | 55.4 | 4.7 | 0.6 | 5 |
| 102f | | 1221.4 | 29321.1 | 45.8 | 52.2 | 5.6 | 0.3 | 12.2 |
| 103f | | 1291.2 | 18517.7 | 22.2 | 58.2 | 3.7 | 2.5 | 12.8 |

* 参加者欄の 3 桁の数字はグループ番号と参加者番号を表し、m は男性、f は女性、L は他の 2 人の会話参加者から会話をリードしていたと認定された参加者であることを示している。

表 5. グループデータの集計結果

| グループ | 実験時間msec | 無声休止 msec/分 | 発話重複msec/分 2人重複 | 発話重複msec/分 3人重複 |
|---|---|---|---|---|
| 2 | 180346 (3:00:346) | 16440.1 | 8073.5 | 1595.3 |
| | | | 3675.3 | |
| | | | 4302.1 | |
| 4（L有） | 176090 (2:56:090) | 12241.2 | 2303.7 | 412.3 |
| | | | 4745.1 | |
| | | | 4349.8 | |
| 6（L有） | 185838 (3:05:838) | 12116.4 | 4566.9 | 1348.6 |
| | | | 8591.7 | |
| | | | 2334.0 | |
| 8 | 174762 (2:54:762) | 12906.9 | 6777.9 | 4312.2 |
| | | | 7353.0 | |
| | | | 12604.5 | |
| 10（L有） | 192445 (3:12:445) | 6748.4 | 11458.0 | 4445.3 |
| | | | 10062.0 | |
| | | | 8791.0 | |

# “Hey you, thanks for buying our stuff.”
## Language, Multimodality and Identity in Two Corporate Websites: Shimano and Surly.

**Patrick Kiernan**
**Meiji University**

**Abstract**

Language is generally situated in multimodal (Kress, 2010) or ‘multisemiotic’ (Halliday, 2013: 57) contexts where it is enriched or drawing from these other semiotic modes (O'Halloran and Smith, 2011). Today, technology both allows researchers to explore multimodal semiotics and enables an increasingly rich use of multimodal resources in emerging online and media contexts (Machin & van Leeuwen, 2007; Pauwels, 2012). This paper explores the ways in which language is used in conjunction with multimodal features in order to convey a sense of corporate identity in texts taken from two corporate websites: Shimano’s North American cycle component division (Shimano, 2014) and Surly (2014) a US cycle component maker. The analysis shows that through a range of grammatical, discourse, and multimodal semiotic resources the two companies evoke quite different identities. Whereas Shimano signals a sophisticated and technologically advanced corporate face, Surly positions itself as an underground company, targeting a niche market. The comparison between the two websites and the relationship among the different modalities is discussed through an analysis of interpersonal resources focusing on (1) a comparison of positioning in two technical documents; (2) an analysis of the semiotic inter-relations among text, image and video and (3) the macro-structure of the homepages.

## 1. Introduction

> *IMPORTANT NOTICE*
> *Contact the place of purchase or a bicycle dealer for information on installation and adjustment of the products, which are not found in the user's manual. A dealer's manual for professional and experienced bicycle mechanics is available on our website (http://si.shimano.com).*
> *Do not disassemble or alter this product.*
> ***For safety, be sure to read this user's manual thoroughly before use, and follow them*** [sic] ***for correct use.*** (User’s manual: Read Derailleur (Di2): Shimano, 2014)

> *Hey you, thanks for buying our stuff. We mean it. Please read all these instructions before attempting to install your Fixxer Hub Converter. If you lack mechanical aptitude, don’t have the right tools, or can’t read or*

> *follow these instructions carefully, you're waaay better off having a professional bike mechanic do the installation for you. Our trusty legal counsel compels us to point out that if this installation isn't done properly, YOU COULD DIE riding your bike, which would make us truly sad.* (Fixxer instructions: Surly, 2014)

The two quotations above are taken from the beginnings of two user's manuals for cycle components. It should be easy to identify both as extracts from product instruction manuals, though the first one uses language that is more readily associated with this genre. Although, there are other differences, the most striking one is the *interpersonal* meanings. In the first quotation, a typically 'impersonal' tone is evoked through the use of bald commands (Contact ...; Do not ..For safety, be sure to...) and statements of fact (A dealer's manual ... is available ...) phrased in the formal lexis of what might loosely be called 'technical English'. By contrast, the second quotation uses a casual tone of high interpersonal involvement completely untypical of instruction manuals phrased in a colloquial register that one might expect to find in an online discussion forum. It could easily be mistaken for a humorous parody of the genre. Nevertheless, while some humor in the second quotation was no doubt intentional, this paper explores the resources used to create these different interpersonal stances, which in turn reflect different corporate identities. In order to do this, I consider not only the texts from which these quotations were taken but also a range of features of the homepages (from which the manuals were downloaded) from the perspective of interpersonal meaning. As user's manuals always include technical illustrations of the product and homepages incorporate a wealth of multimodal resources such as photographs, illustrations and other graphics, this paper also considers to what extent a more comprehensive multimodal analysis of homepages is feasible and relevant to a systemic functional description of corporate identity in homepages. The two examples were chosen because, as can be seen from the two quotations above, the two homepages evoke very different corporate identities.

The first of the quotations above is from Shimano's user's manual for its 'Rear Derailleur (Di2)' a state-of-the-art component for changing gear on a 22 speed road bike, though this paragraph is also found throughout Shimano cycle component user's manuals. The second quotation is the first paragraph of an instruction manual for Surly's Fixxer, which is a component for converting a multi-speed wheel into single speed fixed wheel. As the single-speed fixed gear was the drivetrain of the very first bicycles produced over a hundred years ago (before freewheels and multiple gears were invented) this product could be said to be targeting the very opposite of state-of-the-art. In fact, like Surly's other components, the Fixxer is a niche product that appeals to the needs of cyclists not catered for by major producers like Shimano, arguably the largest and most prominent cycle component maker in the world. In this paper, I will argue that these very different marketplace positions are reflected throughout the homepages, including in the paragraphs from the users manuals quoted above. In addition, I will suggest that the remarkable consistency of the respective corporate identities across a range of modalities invites a way into exploring them further.

The principle approach to analysis in this paper is Multimodal Analysis (Kress, 2010; Kress and van Leeuwen, 2001, 2006; O'Halloran and Smith, 2011), which in turn draws on Halliday’s functional grammar (Halliday and Matthiessen, 2013) and other semiotic resources within the Systemic Functional Linguistic framework including genre theory (Martin and Rose, 2008) and Appraisal (Martin & White, 2005).

The remainder of this paper is divided in to four sections, first situating this research within the evolving field of multimodality in SFL, then describing a three part comparative analysis of interpersonal meaning in (1) the user’s manuals; (2) the macro-structure of homepage design; and (3) semiotic interrelations among text, image and video resources followed by the conclusion.

**2. Multimodality and SFL**

Multimodal analysis is an approach to linguistic analysis that draws on the systemic functional (SFL) model of language described by Halliday and colleagues, including functional grammatical resources, in order to explore the semiotic environment. This semiotic environment includes visual and audio resources as well as the use of space. To researchers (perhaps even including Halliday himself (Martin, 2013, pp. 85-86)) whose primary interest is in verbal language, these features may appear peripheral and the field itself marginal. In addition, researchers may be put off incorporating multimodality by the need to add further layers of detailed description, to an already complex account of language. Nevertheless, there are some texts such as science textbooks (Kress, Jewitt, Ogborn, & Charalampos, 2001), instruction manuals or homepages that rely heavily on visual messages, where a multimodal analysis is clearly beneficial. Indeed, with the growth of multimedia on the Internet, texts that demand or at least may potentially benefit from a multimodal approach to analysis seem likely to be on the rise. If this is the case, an SFL approach, which incorporates multimodality looks to be well positioned to provide a suitable approach to analysis.

In discussing multimodality, Halliday (2013: 59) makes a distinction between visual elements ‘like tables, diagrams, figures and graphs’ which are ‘integrated into the flow of written discourse, as supplementary, or perhaps complimentary to the worded text’ and those which ‘may stand on their own, like the various kinds of maps, plans and charts’. He refers to texts that incorporate either (or both) of these kinds of visuals as ‘multimodal texts’, proposing that they ‘can generally be glossed in the form of language’, and distinguishes them from ‘images and art forms like painting and music’ that are ‘different semiotic systems, not isosemantic with language’ which he calls ‘multisemiotic’ (a term he attributes to Matthiessen, 2010). These distinctions suggest potentially interesting ways of distinguishing degrees of interaction between verbal and visual semiotics, but with verbal clearly primary (since verbal language is able to provide the gloss).

Scholars who have been prominent in theorizing multimodality within SFL are less likely to adopt this bias towards written or spoken verbal language. Indeed, Kress states elsewhere that ‘There are domains beyond the reach of language, where it is insufficient, where semiotic conceptual work has to be done by means of other modes.’ In their seminal account of the ‘grammar of visual design’ (Kress and van Leeuwen, 2006), which builds directly on Hallidean grammatical categories, numerous examples are given using well-known art works. The basic analytical principles are potentially applicable across a broad range of visual semiotic texts, though like verbal language ways of reading are likely to be shaped by the cultural context. Indeed, Kress and van Leeuwen (2006) suggest not only is the dominant modality variable from text to text but also 'the way meanings are mapped across different semiotic modes, the way things can, for instance be "said" either visually or verbally, others only visually, again others only verbally, is also culturally and historically specific.' It may be that the developments in multimedia technology that allow for even users of the ubiquitous smart phones to access but also create or manipulate and share visual, video and audio texts as well as written and oral ones online is part of an ongoing context of cultural change that is making the semiotics of other modalities increasingly important, as well as more readily accessible to researchers to capture and analyze (Page, 2010; Rowsell, 2013). In any case, it seems to me that the real value of a multimodal/multisemiotic theory that builds on the SFL model is that it enables a more comprehensive account of what Halliday has called the 'richness' of language (Martin, 2013: 61), and a practical way to explore texts that incorporate more than one modality.

