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Systemic Functional Linguistics as a Useful Tool for Analyzing Text (Part 1)

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Abstract

Analyzing authentic speech and writings in actual context is a significant aspect of linguistics. Systemic Functional Linguistics, proposed by M. A. K. Halliday, has developed to explore authentic language use. This present paper is part of general introduction of the theory. Its focus is on introducing basic concepts of the grammar of clause including experiential metafunction. By discussing part of the theory, this paper shows that Systemic Functional Theory is a useful tool for analyzing texts, any form of linguistic products/ processes. Since the space is limited, this paper is continued to Part 2.

Keywords: Systemic Functional Linguistics (SFL), text, clause, rank scale, ideational metafunction

1. Introduction

There have been the questions that seem eternal mysteries: "What is language?" and "What is linguistics?" Linguists and other people have answered these questions in quite different ways. For example, for Noam Chomsky, the advocator of one of the most influential linguistic approaches, "(t)he faculty of language can reasonably be regarded as a "language organ" in the sense in which scientists speak of the visual system, or immune system, or circulatory system, as organs of the body" (Chomsky 2000: 4) and "a theory of language must show how each particular language can be derived from a uniform initial state under the "boundary conditions" set by experience" (Chomsky 2000: 7). His view of language and linguistic theory is clear from the remark as well:

Linguistic theory is concerned primarily with an ideal speaker-listener, in a completely homogeneous speech-community, who knows its language perfectly and is unaffected by such grammatically

irrelevant conditions as memory limitations, distractions, shifts of attention and interest, and errors (random or characteristic) in applying his knowledge of the language in actual performance. This seems to me to have been the position of the founders of modern general linguistics, and no cogent reason for modifying it has been offered. To study actual linguistic performance, we must consider the interaction of a variety of factors, of which the underlying competence of the speaker-hearer is only one. In this respect, study of language is no different from empirical investigation of other complex phenomena.

(Chomsky, 1965: 3–4)

However, it is no less significant to analyze how authentic speech and writings function in society. For example, Halliday (2002: 38) insists that "(o)ne part of General Linguistic theory is a theory of how language works" and "(t)he data to be accounted for are observed language events, observed as spoken or as codified in writing, any corpus of which, when used as material for linguistic description, is a "text[1]"." He also claims the inclusion of context, "the relation of the form to non-linguistic features of the situations in which language operates (2002: 39)," in the theory. Systemic Functional Theory, advocated by M. A. K. Halliday is the linguistic theory that explores texts, any products or processes of social interaction, whether spoken or written and regardless of the volume.

This paper introduces Systemic Functional Linguistics (hereafter SFL) as a useful tool for exploring texts. SFL is, as its name shows, useful for analyzing texts in two ways: it is **systemic** and **functional**. In the following sections, I will discuss what 'systemic' is and what 'functional' is.

2. What is Systemic?

SFL interprets the grammar of language as a system with a large number of options (Halliday, 1969). In order to introduce this notion, take the following text, part of an email from my colleague[2] as an example:

Could we meet and discuss it on Friday?

This is, from the perspective of the mood, a yes/ no interrogative. When she wrote this text, she could choose a wh- interrogative; she could also choose imperative or declarative. There are, roughly speaking, three options that are NOT chosen: a yes/ no interrogative does not exist by itself.

To illustrate a set of choices that is in herent in language, SFL researchers use the **system**. Each system starts with the **entry condition** and consists of two or more choices. For example, the entry condition for the mood system is the independent clause and the first choice is made between imperative and indicative. If indicative is chosen, it is the next entry condition and the second choice is made between interrogative and declarative. If interrogative is chosen, the next choice, wh- or yes/ no opens. The choice moves from left to right, along **delicacy** until most delicate (most specific) choice is made.

Each choice is **realized** in the structure. In the mood system, indicative is realized by the presence of the Subject and the Finite; declarative by the ordering of the Finite following the Subject; wh- interrogative by the order of Wh-element and Finite; and yes/ no interrogative by the order of Finite and Subject. These notes of the output of choices are referred to as **realization statements** and expressed with diagonally right down arrows (the presence of element(s) is represented by '+' and the order of elements is represented by '^'.). A less delicate system of the mood is shown in Figure 1.
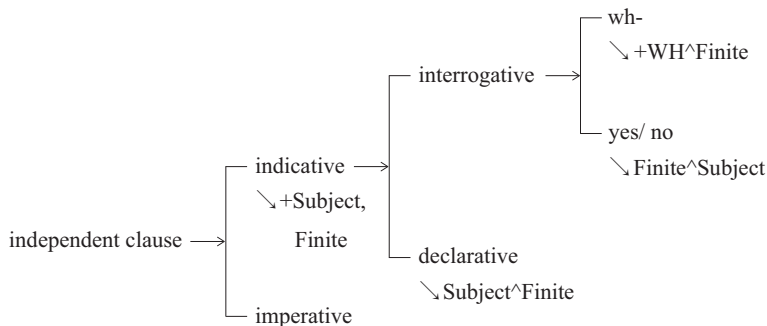

Figure 1: The mood system in English

As shown in Figure 1, entry conditions are expressed as right arrows and choices are expressed as a combination of lines that looks like a tournament. The 'tournament-style choices' seen in Figure 1 are read as 'either A or B must be chosen.'

Systems can be extended by different relationships such as simultaneous choices, circulate entry conditions and possible entry conditions to form a **system network**, a series of related systems. For example, the system network of the clause complex whose entry condition is a clause includes three simultaneous systems: in this system network, taxis, logico-semantic relation and recursion are simultaneously chosen. This set of 'simultaneous choices' are read as 'A, B and C must be chosen.'

In taxis system, whose entry condition is taxis, there are two choices, hypotaxis and parataxis; in logico-semantic system, whose entry condition is logico-semantic type, there are two choices with further

choices, projection and expansion; and in recursion system, whose entry condition is recursion, there are two choices, stop or go on, and if go on is chosen, it becomes another entry condition with which the system starts again. A simplified system network of clause complex is shown in Figure 2.
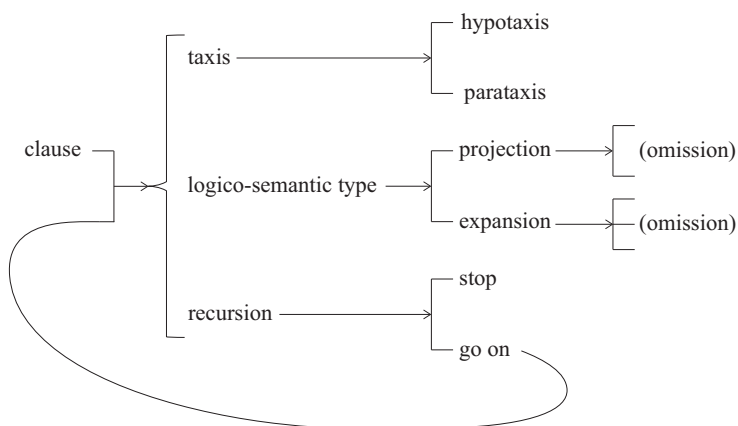

Figure 2: A simplified network of clause complex

It must be noted that a system and system network show logical relations among components of language, not chronological ones: The choice in a system is nothing to do with the flow of time (see, e.g., Eggins, 2004: 198).

System shows **paradigmatic** relations between oppositional elements in language, rather than **syntagmatic** structures of texts. Therefore, SFL researchers view language as potential rather than a set of rules.

3. What is Functional?

SFL asks how language functions in society. In other words, how people make meaning with language. In this sense, the function of language is equivalent to 'making meaning' (see, e.g., Eggins, 2004: 3–4; Halliday, 2007: 60–64). Thus, a "functional approach" (Halliday, 2003) is to investigate how language is used in society and its main focus is on meaning rather than structure.

As discussed in the previous section, meaning potential can be shown as a system and its expanded form, a system network. The choice in the mood system and the system network of clause complex contribute to only part of function of language. SFL propounds the theory that speech and writings contain different functions, which can be grouped into three **metafunctions**: **ideational**, **interpersonal** and

textual (see, e.g., Butt et al., 2012: 24–25; Halliday, 2014: 30–31; Halliday and Webster, 2014: 3–23; Thompson, 2014: 30).

The ideational metafunction concerns the expression of content and can be subdivided into two: experiential and logical. Experiential metafunction is the ability to express our external and internal world; logical metafunction defines how groups, phrases and clauses are combined to form complexes. The interpersonal metafunction enacts social relationships between speakers/ writers and hearers/ readers. The textual metafunction serves to organize the two meanings—ideational and interpersonal—into coherent text. Meanings of these metafunctions are fused in linguistic units and simultaneously realized, with one or more meanings may be prominent.

It should be emphasized here that metafunctions other than the experiential metafunction have distinctive meanings:

> It is worth insisting on the point that all these choices are choices in meaning. Meaning is not limited to the experiential component. It is sometimes assumed that 'the meaning' of a passage corresponds solely to its factual and notional content. But this rests on a definition of meaning which is too narrow for an adequate understanding of language, and we shall maintain throughout that all components are concerned with meaning—that the interpersonal and textual functions of language are no less meaningful than the ideational.
>
> (Halliday and Webster, 2014: 15)

Halliday and Webster (2014: 15) illustrate this explanation using example texts. Following their discussion, using the sample text, I express differences between the following texts in terms of ideational, interpersonal and textual meanings.

Charles Darwin proposed his theory of natural selection in his book.

(a) Jean-Baptiste de Lamarck proposed his theory of natural selection in his book.

(b) Did Charles Darwin propose his theory of natural selection in his book?

(c) In his book, Charles Darwin proposed his theory of natural selection.

(a) is different from the original text in respect of ideational meaning: the participant which participates in the process *poposed* is different; *Jean-Baptiste* instead of *Charles Darwin* proposed the theory. In (b), interpersonal meaning is different: while the original text gives information, (b) demands information. (c) is different textually: it gives the same 'content' as the original one but its organization as a flow of message is different; the original message is about *Charles Darwin*, whereas (c) is a message about *in his book*.

4. Identifying the basic unit and its components

When analyzing texts, researchers of SFL use the **clause** as the basic unit rather than sentences because texts include speech as well as writings. A sentence is the unit of writing which starts with a capital letter and ends with a full stop. On the other hand, a clause can be defined as "(potentially) any stretch of language centered around a verbal group (Thompson, 2014: 17)" and consists of various components such as groups and phrases. These grammatical units in a clause can be described according to the **rank scale**. Halliday (2014: 5–10) illustrates how hierarchical units in language constitute higher units. His illustration is summarized by his followers (see, e.g., Eggins, 2004: 25–26; Butt, et al., 2012: 46–48; Bloor and Bloor, 2013: 9–10). The following is one of the simplest statements of the principle[3]:

> a clause consists of one or more groups or phrases
>
> a group or phrase consists of one or more words
>
> a word consists of one or more morphemes

(Adapted from Butt et al., 2012: 46)

It is necessary to make a distinction between the group and the phrase. As Halliday (2014: 437) argues, although both the group and the phrase are intermediate between the clause and the word, they arrive from different points: a group is an expanded word (it includes of one or more words) and a phrase is a reduced clause (like a clause, it consists of at least two different parts, the preposition and the nominal group).

According to the rank scale, the sample text, *Charles Darwin proposed his theory of natural selection in his book.*, for example, can be described as Figure 3.

clause	Charles Darwin proposed his theory of natural selection in his book.
group/ phrase [ ]	[Charles Darwin] [proposed] [his theory of natural selection] [in his book]. group group group phrase
word ( )	[(Charles) (Darwin)] [(proposed)] [(his) (theory) (of) (natural) (selection)] [(in) (his) (book)].
morpheme { }	[({Charles}) ({Darwin})] [({propos} {ed})] [({his}) ({theory}) ({of}) ({natur} {al}) ({selec} {tion})] [({in}) ({his}) ({book})].

Figure 3: An example of rank scale analysis

Two or more clauses can combine into clause complex. However, the principle of organizing clause complexes requires different discussion. In addition, the focus of this paper is on the clause. Thus, I leave aside the discussion on clause complexes for now.

4.1 Assigning function roles on groups and phrases

Groups and phrases are labeled according to its **function roles** (what they are serving in the clause in question). Here, looking at the sample text, I will give a rough sketch of a three metafunctional analysis.

Figure 4 shows the analysis in terms of ideational metafunction. From the perspective of ideational metafunction, we can see the clause as process whose 'core' is realized by a verbal group. Thus, *proposed* is labeled as Process, the essential part of the clause. *Charles Darwin* is labeled as Sayer, someone who sends a message through language and *his theory of natural selection* is labeled as Verbiage, the summarized message. Since *in his book* presents the circumstantial information on the process, it is labeled as Circumstance.

Charles Darwin	proposed	his theory of natural selection	in his book.
Sayer	Process	Verbiage	Circumstance

Figure 4: An example of ideational analysis

The sample text can be analyzed from the viewpoint of interpersonal; how speakers/ writers negotiate meanings with listeners/ readers. To partially analyze, Subject^Finite means that the clause gives information. Compliment is the element that has the potential to serve as Subject but is not. Adjunct is the element that does not have the potential to serve as Subject. Figure 5 shows the summary of the analysis.

Charles Darwin	proposed	his theory of natural selection	in his book.
Subject	Finite/ Predicator	Compliment	Adjunct

Figure 5: An example of interpersonal analysis

In terms of textual metafunction, the beginning of the clause, *Charles Darwin*, is now labeled as Theme, the departure of the message. The remaining part is labeled as Rheme. Figure 6 shows the result of the analysis.

Charles Darwin	proposed	his theory of natural selection	in his book.
Theme	Rheme		

Figure 6: An example of textual analysis

It has to be emphasized here that these labels, for example, Sayer, Subject, and Theme are individually put on the same element. As we saw in section 3, a different metafunction contributes to a different meaning. Thus, although Sayer, Subject and Theme are simultaneously put on *Charles Darwin*, they can be put on different elements. For example, in Figure 7 (the text looks somewhat awkward), *Charles Darwin* still serves as Sayer, but Subject is put on *his theory of natural selection* and Theme is assigned to *In his book*.