The following sections explore the potential for reading multimodal texts that appear in online corporate homepages as integral elements of the homepage itself, which among other things serves to communicate a specific corporate identity. My aim here is to consider both how this is done in terms of linguistic and multimodal resources and the relationships among the modalities. As the two main texts and the homepages from which they derive, belong to two quite different corporations within the same industry—Shimano and Surly—this analysis also looks at what kind of corporate identity is being conveyed and how well this is suited to the marketing of its products. In her book *Designing Brand Identity,* Wheeler (2012: 4) describes brand identity as follows: "Brand identity is tangible and appeals to the senses. You can see it, touch it, hold it, watch it move. Brand identity fuels recognition, amplifies differentiation, and makes big ideas and meanings accessible. Brand identity takes disparate elements and unifies them into whole systems." This description suggests that brand identity signals are spread across a range of semiotic resources, so that exploration and critique of such identities would benefit from the kind of multimodal analysis developed by Kress and van Leeuwen as well as the many scholars who have contributed to this framework (Dreyfus, Hood, and Stenglin, 2012; O'Halloran and Smith, 2011; Royce and Bowcher, 2007) the following sections examine ways in which a disparate array of elements, across a range of modalities found in the two homepages, contribute to the evocation of a brand identity.

## 3. Interpersonal positioning in two instruction manuals

User's manuals are ubiquitous texts in consumer societies today where products are supplied with instructions for use. It is perhaps difficult to locate such texts precisely within Matthiessen and colleagues (2010: 221) text typologies, but they would seem to fit somewhere between the functional categories of *enabling* and *recommending*. The *enabling* is the instructions for installation and use and the *recommending* the warning and safety advice that accompany these instructions. The comparison below illustrates how the way these functions are realized can also have implications for interpersonal positioning of the user in relation to other parties associated with the product. Two user’s manuals will be considered: Shimano’s ‘Di2 rear derailleur’ an electronic gear shifter for high end racing cycles and Surly’s Fixxer, a niche product that allows multi-speed bikes to be converted into single fixed gear bicycles.

Both user’s manuals open with two key recommendations: (1) read the instruction manual and (2) have difficult work done by a ‘professional (bike) mechanic’ or contact the dealer for further help. The second point is supported by a warning that faulty installation or maintenance could result in an accident, which also acts as a disclaimer. In addition, both manuals warn users that products should not be disassembled or altered, and that they are not guaranteed against wear and tear as well as warnings specific to the product. However, the texts are strikingly different in their use of interpersonal language.

In the Shimano user’s manual the ‘read this user’s manual’ instruction sentence appears in bold in a font that is much larger than the rest of the text aside from headings, emphasizing its importance. The expression ‘contact the place of purchase’ or variations ‘consult a dealer or agency’ and ‘consult a distributor’ appear six times in the Shimano user’s manual. In addition, out of 13 points listed under ‘Note’ in the ‘Important Safety Information Section,’ there are two affirmative recommendations for maintenance (‘Be sure to check that…’ and ‘You should periodically…’); five warnings of things to avoid (‘Be careful not to…’; ‘Do not…’ and ‘avoid’); three pieces of conditional advice to solve problems (‘If + PROBLEM + SOLUTION’) and three points of general information (where to obtain software updates; that the products are not guaranteed against wear and tear; and recommending using Shimano lubricants). Following the safety information there is a further section on regular inspection with a list of seven points framed by the instruction: ‘Before riding the bicycle, check the following items. If any problems are found with the following items, contact the place of purchase or the bicycle dealer.’ If the diagrams, which illustrate the names of the parts referred to in these sections, are included these sections constitute two thirds of the user’s manual.

In contrast to the bullet point lists in the Shimano user’s manual, the Surly manual integrates its warnings and advice into a flowing text. Unlike the impersonal tone of the Shimano text, the Surly manual seeks to establish a relationship with the user through the use of a casual register that incorporates colloquial language and unpacks some of the relationships that are usually left implicit in user’s conventional manuals like Shimano’s. The overall effect of this is a reworking of the genre, which is humorous, perhaps deliberately so, but also contributes to the evocation of a corporate identity that is quite different from Shimano.

The Surly manual begins with the casual salutation: ‘Hey you, thanks for buying our stuff. We mean it.’ This is not only surprising because of the message of thanks to the consumer, which is absent from the Shimano manual but expressed in a very casual register. ‘Hey you’ is an inexplicit reference that in many contexts might be considered rude, as it deliberately avoids using a token honorific (Sir/Madame) or an explicit reference to the relationship (customer/user). Moreover, the product itself is referred to with the most casual and vague referent ‘stuff’. Similarly, while the suggestion of leaving the work to a ‘professional bike mechanic’ is only made once it is made in a way that is potentially face threatening: 'If you lack mechanical aptitude …or can't follow these instructions' could at best be taken as a very direct style of talk but at worst as implying that the user may be incompetent and/or stupid. Moreover, the potential for accidents is bluntly expressed in capitals as 'YOU COULD DIE' and the disclaimer as 'which would make us truly sad'. In terms of Martin and White's (2005) Appraisal model the *force* is exaggeratedly high, while the level of *focus* shifts from being very vague (stuff) to precise (DIE). Overall, though, this direct and colloquial style of writing evokes a face to face context or the tone of familiarity used in online forums (Kiernan, 2012) where some interpersonal expressions used in the Surly manual such as 'your waaay better off...' to offer advice would be more at home. The word 'way' itself is a particularly informal choice compared with the alternatives 'much' or 'would be much'. Moreover, the additional 'a's in the spelling of 'waaay' (way) mimic the emphatic lengthening of the word in speech, a widespread practice in informing social networking.

As well as evoking a more casual relationship with the user through the use of register, relationships that are normally left implicit are made more congruent. Not only is death mentioned but the 'trusty legal counsel' invokes the lawyers who are there to protect the company against unwarranted claims. The casual 'trusty' softens the expression, making them sound less threatening, for example, 'trusted legal advisors/team'. The issue of warranty is further unpacked in the section entitled 'Limited warranty' in a similarly straightforward way: 'Stuff eventually breaks or wears out if you use it enough. That's beyond our control.' The division of responsibility between user and manufacturer is similarly spelled out and concludes with the conditional suggestion that: 'If you do destroy your Surly product, fess up and maybe we can get some replacement parts to keep you riding.' 'Fess up' a colloquial expression meaning to 'confess' or 'own up' (to misuse of the product, in this case) softens the situation and positions the company as sympathetic and prepared to help the user, within reason. Overall, the effect is to evoke an intimate relationship with the user that is quite the opposite from that evoked in the Shimano manual which distances the user through use of bullet-pointed formal advice but also by implicitly directing all communication to the a third party 'the place of purchase'. In addition, the detailed instructions for installing the product are actually hidden away in the 'dealer's manual' which is for 'professional and experienced mechanics' rather than the user. This instructional dimension is therefore also worthy of consideration.

While the Surly manual constitutes the complete documentation for the product, the Shimano manual is one of three documents relating to the product on the website. Besides the user's manual, Shimano has a 75 page 'dealer's manual' which provides detailed information on installing the whole gear changing system of which the rear derailleur is just one part. In addition, there is a sheet, which provides a list and diagram of all the parts that make up the product together with each individual part's 'Shimano code no.' These codes could be used by cycle shops ordering spare parts, which would also not be available directly to users. The separation of these documents, particularly the division of 'user's manual' and 'dealer's manual' position the end user as somebody different from the person who does the installation. This separation of the user and dealer and the detailed attention given to the installation process and exploded diagram of the product with coded labels for parts as simple as a washer, screw or spring, underlines the product in terms of engineering, design. It is therefore not surprising that the language of the installation process in Shimano’s manuals therefore draws on the instructional language evolved within the technological field of engineering (more specifically bicycle component development), just as the warnings in the user’s manual borrow from another specialized field, that of legal documents. In contrast to these specialized areas of language that shape the Shimano manuals, the Surly manual fulfills the same functions in the tone of everyday talk. This approach even extends to the illustrations.

Technical drawing is a style of illustration closely associated with engineering. Through the use of black and white line drawings, products are represented to show their physical proportions and functional properties in diagrammatic form, stripped of the colour, textures and logos that belong to the separate dimension of aesthetics and graphic design. The use of such diagrams therefore emphasizes the functional dimension of the product.

In user’s (or ‘dealer’s’) manuals, the visual diagrams often form a key *enabling* element as something closer to showing *how* something is done. This visual instruction is generally accompanied by written instructions that *tell* (rather than show) someone how to do it. An example of exclusively visual instructions would be the assembly diagrams for IKEA furniture. Such instructions enable assembly through showing only. Since such visual manuals avoid the need for (expensive) translation, one might expect that they would be more common. However, the reason that they are not is perhaps both because a degree of telling is deemed to be required for the instructions and because user’s manuals perform other functions including warning the user of the dangers of incorrect installation (with an implied disclaimer) and recommendation of installation by ‘professional (bike) mechanic’ a term used in both manuals. In addition, as noted above, the Surly manual includes an interpersonal act of thanking the user for purchasing the product, a practice implicitly brings the manufacturer and user closer together.

The illustrations in the Surly manual appear on the second page of the manual and show the finally assembly on the four standard hub widths to which the product can be fitted. The drawings are large enough to be almost life size and represent the hubs with simple lines in two dimensions. The illustrations in the Shimano user’s manual are included in the layout on the same side as the text. There are three illustrations that show the derailleur itself and a further three to show the junction box used to reset the derailleur in the case of an accident. The drawings are both small and represented in three dimensions making them less clear than the bold drawings in the Surly manual. In addition, due to the small size, details are shown using magnified boxes. Besides the product illustrations a further visual is used consisting of boxes connected with triangle arrows to represent the sequence of steps to clear the protection function. The Shimano dealer’s manual provides much clearer and better-spaced illustrations (also three-dimensionally) throughout. Illustrations are generally used to represent the processes described in the text but sometimes do so in ways that could not easily be glossed. For example, there is an illustration on page 42 showing 15 different ways the cable could be positioned to take up varying amounts of cable slack.

## 4. The macro-structure of homepage design

The homepage itself is a multimodal text, which also incorporates a number of *pages* as well as videos, photographs or printable materials (in pdf format) such as the user's manuals considered above. All these materials are linked by a central page, which is generally referred to as *home.* Therefore I use the word *homepage* here to refer to the entire *macrotext* or collection of linked materials (*texts*), and *home* to refer to the central page, which provides the start point for accessing the other areas of the homepage. Just as there are considerable similarities in the overall functions of the user's manuals, the homepages of Shimano, North America (hereafter, 'Shimano') and Surly have much in common, yet the differences between them, when explored as multimodal semiotic resources reveal further means through which corporate identity can be expressed.