Text	In his book,	his theory of natural selection	was proposed	by Charles Darwin.
ideational	Circumstance	Verbiage	Process	Sayer
interpersonal	Adjunct	Subject	Finite/ Predicator	Adjunct
textual	Theme	Rheme		

Figure 7: A metafunctional analysis of modified sample text

So far, this paper has discussed SFL's view of language. The following chapters will explore why and how SFL is a useful tool for analyzing texts focusing on the three metafunctions in turn (Since the space is limited, only ideational metafunction will be introduced in this present paper.).

5. Ideational metafunction

As already mentioned, ideational metafunction is subdivided into two: experiential and logical. The one that related to the grammar of clause is experiential; logical metafunction deals with how elements

'below the clause' and 'above the clause' combine to form complexes (group and phrase complexes and clause complex). Since the main focus of this paper is on the grammar of clause, I leave logical metafunction aside for now and discuss ideational metafunction.

We use language to express the world: the world outside of us—events and natures of persons and things; our inner world—our feelings and thinking; and phenomena between them—our saying and physiological behavior. Experiential metafunction relates to representing the world, i.e., 'contents' of messages.

From the perspective of experiential metafunction, the clause consists of **processes**, **participants** and **circumstances**. Processes, realized by verbal groups, are the indispensable parts of the clause that encode doing & happening, thinking & feeling, saying, being & having, behaving and existing. Participants, realized by nominal groups, are involved in Processes. Circumstances, typically realized by adverbial groups and prepositional phrases, are optional components that convey circumstantial information on Processes.

In terms of delicacy, there are more delicate categories in processes called process types: material process, mental process, verbal process, behavioral process, relational system and existential process. In terms of system network, the system of process types called **TRANSITIVITY** has two systems: the process type system and the circumstantial system (Figure 8).

In the remainder of this section, I will introduce the process types and participants involved in different process types, and then I will sketch less delicate types of circumstances.
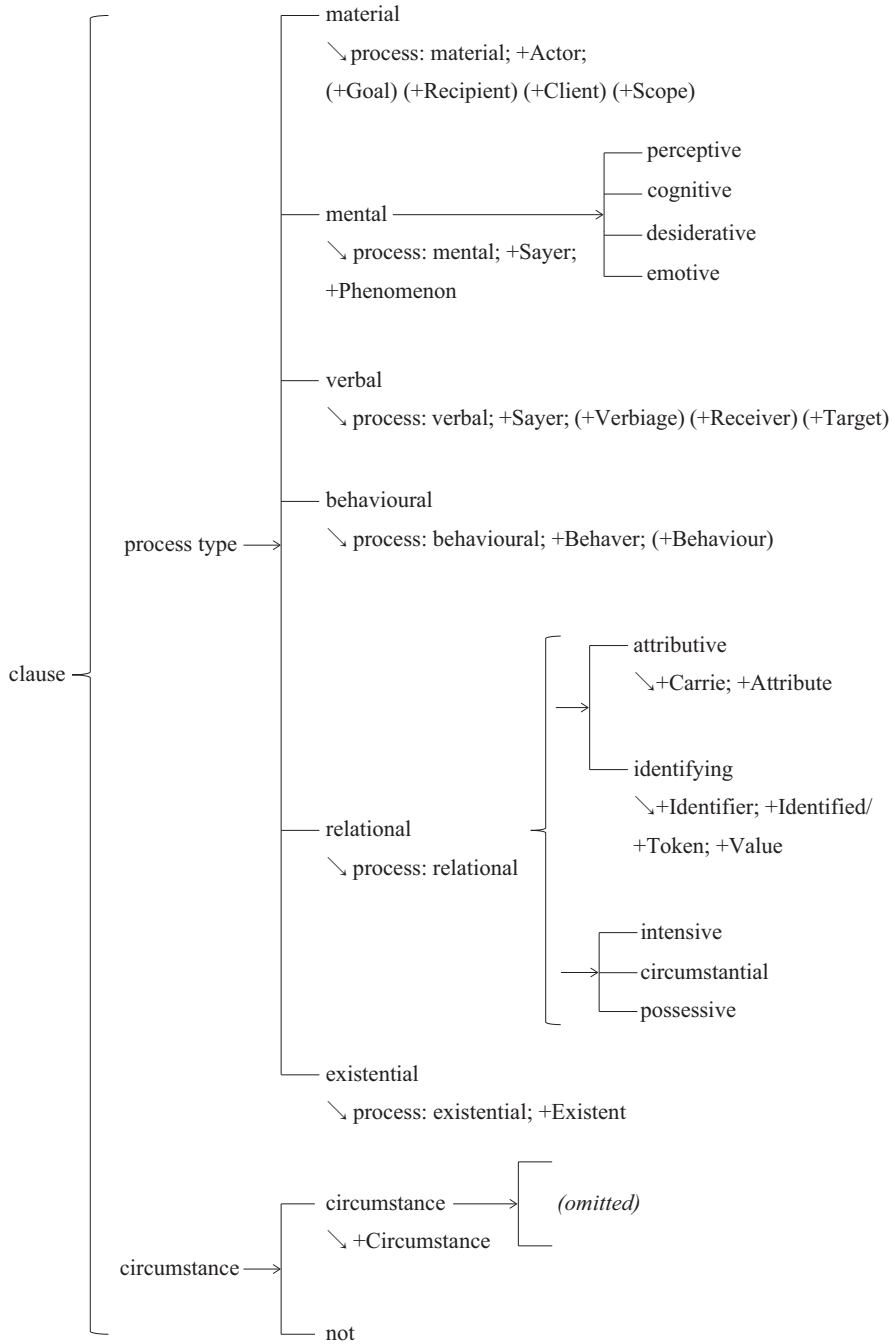
Figure 8: A simplified system network of TRANSIVITY

5.1 Material process

The process type that construes doing & happening (e.g., jumping, throwing and rising) is called the **material process**. The 'doer' participant involved in material process is called the **Actor**. If something or someone is created or transformed by the process, another participant, the **Goal** is required. For example:

David	is jumping.
Actor	Process

Figure 9: An example of material processes

David	made	the cookies.
Actor	Process	Goal

Figure 10: An example of material processes with Goal

There are other participants that may be involved in material process: the **Recipient** and the **Client**. Both of participants receive benefit caused by the process: the Recipient receives goods; and the Client does services. For example:

David	gave	Suzan	the cookies.
Actor	Process	Recipient	Goal

David	gave	the cookies	to Suzan.
Actor	Process	Goal	Recipient

Figure 11: Examples of material processes with Recipient

David	made	Suzan	the cookies.
Actor	Process	Client	Goal

David	made	the cookies	for Suzan.
Actor	Process	Goal	Client

Figure 12: Examples of material processes with Client

As seen in Figure 11 and 12, both the Recipient and the Client may occur with or without prepositions. If they occur after Goals, prepositions are required.

Whereas the Goal, the Recipient and the Client are affected by the process, another participant, the

Scope is not directly affected by the process. For example:

David	took	a bath.
Actor	Process	Scope

David	was climbing	the mountain.
Actor	Process	Scope

Figure 13: Examples of material processes with Scope

In the first example in Figure 13, the Process *took* is 'empty' in terms of lexical meaning and the Scope *a bath* virtually assumes the verbal meaning. Different type of the Scope appears in the second example in Figure13. This type of Scope shows the domain of what is going on: *the mountain* is where the process *was climbing* happened but it was not affected by the process.

Since experiential metafunction is involved in expressing the world, experiential functional roles such as Actor and Goal are put on the same element regardless of voice of the clause (Choice of the voice is related to interpersonal metafunction and textual metafunction). Take the clause in Figure 12 above, for example. This active voice clause can be compared with the passive voice clauses (Figure 14):

David	gave	Suzan	the cookies.
Actor	Process	Recipient	Goal

The cookies	were given	to Suzan	by David.
Goal	Process	Recipient	Actor

Suzan	was given	the cookies	by David.
Recipient	Process	Goal	Actor

Figure 14: Functional roles in experiential metafunction and the voice

All of the clauses in Figure 14, regardless of their voices, convey the same meaning in terms of experiential metafunction: groups and phrases are arranged in different order, but each function role is the same; *David* serves as Actor, *the cookies* as Goal and *(to) Suzan* as Recipient.

5.2 Mental process

Whereas material processes represent our outer world, **mental processes** do our inner world. There are four types of sensing: **perceptive** (e.g., see, hear, feel), **cognitive** (e.g., know, think, understand), **desiderative** (e.g., want, hope, intend) and **emotive** (e.g., like, hate, fear) (Halliday, 2014: 256). In mental

processes, different participant, the **Sensor** is involved. The Sensor and the Actor are different in that the Sensor is interpreted as 'endowed with consciousness' and thus is referred to *he* or *she* rather than *it* (Halliday, 2014: 249). Another participant involved in mental process is the **Phenomenon**, what is *seen*, *liked*, *known*, *wanted, etc*. by the Sensor.

The Phenomenon can be things or facts. For example:

David	liked	the cake.
Sensor	Process	Phenomenon

David	heard	the news.
Sensor	Process	Phenomenon

Figure 15: Examples of mental processes

Mental processes can be extended by **projection**, by which clauses are linked to form clause complexes. Projected clauses may be direct or indirect. For example:

David	thought,	'The painting isn't that good.'
Sensor	Process	Projected clause

David	thought	that the painting wasn't that good.
Sensor	Process	Projected clause

Figure 16: Examples of mental processes with projected clauses

Exploring clause complexes needs more discussion. Since the focus of this section is to introduce how clauses are analyzed from the perspective of experiential metafunction, I leave aside the details of how projection works.

5.3 Verbal process

Verbal processes, the processes of saying, are intermediate between material processes and mental processes in that verbal processes express mental actions/ reactions through the action of saying. A participant involved in verbal processes is the **Sayer**. Most typically, the Sayer is a human, but unlike the Senser, it is not necessarily conscious. For example, *My watch says it's ten thirty*. is acceptable. Another participant, the **Receiver** may be involved in verbal processes. The Receiver is someone to whom the saying is addressed. The message that is conveyed by the saying is called the **Verbiage**. For example:

David	suggested	a new plan	to me.
Sayer	Process	Verbiage	Receiver

Figure 17: An example of verbal processes with Receiver and Verbiage

The participant that looks similar to the Receiver but functions differently is the **Target**. The Target is the goal of saying, while the Receiver is someone who receives the message. For example:

David	complained	to me	about his manager.
Sayer	Process	Receiver	Target

Figure 18: An example of verbal processes with Target

Like mental processes, verbal processes can 'project' other clauses to from clause complexes. For example:

David	said,	'I'll join you later.'
Sayer	Process	Projected clause

David	said	that he would join us later.
Sayer	Process	Projected clause

Figure 19: Examples of verbal processes with projected clauses

5.4 Behavioural process

Behavioural processes express physiological reactions or acts that reflect mental processes, such as *sneeze*, *smile* and *yawn*. Thus, behavioural processes are, like verbal processes, intermediate between material processes and mental processes. Most typically, the only participant, the **Behaver** is involved in behavioral processes. The Behaver is typically a human or at least is construed as a human. For example:

David	smiled.
Behaver	Process

Figure 20: An example of behavioural processes

Another participant, the **Behaviour** may be involved in behavioural processes. The Behaviour is similar to the Scope in material processes in that it forms part of the processes in terms of semantics. For example:

David	gave	a warm smile.
Behaver	Process	Behaviour

Figure 21: An example of behavioural processes with Behaviour

Elements such as *at me* in *David smiled at me.* and *to her song* in *David listened to her song.* are not participants that are directly involved in the process. They are circumstantial elements that illustrate the process, called **circumstance**. Circumstances will be discussed in section 5.7.

5.5 Relational process

Relational processes, the processes of *being*, express things in relation to other things by characterizing them or identifying them: the **attributive** types characterize things; and the **identifying** types identify things.

Two participants are involved in each type of relational processes. In the attributive types, a participant, the **Carrier** is characterized by the other participant, the **Attribute**. For example:

(22a)	David	looks	fine.
(22b)	David's office	is	in the downtown.
(22c)	David	has	two cats.
	Carrier	Process	Attribute

Figure 22: Examples of relational attributive processes

In the identifying types, a participant, the **Identified** is identified by the other participant, the **Identifier**. For example:

(23a)	David	is	the former CEO.
(23b)	David's birthday	is	June 9th.
(23c)	David	owns	the vintage car.
	Identified	Process	Identifier

Figure 23: Examples of relational identifying processes

As seen in Figures 22 and 23, both the attributive types and identifying types have three subtypes: (a) **intensive**, (b) **circumstantial** and (c) **possessive**. Thus, there are six types in the relational processes.

5.5.1 Types of relational attributive processes

As seen above, relational attributive processes express relations between things and qualities. In other words, relational attributive processes show the relationship of 'a member of'. In the intensive subtype, certain attributes such as *surprising*, *cheerful* and *a teacher* are attributed to the Carrier. The circumstantial subtype shows the relationships that are concerned with circumstantial elements including time (e.g., *on Tuesday*) and place (e.g., *in the backyard*). The possessive subtype expresses the relation of possession between the Carrier and the Attribute: thus, one of the most typical verbs serving the Process is *have*.

5.5.2 Types of relational identifying processes

Relational identifying processes express the relation of 'defining.' The participants involved in relational identifying processes are labelled as the **Identified** (what is defined by the other) and the **Identifier** (what defines the other). Since the Identified and the Identifier are construed as equal, relational identifying processes are 'reversible'; whereas relational attributive processes are not. For example, *The former CEO is David.* does not sound strange, although the focus of this message is changed. However, *Fine looks David.* is unnatural at least as an everyday English expression. In the same way, the circumstantial subtype and the possessive subtype are 'reversible': *June 9th is David's birthday.*; and *The vintage car is owned by David*.

This 'reversible' characteristic leads to a different view of the participants involved in relational identifying processes: the **Token** and the **Value**. In relational identifying processes, which participant is Token and which one is Value depends on the relative relationship between the two entities: the Token is the more concrete, specific one, while the Value is the more abstract, generalized one. For example, in *David is the former CEO.*, *David* is interpreted as the more specific entity and thus is construed as the Token; on the other hand, *the former CEO* is interpreted as the more abstract one and is construed as the Value.