The key elements in common on both the Shimano and Surly homes are 1) the brand name, 2) search box, 3) menu bar, 4) product highlight, 5) noticeboard, 6) box links and 7) copyright information. All of these sections occupy a more or less permanent area of the page (though Shimano has changed the overall design of the page within the year, since I began analyzing it), however, the product highlight and news are updated regularly to introduce new products, or provide other current information. All of the listed sections of the page (home) are also links, so that clicking on them will take the reader to more detailed information. The only exception to this is the brand logo itself, which appears on other pages and simply takes the user back to home. The search box functions are both run by Google and searches only within the homepage.

Menus may seem an unlikely candidate for the expression of corporate identity but actually serve as a good example, on careful examination. One difference between the menus is that Surly provides one menu bar at the top and another at the bottom of the page, whereas Shimano's are all contained at the top. The main reason Surly needs two menus appears to be because whereas Shimano uses a thin line font Surly has thicker font that takes up more space. However the content is almost identical as both have menus for components, accessories, news and information, technical support, dealer locator and a 'follow us' link to social media. The only menu choices on the Shimano homepage not found on Surly are the 'footwear' and 'newsletter signup'. Instead the Surly menu has 'bikes and frames' and 'image dump'. Nevertheless, despite similar functional content, the Surly menu employs different terms: 'components' becomes 'parts and accessories'; 'accessories' becomes 'gear'; 'dealer locator' becomes 'dealers' and 'news and info' becomes 'blog'. In each case, as with the marked changes highlighted in the discussion of the Surly user's manual above, the lexical choices for menu items represent a subtle downgrading from the more dignified language of technology and the printed word to everyday language. The choice of the slang words 'gear' and 'dealers' as menu items might even be said to evoke an underworld trade in elicit substances.

The 'footwear'/ 'bikes and frames' difference reflects their different range of products besides components—Shimano also specialize in producing cycle shoes, while Surly produce frames and sell complete bicycles. However, this difference has no particular significance for the analysis here.

The newsletter signup / blog is a slightly more relevant difference as the email newsletter is the electronic equivalent of mass mailing, a well established corporate advertising strategy. In contrast, the blog has evolved among social outliers to express views that might be censored in (until recently) mainstream print publications. The Surly blogs feature individual contributions from Surly employees that retain this outlier or anti-corporate feel. For example, on Friday, May 29, 2015 the following anarchic poem was posted under the heading Def Poetry Dump by Gern Blanston above images of Surly bikes in a variety of off road locations:

Time she ticks
The world she spins
The Dump keeps dumping
And all the while
We move forward and adapt or stand still and take our chances
On and on, until the end of the world
Plus there's a bunch of bacon eating and beer drinking [sic.] while that happens, but that shit is way less poetical

This seems to be a piece of anti-poetry that is deliberately trivial, not beautiful and breaks any patterns of rhythm or rhyme. This is further emphasized in the bio below the final photograph labelled as ‘About Gern Blanstone’ and accompanied by a black and white head and shoulders photo that appears to show him bare chested with a beard and long uncombed hair.

> A rider-slash-Surly fan who somehow bounced like a quarter at a drunken college mixer into what he thinks is pretty much the swellest job a fella could have, it is Tyler’s job to determine how Surly should seek attention to its products and itself generally. He has an extensive background in children’s theater, which is, perhaps not surprisingly, a good fit for the marketing manager of this company.

Far from presenting an image of corporate polish the two long sentences with allusions to drunkenness and children’s theatre, the clumsy metaphor of the bouncing quarter and the unorthodox spelling of ‘fella’ and the slang expressions such as ‘rider-slash-Surly fan’ and ‘swellest job’ all contribute to the evocation of an identity that is the exact opposite of a marketing manager. Nevertheless, it is precisely this ‘anti-marketing’ that pervades the homepage and contributes to the positioning of the company as an outlier with an anarchist cause in providing products like the Fixxer that buck against the trend for continuous technological improvement spearheaded by Shimano. However, this is jumping ahead of the analysis so let’s return to the menus.

The menu organization of the Surly menu might best be described as flat as each menu leads to a single page. In the case of the *Parts and Accessories*, this link leads to a menu page where all the parts are displayed with pictures and component names. Clicking on the picture takes the user to more detailed information. The use of pictures makes this more intuitive. Although, Surly produce a variety of components, there seems to be only one model of each and the products are generally niche products aimed at a simpler cycling experience (like the Fixxer) or getting off-road and into nature (like their fat-wheel rims as well as their bikes and frames) and away from cycling as a form of competition.

In contrast to Surly's flat menu and picture-based product links, Shimano's hierarchical menu reflects its complex hierarchy of products that target both the various specialties within cycling and the grades of product by price bracket. At the time of the original analysis, Shimano had a three level drop-down menu choice (cycling discipline—component grade—component) with five cycling disciplines to choose from and 12 grades for 'road bikes'. The choice of grades was listed top to bottom with the top grade at the top and the bottom at the bottom. The menu organization has since been radically redesigned using large flat tabs rather than vertical dropdown ones, lessening the hierarchical feel and instead assigning buttons with the brand name of each component grade in its distinctive font as written on the product and packaging. Nevertheless, the hierarchy has been retained with the rationalized eight groupsets displayed four above four and left to right in order of grade. The sense of hierarchy could be said to be less overt here but remains central to Shimano's organization of its respective product identities as well as that of the company and is closely associated with the sense of engineering progress over time. At the peak of the Shimano range of components for road bikes sits Dura Ace, with the Di2, electronic shifting version of Dura Ace being the state-of-the-art in bicycle components only currently rivaled by the Italian maker Campagnolo. The website lists some 15 versions of Dura Ace since its first introduction in 1973 and lower grades gradually incorporate features that first appeared in Dura Ace in the years that follow. Shimano therefore offer what they call 'trickle down' technology in the grades immediately below Dura Ace but also an ongoing potential for upgrades.

The importance of this hierarchical model and particularly the maintenance of the image of Dura Ace as the cutting edge of bicycle technology is easier to understand when one considers the cost to consumers. The current list price for a Dura Ace Di2 groupset is some ¥433,138 compared to ¥288,758 for Ultegra Di2, ¥144,372 for Ultegra, ¥86,621 for 105 and ¥64,964 for Tiagra. These prices only cover brakes and gears and the cost of the frame, wheels and handlebars would need to be added to make up the cost of a complete bike. A Dura Ace Di2 equipped bike with an equivalent grade professional frame and wheels could therefore cost as much as a million Japanese yen, putting it out of range of even enthusiastic amateurs without considerable disposable income. In contrast, Surly's bikes retail in Japan for ¥120,000~¥300,000 yen, which means that while they target enthusiasts seeking long term reliable bikes they avoid the highest end of the market and the pressure to upgrade implied by Shimano's model of continual research and development.

## 5. Semiotic inter-relations among semiotic resources

Within both the page for home and the homepage as a whole, a variety of resources in the visual mode are used to signal the identity of the products and the company. These design elements in the Surly and Shimano pages draw on quite different aesthetics signaling very different corporate identities. The company name Shimano is the family name of the company founder (Shozaburo) and true to this family tradition was later inherited by his son Shozo, then Keizo, followed by Yoshizo and the current fifth president Kozo Shimano. It is perhaps no coincidence that the words ‘family’, ‘generation’ and ‘inherit’ are used describe the relationships between past and present products at Shimano. Surly, on the other hand, is simply an English adjective that means ‘bad-tempered and unfriendly’. The name itself is therefore confrontational.

The type face chosen for brand names is an important part of their image, and though it may be difficult to take semiotic analysis of type faces far, if one were to it is possible to imagine the smooth and sturdy shapes of the Shimano logo as constituting a very different choice from the rough brush strokes of Surly. Kress and Van Leeuwen (2006, 221-2) suggest that brush strokes as close to handwriting signal individuality, a point, which meshes well with the individual nature of their products. More specifically though, the Surly logo looks like a graffiti. In contrast, while certainly distinctive Shimano’s blue logo looks like a product of industrial design, which carefully balances sturdier sections with thinner ones. All of the typefaces on the Shimano page share the polished machine produced appearance, while those on the Surly page are irregular and look like they have been produced by hand or mimic the type face of typewriter with worn keys that does not produce an evenly produced letter. Similarly, the noticeboard appears to have ink smudges on a sheet of lined paper, as though it has been handled by a mechanic with greasy fingers an effect that has presumably been carefully created by the designer’s pages.

Rather like the typefaces, Shimano’s product image looks to be one of the most polished and with shiny components lit on a dark background, shinning like jewels, borrowing an aesthetic from the advertising of jewels. In contrast to this, Surly products like the rest of the page are generally shown in black and white. Unlike the depth and three-dimensionality of the carefully displayed Shimano components, the Surly one’s appear to be rough collages with little depth and no gloss or shine. Shimano’s featured product (in this case XTN, the electronic gear changing system for Mountain bikes) has the company and product logos and a product catchphrase ‘Engineered for the way you ride’ the featured Surly product at the time was a bike labeled as ‘Instigator’ with a list of synonyms (‘Initiator, Agitator, Formentor, Troublemaker, Ring-leader and rabble-rouser’) that also echo the company’s confrontational name.

Besides product images, both websites include promotional videos. The videos on Shimano’s site are of cinema quality. One type of video is the product documentary narrative, which underlines the expense to which Shimano go to develop their products with the assistance of professional road and mountain bike cycle teams sponsored by Shimano. Interviews with professional riders and mechanics make it clear that this is cutting edge technology for winning races. A second kind of video on the Shimano website is the *#believe* video which effectively makes a link between the ambitions of professional riders with the more modest ambitions of others. It splices segments of a narrative of professional riders Geraint Thomas, and Jens Voigt, Paralympic cyclist Sarah Story, a pair of friends mountain biking in the wilds, a teenage boy who goes to ride a steep hill, and a young child on a bicycle racing his parents along a tree lined riverbank path. These stories are united by the voiceover narration, which connects the stories as personal cycling challenges. This video therefore helps make a narrative link between the professional riders in the product development documentaries and ordinary users, inspiring everyone to ride.

The Surly site, does not include professional videos, but instead shows a range of videos created by users themselves about Surly products. Many are jerkily filmed and some, like a video of a man who builds a trail of donuts in a forest to ride over, seem eccentric, but they do give voice to users, and each is followed by comments from other users.