In the reversed version, *The former CEO is David.*, the same labels are assigned to *David* and *the former CEO*: Token and Value respectively. However, the reversed version does not carry the same ideational meaning as the original one. In the original text, *the former CEO* is new information. In other words, the text can be an answer to the question, "Who is David?" In this case, *David* is the Identified and the Token. On the other hand, in the reversed text, *David* is new information. This can be an answer to the question, "Who is the former CEO?" Thus, in the reversed text, *David* is the Identifier and the Token. That is why the two types of labelling are required to discuss participants involved in relational identifying

processes. This analysis is shown in Figure 24.

A possible question: "Who is David?"

David	is	the former CEO.
Identified/ Token	Process	Identifier/ Value

A possible question: "Who is the former CEO?"

The former CEO	is	David.
Identified/ Value	Process	Identifier/ Token

Figure 24: Two kinds of analyses on (23a)

To sum up, the difference between Identified/ Identifier and Token/ Value is this: Identified/ Identifier depends on how a text unfolds; while Token/ Value depends on which one 'encodes' the other. The same analysis can be done to (23b) and (23c):

A possible question: "When is David's birthday?"

David's birthday	is	on June 9th.
Identified/ Token	Process	Identifier/ Value

A possible question: "What is June 9th?"

June 9th	is	David's birthday.
Identified/ Value	Process	Identifier/ Token

Figure 25: Two kinds of analyses on (23b)

A possible question: "What does David own?"

David	owns	the vintage car.
Identified/ Token	Process	Identifier/ Value

A possible question: "Who owns the vintage car?"

The vintage car	is owned by	David.
Identified/ Value	Process	Identifier/ Token

Figure 26: Two kinds of analyses on (23c)

Understanding how relational identifying clauses work in a text is an essential part of text analysis, especially when exploring mature written texts, where relational identifying clauses play a key role in

identifying and defining things. Halliday (2014: 284) discusses the role of Token-Value structure:

It [The Token-Value structure] is also, arguably, the most important, in that it tends to dominate in certain highly valued registers (such as scientific, commercial, political and bureaucratic discourse) where the meanings that are being construed are inherently symbolic ones.

Butt *et al.* (2012: 77–78) also explains the significance of relational identifying clauses:

Relational identifying clauses have been called 'the engine room' or 'powerhouse' of semiosis. In fact, they perform two separate functions experientially and so we have two sets of labels. One function is the one that provides an identity for something. (…) The second function we can show for relational identifying Processes largely accounts for that title 'powerhouse of semiosis'. In a relational identifying Process clause we can take any form and identify its function; conversely, we can take any function and identify its form. In other words, we take some token and give it a value, or some value and identify its token. Not surprisingly, the Participant roles for this function are *Token*, the form; and *Value*, the function. It is the function by which we can offer a new Value to a known Token or supply a Token for a known Value.

5.6 Existential process

Existential processes express the existence of an entity. Existential processes are recognizable by the Subject, *there*. However, *there* has no experiential meaning: it just occupies the Subject in a clause. The only participant that is involved in existential processes is the **Existent** which does not affect any other entities, nor does show relationships with other things or qualities. For example:

There	are	two cars	in the parking lot.
	Process	Existent	Circumstance

Figure 27: An example of existential processes

5.7 Circumstances

There are elements that are surrounding what is going on or that are providing certain situations or conditions. These elements are called **circumstances**. For example, as shown in Figure 27 above, *in the parking lot* in *There are two cars in the parking lot.* is a circumstantial element that represents **place** (location). Circumstances are grouped according to their types and subtypes (Figure 28).

Extent and **Location** represent place and time: in Extent, **distance** represents special extent (e.g., throughout Europe) and **duration** and **frequency** represent temporal one (e.g., for two years, once a week); in Location, **place** represents the special point (e.g., in the yard) and time represents temporal one (e.g., yesterday).

Manner represents how the process in question is done: **means** refers to the means the process is carried out (e.g., with a hammer); **quality**, which is typically realized by an adverbial group, represents the quality of the process (e.g., silently); **comparison** represents what the process is like/ unlike (e.g., like a diamond); and **degree** indicates how much the process is (e.g., so much).

Cause is related to why the process happens: **reason** shows the reason why the process happens (e.g., because of the rain); **purpose** shows what the process is for (e.g., for the sake of charity); and **behalf** represents a person or thing for who/ which the process is done (e.g., for his son).

Contingency defines the background where the process occurs: **condition** expresses 'if', the conditions that are required for the process to happen (e.g., in case of rain); **concession** expresses troublesome situations or causes that lead to negative results (e.g., despite her effort); and **default** expresses negative conditions (e.g., in the absence of clear reason).

Accompaniment is related to persons or things that indirectly participate in the process (thus expressed by means of circumstances in stead of participants): **comitative** represents with whom/what the process happens, and thus it is interpreted as part of the participant involved in the process (e.g., with his parents); and **additive** represents the other participant-like role that participates in the process, which is additive or alternative (e.g., as well as David, instead of Jim).

Role specifies the role of the participant: **guise** corresponds to the meaning 'be as' (e.g., as a guide); while **product** corresponds with the meaning 'become into' (e.g., into a great composer).

Matter is agnate to the Verbiage involved in verbal processes: it is a kind of summarized message that is mentioned (e.g., about the piano competition).

Angle is grouped into two groups according to the related participants: **source** is related to the Sayer involved in verbal processes (e.g., according to Mary); and **viewpoint** is related to the Sensor involved in mental processes (e.g., to Greg).
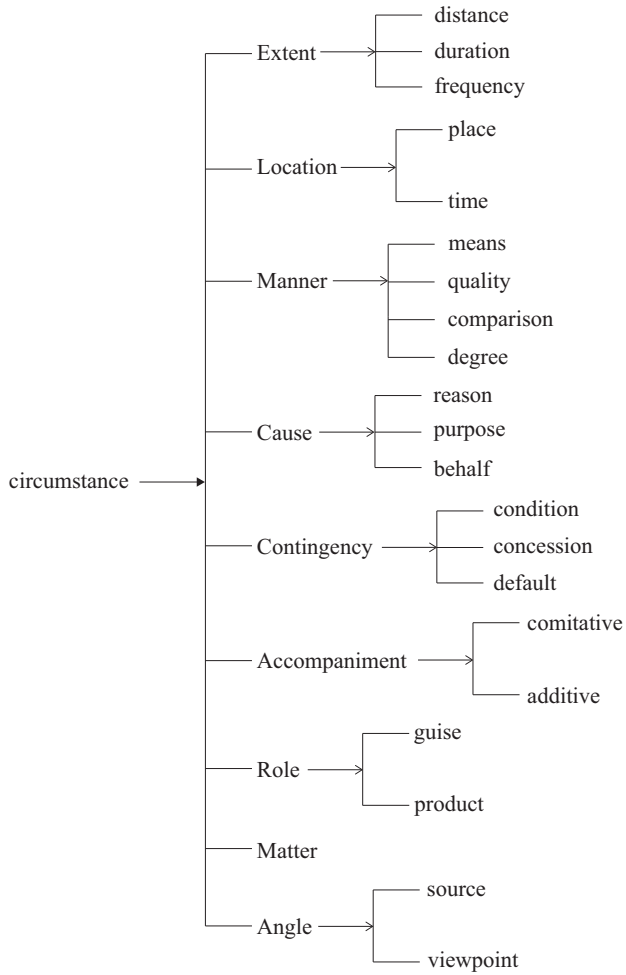
circumstance

- Extent
  - distance
  - duration
  - frequency
- Location
  - place
  - time
- Manner
  - means
  - quality
  - comparison
  - degree
- Cause
  - reason
  - purpose
  - behalf
- Contingency
  - condition
  - concession
  - default
- Accompaniment
  - comitative
  - additive
- Role
  - guise
  - product
- Matter
- Angle
  - source
  - viewpoint

Figure 28: A less delicate system network of circumstances

(adapted from Halliday (2014: 313))

So far, this paper has discussed SFL as an useful tool for analyzing texts from the perspectives of 'what is systemic?', 'what is functional?' and experiential metafunction, the meaning that expresses the world.Since the space is limited, I will stop discussing here and resume the discussion in Part 2.

Notes

1   For definitions of texts, see, e.g., Halliday ad Hassan (1976: 1–2); Eggins (2004: 23–24); and Halliday and Webster (2014: 9).

2   I would like to thank her for her kind permission to use her message.

3   In the sample text in page 5, a prepositional phrase, *of natural selection* functions as a part of the nominal group, *his theory of natural selection*. This means that a unit that belongs to a particular rank can be used in the same or lower ranks to function a part of the unit. This phenomenon is called **rankshift** (see Halliday and Matthiessen, 1999: 259–63).

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Systemic Functional Linguistics as a Useful Tool for Analyzing Text (Part 3)

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Abstract

This present paper is the continued discussion on how Systemic Functional Linguistics (SFL) is useful when analyzing text (Part 1 is presented in this volume and Part 2 is on *Foreign Language & Literature* Vol. 49(1)). In this paper, textual metafunction of the clause is explored, which include the Theme, the Rheme, the Given, the New. In addition to these, this paper discusses textual dimensions over the clause: Thematic progression and cohesion. This paper concludes that textual meaning 'weaves' ideational meaning and interpersonal meaning together to organize cohesive, consistent text, and that understanding organization of text is no less important than understanding how language expresses experiences and how language enacts relationships. The discussion on SFL as a useful tool for analyzing text will be continued to Part 4.

Keywords: Systemic Functional Linguistics (SFL), textual metafunction, Theme, Rheme, Give, New, Thematic progression, cohesion

7. Textual metafunction

In the previous sections, I discussed two meanings of the clause which are simultaneously realized: experiential and interpersonal. Experiential metafunction relates to how the speaker/ writer represents the world. Its main components are the process, participants and circumstances. Interpersonal metafunction relates how the speaker/ writer interacts with each other. Its key concepts include the Mood (the Subject and the Finite), the Residue, mood selection and modality (modalization and modulation).

When we use language, we organize our speech and writing as a coherent message. The function making speech/ writings consistent and coherent is referred to **textual metafunction**.

In order to understand textual metafunction of the clause, it seems reasonable to start with focusing

on the starting point of the clause, referred to as the **Theme**. According to Halliday (2014: 89), "(t)he Theme is the element that serves as the point of departure of the message" and in English, it is the first group or phrase of the clause. The remainder of the clause is referred to as the **Rheme**.

7.1 Types of the Theme

The Theme is related to experiential and interpersonal elements but it is different from them. Thus, we can, for example, provide different varieties of example clause i):

i)   Charles Darwin proposed his theory of natural selection in his book.

ii)   In his book, Charles Darwin proposed his theory of natural selection.

iii) The theory of natural selection, Charles Darwin proposed in his book.

iv)   What did Charles Darwin propose in his book?

v)   Did Charles Darwin propose his theory of natural selection in his book?

vi)   Nevertheless, Charles Darwin proposed his theory of natural selection in his book.

By illustrating these examples, this section will show types of the Theme.

In example i), *Charles Darwin* serves as the Theme. This element also serves, from the perspective interpersonal metafunction, as the Subject. The Theme is most commonly overlap with the element that serves as the Subject, unless there are good reasons to choose different elements other than the Subject. Therefore, 'Subject/ Theme' is the **unmarked** choice of the Theme. In experiential metafunction, *Charles Darwin* serves as Sayer. The Theme element to which the Transitivity function (i.e., Participant, Process or Circumstance) is assigned is referred to as the **topical Theme**. Thus, every clause has to have only one topical Theme. Figure 7-1 shows the analysis.

Text	Charles Darwin	proposed his theory of natural selection in his book.
Experiential	Sayer	
Interpersonal	Subject	
Textual	**Theme**: topical	**Rheme**

Figure 7-1: An example of Theme analysis (1)

An exception to a rule of the topical Theme is existential processes (see 5.6 in Part 1). Although *there* in existential processes is assigned no experiential meaning, it functions as a topical Theme (Eggins, 2004: 313). Figure 7-2 shows an example and its analysis.

Text	There	is a book on the desk.
Experiential		
Interpersonal	Subject	
Textual	**Theme**: topical	**Rheme**

Figure 7-2: An example of Theme analysis (2)

In example ii), Circumstance and Adjunct[1] overlap with the element that serves as the Theme. Although Themes in example i) and example ii) are both the topical Theme, their textual meanings are different: Example i) is the clause about *Charles Darwin*; and example ii) is the one about *In his book*.

For an Adjunct to occur at the beginning of the clause requires some reasons, such as the speaker's intention to draw hearers' attention or the writer's intention to make her/ his writing coherent. Therefore, 'Adjunct/ Theme' is considered to be the **marked** Theme. Figure 7-3 shows the analysis.

Text	In his book,	Charles Darwin proposed his theory of natural selection.
Experiential	Circumstance	
Interpersonal	Adjunct	
Textual	**Theme**: topical	**Rheme**

Figure 7-3: An example of Theme analysis (3)

Example iii) sounds unnatural because of the inversion, although this is a possible text. In this example, the Complement overlaps with the element serving as the Theme. Since using this type of Theme requires some reasons and is not common, 'Complement/ Theme' is regarded as the marked Theme. Figure 7-4 shows the analysis.

Text	The theory of natural selection,	Charles Darwin proposed in his book.
Experiential	Verbiage	
Interpersonal	Complement	
Textual	**Theme**: topical	**Rheme**

Figure 7-4: An example of Theme analysis (4)

Example iv) is a WH- interrogative clause and *What* serves, from the perspective of interpersonal metafunction, as the Complement. WH- element as Complement most typically appears at the beginning of the clause. Thus, unlike example iii), 'Complement/ Theme' in WH-interrogative clause is regarded as the unmarked Theme. Figure 7-5 shows the analysis.

Text	What	did Charles Darwin propose in his book?
Experiential	Verbiage	
Interpersonal	Complement	
Textual	**Theme**: topical	**Rheme**

Figure 7-5: An example of Theme analysis (5)

Example v) is a yes/ no interrogative clause. In yes/ no interrogative clauses, the Finite typically appears at the beginning of the clause. When the interpersonal elements such as the Mood constituent and Modal Adjuncts appears at the place of the Theme, they are called the **interpersonal Theme**. Since 'Subject/ Sayer' is the topical Theme, example v) has two types of Themes.