The overall aesthetic of Surly is therefore rather like the punk or anarchist aesthetic that emerged in the 1970s as bands designed their own publicity material with limited resources including low quality black and white photocopy machines. Surly borrows this aesthetic to promote its own brand of anarchy through cycling. As I have illustrated through this paper, the identity signals for this permeate a range of modalities and in doing so are able to create a coherent brand identity that reflects its outlier position in the marketplace, as well as signaling an ideology that represents cycling as an opportunity to enjoy freedom closer to nature and in simpler ways that avoid competition. This is quite the opposite of Shimano's representation of its products as the cutting edge of a rapidly progressing technology evolving out of competitive professional cycling. Accordingly, every aspect of the homepage signals this same polish and sophistication, with the homepage itself undergoing design refinements even during the year spent exploring the site. Both Surly and Shimano work successfully with the same basic resources on their homepage across a range of modalities to signal their respective identities but despite superficial similarities are able to signal quite different corporate identities reflecting their different market place positions and philosophies.

## 6. Conclusion

In this paper, I have provided an overview of an analysis of two user's manuals considering both verbal and visual features and a variety of multimodal features of the two homepages where these manuals are available. As both texts were user manuals for bicycle components and both homepages corporate homepages for companies who specialize in producing cycle components, there were a number of notable similarities, but also a number of differences, which I have suggested reflect their very different positions in the marketplace and therefore their quite different corporate identities. Although the most striking differences were found in the marked interpersonal choices in the language of written texts such as the Surly user's manuals, consideration of other dimensions such as the use of fonts, photographs of products, or the narratives of videos available on the homepage, also contribute to the evocation of these identities. In this paper I have only been able to provide a relatively brief sketch of how these resources may be explored and interact with each other but what has been outlined here is an approach that could make SFL and Multimodal analysis relevant both to corporations shaping their images in homepages as well as those looking to critique them.

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# Extending the Notion of Modal Responsibility

**Akira Ishikawa**
**Sophia University**

**Abstract**

Modal responsibility is generally understood as one of those foundational concepts which have architectural implications over a whole range of linguistic meanings. In this paper, the notion of modal responsibility is investigated with regard to its rhetorical functions both within and outside clause boundaries. Clause-internally, modal responsibility represents the unifying function of the Subject as the pivotal element of the mood structure, which gives rise to the traditional dichotomy of the clause into the Subject and the Predication, thus providing the clause with another layer of structure in addition to the mood structure. The unifying function of clause-internal modal responsibility can be characterized as the delimitation of the applicability of the Predication, specifying the role played by the entity depicted by the Subject in the causal chain of events represented by the clause. It will be shown how different types of Subject can enter into different types of causal relations, requiring the specification of such roles as manifestations of the clause-internal modal responsibility of the Subject. The clause-external modal responsibility is considered to be representative of context-related rhetorical contributions of the clause, which varies according to the presence and absence of modality in the Finite.

## 1. The unity of the mood structure

It is striking that in the interpersonal metafunction, the dichotomy of the clause into the mood and the residue is not a division into the unifying center and its satellite in terms of content. This situation clearly contrasts with the representative clausal structures for the ideational and textual metafunctions. In the transitivity structure, the dichotomy into the process and its participants reflects the content of the clause, with the process as the unifying center and the participants as satellites. Also, the theme-rheme structure, where the Theme spans all the initial elements of the clause up to the Subject, can be taken as realizing the expected content-based dichotomy into the unifying center and satellite, with the Theme accorded the role of the center to which the Rheme is 'subjugated'. Seeing that the mood structure is indispensable for the explanation of the mood types, which are central to the characterization of clause as exchange, it should not be considered too far-fetched to suppose the mood structure should be supplemented with an additional dichotomy which divides the clause into a unifying center and its satellite so that its content can achieve unity in the dichotomy. Thus, this conjecture can lead us to treat the notion of **modal responsibility** as the semantic core of this secondary division of the interpersonal clause into Subject and Predication, which has been the traditional dichotomy of the clause, or proposition, in philosophy, as we see in syllogism.

Although even currently this secondary structure is implicitly overlaid on top of the mood structure, it is usually not noticeable as such because modal responsibility is treated as one of the defining properties of the Subject in SFL, where it is defined as "responsibility for the validity of what is being predicated (stated, questioned, commanded or offered) in the clause (Halliday and Matthiessen, 2014: 148)”. However, once this essentially structural character of modal responsibility is foregrounded, it becomes possible to capitalize on its unifying potential, which is strictly associated with the Subject but can span the whole clause through its connection with Predication. This is the tack we will take in this paper, where the nature of modal responsibility is examined for a possible extension of the notion to a wider range of discursive phenomena.

As it is, modal responsibility is a phenomenon restricted to the clause. It will be shown that the unifying potential of the notion is closely connected with its rhetorical function, thus entailing its discoursal functions. Upon further consideration of the rhetorical function of the Subject, it turns out that it can be realized both congruently and metaphorically. Some cases of metaphorical realizations of the rhetorical function in the Subject are discussed to demonstrate the usefulness of this extension of the notion of modal responsibility beyond clause-internal phenomena.

## 2. The rhetorical nature of modal responsibility

Obviously, the definition of modal responsibility quoted above, “responsibility for the **validity** of what is being predicated (stated, questioned, commanded or offered) in the clause”(emphasis added by the current author), crucially involves **what is rhetorical** in the utterance of a clause. This formulation indicates that the validity of a predication restricts the influence of the predication to what is within the bounds of the clause because the speech function associated with a clause does not extend beyond it. However, it also points to the essential relatedness of modal responsibility with the discoursal processes because speech functions are intrinsically involved in interpersonal interactions or negotiations of meaning in the production of text. This consideration leads us to separate the semantic implications of modal responsibility into what is happening within the clause and what is happening beyond the clause.

Clause-internally, modal responsibility refers to the relationship between the entity designated by the Subject and the process designated by the predication part. The semantic division of labor between Subject and Predication in terms of the ideational metafunction results from the singling out of the Subject participant from the process-participants compound. That is, whatever figure is designated by the whole proposition or proposal, the predication part stands for the same figure minus the Subject participant. From the viewpoint of the Subject, the predication represents how the Subject is involved in the relevant process it depicts. Thus, in the case of a material process, the predication describes the Subject’s involvement in the causal relationship depicted by the predicator and the remaining participants. Depending on the process type, the Subject is involved in mental, relational, verbal, existential or behavioral relations with the other participants of the process. The validity of modal responsibility concerns the manner of this involvement on the part of the Subject in the process represented by the figure of the clause, where the Subject acts as the **pivotal** part of the linking. Thus, the validity has clause-internal scope, interacting at the same time with the **modality** and **polarity systems** in order to achieve the right degree of categoricalness of an utterance.

However, as suggested above, it is also conceivable that the validity of the predication works both inside and outside the clause. For one thing, in order to be a valid statement, for example, the clause has to be anchored to an appropriate time-point relative to speech time. In other words, propositions and proposals are essentially context-grounded, and without context, it is impossible to assess the validity of a proposition or a proposal. From this perspective, it seems equally infeasible to assess the validity of a predication without taking account of the **rhetorical contributions** of the clause to the ongoing text. One reason for this surmise is that as has been pointed out by Austin (1962), every utterance is associated with three kinds of speech acts, *locutionary*, *illocutionary*, and *perlocutionary*. Whenever we say something (a locutionary act), the utterance in and of itself performs some illocutionary act (such as statement, question, etc.) but it also serves some purpose (a perlocutionary act) in the overall intent of the speech activity, of which it is a part. When the relevance and validity of an utterance is assessed, it is not only on the basis of its illocutionary contributions but also its perlocutionary merits, not to mention the adequateness of its ideational meaning, that its worth is determined. From this, even without adopting Austin's trichotomy, it is reasonable to assume that the validity of a proposition or a proposal is a function of their rhetorical contributions both clause-internally and clause-externally.

## 3. Responsibility, validity and effect

It seems that both 'validity' and 'rhetorical' have to do with the notion of effect. One definition of 'rhetorical' would be 'concerned with effect or style of writing and speaking (Wordnet 2.0)'. According to this, the rhetorical contributions of a linguistic expression is all the effects, including stylistic ones, it produces in the text. On the other hand, 'validity' is concerned with 'the quality of having legal force or effectiveness (Wordnet 2.0)'. So through the notion of effect or effectiveness, modal responsibility, defined as "responsibility for the validity of what is being predicated (stated, questioned, commanded or offered) in the clause", can be related to 'being rhetorical'.

In this view, the Subject functions to delimit the scope of effect arising from the Predication. As we saw above, such effects include clause-external as well as clause-internal speech acts. This restriction of the scope of effects occurs on the ideational plane, where the nature of experience is specified by the Predication but their scope of applicability is only determined when combined with the Subject. So the effects are not due to what is being predicated alone but only arise from the combination of the Subject and the Predication. In this interpretation, the metaphoric overtone of modal responsibility can be reasonably reduced to the notion of delimitation or delineation concerning the applicability of the Predication due to the Subject, restricting the effects of what is being predicated. This compositional view of modal responsibility as the delimitation of the effects arising from the linkage of Subject and Predication may open up a new outlook on the workings of modal responsibility especially in the domain of discourse semantics.

### 3.1 Evidence for unification

One piece of support for the delimitation function of the Subject concerning applicability of predication comes from the Generalized Quantifier theory in formal semantics, in which the Subject is considered to be a quantifier composed of a determiner and a set expression, of which the former delimits the relationship of the latter with another set expression represented by the Predication. For example, in “Every boy swims”, the determiner *every* restricts the relationship between the two sets, the set of boys and that of swimmers, to one where the former is included by the latter. In “Some boys swim”, the relationship is an overlap between the two sets, in which the intersection of the sets is not empty.

### 3.2 Subject types and modal responsibility

Another piece of evidence for the Subject’s delimitation function as regards the Predication’s applicability is found in the degree of involvement in causality shown by different types of Subjects.

In the case of typical Subjects of material processes, which are represented by humans such as “John knocked over the table”, the Subject is literally responsible for the effect of the process depicted in the Predication because the person is causally fully involved in the event. Clause-internally, the responsibility of the Subject is only construed on the ideational plane because its causal involvement in the event process cannot be shifted even if **an imputation** is involved. So although “Mary said John knocked over the table” shift the responsibility of imputation from the speaker to Mary, the responsibility for the knocking over of the table remains with John. Similarly, modality only concerns the imputation and does not change the location of responsibility and the degree of involvement of the Subject in the causal chain as in “John may have knocked over the table.”

On the other hand, the effect of the Subject’s modal responsibility on argumentation can be shifted when a different imputation occurs as indicated above. Comparison of the following a. and b. shows that in a. the second sentence has the rhetorical force of evidence whereas it does not in b.

a. John’s behavior has been aberrant these days. He knocked over the table yesterday.
b. John’s behavior has been aberrant these days. He may have knocked over the table yesterday/Maybe he knocked over the table yesterday.

Clearly, in terms of modal responsibility, this phenomenon can be attributed to the presence or absence in the Predication of imputation by means of modality. So it can be conjectured that clause-externally, the modal responsibility of the Subject is

**influenced by interpersonal meanings** (that is, imputation in this case) carried by modal expressions.

Closely related to the use of human Subjects who are literally responsible in a causal chain of events is the use of generic pronominal Subjects, which is discussed in Halliday and Hasan (1976, 53).

> Not only the generalized personal one but also we, you, they and it all have a generalized exophoric use in which the referent is treated as being as it were immanent in all contexts of situation. (i) *You* and *one* mean 'any human individual', as in *you never know*, *one never knows*; and often by implication 'any self-respecting individual', 'any individual I would approve of ', particularly in the combination of one plus a verbal modulation as in *one must accept certain standards*. (ii) *We* is used in similar fashion but more concretely, implying a particular group of individuals with which the speaker wishes to identify himself, as in *we don't do that sort of thing here*. In addition there are various other intermediate uses of *we*: royal and editorial, e.g.: *we consider it our duty*. .. , with an assumption of status behind it; medical *we*, from doctor to patient as in *how are we today?*, implying 'you in your role as patient, with whom I seek to identify myself'; impersonal *we* used in expository writing (for example in this book), e.g.: *we conclude therefore that* ..., simply because English demands a subject and an excess of passives soon becomes tiresome. (iii) *They* is used to mean ' persons unspecified'; often those with responsibility, ' the authorities', but also simply 'persons adequately specified for purposes of discussion by the context', as in *they're mending the road out there*. (iv) *It* occurs as a universal meteorological operator in a few expressions such as *it's snowing*, *it's hot today.* All these are exophoric, but with a kind of institutionalized exophora; they make it possible to conform to the structural requirements of the clause, which demands a nominal in various places - for this reason they are often untranslatable, since other languages make different requirements.

In these cases, the pronominal Subjects seem to be associated with the sense of ‘being socially institutionalized’. In case (i), the fact that instead of ‘any human individual’, 'any self-respecting individual', or 'any individual I would approve of' is the intended meaning suggests that such individuals are capable of making reasonable judgements as discussed by Wierzbicka (2006). Cases (ii) and (iii) also involve the establishment of a socially appropriate agent for shouldering the responsibility of the occasion. Case (iv) can be taken as a metaphorical extension of the same ‘ploy’.

Matthiessen (1995: 598) calls case (iii) a strategy taken by the speaker to make the non-specific Agent take the modal responsibility.

> If the Agent is non-specific, but **the speaker wants to assign it modal responsibility**, there is a strategy of using *they*. Thus we might have *They awarded him a two-year Harkness Scholarship*, at least in casual spoken

> English. Thompson (1987) discusses this strategy and includes the following examples (from Schegloff transcripts)'…. Thompson finds in her data that this strategy is favoured over the (non-agentive) receptive "whenever the inferable but unimportant agent is 'those typically in charge of such activities'" (cf. Halliday and Hasan, 1976: 53). It is this notion of "**being in charge of**" that reflects the modal responsibility embodied in the selection of the Subject.(emphasis added by the current author)

In this interpretation, modal responsibility is preferably to be assigned to a participant which can be more literally in charge of the activity in question. When this requirement or constraint cannot be met, one can resort to introducing a quasi-Agent as in case (iv). Existential constructions in German and French can be examples of using this strategy: 'es gibt' and 'il y a'. From our perspective of modal responsibility as the **delimitation of subject involvement in predication**, the use of a generic pronoun as the Subject can be understood as an establishment of a socially responsible Agent for the causal consequences of the activity, as demonstrated in the quotation from Halliday and Hasan (1976) above.

By contrast, non-human Subjects are often not capable of being 'in charge of' the activity or process, for they are often the Medium of the process rather than the Agent. Even with material processes, the passive construction forces modal responsibility to be assigned to the Medium Subject: *The clock was knocked over by John*. Since it is extremely difficult to imagine the modal responsibility of the clock in terms of being in charge of the activity, it will be necessary to extend its characterization as that of a causal instigator to something more inclusive such as 'the relevant party in the causal chain of events involved in the activity'. Just as in the case of human Subjects, non-human Subjects show parallel behaviors clause-internally and clause-externally regarding imputation.

a. Mary said that the clock was knocked over by John.
b. The clock may have been knocked over by John.
c. The clock has been erratic these days. It was knocked over by John the other day.
d. The clock has been erratic these days. It may have been knocked over by John the other day.

Unlike human Subjects in the capacity of Agent, these non-human Subjects acting as Medium can be taken to accept responsibility for the blemish or fault resulting from the process in which they are involved. In a., the imputation of the suffering and a possible blemish from it to the clock is shifted from the speaker to Mary. In b., it is attributed to the speaker. In c., in which the second sentence does not carry an explicit mark of imputation, we have a text of **straightforward explanation** rather than an argument, whereas in d., where the second sentence involves an imputation, the sequence of sentences is most likely construed as **reasoning**.

As to the rhetorical contribution of the Subject's delimitation function, the **clause-internal modal responsibility** seems to vary according to its participant roles such as Agent and Medium because their role in the relevant causal relation matters, whereas the **clause-external modal responsibility** seems to be influenced by interpersonal meanings such as imputation as we saw in our examples above and textual meanings such as **expansion**. It is also noticeable that both types of rhetorical contributions need to be arrived at as a result of our construal of the text based on the lexicogrammatical indications of the intended meaning. Thus, ideational resources such as transitivity structure seem to be major clues to the clause-internal modal responsibility, whereas interpersonal resources such as modality and textual resources such as conjunction to the clause-external responsibility.

### 3.3 Semiotic and meta-discoursal causal relations

Some examples of construal of clause-internal modal responsibility with regard to atypical Subjects are as follows.

(1) Propositional Subjects tend to be involved in a **semiotic causality.**

a. *That only Galileo's physical finger is preserved but the descendants of his techniques thrive* is also symbolic of the transitoriness of personal existence in contrast to the immortality of knowledge.
b. *EXACTLY WHEN humans first began to understand the importance of the brain as the substrate for thinking and behaving* is unclear.

The modal responsibility of the *that*-clause Subject in a. is something like the bearer of evidence. Although being propositional in form, b. represents a non-semiotic entity, i.e. time. So it is not participating in a semiotic causal relation.

Non-finite clauses known as Acts also participate in semiotic causal relations. In the following example, the Subject and the Complement are not just equated, but also construed as forming a condition-consequence pair.

> *…to explain the structure entirely in these terms* is to underestimate the rhetorical potential of these texts

(2) Certain nominals including nominalizations and ones called labels by Francis (1994) can be used to directly refer to **parties to causal relations**.

a. But *the net result of this* can also be to ignore centrally important features of demands of equality

b. Even though such rhetoric (e.g. 'all men are born equal') is typically taken to be part and parcel of egalitarianism, *the effect of ignoring the interpersonal variations* can, in fact, be deeply inegalitarian, in hiding the fact that equal consideration for all may demand very unequal treatment in favour of the disadvantaged

These are typical **value-token constructions** where the Subject provides a prospective assessment of the significance of the identified element in the Predication. In both a. and b., the Subject acts as the mediator between the cause ('this' for a. and 'ignoring the interpersonal variations' for b.) represents something like **focus on the effect**. Similar focus on other parts of various causal relations are known to be indicated by the same construction using such nouns as *reason*, *significance*, *relevance*, etc. Sometimes these causal entities are involved in meta-discoursal relations rather than regular causal relations being developed in the textual argument. In the following examples the Subjects all undergo meta-discoursal processes concerning the manner of illustration.

a. *The sources of this social order disruption* can be grouped under the following three headings: aberrant damage, adversative rearrangements of power relations and normative breach.
b. *The interdependence between headline and lead* is illustrated by the following examples.
c. *Points of interdependence* have been underlined.

(3) Subjects introduced as a result of interpersonal metaphor can be generalized and distanced from the actual causal process they are intended to participate in. In administrative and bureaucratic language, in order to avoid direct interaction and create hierarchical distance so that direct negotiation may be made more difficult, commands are put into statements with generalized Subjects representing those who are supposed to comply with the orders. Iedema (1997) treats the genre of directives in administrative and bureaucratic settings, where the Command is recontextualized in order to naturalize hierarchical control. A typical case of recontextualization is seen in transferring a command from the immediate to a reported speech context, thus making it less accessible to disagreement or contestation.

a. Complete form 9321.
b. From 21 September 1992 *all registered agents* will be required to complete a declaration (Form 932) in relation to every application with which they assist. (italics added by the current author)

The above example is an instance of distancing achieved by recontextualization (Iedema, 1997: 74). In a. the addressee (you) is directed to fill in a specific form. By contrast, in b. the addressee is a depersonalized general person (registered agent) who is not directly instructed to fill in a particular form, but rather informed of a procedure involving the completion of a form.

From the perspective of the Subject's modal responsibility, such metaphorically motivated Subjects seem to assume a displaced role in the causal relation they are intended to engage in because in order to restore the intended causal relation they need to be put back into the original intended context in their construal. This suggests that clause-internal modal responsibility might be **determined relative to context** rather than by the transitivity structure of the clause alone.

## 4. Cloran's Rhetorical Units and 'distancing'

Cloran's (1994, 1999) **decontextualization theory** presents us with a clear layer of clause-external rhetorical contributions arising from the Subject. Although her theory is based on Hasan's message semantics (Hassan 1991), which means the analytical categories are set up in semantic terms, the two components, CE (Central Entity) and EO (Event Orientation), which play the role of two defining variables in the classification of **rhetorical units**, rhetorical activities engaged in over small stretches of text, are clearly parallels of the Subject and the Predication, distributionally overlapping the latter to such an extent that their treatment in the discussion of a possible extension of modal responsibility seems quite relevant.