As analyzed here, from the starting point of the clause to a topical Theme, all elements are regarded as a series of the Theme. Since 'Finite ^ Subject'[2] most typically appears at the beginning of yes/ no interrogative clauses, this combination of Themes is considered unmarked (For markedness of multiple Theme, see Halliday, 2014: 107–112). Figure 7-6 shows the analysis.

Text	Did	Charles Darwin	propose his theory of natural selection in his book?
Experiential		Sayer	
Interpersonal	Finite	Subject	
Textual	**Theme**		**Rheme**
	interpersonal	topical	

Figure 7-6: An example of Theme analysis (6)

Example vi) begins with *Nevertheless*. As will be discussed in 7.7, conjunctive Adjuncts like *nevertheless* plays an important role in organizing cohesive text. Thus, this type of Theme is referred to as the **textual Theme** (a different type of textual Theme, structural will be introduced in 7.4). Figure 7-7 shows the analysis.

Text	Nevertheless,	Charles Darwin	proposed his theory of natural selection in his book.
Experiential		Verbiage	
Interpersonal	Adjunct (conj.)	Subject	
Textual	**Theme**		**Rheme**
	textual	topical	

Figure 7-7: An example of Theme analysis (7)

The clause can contain more than two Themes. For example, in example vii), two textual Themes, an

interpersonal Theme and a topical Theme compose a series of Themes. Figure 7-8 shows the analysis.

vii) Well, nevertheless, did Charles Darwin propose his theory of natural selection?

Text	Well,	nevertheless,	did	Charles Darwin	propose his theory of natural selection?
Experiential				Sayer	
Interpersonal	Adjunct (conj.)	Adjunct (conj.)	Finite	Subject	
Textual	**Theme**				**Rheme**
	textual	textual	interpersonal	topical	

Figure 7-8: An example of Theme analysis (8)

So far, basic concept of the Theme and types of the Theme have been illustrated. In the next section, the relationships between the unmarked Theme and the choice of the mood will be discussed.

7.2 Theme and mood choice

Typical elements or combinations of elements that are chosen as the Theme depend on the mood. This section will summarize unmarked choices of the Theme in different mood types based on the discussion of Susan (2004: 308–313) and Halliday (2014: 97–105).

1) declarative (non-exclamative)

As illustrated in 7.1, 'Subject/ Theme' (as in example i)) is the unmarked Theme in declarative (non-exclamative) clauses. On the other hand, 'Adjunct/ Theme' (as in example ii)) and 'Complement/ Theme' (as in example iii)) are regarded as the marked Theme.

2) declarative (exclamative)

In declarative (exclamative) clauses, WH- element typically serves as the Theme. Thus, 'Complement/ Theme' is unmarked. For example, in example viii), *What a wonderful book* is 'Complement/ Theme' and a topical Theme. Figure 7-9 shows the analysis.

viii) What a wonderful book Charles Darwin wrote!

Text	What a wonderful book	Charles Darwin wrote!
Interpersonal	Complement	
Textual	**Theme**: topical	**Rheme**

Figure 7-9: An example of Theme analysis (9)

3) WH- interrogative

As illustrated in 7.1, 'Complement/ Theme' (as in example iv)) is the unmarked choice of Theme.

4) yes/ no interrogative

As illustrated in 7.1, 'Finite/ Theme' ^ 'Subject/Theme' (as in example v)) is the unmarked choice of Theme.

5) imperative

If the type of mood is imperative, the clause begins with the Predicator. Since the Predicator in imperative clauses is the first element to which experiential meaning is assigned, the Predicator functions as the topical Theme.

If the speaker/ writer directs her/his command to 'you', the imperative clause begins with the Predicator or *do* ^ the Predicator and they are the unmarked Theme. If the imperative clause is negative, *don't* ^ the Predicator is the unmarked Theme. (see Figure 7-10).

Text	Pass	me the salt, please.
	Do pass	me the salt, please.
	Don't pass	me the salt, please.
Interpersonal	Predicator	
Textual	**Theme**: topical	**Rheme**

Figure 7-10: An example of Theme analysis (10)

If the speaker/ writer directs her/his command to 'us', the imperative clause begins with *let's* and the element *let's* is the unmarked Theme (see Figure 7-11).

Text	Let's	have lunch earlier.
Interpersonal	Subject	
Textual	**Theme**: topical	**Rheme**

Figure 7-11: An example of Theme analysis (11)

7.3 Different structures of the Theme

Having overviewed basic types of the Theme, this section will summarize common but different structures of the Theme, based on the discussion of Thompson (2014: 153–158).

1) Thematic equative

Thematic equatives (Halliday, 2014: 93–96), called 'pseudo-cleft sentences' in traditional grammar have the structure that form 'Theme = Rheme'. As the sigh '=' indicates, this structure exploits relational identifying clauses (see 5.5.2 in Part 1) and Value/ Subject is the unmarked Theme. Figure 7-12 shows an example and its analysis.

Text	What Charles Darwin wrote	is	*On the Origin of Spices*.
Experiential	Value	Process	Token
Interpersonal	Subject		
Textual	**Theme**: topical	**Rheme**	

Figure 7-12: An example of Theme analysis (12)

2) Predicted Theme

Predicted Theme (Halliday, 2014: 122–125), called 'cleft sentence' in traditional grammar emphasizes a particular element by giving the status of highlighted Theme. Since Predicted Theme is related a different textual unit, Given + New, it seems better to illustrate this structure with Given + New (the flow of Given-New will be discussed in 7.5).

For example, *Charles Darwin wrote On the Origin of Spices.* can be rewritten as *It is On the Origin of Species that Charles Darwin wrote.* By this operation, *On the Origin of Spices* is highlighted as the Theme and *Charles Darwin wrote* is presented as the New, the information that the speaker/ writer treats as unshared with the hearer/ reader. Figure 7-13 shows an analysis.

Text	It	is	*On the Origin of Spices*	that	Charles Darwin wrote.
Experiential	Value	Process	Token		
Interpersonal	Sub-	Finite/ Predicator	Complement	-ject	
Textual	Theme	Rheme		Theme	Rheme
	Theme			**Rheme**	
	Given				**New**

Figure 7-13: An example of Theme analysis (13)

Predicted Theme is also related to the progression of the Theme in text. How the Theme progresses in text will be discussed in 7.6.

3) Thematized comment

By placing one's comment at the beginning of the clause, the speaker/ writer operates modality or evaluation of the information represented in the clause. For example, by adding explicit objective modality (see 6.5.3 in Part 2), *Charles Darwin wrote On the Origin of Spices.* can be rewritten as *It is certain that Charles Darwin wrote On the Origin of Spices.* In the rewritten version, an assessment (*certain*) is given to the proposition. Figure 7-14 shows an analysis.

Text	It	is	certain	that	Charles Darwin	wrote *On the Origin of Spices*.
Experiential	Carrier	Process	Attribute			
Interpersonal	Sub-	Finite	Complement		-ject	
Textual	Theme	Rheme			Theme	Rheme
	Theme				**Rheme**	

Figure 7-14: An example of Theme analysis (14)

For now, this chapter have discussed how Theme + Rheme works in the clause. To conclude the discussion, I will show the system network of the Theme (Figure 7-15).
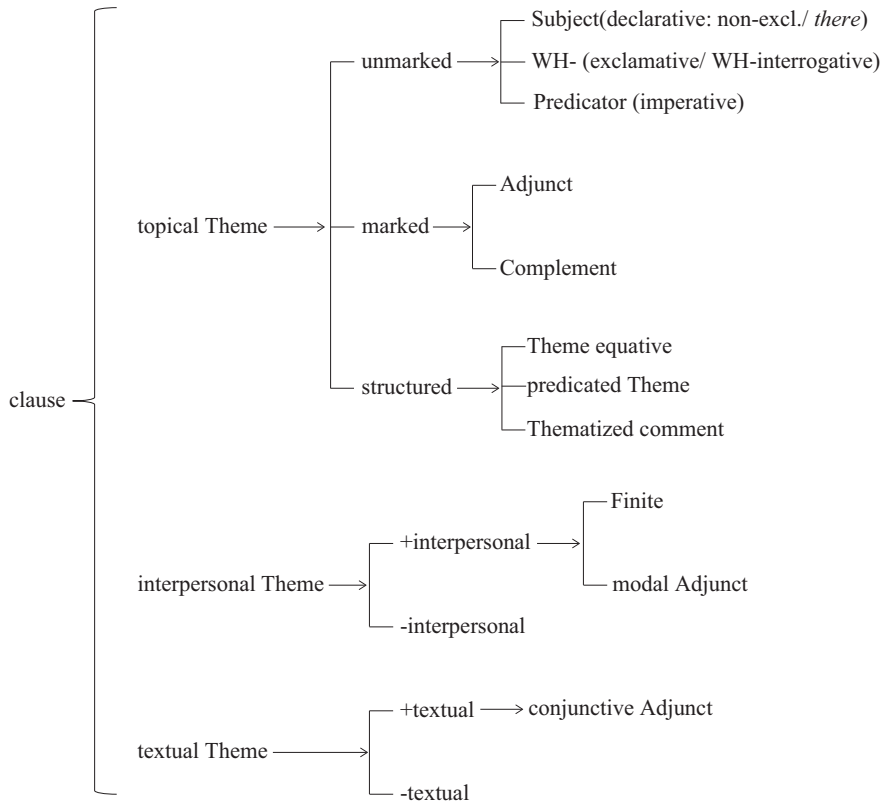
Figure 7-15: System network of Theme

7.4 Clause complex and Theme

So far, in this section, the clause as the flow of information has been explored. Since clauses can be combined to form the **clause complex** (see Eggins, 2004; Halliday, 2014; and Thompson, 2014, for example), the Theme in the claus complex should be considered.

In the clause complex, the first clause can serve as the Theme. At the same time, there is possibility that the beginning of each clause serves as the Theme. Thus, the clause complex as the flow of information can be analyzed with multi-layers. For example, *If you have any questions, please feel free to ask me.* can be analyzed as shown in Figure 7-16. In this analysis, *If* is introduced as another textual Theme, **structural**. Conjunctions such *and*, *but*, *when*, and *if* are assigned to structural.

If	you	have any questions,	please	feel	free to ask me.
Theme₁ (Theme as a clause)			Rheme₁		
Theme₂		Rheme₂	Theme₃		Rheme₃
textual	topical		interpersonal	topical	

Figure 7-16: An analysis of Theme in clause complex

7.5 Given + New

Other than Theme-Rheme organization of the clause, there is a different view in textual metafunction: Given-New, what Halliday (2014: 115) refers to the **information unit**. This small section will sketch how the flow of Given-New works in the clause.

According to Halliday and Hasan (1976: 27), the **Given** and the **New** are "what the speaker is treating as information that is recoverable to the hearer (given) and what he is treating as non-recoverable (new)." In other words, the New is, literally, the news to the hearer/ reader; what the speaker/ writer wants to introduce.

Halliday (2014: 115) explains the relationship between the information unit and the clause as follows:

An information unit does not correspond exactly to any other unit in the grammar. The nearest grammatical unit is in fact the clause; and we can regard this as the unmarked or default condition….

Since the Given and the New is decided by the tone that the speaker chooses, Given-New and Theme-Rheme are different units. However, most typically, the Theme is in Given and the Rheme is in New. In addition, "(f)or written texts we can usually assume an unmarked intonation structure, and treat the last identical element of structure as minimal New." (Martin and Rose, 2008: 35). Thus, the analysis in Figure 7-13, where *Charles Darwin wrote* is treated as the New is regarded as an unmarked pattern of Theme-Rheme and Given-New.

7.6 Thematic Progression

Although the basic unit of analysis for SFL researchers is the clause, an authentic text is composed of one or more clauses. Thus, the progression and distribution of Themes makes an important contribution to organizing coherent text. Daneš (1974: 114) refers to the ways of progressing Themes as **Thematic progression** (he uses the abbreviation, TP) and explains it as follows:

By this term we mean the choice and ordering of utterance themes, their mutual concatenation and hierarchy, as well as their relationship to the hyperthemes of the superior text units (such as the paragraph, chapter, ...), to the whole text, and to the situation. Thematic progression might be viewed as the skeleton of the plot. [sic]

His analysis ascertains the three patterns of Thematic progression[3]: 1) simple linear TP, 2) TP with a continuous (constant) theme and 3) TP with derived T's.

1) Simple linear TP

A fundamental pattern of Thematic progression is that the Rheme of the precede clause becomes the Theme of the next clause. For example, the following shows part of the Thematic progression analysis of Watson and Crick (1953) (Figure 7-17).

(1)

A structure for nucleic acid	has already been proposed by Pauling and Corey.
Theme	Rheme

They	kindly made their manuscript available to us in advance of publication.
Theme	Rheme

(3)

Their model	consists of three intertwined chains, with the phosphates near the fibre axis, and the bases on the outside.
Theme	Rheme

(4)

In our opinion, this structure	is unsatisfactory for two reasons:
Theme	Rheme

Figure 7-17: An example of Thematic progression analysis (1)

Daneš (1974) refers this type of Thematic progression **simple linear TP**. The schematic diagram of simple linear TP is presented in Figure 7-18.

$$T_1 \rightarrow R_1$$
$$\downarrow$$
$$T_2 (=R_1) \rightarrow R_2$$
$$\downarrow$$
$$T_3 (=R_2) \rightarrow R_3$$
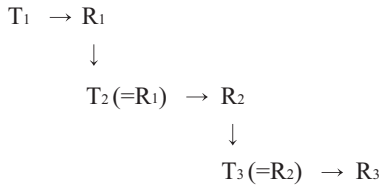
Figure 7-18: Schematic diagram of simple linear TP (Adopted from Daneš, 1974: 118)

2) TP with a continuous (constant) theme

　　Another fundamental pattern is that the same one serves the Theme in a series of clauses. For example, Figure 7-19 is the result of the Thematic progression analysis of part of reading by Andy Hopkins and Joc Potter (*Animals in Danger*, Oxford bookworm Library, p. 1).