Cloran's decontextualization theory characterizes rhetorical contributions of messages as distinct language activities (called rhetorical units, RUs) along a cline with two extremes, one of which has language in completely ancillary role (e.g., brief directions exchanged during coordinated work) and the other in completely constitutive role (e.g., lecture monologues): Action (the ancillary end), Commentary, Observation, Reflection, Report, Account, Plan/Prediction, Conjecture, Recount, and Generalization (the constitutive end). Each of these rhetorical units is defined by the values of CE and EO, both of which vary relative to the distance from the immediate communication situation, called the **material situational setting** (MSS). The distance of the central entity (CE) is measured according to the location relative to MSS (within MSS or outside MSS) and its ontological type in the case of those within MSS (interactant or other person/object), and according to its specificity (whether it is present in MSS or generalized and class-exhaustive. On the other hand, the distance of EO from MSS is determined by its temporal location relative to MSS (concurrent, prior or future), its habituality (habitual or non-habitual), the speech-functional target (goods/services or information), its modal status (hypothetical or non-hypothetical)). The resultant classification of RUs given in Cloran (1999, 41) is as follows:

**Table 1 (Cloran 1999: 41)**

<table>
<tr><th>EVENT ORIENTATION</th><th>PRIOR</th><th colspan="2">CONCURRENT</th><th colspan="3">FUTURE</th></tr>
<tr><th>CENTRAL ENTITY</th><th></th><th>non-habitual</th><th>habitual</th><th>goods/services exchange</th><th>information exchange</th><th>hypothetical (possible-conditional)</th></tr>
<tr><td>Within material situational setting (MSS)</td><td rowspan="6">Recount</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>• interactant</td><td rowspan="2">Commentary</td><td>Reflection</td><td>Action</td><td>Plan/ Prediction</td><td rowspan="4">Conjecture</td></tr>
<tr><td>• other person/object</td><td>Observation</td><td></td><td>Prediction</td></tr>
<tr><td>Not within MSS</td><td colspan="4"></td></tr>
<tr><td>• person/object</td><td>Report</td><td>Account</td><td colspan="2">Prediction</td></tr>
<tr><td>Class</td><td></td><td>Generalization</td><td colspan="3"></td></tr>
</table>

Seeing that the CE is typically realized as the Subject while the EO as the Predication, as is discussed extensively in Cloran (1994, Chapter 5), it should not be too far-fetched to interpret Cloran's classification of RUs as an attempt to construe rhetorical effects of the distance of CE and EO from MSS and the resultant RUs as clause-external rhetorical contributions because they characterize **the nature of communicative acts** realized by the messages rather than specify the type of causal relation between CE and EO. In other words, the values of CEs and EOs such as 'within MSS, interactant', 'not within MSS', 'concurrent, non-habitual', 'future, information echange', and so on, can be regarded as part of specifications of '**clause-internal**' rhetorical contributions as participant-related distance from MSS, whereas the RUs can be taken to name the **clause-external** rhetorical contributions based on context-related distance measured relative to MSS. This interpretation accords with the distinction between clause-internal and clause-external speech acts which we discussed in the previous section. Moreover, it elucidates the separate contributions of the Subject and the Predication and the joint nature of the resultant contributions effected by the whole clause. Thus, we have seen that some aspects of modal responsibility can be reduced to the specification of the participant-related distance from MSS of the central entity, which is the Subject.

Another noticeable characteristic of Cloran's decontextualization theory is that RUs are conceptualized in terms of constituency.

> These varieties of language use are termed rhetorical activities or rhetorical units. They occur in all types of discourse from the most mundane everyday discourse to academic written discourse; furthermore, the messages which constitute them tend to be chunked together. In other words, any text is describable in terms of its constituent rhetorical units (RUs). This formulation implies a theory of text structure based in constituency relations between identified units. (Cloran 1999: 37)

Indeed, in her analysis of mother-child exchanges, most RUs consist of more than one 'progressive' (that is, non-'punctual') message, showing that each RU is concerned with a clause-external activity common to the clauses realizing the RU.

**Extract 1 (Cloran: 1999, 37)**

| | | Observation |
|---|---|---|
| 196 C | What is that stuff? | |
| 197 M | Oven cleaner | |
| 198 C | What is it called? | |
| 199 M | Hi-Speed Oven Cleaner | |
| 200 C | Oh (LAUGHS) .. Hi-Speed Oven Cleaner! | |

In this example, although the sentences are either a question or a statement as speech acts, they are all categorized as Observations because of the within-MSS CEs and habitual EOs. It is clear that unlike illocutionary acts, RUs are concerned with characterizing broader rhetorical effects of individual speech acts. It is also clear that unlike perlocutionary acts, RUs are determined on a compositional basis, being ‘calculated’ from CE and EO. As a result, certain patterns of RU sequences are reinterpreted as constituting different phases of language use associated with pedagogical styles such as Regulative, Instructional, Imaginative or stages of genres such as Thesis, Argument, etc. (Wake, 2006: Chapter 7). Thus, if we take RUs as one way of characterizing the clause-external rhetorical contributions arising from the Subject’s modal responsibility, they seem to be capable of characterizing a higher levels of rhetorical effects such as phases and stages.

However, there still remain a number of problems one has to tackle in order to clearly discern the clause-external rhetorical effects arising from modal responsibility and the means of reducing them to the types of the Subject and various clausal and contextual factors. If we are to extend Cloran’s approach to written texts, it will be necessary to replace the MSS with a different notion of immediate context because in a written text what is within and outside the immediate context of interaction is not clearly divisible. This is because interaction between the interactants is usually not foregrounded in written texts, and even when quasi-interactive rhetorical moves such as asking the reader a question or requesting the reader to do some action, the interaction is not based on shared visibility.

Another problem to be investigated is the relationship between rhetorical effects and socio-semiotic activities discussed in Halliday and Matthiessen (2014, 33-42). Since Cloran’s theory is mainly concerned with oral interaction between interactants, it does not deal with rhetorical effects involved in argumentation. The following excerpt shows how two consecutive remarks with the same subject but differing in the type of predication can have a rhetorical effect of correcting the interlocutor’s categorization of a personage.

Let us introduce one more short text example to illustrate the similarity and difference between attribution and identity:

> ‘Why should I want to murder a perfectly strange woman?’ said Dr Quimper.
> ‘She wasn’t a strange woman’, said Inspector Craddock. ‘She was your wife.’
> [A. Christie, 4.50 From Paddington]
>
> In both she wasn’t a strange woman and she was your wife, the meaning is ‘x was a’; but Inspector Craddock’s rhetorical punch is the shift from ‘attributive’ to ‘identifying’ – from common class-membership to unique identity. (Halliday and Matthiessen, 2014: 267)

In argumentative texts and any text featuring reasoning, in order to identify the clause-external rhetorical contributions of modal responsibility, it will be necessary to extend the focus of investigation to include these speech acts which are directly concerned with argumentative steps. It is clear that this kind of rhetorical meaning is outside the scope of logical relations and textual relations between clauses discussed by Winter (1994), which is an attempt at providing a general framework for explain clause relations in informational terms. The relation between the two remarks is not just a contrast but a rhetorical move acted upon the interlocutor. It is not an interactive move marking a transition from one stage to another in textual development either. Thus, we need to extend our focus of investigation to other types of socio-semiotic activity in order to explain rhetorical moves found in written texts.

## 5. Conclusion

I have discussed how the notion of modal responsibility can be extended to include both clause-internal and clause-external rhetorical contributions of the Subject. Based on the original definition of modal responsibility as given in Halliday and Matthiessen (2014), modal responsibility is argued to be relatable to the rhetorical contributions of the Subject. The dichotomy between clause-internal and clause-external rhetorical contributions of the Subject is motivated by the variations in rhetorical effects produced by different types of Subjects and the presence or absence of modality in the Predication. In order to elucidate the clause-external rhetorical contributions, Cloran's (1994, 1999) decontextualization theory is reinterpreted as an attempt at characterizing a layer of rhetorical meaning, which she calls Rhetorical Units. It is suggested that an expansion of the scope of rhetorical effects is needed if we are to extend this approach to different types of text engaged in other socio-semiotic activities than immediate face-to-face conversational interaction.

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# 第22回日本機能言語学会秋期大会プログラム

会期：2014年10月11日（土）～ 10月12日（日）
会場：龍谷大学（大阪梅田キャンパス）

**10 月 11 日（土）**

| | |
|---|---|
| 13:00 – 13:40 | 受付 |
| 13:40 – 13:55 | 開会の辞　第1室　日本機能言語学会会長：**龍城正明（同志社大学）** |
| 14:00 – 14:40 | 研究発表1<br>第1室　司会：小林一郎（お茶の水女子大学）<br>**早川知江（名古屋芸術大学）**［発表言語：日本語］<br>「絵本の絵と文：表現の得手不得手と協力関係」<br><br>第2室　司会：David Dykes（四日市大学）<br>**George O'Neal（新潟大学）**［発表言語：英語］<br>'Negotiating Halliday's Semiodiversity in English as a Lingua Franca in Japan' |
| 14:45 – 15:25 | 研究発表2<br>第1室　司会：小林一郎（お茶の水女子大学）<br>**難波和彦（京都産業大学）**［発表言語：日本語］<br>「対人的メタ機能とテクスト形成的メタ機能の観点からの日英コードスイッチングの分析」<br><br>第2室　司会：David Dykes（四日市大学）<br>**Peter McDonald（桜美林大学）**［発表言語：英語］<br>'Using Systemic Functional Grammar to Support Comprehension in the Language Classroom' |
| 15:25 – 15:40 | 休憩 |
| 15:40 – 16:20 | 研究発表3<br>第1室　司会：福田一雄（新潟大学名誉教授）<br>**南里敬三（大分大学）**［発表言語：日本語］<br>「Field, Tenor, Modeハリデーの場面モデルを修正する」 |
| 16:25 – 17:05 | 研究発表4<br>第1室　司会：佐々木真（愛知学院大学）<br>**Sonya Chik（香港理工大学）**［発表言語：英語］<br>'Causal-conditional rhetorical relations in Japanese and English corporate enabling texts' |
| 17:05 – 17:20 | 休憩 |
| 17:20 – 18:00 | 総会（役員選挙）　第1室　司会：**飯村龍一（玉川大学）** |
| 18:30 – 20:30 | 懇親会　創作和食ダイニング「卯乃家」（会費：5,000円） |

10月13日（日）

9:30 – 10:00　受付

10:00 – 10:40　研究発表1

第1室　司会: 南里敬三（大分大学）
**奥泉香（日本体育大学）**［発表言語: 日本語］
「絵本における見ひらきを単位とした多層的意味構築の様相」

第2室　司会: Virginia Peng（立命館大学）
**David Dykes（四日市大学）**［発表言語: 英語］
‘A survey of reviews for <Mount Fuji Fifth Station> entered on TripAdvisor.com in August 2014’

10:45 – 11:25　研究発表2

第1室　司会: 南里敬三（大分大学）
**伊藤紀子（同志社大学）、鈴木紀子（帝塚山大学）、阪田真己子（同志社大学）**［発表言語: 日本語］
「3人会話における優位性と(非)言語行動の関係」

第2室　司会: Virginia Peng（立命館大学）
**Patrick Kiernan（明治大学）**［発表言語: 英語］
‘“Hey you, thanks for buying our stuff.” Language, Multimodality and Identity in Corporate Websites’

11:25 – 11:40　休憩

11:40 – 12:20　研究発表1

第1室　司会: 伊藤紀子（同志社大学）
**石川 彰（上智大学）**［発表言語: 英語］
‘Extending the notion of modal responsibility’

12:20 – 13:30　昼食

13:30 – 14:10　研究発表4

第1室　司会: 佐々木真（愛知学院大学）
**照屋一博（香港理工大学）**［発表言語: 日本語］
「体系機能的に言語を学習するツールとしてのテクスト類型」

14:10 - 14:25　休憩

14:25 - 15:35　**特別講演**

第1室　司会：龍城正明（同志社大学）
Dr. Kay L. O’Halloran（Curtin University, Western Australia）［発表言語：英語］
‘Digital Approaches to Multimodal Analysis: Challenges and Future Directions’

15:35 – 15:45　閉会の辞　第1室　日本機能言語学会副会長：**バージニア・パン（立命館大学）**

# The Program of JASFL 2014

Date: October 11th (Saturday) – October 12th (Sunday), 2014
Venue: Ryukoku University (Osaka Umeda Campus)

## Oct. 11th (Saturday)

13:00 – 13:40 Registration

13:40 – 13:55 Opening Remarks Room 1
President of JASFL Masa-aki Tatsuki (Doshisha University)

14:00 – 14:40 Paper Session 1
Room 1 Chair: Ichiro Kobayashi (Ochanomizu University)
Chie Hayakawa（Nagoya University of Arts）[To be presented in Japanese]
'Words and Pictures in Picturebooks: Strength and Weakness in Meaning Making and Their Collaboration'

Room 2 Chair: David Dykes (Yokkaichi University)
George O'Neal（Niigata University）[To be presented in English]
'Negotiating Halliday's Semiodiversity in English as a Lingua Franca in Japan'

14:45 – 15:25 Paper Session 2
Room 1 Chair: Ichiro Kobayashi (Ochanomizu University)
Kazuhiko Namba（Kyoto Sangyo University）[To be presented in Japanese]
'Analyzing Japanese-English code-switching from the perspectives of interpersonal and textual meta-functions'

Room 2 Chair: David Dykes (Yokkaichi University)
Peter McDonald（J. F. Obirin University）[To be presented in English]
'Using Systemic Functional Grammar to Support Comprehension in the Language Classroom'

15:25 – 15:40 Coffee Break

15:40 – 16:20 Paper Session 3
Room 1 Chair: Kazuo Fukuda (Emeritus Professor of Niigata University)
Keizo Nanri（Oita University）[To be presented in Japanese]
'Field, Tenor, Mode: A Review of Halliday's Context of Situation'

16:25 – 17:05 Paper Session 4
Room 1 Chair: Makoto Sasaki (Aichi Gakuin University)
Sonya Chik（The Hong Kong Polytechnic University）[To be presented in English]
'Causal-conditional rhetorical relations in Japanese and English corporate enabling texts'

17:05 – 17:20 Coffee Break

17:20 – 18:00 AGM Room 1 Chair: Ryuichi Iimura (Tamagawa University)

18:30 – 20:30 Reception Creative Japanese Cuisine UNOYA (Participation Fee: 5,000 yen)

## Oct. 13th (Sunday)

9:30 – 10:00 Registration

10:00 – 10:40 Paper Session 1

Room 1 Chair: Keizo Nanri（Oita University）

Kaori Okuizumi（Nippon Sport Science University）[To be presented in Japanese]

‘The dynamics of multilayer meaning-making on double-page spreads in picture books’

Room 2 Chair: Virginia Peng (Ritsumeikan University)

David Dykes（Yokkaichi University）[To be presented in English]

‘A survey of reviews for <Mount Fuji Fifth Station> entered on TripAdvisor.com in August 2014’

10:45 – 11:25 Paper Session 2

Room 1 Chair: Keizo Nanri（Oita University）

Noriko Ito (Doshisha University), Noriko Suzuki (Tezukayama University), Mamiko Sakata (DoshishaUniversity) [To be presented in Japanese]

‘A study of dominance and (non-)verbal behaviors in three-party conversation’

Room 2 Chair: Virginia Peng (Ritsumeikan University)

Patrick Kiernan（Meiji University） [To be presented in English]

‘“Hey you, thanks for buying our stuff.” Language, Multimodality and Identity in Corporate Websites’

11:25 – 11:40 Coffee Break

11:40 – 12:20 Paper Session 3

Room 1 Chair: Noriko Ito (Doshisha University)

Akira Ishikawa（Sophia University）[To be presented in English]

‘Extending the notion of modal responsibility’

12:20 – 13:30 Lunch

13:30 – 14:10 Paper Session 4

Room 1 Chair: Makoto Sasaki (Aichi Gakuin University)

Kazuhiro Teruya（The Hong Kong Polytechnic University

[To be presented in Japanese]

‘Text typology as a tool for learning about language systemic functionally’

14:10 – 14:25 Coffee Break

14:25 – 15:35 Plenary Room 1 Chair: Masa-aki Tatsuki (Doshisha University)

Guest Speaker: Dr. Kay L. O’Halloran（Curtin University, Western Australia）

[To be presented in English]

‘Digital Approaches to Multimodal Analysis: Challenges and Future Directions’

15:35 – 15:45 Closing Remarks Room 1 Vice President of JASFL Virginia Peng (Ritsumeikan University)

# *JASFL*
# *Occasional Papers*

Volume 1 Number 1  Autumn  1998

## Articles （論文）

# *JASFL*
# *Occasional Papers*

Volume 2 Number 1  Autumn  2001

## Articles （論文）

# *JASFL*
# *Occasional Papers*

Volume 3 Number 1  Autumn  2004

Articles （論文）

# 機能言語学研究

## Japanese Journal of Systemic Functional Linguistics

**Vol. 4 April 2007**

Articles

# Proceedings of JASFL

Vol. 1 October 2007

**Articles**

# Proceedings of JASFL

Vol. 2 October 2008

**Articles**

# 機能言語学研究

## Japanese Journal of Systemic Functional Linguistics

Vol. 5 June 2009

**Articles**

# Proceedings of JASFL

Vol. 3 October 2009

**Articles**

# Proceedings of JASFL

Vol. 4 October 2010

**Articles （論文）**

# 機能言語学研究

## Japanese Journal of Systemic Functional Linguistics

**Vol. 6 April 2011**

**Articles**

# Proceedings of JASFL

Vol. 5 October 2011

## Articles （論文）

# Proceedings of JASFL

Vol. 6 October 2012

**Articles** （論文）

# 機能言語学研究

**JAPANESE JOURNAL OF SYSTEMIC FUNCTIONAL LINGUISTICS**

**Vol. 7 May 2013**

論文

# Proceedings of JASFL

Vol. 7 October 2013

論文

# PROCEEDINGS OF JASFL

Vol. 8 October 2014

## 論文

# 機能言語学研究

## JAPANESE JOURNAL OF SYSTEMIC FUNCTIONAL LINGUISTICS

**Vol. 8 June 2015**

論文

# 『機能言語学研究』および*Proceedings of JASFL*
# 作成と投稿のための規約

## 作成と投稿のための規約

### 1. 使用言語
日本語または英語

### 2. 原稿の種類
（1）研究論文　（2）書評・紹介　（3）研究ノート

### 3. 独創性
投稿原稿は以下の条件を満たす場合にのみ出版の対象として考慮する。

(1) 著者のオリジナルな著作であること。
(2) 他の出版物に同時に応募しないこと。
(3) 他の学会で既に発表した内容のもの（同一の内容のもの、同一のタイトルのもの、発表言語だけを変えたもの等)、重複発表と見なされるものは受け付けない。また重複発表と見なされたものは発表後であっても採択の許諾を取り消すこととする。
(4) 著作権は各著者に属する。ただし再版の権利は日本機能言語学会に属する。

### 4. 投稿資格
投稿は会員にかぎる。ただし共著の場合は筆頭著者が会員であればよい。

### 5. 審査方法
審査の際はすべての原稿は無記名とし、３名の審査員が審査する。

### 6. 書式と構成

#### 6.1 書式設定とファイル形式
用紙をB5とし、余白は上下左右各25ミリをとる。使用するワープロソフトは問わないが、ファイルはMicrosoft Word互換のファイル(docまたはdocxファイル)として保存、投稿する。

#### 6.2 フォント設定と行間
日本語で書く場合のフォントはＭＳ明朝（11ポイント）、英語で書く場合はTimes New Roman（11ポイント）の文字サイズを用いることとし、シングルスペースの行間とする。

#### 6.3 語数
『機能言語学研究』：日本語の場合 22000 文字以内、英語の場合 7000 語以内とする。
*Proceedings of JASFL*: B5 14 ページ以内とする。

### 6.4 要旨

執筆する言語にかかわらず、論文要旨を必ず英語で100字〜200語にまとめ、冒頭に記載する。

### 6.5 タイトル

日本語で執筆する場合には英語のタイトルを必ず記載する。タイトルの表記法は下記を参考にする。

例：　　日本におけるSFL理論の英語教育への応用
　　　On Application of SFL to English Education in Japan

### 6.6 セクション構成と段落

日本語で執筆する場合、 セクションおよび段落の最初は字下げをする。ただし、英語で執筆する場合、セクションの最初は字下げ（インデント）せず、２段落目からインデントする。セクションのタイトルは左寄せとする。またセクションの番号は「１」から始めることとする（「０」は使用しない）。