(1)

The tiger	is the biggest animal in the cat family—
Theme	Rheme

(2)

Siberian tigers	are sometimes 320 kilograms.
Theme	Rheme

(3)

They	need trees, water, and other animals for food.
Theme	Rheme

(4)

They	usually move about by day,
Theme	Rheme

(5)

and they	go a very long way when they are hunting.
Theme	Rheme

Figure 7-19: An example of Thematic progression analysis (2)

　　Daneš (1974) refers to this type of Theme progression as **TP with a continuous (constant) theme**.

The schematic diagram of simple linear TP is presented in Figure 7-20.

$T_1 \rightarrow R_1$
$\downarrow$
$T_1 \rightarrow R_2$
$\downarrow$
$T_1 \rightarrow T_3$
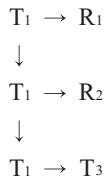
Figure 7-20: Schematic diagram of TP with a continuous (constant) theme (Adopted from Daneš, 1974: 118)

3) TP with derived T's

　　In the discussion of **TP with derived T's**, Daneš (1974) introduces a **hypertheme**, the Theme of the superior text units. By a hypertheme, a particular Theme is distributed to the clauses that compose the text. This type of TP is referred to as TP with derived T's. The schematic diagram of TP with derived T's is presented in Figure 7-21.
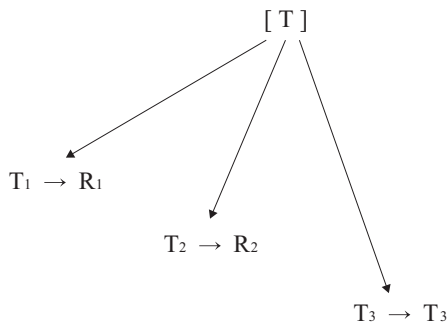
Figure 7-21: Schematic diagram of TP with derived T's (Adopted from Daneš, 1974: 119)

　　Following Daneš's (1974) idea of hypertheme, Martin (1992) develops his idea of hyper-Theme and macro-Theme. Martin (1992: 437) defines hyper-Theme and macro-Theme as follows:

> … a hyper-Theme is an introductory sentence or group of sentences which is established to predict a particular pattern of interaction among strings, chains and Theme selection in following sentences […]. On the basis of this definition of hyper-Theme, the term macro-Theme can be defined as an sentence or group of sentences (possibly a paragraph) which predicts a set of hyper-Themes; this is the Introductory paragraph of school rhetoric.

As Daneš's (1974) mentions, the three types of TP may combine and often make complicated organization by various insertions or asides.

To conclude the discussion of Thematic progression, I will illustrate how Themes progress in text, using part of the reading on the history of English written by Bright Viney (the beginning part of Chapter 5 'Middle English' in *The History of the English Language*, Oxford Bookworm Library, p. 21).

Text	macro-Theme	hyper-Theme
Paragraph 1 (1) **In the four centuries that followed the Norman Conquest, the English language** changed more than in any other time in its history. (2) <u>**Thousands of words from French** came into the language,</u> (3) **and many Old English ones** left it. (4) **At the same time the language** changed grammatically, mainly by becoming simpler. (5) **The English used in this time** is called Middle English.	(1)	Paragraph 1
Paragraph 2 (6) **One way the grammar grew simpler** was by losing some of the different endings for nouns, adjectives, and pronouns. (7) <u>**For example, by the fifteenth century the plural noun ending -(e)s** was accepted everywhere in England,</u> (8) **although some plurals with -en** survived (*children* is one of them). (9) **Other noun endings which have survived** are the *'s* (*the boy's book*) and the *s'* (*the boys' books*). (10) <u>**Adjectives and nouns** also lost their grammatical gender,</u> (11) **and *the*** became the only form of the definite article.	(6)	
Paragraph 3 (12) **The main change to verbs** was to the past tense. (13) **Some of the Old English verbs** began to end in *-ed*. (14) <u>**For example, the past tense of climb** was *clomb*,</u> (15) **but the word *climbed*** also began to appear in the thirteenth century. (16) **In the fourteenth century, most of the thousands of verbs which had entered the language from French** also formed the past tense with *-ed*. (17) <u>**Sometimes the change** went the other way,</u> (18) **so *knowed*** became *knew*, (19) **but usually *-ed*** was used. (20) <u>**There are** still about 250 'irregular' past tense verbs in English,</u> (21) **but this** is only about half the number that there were in Old English.	(12)	

bold: Theme   <u>underlined</u>: clause as Theme

Figure 7-22: An analysis of Thematic progression of 'Middle English' text

In the first paragraph, (1) serves as hyper-Theme, which deliver Themes to the rest of the following

clauses in the paragraph. The whole of the first paragraph serves as macro-Theme, which delivers hyper-Themes to the following paragraphs. In the paragraph 2, (6) serves as hyper-Theme, which delivers related Themes to the following clauses, (7)–(11). In the paragraph 3, (12) serves as hyper-Theme, which delivers related Themes to (13)–(21). There are couple of simple linear TPs but no TP with a continuous (constant) Theme is found. Figure 7-23 shows the schematic diagram of the analysis.
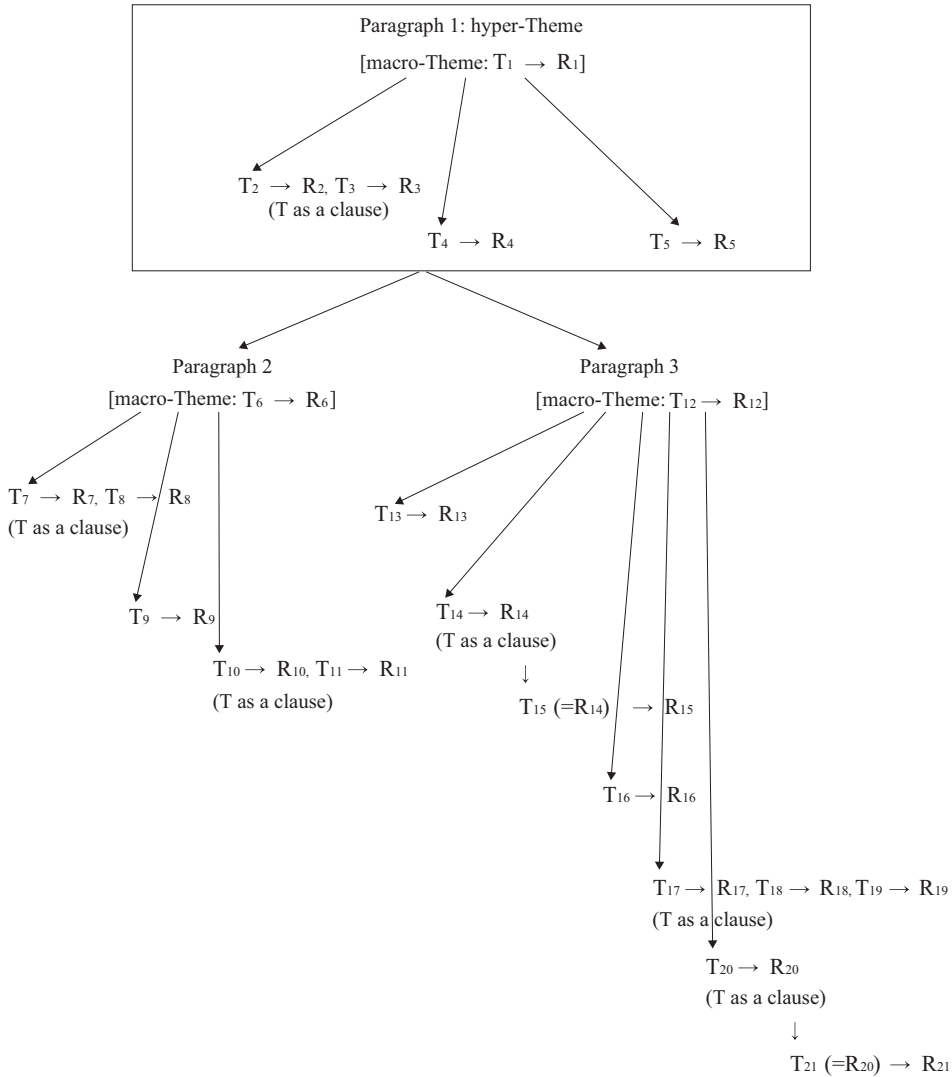

Figure 7-23: Schematic diagram of Thematic progression of 'Middle English' text

7.7 Other elements to make text cohesive

In addition to Thematic progression, a variety of textual elements serves to make texts coherent, known as **cohesion** (see, e.g., Halliday and Hasan, 1976; Martin 1992; Halliday 2014). Cohesion works in the four ways in English: **reference**, **ellipsis and substitution**, **conjunction** and **lexical cohesion**.

1) Reference

Reference relates to 'identification' in two ways: identifying persons and things in material world (**exophoric**) and identifying elements within the text (**endophoric**). For example, when we point a table salt and say, "Pass it to me," the reference, *it* is exophoric. However, when we say, "Where is this from?" after receiving the table salt, the reference, *this* is endophoric because the salt is already introduced in the conversation and can be identified within the text.

In endophoric reference, predominantly used type is **anaphora**, which refers to what is already mentioned/ written in previous part of the text. On the other hand, one that refers to what is being introduced in upcoming text is **cataphora**. Cataphoric reference is not common but **structural cataphora**, which works within the same nominal group is common. For example:

ix) *On the Origin of Species* was written by the naturalist, Charles Darwin.

In this example, specified element, *the naturalist* is identified within the same nominal group, *the naturalist, Charles Darwin*.

Both exophoric and endophoric have three types of references: **personal**, **demonstrative** and **comparative**. Personal includes pronouns and specified nouns (most typically, *the* + noun). Demonstrative includes *this/ that* and *these/ those*. Comparative makes references by providing contrasts. For example, *the same* in *the same book I bought yesterday* and *more* in *We need more creative ideas*.

A type of reference to be noted is **homophora**, which is typically used as exophoric. Homophora is the type that members of a community can identify by referring their 'common knowledge.' For example, *the sun*, *the president* and *the manager*.

2) Ellipsis and substitution

Ellipsis makes the text cohesive by omitting reference elements. For example, in *Daniel finished his paper, but Michel didn't.*, *finish his paper* after *Michel didn't* is omitted.

Substitution does not directly refer the element in question but put an item that takes place of the

element. For example, in *Daniel bought the book and Michel ordered the same one.*, *the same one* occupies the place of *the book* without referreing it.

Both ellipsis and substitution work at the three ranks: the clause, the verbal group and the nominal group. For example:

Have you finish the paper? —Yes. (ellipsis; clause)

Do you think Daniel finished his paper? —I think so. (substitute; clause)

Do you want to have lunch with us? —I want to. (ellipsis; verbal group)

Have you finish the paper? —Yes, I have. (substitute; verbal group)

Daniel finished his paper, but Michel didn't. (ellipsis; nominal group)

Daniel bought the book and Michel ordered the same one. (substitute; nominal group)

3) Conjunction

Conjunction works to illustrate relations between clauses/ clause complexes, by using conjunctive Adjuncts[4]. There are various types of conjunctive Adjuncts. For example:

x) Charles Darwin made his voyage on HMS Beagle. Then, he proposed his theory of natural selection.

xi) Charles Darwin accomplished a variety of achievements. For example, he proposed his theory of natural selection.

xii) After his voyage on HMS Beagle, Charles Darwin published his journal. Furthermore, he proposed his theory of natural selection.

The characteristics of the conjunctive Adjuncts, *Then* and *For example* and *Furthermore* are different in that *Then* is related to phenomena outside of language use and *For example* and *Furthermore* concerns constructing relations between parts of the text. Halliday and Hassan (1976: 238–244) uses the terms, **external** to refer to the relation outside of the text and **internal** to refer to the relation exploited for organizing the text (see also Marin, 1992: 178–180).

In addition to the types of external and internal, conjunctions are characterized by logico-semantic relations. Halliday and Hassan (1976) sets four categories: additive, adversative, causal and temporal. Martin

(1992) classifies logico-semantic relations into four: additive, comparative, temporal and consequential. Halliday (2014) reorganizes these categories according to **expansion**: **elaboration** (describing in detail), **extension** (adding information) and **enhancement** (modifying by time, space, causes etc.). In order to ensure consistency with the concept of clause complex[5], this paper adopt Halliday's (2014) idea of expansion.

According to the types external/ internal and elaboration/ extension/ enhancement, the examples x)–xii) are analyzed as follows:

x) external; enhancement

xi) internal; elaboration

xii) internal; extension

Halliday (2014: 611–622) describes system of conjunction with copious examples.

4) Lexical cohesion

Lexical cohesion refers to the use of the lexical item that relates to the preceding one. There are five primary types of lexical cohesion: repetition (e.g., *the earth → the earth*), synonymy (e.g., *picture → painting*), hyponymy (e.g., *violin → instrument*), meronymy (e.g., *PC → keyboard*) and collocation (e.g., *experiment → laboratory*).

7.8 Summary

In this section, I have discussed how textual meaning works in the clause and beyond the clause. The term, text is derived from texture: how a cloth is woven. Textual meaning 'weaves' ideational meaning and interpersonal meaning together to organize cohesive, consistent text. Understanding organization of text is no less important than understanding how language expresses experiences and enacts relationships.

Since the space is limited, I will stop discussing here and resume the discussion in Part 4.

Notes

1   For labelling from the perspectives of experiential metafunction and interpersonal metafunction, see Part 1 and 2 respectively.

2   ^ represents an obligatory order of elements: for example, A^B means B must follows A.

3   Daneš's (1974) research is on Chez scientific and other professional texts, but he also suggests that the TP patterns his

analysis ascertains apply to German and English language.

4　The term of conjunction used here is different from that of school grammar. Here, conjunctions work between sentences (in written text). How clauses combine to from clause complexes is beyond the of this paper.

5　For the discussion of expansion and clause complex, see Chapter 9 of Eggins (2004), Chapter 7 of Halliday (2014), Chapter 7 of Thompson (2014).

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Does a Reading While Listening Approach Decrease Anxiety for Language Learners:

Reflections on a Research Topic

Heather DOIRON

Abstract

This paper explores a research reflection process based on the notion that a reading-while-listening (RWL) approach activates student sources of self-efficacy and consequently mediates a reduction in foreign language anxiety (FLA) in the English as a Foreign Language (EFL) classroom. The first part of this paper will briefly discuss what is known and unknown about the topic and will be followed by sections on the current state of affairs, filling the gap, methodology, and will conclude with a summary of the information discussed.

Keywords: reading while listening, foreign language anxiety, self-efficacy sources, constructivist frame of references, pragmatism

Introduction

Drawing on the disciplines of English as a foreign language (EFL) and educational psychology, this study aims to determine if reading while listening (RWL) as an approach decreases Foreign Language anxiety (FLA). My teaching experience as an EFL practitioner in Japan resonated with research based on FLA and student hesitancy to speak English in EFL classes (Alnahidh & Altalhab, 2020; Rafada & Madini, 2017; King, 2013). Additionally, research asserting that many Japanese students' pre-tertiary EFL six-year teacher-centered classes are often taught in Japanese (King, 2013) provided further understanding as to why my students were generally reluctant to answer questions in English or even willingly participate in student-centered target language classroom activities In response to personal experience and classroom observations of the gradual development of student efforts to communicate in English after using RWL, this reflection on a research topic investigates the potential of RWL to improve self-efficacy and decrease FLA. The first part of this paper will briefly discuss what is known and unknown about my topic and will

be followed by sections on the current state of affairs, filling the gap methodology, and will conclude with a summary of the information discussed.

What is Known, and What is to be Learned

FLA is defined as a language learner's reflexive adverse reaction to the development of the language learning process (Horwitz et al.,1986). An FLA Indonesia-based study reported reduced anxiety after using RWL in English listening classes (Rozak et al., 2019). RWL[1] is a type of listening support that matches spoken form with written form and helps develop auditory discrimination and word recognition (Osada, 2001; Vandergrift, 2007). RWL is cited as an efficient practice to enhance vocabulary (Brown et al., 2008; Webb & Chang, 2015), improve listening comprehension (Chang, 2009), facilitate text comprehension (Chang & Millet, 2015; Woodall, 2010), act as scaffolding for reading comprehension (Taguchi et al., 2016) improve pronunciation (Imran, 2021; Cakır 2012), and refine prosody and intonation (Kirchhoff & Mision, 2022). These academic gains become more meaningful when considering that many EFL learners have little opportunity to hear or use English outside the classroom, which, according to King, often results in students who are unwilling or unable to speak in English (2013). Student reticence to use the target language seems highly understandable if EFL programming provides little target-language exposure. For example, a potential impact on reticence could be in the long journey from Japanese Kanji to the Roman alphabet, which aligns with Saito et al.'s statement that "language learners often experience reading anxiety when trying to decode or interpret a non-native language text" (1999). Research claims a significant correlation between self-efficacy and beliefs in language learning and recommends that future studies investigate ways to enhance the English self-efficacy of language learners (Genc et al., 2018).

A combination of the abovementioned research proposes a connection to RWL as an intervention to influence the development of higher self-efficacy as a strategy to reduce FLA. Based on Bandura's four efficacy sources: mastery experience, vicarious experiences, verbal persuasion, and physiological and affective states (1977, 1997), the use of RWL provides EFL students with more exposure to English and could hypothetically decrease FLA and consequently motivate EFL students to engage more in the target language. With RWL's ability to link word to sound, the decoding process provides an opportunity for a **mastery experience**. Connecting word to sound facilitates **vicarious experience**, by providing a model which can help raise student confidence. **Verbal persuasion** through validation of others or confirmation through the recording as a model can also give a sense of enticement. Thus, through RWL, EFL readers get a break from the tedious work of decoding and e**xperience emotional and physiological states** that

benefit learning.

This proposal of RWL practice within the reflective process of Bandura's four sources of self-efficacy to help EFL learners and teachers identify and decrease FLA provides a process that may provide research opportunities in learning contexts beyond EFL. Research may also find an interesting topic in Japan's Department of Education's 2024 policy to equip EFL elementary and junior high schools with digital textbooks, which explicitly specified digital books for their "helpful text to voice" features (Shimbun, 2022), which further validates the role of RWL in EFL learning.

Current State of Affairs

Contemporary EFL studies on speaking anxiety, set in Saudi Arabia (Alnahidh & Altalhab, 2020) and Turkey (Yalçın & İnceçay, 2014) repeatedly recorded the word fear in qualitative data gathered based on student feedback on making mistakes when speaking English. A study of Indonesian high school EFL based on reading anxiety also reported several findings that used the word fear in relation to making mistakes (2017). Fear also appeared in interviews of low-level Japanese EFL students who worried about being ridiculed by more proficient students for their lesser-developed speaking skills. A quantitative survey also identified peer pressure based on determining factors that likely increase speaking anxiety (Inada, 2021). Another Indonesia-based EFL study on FLA and listening found a decrease in anxiety when using RWL; it recommended further empirical evidence on the use of listening supports in EFL contexts (Rozak, 2019).

The global expansion of English into educational curriculums will naturally have more foreign language learners, and a certain percentage of those learners will encounter FLA. As noted by Brown, language anxiety is complexly intertwined with self-confidence (2007), and low self-confidence can develop into low self-efficacy behaviors. As stated by Genc et al., a high sense of self-efficacy helps recover confidence after failures (2018), which is paramount to success when learning a foreign language.

EFL settings using RWL have produced positive student response (Kirchhoff & Mision, 2022; Imran et al., 2021; Rozak et al., 2019). Research on reading comprehension found that RWL was a favorable intervention for decoding but supported a shallow understanding of a text. (Knoop et al., 2021) which challenges previous research claiming that RWL increased reading comprehension (Chang & Millet, 2015; Tusmagambet, 2019). An RWL problem that could also impact learning was recognized in a need to correct mismatched reading levels and audio accompaniment speeds (Stephens, 2011). As stated by Kirchhoff and Mision, "keeping up' with audio narration restrict students' freedom to read at their own

pace, look up words they didn't understand, or take short pauses with ease" (2022, p. 9). Also, Kirchhoff and Mision's mention of the influence of digital libraries (2022) aligns with Imran et al.'s call for the support of governments to facilitate the necessary technological elements of RWL in schools (2021).

A commonality found in current literature is the use of technology (Kirchhoff & Mision, 2022; Imran et al., 2021; Chen & Hsu, 2022; Rozak et al., 2019). This makes sense when considering education's 2020 catapult into online learning, which brought a plethora of technological awareness and technological options available to facilitate RWL and other online learning opportunities.

The scarce amount of literature directly connecting RWL, FLA, and self-efficacy is understandable when considering their seminal beginnings. While RWL as a function has been around since humans could read, modern technology makes RWL a far more accessible learning option for EFL learners. On the other hand, research founded on significant contributions to the recognition of FLA (Horwitz et al., 1986) began less than 40 years ago, which preceded Bandura's (1977) seminal article introducing the concept of self-efficacy.

Filling the Gap

RWL's impact on FLA and how Bandura's (1977) four sources of efficacy influence the self-efficacy beliefs of foreign language learners is presently under-investigated. As stated by Cohen, motivation to research can be based on an "awareness that a particular issue or area has been covered partially or selectively in the literature, and a wish to plug the gap" (2017, p. 154). Encouragement to pursue this research developed after finding that RWL decreased FLA in English listening classes (Rozak et al., 2019).

Building on Rozak et al.'s work (2019) via the exploration of correlations between RWL, FLA, and self-efficacy, EFL students and teachers can learn about the language learning process. Addressing problems of RWL practice, such as Stephens's identification of mismatched speeds (2019), identifies the challenge of reflexivity. As noted by Attia and Edge, within a reflexive approach, the pursuit of findings sometimes uncovers influential questions that were overlooked by the initial research question (2017). In this sense, the precise matching of RWL materials could hypothetically engineer more autonomy and success for learners, resulting in higher self-efficacy, which could hypothetically decrease FLA. Otherwise, mismatched RWL materials could contribute to poor self-efficacy, resulting in FLA. Also worthy of note is research on RWL's inefficiency in supporting comprehension (Knoop et al., 2022); yet research has identified that with appropriate scaffolding, RWL has the potential to support reading comprehension

(Taguchi et al., 2016) for many learners, RWL's first step can be to give students exposure to the target language, increase self-efficacy, as RWL helps break down the decoding process and decrease FLA enough to give student's enough confidence to look at the text again or multiple times for comprehension purposes.

Methodology

The resources listed in the previous section inform the process of solving this paper's problem of practice as it draws on pragmatism's resolution-oriented elements (Cohen et al., 2017) and situates the research design and collection of data as an actively seeking approach to finding a positive pro-learner correlation between RWL, self-efficacy, and FLA. Pragmatism's focus on experience compliments this paper's constructivist frame of reference, which "requires researchers to focus on the processes that lead to the construction, constitution, and character given to independent objects and the relationships between them" (Hammersley 2013, as cited in Cohen et al., 2017, p. 23). Pragmatism draws out a problem's fundamentals and helps determine the reality of a situation. As Egbert and Sanden note, pragmatism's "matter-of-fact approach to life" (2019, p. 36) anchors research positing that native speakers usually have verbal skills before developing reading skills, in contrast to EFL learners who simultaneously learn oral and literacy skills (Stephen, 2010). The combination of constructivism's ability to work within the participant world aligns with pragmatism's "observable consequences and success in practices, with links to experience...rather than theory" (Cohen et al., 2017, p. 36), thus facilitating the exploration of simultaneous learning, which validates a direct connection to the supporting role of RWL. Pragmatism accommodates a fusion of approaches (Denscombe, 2008) and works well with the "pluralistic element of a traditional literature review" (Efron et al., 2018), which allows my research to draw on different disciplines that include resources based on RWL, FLA, and self-efficacy as outlined in earlier sections of this paper. In tandem with pragmatism, sources are interpreted through constructivism to mediate conclusions to build, as stated by Egbert and Sanden, "a more comfortable reality" (2019) that decreases FLA.

Conclusion

The reality of this research originated in my experience as an EFL practitioner in Japan and my observation of habitually reticent EFL students' gradual willingness to speak in English after using

RWL. Their reticence drew a likeness to FLA, and their gradual development of confidence in speaking English after using RWL drew parallels to better self-efficacy about learning English. While scholarly literature informed RWL, FLA, and self-efficacy, even the most current literature offers little connection between RWL, self-efficacy, and a decrease in FLA. The methodology of this research question, based on a problem of practice, seeks a conclusion that builds on learner experience and identifies the correlation between RWL, self-efficacy, and a decrease in FLA. It is hoped that the completion of this study's findings will promote future research in this topic area.

Note

1　 RWL is also known as audio assisted reading, and while it can be facilitated with a proficient reader, in this paper references to RWL are facilitated by technology.

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ハインツ・インス・フェンクルの
『幽霊となった兄弟の思い出』における仲介者

早　川　真理子

キーワード：仲介者、子ども、コリア系アメリカ文学

Ⅰ．はじめに

　コリア系アメリカ人作家ハインツ・インス・フェンクル（Heinz Insu Fenkl, 1960–)[2]の自伝的小説『幽霊となった兄弟の思い出』（*Memories of My Ghost Brother*, 1997）の後半には、中学卒業間近の主人公インス（Insu）がバスに乗り、家から離れた米軍基地で暮らす父親の元へと一人で向かう場面が描かれる。彼がその地を訪れる理由は、母親の病状を父親へ伝えに行くよう、母方の叔父から命じられたためである。「なんだ？　これは重大な業務だ！　お前が行って、母さんが病気だって伝えるんだ。だが、他のことは言ってはならない。お前の父さんは、［お腹の中にいる］息子が流産したと知ったらひどく怒るだろうからな。」（245）このように告げる叔父の心配の矛先は、韓国人であるインスの母親の体調には向いてはいない。むしろその矛先は、アメリカ人である父親の気分を害することなく、滑らかに伝達をする必要がある、インスの「重大な業務」へと向けられている。このように、韓国とアメリカの間で成長する少年インスは物語を通して、仲介者または媒介者としての役割を担っている。本稿では、仲介者という言葉を用いていく。

　アジア系アメリカ人の子どもにとって、仲介業務を行いながら成長していくことは珍しいことではない。ジュリアナ・チャン（Juliana Chang）は、家族経営の仕事を持ち、仕事と家庭生活を分けることが比較的少ないアジア系移民の家族の中で、子どもたちは、家族と公共の場との橋渡しの役割を担い易いことを述べている。「これらの子どもたちは仕事の中にいて、また、

彼らが仕事なのである」（Chang 20）。また、スーチェン・チャン（Sucheng Chang）やケヨン・パーク（Kyeyong Park）は、祖国の文化や言語能力を維持しながら幼少期や青年期に渡米するアジア系アメリカ人一・五世世代について、彼らは若いうちに祖国とアメリカ両方の文化を吸収するため、本人が望むかどうかにかかわらず、異なる世代間や異なる人種間で器用に振る舞い、文化的仲介者として行動することが期待されていることを述べている（Chan xiv、Park 141）。

『幽霊となった兄弟の思い出』の最終章でインスが渡米する様子が描かれるところから、彼が今後、多くのアジア系移民の子どものように仲介者となっていくことが仄めかされている。しかし、本作品の主な舞台はアメリカではなく、1960年代から70年代初期にかけての韓国の仁川、富平地区である。さらに、小林富久子が本作品を「基地文学」に分類するように（小林95）、韓国内の米軍基地周辺で物語は展開されている。インスは、アジア国籍の親とアメリカ国籍の親との間に生まれた子どもの中でも、特にアジア人女性とアメリカ兵の子どもを指すアメラジアン（Lee, "The Black Amerasian" 8）である。そのような彼が、米軍基地周辺で発展してきた米軍キャンプで生まれ育ち、最終的に渡米するまでが、幼少期の頃の視点と大人になり全てを知った後の視点という、二つの異なる彼の視点から語られている。

ここで先行研究を見てみると、作中で描かれる米軍基地を取り巻く業務として、基地周辺で働かざるを得ない状況に置かれた韓国人女性の犠牲に言及する研究者は少なくない[3]。しかし、アメラジアンであるインスもまた、仲介者として業務を行っている。本論文では、インスが成長と共に、どのように仲介者として確立されていくのか考察する。そして渡米前の彼が、既に韓国とアメリカの間で重要な役割を担う存在であったことを示すと同時に、仲介者となる過程で浮かび上がる様々な問題を明らかにする。