## 7. 参照方法

参照したすべての文献（著書、モノグラフ、論文他）は本文中の適切な場所で明示すること。その方法は以下を参照すること。

### 7.1 直接引用

原文をそのまま引用する場合は必ず「 」内に入れる。引用文が４行を超えるときは本文の中に挿入せず、全文をインデントして本文から一行空けて切り離す。

### 7.2 著者への参照方法

**a.** 著者名が本文に記されている場合は、その直後に出版年とページのみを (　)に入れて示す。例「Halliday (1994：17) が述べているように…」

**b.** 特定の個所ではなく、より一般的に参照する場合は、著者名の直後に出版年のみを (　) に入れて示す。例「Hasan (1993) は次のように述べている。すなわち…」

**c.** 著者名が本文中に記述されない場合は、著者名も (　) に入れ、（著者、コンマ、年）の順で記載する。例 (Martin, 1992)。」

**d.** 著者が２名の場合は二人の姓を入れる。例 (Birrell and Cole, 1987)

**e.** 著者が３名以上の場合は筆頭著者名のみを出し、ほかは「他」として全著者名は出さない。(Smith et al., 1986)

**f.** 同じ著者の同じ年の出版物を２冊以上参考文献として使う場合は、それぞれの著作の出版年に‘a’, ‘b’ 等の文字を付記して区別する。例 (Martin, 1985a)

**g.** 同一個所に複数の参考文献を付ける場合には、すべての文献を１つの (　) 内に入れ、各文献をセミコロンで区切る。例 (Maguire, 1984; Rowe, 1987; Thompson, 1988)

### 7.3　略語
同一文献に２回目以降言及する場合にも最初の場合と同様にして、‘*ibid.*’, ‘*op.cit.*’, ‘*loc.cit.*’ 等の略語は用いない。

## 8.　参考文献
参考文献は本文で引用・参照したもの、および原稿の準備段階で使用した文献すべてをリストに載せること。著者の姓のアルファベット順、同一著者ならば出版年の順に並べる。

### 8.1　書籍
１つの文献の記述は、著者名、(　) に入れて出版年、著作名、出版地、出版社、必要ならばページの順序に出す。　記載方法は下記の例に倣うこと。

#### a.　単著の例：

寺村秀夫（1984）『日本語のシンタクスと意味』第2巻 東京：くろしお出版

Halliday, M. A. K. (1994) *An Introduction to Functional Grammar 2nd edition*. London: Arnold.

#### b.　共著の例：

益岡隆志、田窪行則 (1992)　『基礎日本語文法』東京：くろしお出版

Martin, J. R. and Rose, D. (2004) *Working with discourse: meaning beyond the clause*. London: Continuum.

#### c.　単一編纂者図書の例：

龍城正明（編）（2006）『ことばは生きている』東京：くろしお出版

Christie, F. (ed.) (1999) *Pedagogy and the Shaping of Consciousness: Linguistic and Social Process*. London: Cassell.

#### d.　複数編纂者図書の例：

仁田義雄、益岡隆志（編）（1989）『日本語のモダリティ』東京：くろしお出版

Hasan, R. and Williams, G. (eds) (1996) *Literacy in Society*. London: Longman.

### 8.2　雑誌の論文
論文名は「　」内に入れ、雑誌名は『　』内に入れ、巻、号、ページを記載する。英語の場合は雑誌名をイタリックにし、巻、号、ページを記載する。ただし英語の場合、タイトルはそのまま表記する。また編纂図書の一セクションを形成している場合は‘　’で囲むこととする。

例：

安井稔（2007）「文法的メタファー事始め」，『機能言語学研究』4：1–20

龍城正明 (2008)「「は」と「が」そのメタ機能からの再考」, *Proceedings of JASFL*, 4: 115-149

Halliday, M.A.K. (1966) Notes on transitivity and theme in English, Part1, *Journal of Linguistics*, 3.1: 37-81.

Matthiessen, C.M.I.M. (2004) ‘Descriptive motifs and generalizations’. In A. Caffarel, J.R. Martin and C.M.I.M. Matthiessen (eds), *Language Typology: a Functional Perspective* 537-674. Amsterdam & Philadelphia: John Benjamins Publishing Company.

**9. 註**

註はできるだけ避ける。どうしても必要な場合は簡潔にし、本文の最後、参考文献の前に置く。

**10. 図、表、地図、グラフ**

これらはすべて本文中該当箇所に挿入する。コンピューターでスキャンしたり、写真撮影したりする際不鮮明にならないよう、文字、数字、線等は太く、はっきりと書いておくこと。

**11. 校正**

著者は編集者から送付された編集済みファイルの校正（初稿のみ）をする。

**12. 原稿提出**

原稿電子ファイルで、添付ファイルとして提出すること。フォーマットはMS-Word互換ファイル (.doc, .docx)とする

**13. 原稿送付先**

**jasfleditor@gmail.com**

# Notes for contributors to *Japanese Journal of Systemic Functional Linguistics* and *Proceedings of JASFL*

## 1. Language

Manuscripts may be submitted in English or Japanese.

## 2. Types of Manuscripts

(1) Standard Articles (2) Review Articles and Book Review (3) Research Notes

## 3. Originality

Manuscripts are considered for publication only on the understanding that they are not simultaneously under consideration elsewhere, and that they are the original work of the author(s). Any previous form of publication and current consideration in other languages are not accepted. If the manuscript has been deemed as the same content published before in other books and journals, the validity of selection is eliminated and the article is excluded from the journal. Copyright is retained by the individual authors, but JASFL is authorized to reprint.

## 4. Qualification

JASFL members are exclusively eligible to contribute to publications; however, regarding an article by multiple authors, the main author at least is requested to be a JASFL member.

## 5. Assessment procedures

Articles are subject to the usual process of anonymous review. Articles are read by three reviewers.

## 6. Formats

### 6.1 Document format

All pages can be created with any word processor under a condition that the file is saved as Microsoft WORD format (.doc, .docx) on B5-sized paper, with margins of 25 mm or 1 inch on every side.

### 6.2 Fonts and Spacing

Manuscripts are typed in Times New Roman (11 point) with single spacing.

### 6.3 The word limit

*Japanese Journal of Systemic Functional Linguistics*:

Manuscripts are not allowed to go beyond 7,000 words.

*Proceedings of JASFL*:

Manuscripts are not allowed to go beyond 14 pages in the B5 format.

### 6.4 Abstract

An English abstract of 100-200 words is included in the beginning of the text.

### 6.5 Title

English title is required when a manuscript is written in Japanese.

### 6.6 Indentation and Section Number

Indentation is required from the second paragraph of a section. The first section number starts with “1”, NOT “0”.

## 7. Format for References in the Text

All references to or quotations from books, monographs, articles, and other sources should be identified clearly at an appropriate point in the main text, as follows:

### 7.1 Direct quotation

All direct quotations should be enclosed in single quotations. If they extend more than four lines, they should be separated from the body and properly indented.

### 7.2 Reference to an author and more than one authors

- **a.** When the author's name is in the text, only the year of publication and the page should be enclosed within the parentheses, e.g. ‘As Halliday (1994: 17) has observed …’
- **b.** When the reference is in a more general sense, the year of publication alone can be given, e.g. ‘Hasan (1993) argues that …’
- **c.** When the author's name is not in the text, both the author's name and year of publication should be within the parentheses and separated by a comma, e.g. (Matthiessen, 1992)
- **d.** When the reference has dual authorship, the two names should be given, e.g. (Birrell and Cole, 1987)
- **e.** When the reference has three or more authors, the first author's name should be given and the rest should be written as ‘et al.’, e.g. (Smith et al., 1986)
- **f.** If there is more than one reference to the same author and year, they should be distinguished by use of the letters ‘a’, ‘b’, etc. next to the year of publication, e.g. (Martin, 1985a).
- **g.** If there is a series of references, all of them should be enclosed within a single pair of parentheses, separated by semicolons, e.g. (Maguire, 1984; Rowe, 1987; Thompson, 1988).

### 7.3 Abbreviation

If the same source is referred to or quoted from subsequently, the citations should be written as the first citation. Other forms such as ‘*ibid.*’, ‘*op.cit.*’, or ‘*loc.cit.*’ should not be used.

## 8. Reference List

The Reference List should include all entries cited in the text, or any other items used to prepare the manuscript, and be arranged alphabetically by the author's surname with the year of publication. This list should be given in a separate, headed, reference section. Please follow the examples given:

### 8.1 Books

**a. A single-authored book**

Halliday, M. A. K. (1994) *An Introduction to Functional Grammar 2nd edition*. London: Arnold.

**b. A multiple-authored book**

Martin, J. R. and Rose, D. (2004) *Working with discourse: meaning beyond the clause*. London: Continuum.

**c. A single-edited book**

Christie, F. (ed.) (1999) *Pedagogy and the Shaping of Consciousness: Linguistic and Social Process*. London: Cassell.

**d. A multiple-edited book**

Hasan, R. and Williams, G. (eds) (1996) *Literacy in Society*. London: Longman.

**8.2 Articles in journals and edited books**

Halliday, M. A. K. (1966) Notes on transitivity and theme in English, Part1, *Journal of Linguistics*, 3.1: 37-81.

Matthiessen, C.M.I.M. (2004) 'Descriptive motifs and generalizations'. In A. Caffarel, J.R. Martin and C.M.I.M. Matthiessen (eds), *Language Typology: a Functional Perspective* 537-674. Amsterdam & Philadelphia: John Benjamins Publishing Company.

**9. Notes**

Notes should be avoided. If they are necessary, they must be brief and should appear at the end of the text and before the Reference.

**10. Figures, tables, maps, and diagrams**

These items must be inserted in an appropriate position within the article, and should carry short descriptive titles. They must be precisely and boldly drawn to ensure scanning or photographic reproduction.

**11. Proofs**

Authors will be sent proofs for checking and correction.

**12. Submission of a manuscript**

A manuscript for submission must be saved as a MS-Word compatible file, and be submitted as an attachment file.

**13. Correspondence**

Manuscripts are to be sent to: **jasfleditor@gmail.com**

# Proceedings of JASFL

Proceedings of JASFL （第９巻）

| | |
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## Articles



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