Ⅱ．仲介者としての目覚め

インスは幼少期から、周りの人々をよく観察する人物であると同時に、人々の気持ちを汲み取り寄り添うことができる人物として描かれている。例えば4歳の彼は、従姉妹のガンナン（Gannan）が家で悲しむ姿を目撃した時、彼女がアメリカ兵の男性に結婚を拒まれたことを素早く察知する。そして「胸の内側にある何かが音を立てて沈んでいく」感覚を感じ、一緒に涙を流したい気持ちに駆られる。しかし彼はそのような気持ちを押し殺し、「歌えば幸せになるんだ」と告げると、彼女を励ますために歌い続ける（10）。このような彼の洞察力と共感力は、周りの人間に対してのみならず、この物語に度々登場する幽霊たちにも向けられており、仲介者としての彼をつくり上げていく。

　インスと共に暮らしている登場人物は、韓国人である母、母の姉家族、従姉妹のガンナンの6人である。彼らは、植民地時代に気性の荒い日本人大佐が建築し、その後も数え切れないほどの人々が亡くなったという恐ろしい噂が絶えない屋敷の一部屋に、賃金が安いというのみの理由で共同生活をしている。インスの父親はアメリカ兵であり、非武装地帯付近に位置するキャンプ・キャセイという、警戒態勢が最も強化された基地（Okazawa-Rey 3）に住み込みで働いているため、ほとんど家に帰ってくることはない。そのようなインスと彼の家族の暮らしの中で特徴的なのは、女性が働いて家計を支えている点である。共に暮らす唯一の大人の男性である叔父は働かずに飲み歩き、後に脳震盪が原因で歩くことも不可能になる。そのため、インスの母とガンナンが外でお金を稼ぎ、叔母がインスを含む子どもたちの世話や家事を行うというそれぞれの役割を設け女性同士で連帯しながら生活を送っている。

　インスの母とガンナンは、共に米軍基地に通いながら働いている。母は元娼婦であり、結婚後の現在は、アメリカ兵の妻という特権を利用して駐屯地売店で品物を買い付け、それらを基地の外側にある闇市で売る商売を行っている。一方でガンナンは、娼婦としてお金を稼ぐために、米軍基地のゲート前で兵士の出待ちをする。この二人のように、当時、米軍基地周辺で働く女性は少なくなかった。1960年代は米軍キャンプが最も繁栄した時代であり、「3万人以上の女性が、韓国内に建てられた基地に駐留する6万2千人ものアメリカ兵たちを相手に生計を立てていた」（Yuh 21）。そして、このような女性たちの背景には、朝鮮戦争が原因で生活基盤が破壊されたことや、夫を失い寡婦になったなど、やむを得ない理由が存在していた（林151）。インスの叔母が、「……戦前、私たちは十分な暮らしをしていた。」「これまでと同じ量のお米さえ収穫できれば、彼女［ガンナン］は田舎に留まることができたのに。」（14）とインスの母と共に嘆いているように、彼女たちもまた、朝鮮戦争後に仕事を求めて出てきた女性たちと同様であることが分かる。しかし、基地周辺へ出てきたにもかかわらず、彼女たちが十分な生活を送れていないことは、一家がさらに安い物件を探し、米軍キャンプ周辺で移動を繰り返していくところから垣間見える。

　インスは、そのような暮らしに対してひそかに涙を流す叔母を台所の後ろで眺めながら、仲介者になることを決意する。

　　I promised to myself that when I grew up and became a dark-haired GI, I would make lots of money and buy everyone everything they wanted so they would be happy always. We would have servants so Emo [Insu's aunt] wouldn't have to work in the kitchen; Mahmi [Insu's mother] could not stop going to the PX to buy things for other people; Hyongbu [Insu' uncle] would have his American cigarettes and whiskey. And my father, by then, would surely be a great general with

white hair and a beard instead of only his short yellow hair. … Then they would give me a green uniform and a cap—I would be a GI. I could go America to see many, many PX's, NCO Clubs, and all the tall people in green with their sharp, pulled-out noses. (19)

米軍基地の存在の背景にある、アメリカ兵と韓国人女性との間にある不平等な関係性をまだ理解していないインスは、純粋に、富の象徴と見られるアメリカに所属することが家族に幸せをもたらすと考える。しかし、これは単に彼がアメリカ人になるということではない。インスが将来の自分の姿を、父親のような "yellow-haired GI" とは異なる "dark-haired GI" として想像するように、韓国性とアメリカ性の両方を兼ね備えた両国間の仲介者になることを希望していることが読み取れる。

　このようなインスが日常的に、仲介者の立場に立ち行動をすることは少なくない。例えば、彼は韓国語と英語を理解できるため、韓国人の家族とアメリカ人である父親の間で通訳を行う。しかしそれだけではなく、韓国とアメリカ間で交わされる、より深刻な場面で仲介業務を行っている。

　まず彼は、母親と父親の間で業務を行う。父親に連れられて基地の軽食堂を訪れる時、インスは目線の先に、タクシーから降りてくる母親の姿を目撃する。彼は、母親が基地の内と外での仕事を父に隠していることを認識しており、告げ口をしないよう固く口止めをされている。一方で、父親が、韓国人である母親が基地に出入りすることに対して嫌悪感を抱いていることにも気が付いている（69、131）。そのため彼は、この場で二人を対面させてはならないことを素早く察知し、二人の間を取り持つために、父親の注意を母親から逸らそうと試みる。

"Hwuk you, maddahwukka! Hwuk you! Eat my shet!" I waved my ice cream in one hand and thrust the middle finger of my other hand into his crotch. I heard the GIs laughing and a loud "Hey!" from my father behind me. Then, before I quite knew what had happened, I was lifted into the air, my ice cream splattering on the sidewalk, and I felt a terrible, hot pain on my backside again and again. I heard the loud slaps of my father's giant palm against the thick leather seat of my pants and his tremendous voice, saying, "Don't you *ever* do that again, you son of a bitch!" and just before my vision blurred as I burst out crying over my father's shoulder, I saw Mahmi's taxi driving off down that street.（74 強調は著者のもの）

両親のために起こした行動であるにもかかわらず、行儀の悪い態度を取ったインスは、激怒した父親から激しく叩かれ、泣き出す。しかし、最後の一文からは、インスの冷静さが読み取れ

る。彼が視界の片隅で、母が上手くこの場を切り抜けられたかどうかを把握しようとする姿からは、この一連の出来事が、彼が行うべき業務であったということが確認できる。

　次に、インスは韓国人家族とアメリカ兵との間で仲介業務を行っている。彼の従姉妹であるガンナンはアメリカ兵の子どもを妊娠するが、男性側が結婚を拒否したため、お腹の赤ん坊と共に自害をする。インス自身、その兵士の横柄な態度には以前から嫌悪感を抱いていた。さらに、妊娠をしたことで毎晩涙を流していたガンナンや、悲嘆に暮れた面持ちの母や叔母が小声で議論をする姿を頻繁に目撃していた。状況を素早く理解するインスは、その兵士が見舞金を渡すために家を訪れた時、お金を受け取るだけでなく、幽霊となったガンナンが復讐をすることができるように、彼女の服の切れ端を彼に渡し、怯えさせる。その後、叔父が教えたと考えられる「悪質なジェスチャー」をする（30）。このように彼は仲介者として、一家の怒りを代弁するのである。

　しかしながら、彼が仲介者としての業務を行い始めることは、彼自身が希望しているような、韓国性とアメリカ性を重ね合わせた人物へと向かい始めているという意味にはならない。それは、彼が考える自身のアイデンティティと周りが彼に対して捉えるアイデンティティの間でずれが生じているからである。例えば、主に韓国人の子どもたちが通う日曜学校で彼は、父親がアメリカ人であることや、他の子どもたちよりも韓国語の読み書きが劣っていることから“Hello, give me cho-co-late”とからかわれ、同級生との違いを感じる（77）[4]。また、韓国人の叔父が彼に対して“... like you Yankees”（40）と告げることは、インスが韓国人とは異なるということの暗示である。さらに、彼は母の日焼けした肌の色と、自身の明るい色を比較し、母親との違いも認識する。そして、そのような周りの人々との差異に対する不安から、自身を「よそ者」であると感じている（79）。このようにインスは、アイデンティティに関する不安を抱えながら、仲介者としての自身を構築し始めていくのである。

Ⅲ．仲介者という居場所

　5歳までのインスは、韓国人である母親や母の親戚の近くで日々を過ごしている。しかし6歳になると、一人バスに乗り、米軍基地に隣接するアメリカン・スクールへ通い始める。次第に彼は、支配者としてのアメリカと、それに従わざるを得ない韓国という、不平等な関係性を理解し始めていく。

　まず、アメリカン・スクールを通して、インスがそのような関係性の中に置かれている様子を見ていくことにする。彼をその学校へと通わせるよう命じたのは、父親である。父はインスに対して日頃から、西洋の教育を受け、マナーを身に付けることを促している。例えば、イン

スが韓国訛りの英語を話す際、彼はその都度、発音を矯正する（68、69）。また、一緒に食事に出かける際には、ナイフとフォークを使う西洋のテーブルマナーをインスに伝授している（128）。父が西洋の教育に固執する理由は、インスが、将来はアメリカ側に立つ人間になることを望んでいるためである。それは、父親がインスの誕生日に息子を本屋に連れて行き、ラドヤード・キプリング（Rudyard Kipling）の小説『キム』（Kim, 1901）を丁重に贈る場面からも推測できる。その物語の主人公キムは、英領インドとイギリスという二つの文化に溶け込みながら成長していく少年であり、ある年齢になると、インドに設立された白人のための学校に入学する。そして最終的に、植民地政策に関わるイギリスの諜報機関の一員となっていく。エドワード・サイード（Edward Said）は、『キム』が「帝国主義や帝国主義の意識的な正当化を表象している」作品であることを強調する（270）。このようにインスの父親は、最終的には帝国側に立つキムに、インスを重ね合わせようと試みている。

　確かに以前、インスはアメリカ人としての自己を獲得することを望んでいた。「私はアメリカン・スクールで、父の世界について何か学べるだろうと信じていた。つるつる滑りやすい英語を話すのに私よりも適した舌を持ち、金色の髪と青や緑色の目、白い肌の子どもたちにまつわる神秘的な何かがあると信じていた。私は、アメリカには何か壮大で魔法のようなものがあると信じていたのだ……。」（92）というインスの回想からは、入学以前の彼が、アメリカのことを吸収することに対し、高い理想を抱いていたことが確認できる。しかしその後、「同じ境遇の子どもたちのように、私は以前よりも乾いた状態で去っていったのである。」（92）と付け加えるように、彼の理想は現実とはかけ離れたものであった。

　インスは学校で、「ハインツ」という名で過ごし、アメリカの国歌を歌い、星条旗に忠誠を誓うことを学ぶ。また、韓国語を話す度に教師から注意を受け、それが校則違反へと変容していくというように、完全なアメリカ性が求められる場で学校生活を送る。同級生たちは、韓国語禁止の規則は滑稽であると感じ、あざ笑う。しかしインスは、自身の母語を「汚い言葉」（116）と告げる教師や、韓国性を削ぎ落とそうとする校則に疑問を示し、居心地の悪さを感じ続けている。例えば彼は、他のアメラジアンの子どもたちと共に人目の付かない場所に集合し、韓国語を大声で叫び、アメリカ人に対して悪態をつく（115）。また、アフリカ系アメリカ人と韓国人の子どもであるジェイムズ（James）と共に「永遠に飛び続けているかのような」（114）一瞬の解放感を求めて運動場のブランコに乗り、高く振り上がる。さらに、インスとジェイムズ二人が故意に学校を遅刻する場面では、彼らは軽食堂で仕入れた木製のマドラーを何本か用いて、まるで彼ら自身の状況を示すかのように、無意識のうちに小動物を囲い込むフェンスをつくり上げる。エリク・H・エリクソン（Erik H. Erikson）は、「偽装した見かけの役割」に戸惑う「青年は、さまざまな形の逃避を企てる」（115）ことを述べる。二人はまだ子

どもであるが、アメリカに同化を強いられることに疑問を示し、抵抗する。このようにインス
は、キムのような人物と重なることはない。

　続いて、インスは父と母とを観察しながら、アメリカ兵と韓国人女性との間にある従属関係
について理解していく。インスは、父が母を米軍基地から遠ざけようとする様子から、父は韓
国人である母に恥ずかしさを抱いていると共に、アメリカ人としての父の権力を弱める存在で
あると思っていることを感じ取る（131）。一方で、そのような考えを持つ夫に配慮し、母が米
軍基地の内と外での商売を秘密にし続けていることも、彼は把握している（73）。またインス
は、望まない妊娠をし、その後流産で苦しむ母親の姿を目撃している。彼女が無事に出産出来
なかった理由は、さらなる息子を欲しがった父親が、女の子を出産して間もない彼女の体調を
考えず、再度妊娠させたためである。点滴の紐が繋がれたまま目を閉じ、「全てにおいて疲れ
たかのような」面持ちで横たわる母親を見ながら、インスは絶望感を感じ、むせび泣く（244）。
さらに彼は、父と母が共に隠してきた、彼が一度も会ったことのない兄クリスト（Kuristo）の
存在に気付く。その中でインスは、母が父と結婚をするためには、父の実の子どもではないク
リストを手放さなくてはならなかったことを知る。母は、クリストを孤児院に預けた後も、何
度も施設を訪れ取り戻すことを試みたが、彼は養子として渡米し、二度と戻ってくることはな
かったという。インスの父が母を支配していると考えられる一方で、母は、アメリカ兵の妻と
いう立場を保持するため従順な態度を示している。

　このような関係は、インスの父と母のみに当てはまる訳ではない。例えば、作中に登場する
チャンミ（Changmi）の母親は、子どもを授かることができないアメリカ兵の夫をつなぎ止め
るため、夫とよく似た男性を探し出し、妊娠することを企てる（209）。またジェイムズの母親
は、アメリカ兵の男性と再婚をするために、自身の子どもを溺死させる（211）。さらにインス
の従姉妹ガンナンは、アメリカ兵の男性に結婚を拒否され、お腹の赤ん坊と共に自害すること
を選択する（24）。すなわち、彼女たちのような境遇の韓国人女性は、戦後、「家族の経済的困
難を克服するために」（Park 120）アメリカ人である夫に従属せざるを得ない状況に置かれて
いたのである。

　このような両国の関係性を観察すると共に体験するインスは、アメリカへの同化は選ばな
い。むしろ彼は、両国の間で居場所をつくり上手く渡り歩いていくため、仲介者となる。「私
が学校で学んだことはとても少なかった。しかしそれを知らずとも、私の母が、父の世界で一
人でも上手くやっていく方法を教えてくれたのだ」（121）というように、インスは学校に通い
ながら、母親のように基地の内と外での商売を始めていく。それは、注文を受けた M&M チョ
コレートやアメリカ製の胃薬、ハーシーチョコレートやリグレーのガムなどを基地の売店で買
いつけると、基地の外側で暮らす韓国人の知り合いに二倍の価格で売るという仲介業務である

（183）。

　母親と同じ商売を行うことは、インスが韓国側に自身を重ね合わせているようにも読み取れる。実際に彼はアメリカ軍専用バスに乗りながら、土埃でよごれた身なりの韓国人の子どもたちを窓越しに眺め、自身を彼らに重ね合わせている（247–8）。しかしその後ふと我に返り、アメリカ軍のバスに乗っている自身を自覚するところから、彼は韓国にも所属することができてはいないように考えられる。そのような彼は次第に家から足が遠のき、家の外で過ごすことが多くなる。そして中学を卒業する頃には、「まるで次の取引について話す中年の闇取引」（264）のような、大人びた雰囲気を醸し出すまでになるのである。

Ⅳ．さらなる犠牲者との共鳴

　米軍キャンプで過ごしてきたインスは、中学卒業間近にアメリカへと渡る。渡米する理由は、彼の父親が、インスや生まれたばかりのインスの妹を「未開であると共に異教徒」である現在の場所ではなく、より「適切」な土地で育てたいと願ったからである（239）。一方で母親は、病気で先に渡米することになる夫に対し、もはや愛情はない。しかし、何年も前に養子として手放したインスの兄クリストを探し出すという新たな希望を抱き、渡米に期待している（268）。このような両親に伴って、インスが旅立ったことが示されている箇所が次の二つの文章である。

> When the time came I went not with a struggle but like a dutiful son. I went the way I had seen Korean prisoners march to their execution in movies about the Japanese Annexation, with determination and grief and a sense of hopeless purpose. (269)

> But there was no other way. Sitting there one day, flooded in sound and tears, with the scent of tragedy and nostalgia mixed together in my memory, with the bitter taste of metal and blood in my mouth, the texture of sorrow at my fingertips, shadows falling over the darkness of my heart, I was helpless and prepared to leave. (270)

インスの渡米への思いは、両親のものとは異なっている。実際に彼は、「私は、自身が韓国を去りたくないと思っていたことを知っていたのだ」と述べている（269）。また引用箇所からは、渡米に対する自身の悲しみや絶望感を、彼があらゆる感覚を通してはっきりと認識していたことが読み取れる。しかし、「従順な息子」や「捕虜」のように自身の感情を押し殺して出

発したという部分からは、渡米するという行動自体が、仲介者としての業務にほかならなかったことが推測できる。

　それならば、インスが渡米に対してこれほどの悲しみを示すのはなぜだろうか。その理由はアメリカと韓国の従属関係を知った彼が、アメリカを希望の国として見なくなったことが考えられる。両国の間でアメラジアンの子どもたちが困惑する様子を目撃してきたことや、成長過程を通して、仲介業務自体が様々な犠牲を伴うということに気が付いたためだとも考えられよう。

　インスは、多くのアメラジアンの子どもたちが仲介者となった後、犠牲者となる姿を目撃している。例えば、インスは、人種差別が原因で亡くなるジェイムズについて耳にする（229）[5]。彼は、白人のアメリカ兵と再婚をした母親が夫との関係を保つため、アフリカ系の血を引く息子ジェイムズを溺死させたことに、「これでもかという屈辱感」を感じ、ただだだ座り込む（230）。また彼は、金髪の友人ジャニが亡くなった知らせを受けている（171–3）。父親をヴェトナム戦争で亡くしたジャニ（Jani）は、母親が新たなアメリカ兵の夫を見つけると、アメリカン・スクールへ入学させられる。その際、彼の学力と周りの子どもたちとの学力が合わないことに気付く母親は、彼の年齢から 4 年を引き下げる。母に消去されたその 4 年間は渡米後も埋め合わせられることなく、彼は若くして病で亡くなっていく。ジャニの死の知らせを聞くインスが異様にその年齢にこだわる理由は、ジャニの犠牲が少しでも報われたかどうかを知るためであろう。さらに、インスは、父親に養育を拒まれた後に孤児となり、その後、養子として渡米した兄クリストの存在に気付く[6]。クリストはインスの夢の中に幽霊として登場しており、インスを含む家族全員を悲劇から救う救世主として描かれる（246–7）。しかし、その夢が暗示するものは、インスが生まれる代わりにそこから去らなくてはならないという彼の犠牲である。

　このように犠牲となったアメラジアンの子どもたちを認識するインスは、「……私の悲しみは、亡くなった幽霊たちに対してであった」（201）と、その後、幽霊として登場する彼らと心を重ね合わせている。

> Everyone so quickly tried to forget. The ghosts of the drowned maid and the drowned baby, the ghosts of all my friends who had gone forever—I often saw them in my dreams and they were always so lonely. (201)

この文章には、幽霊となった子どもの存在は、人々にすぐに忘れ去られることが示されている。確かにインスの父は、クリストのことを「でたらめな夢」と吐き捨て、その存在を無かっ

たことにしている（258）。またジェイムズの母は、白人のアメリカ兵との間に天使のような娘を授かった後には、「ジェイムズの母」と呼ばれることに嫌悪感を示す（211）。グレイス・チョウ（Grace M. Cho）は、アメリカの帝国主義が背景に存在する場所において幽霊は、戦争の忘却や、消去という認識的な暴力が原因で生み出された、消失の結果を表していることを述べている（31）。しかしグレース・ホン（Grace Kyungwon Hong）によると、幽霊は完全に消えている訳ではない（49）。そしてエイブリー・ゴードン（Avery Gordon）は、幽霊を物語として描くことは、そのような「排除と不可視性」を明らかにすることだと説明している（17）。ここから、幽霊を見ることが出来ると共に、心を通わせられるインスは、とりわけ大人が忘れようと努める子どもの犠牲を明示していく存在だといえる。

　そして、インスは子どもの犠牲を明らかにする存在であるだけでなく、多くの子どもたちと同様に仲介者であり、犠牲者である。彼が被る犠牲はまず、幼い頃から周りの人々の関係を円滑に結びつけ、物事を上手く進めていくために自身の心情を置き去りにせざるを得ないことである。また、韓国にもアメリカにも居場所を得られない状況下で、自身をよそ者としか捉えられない様子から、アイデンティティに対する不安を常に感じ続けているところでもある。さらに、彼が中学卒業前であるにもかかわらず、「中年の闇取引」（264）のような雰囲気を醸し出すまでになるように、子どもが知るべき以上の物事を見聞きすることで、子どもらしさを早くに無くしていく部分であるとも考えられる。

　インスは渡米の当日、悲しみを感じながら、犠牲となった韓国人やその子どもたちの名前を思い浮かべている。それだけでなく、彼らの姿を一人ひとりの物語として思い出す。そして、最後に自身の物語を思い起こしながら、「私は思い出す。私は思い出した。私は思い出すだろう。」（271）と感じている。インスがこのように、自身を含む多くの子どもたちを忘れず思い出し続ける理由は、それが彼らに報いることであり、彼が大人に対して取ることのできる数少ない抵抗だからであると思われる。

V．おわりに

　本論文では、インスの成長過程で行われる仲介業務に注目をし、渡米前の彼が、韓国内で仲介者として確立されていく過程を考察してきた。

　著者フェンクルは、インタビューの中で、様々な国を見た後に韓国について理解し始めたことを述べており（Leyshon）、それは主人公インスにも重なることのように考えられる。インスは最終的に、大人びた雰囲気を醸し出すような人物として描かれるが、年齢的には未だ子どもである。本作品が、彼の幼少期の頃の視点と共に、大人になり全てを知った後の視点からも語

られる二重の構造になっているように、インスが韓国で暮らしていた期間に全てを把握していたと考えることは難しい。しかし、そのような子どもの段階で、仲介者となり犠牲者となる。

　フェンクルは、作品内で多くの人々の物語を描きながら、アジアに建てられた米軍基地の存在を浮き彫りにしている（Kim 3、Lee, "An Amerasian Rewriting" 338）。その方法の一つとして彼は、幼少期から仲介者とならざるを得なかった、インスのような子どもたちの姿を描いたのであろう。

注

１）本稿中の訳はすべて引用者によるものである。

２）著者ハインツ・インス・フェンクルは、韓国に生まれ数年を過ごした後、12歳でドイツ、そしてアメリカへと渡った作家である。彼はアジア系アメリカ文学に分類される小説執筆だけではなく、朝鮮半島で出版された数々の詩や小説、漫画を翻訳しアメリカに伝えていると同時に、アンソロジーの編集も行う横断的人物である。フェンクルは、幼少期だけでなく渡米後も、大学を卒業すると、民俗学とシャーマニズムを学ぶために研究員として韓国へ赴き、その後アメリカに戻り、現在はニューヨーク州立大学英語学科で教鞭を執っているというように、常に複数の国の間に身を置き、一つの場所には留まらない暮らしを送っている。このような彼が執筆した自伝的小説が、『幽霊となった兄弟の思い出』（*Memories of My Ghost Brother*, 1997）である（"Heinz Insu Fenkl"）。

３）例えばクンジョン・リ（Kun Jong Lee）は、アメリカ軍の兵士たちにとってガンナンのような娼婦は、商品以上の人物として捉えられることはなく、米軍キャンプ内で安価な業務を行う人物の一人に他ならなかったことを述べている（Lee, "An Amerasian Rewriting" 332）。またグムヒ・パーク（Geum Hee Park）は、ガンナンやインスの母などの娼婦たちが頻繁に死に追い込まれる背景には、アメリカの植民地主義やアメリカと結託した韓国政府、韓国内の家父長制によって「歪められたジェンダー意識」（120）の存在が潜んでいたことに言及している。

４）この状況は、ミュンミ・キム（Myung Mi Kim）の "A Rose of Sharon" の中で、語り手の少女が同年代の韓国人の子どもたちに仲間外れにされ困惑する状況と類似している。

５）長畑明利は、アメリカ国内で起こる人種差別は「アジアの地でも繰り返され、アメリカ人の GI たちは韓国を軽蔑し、アメリカ人のコミュニティの中でも人種による差別が横行」していたことを述べている（277）。また、クンジョン・リは、韓国生まれのアフリカ系のアメラジアンは、アメリカによって「故意に忘れられてきた」（Lee, "The Black Amerasian" 8）ことに言及している。

６）孤児となった後に養子として渡米するアメラジアンの姿は、コリア系アメリカ人作家チャンネ・リー（Chang-Rea Lee）の作品『最後の場所で』（*A Gesture Life*, 1999）の登場人物サニー（Sunny）とも重なる。朝鮮に生まれたアフリカ系の血を引く少女サニーは、孤児院に入れられた後、養子としてアメリカに渡ったことが書かれている。

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『ドン・キホーテ』日本語訳の比較研究

——台詞と詩における訳出のバリエーション——

誉　田　百合絵

　本稿では、数ある『ドン・キホーテ・デ・ラ・マンチャ』の邦訳のなかからいくつかの版を選び、本文を比較して時代ごとの翻訳の特徴を明らかにすることを目的とする。今回は、特に会話文における特徴と、詩における訳出の個性を比較することとした。比較対象とする版は、重訳からは完訳でかつ底本がはっきりとわかっている片上訳[1]（1915年）、と森田訳（1927年）、直訳からは永田訳（1948年）、会田訳（1958年）、牛島訳（2001年）、荻内訳（2005年）、そして岩根訳（2012年）から適宜引用して扱う。なお、原文は1941年の Marín 版を用いる。また、英語版の『ドン・キホーテ』は片上が底本にしたという Ormsby 訳と、森田が底本にしたという Motteux 訳を用いて比較する。

　　キーワード：重訳、直訳、訛り、翻訳のバリエーション

Ⅰ．台詞の比較

　台詞の部分の翻訳には特に訳者のキャラクターに対する解釈であったり、訳者本人の個性があらわれたりする。日本語には一人称の種類が豊富にあり、たとえば原文でドン・キホーテが"yo"と発話したとき、それを「わし」と訳すか、「拙者」と訳すか、「我輩」と訳すかで読者の受ける印象は変容する。一方、もう一人の主役といえるサンチョの口調においては、田舎の農民出身であることを示すためにある程度くだけた口調が必要になってくるであろう。この、堅苦しい騎士と、のんきな従者との言葉の応酬が本作品の魅力のひとつといっても過言ではない。それぞれの訳者は、日本語の可能性を探りながら、各々の「ドン・キホーテ主従」を描きだしている。

Ⅰ–1.　サンチョ・パンサの口調

　まず、従者サンチョ・パンサの口調を比較していきたい。以下、引用するのは前編7章の、ドン・キホーテに言いくるめられて従者として遍歴の旅に出立する場面である。これは主人であるドン・キホーテに対して発せられた台詞で、サンチョの第一声となる。

　はじめに原文である Marín 訳を紹介する。

　　　—Mire vuestra merced, señor caballero andante, que no se le olvide lo que de la ínsula me tiene prometido que yo la sabré gobernar, por grande que sea.（Marín, 1, p. 185）

サンチョは目上の立場にあるドン・キホーテに対して usted の活用を使って話しかけている。よって日本語訳も敬語が基本となろう。さて、この台詞を日本語にするうえで着目すべきは、ラ・マンチャの田舎で育ち、特に優れた教育を受けてはいない百姓であるサンチョがどういった言葉づかいをするのかという点だ。原文には目立った癖はなく、読みやすいスペイン語で書かれているが、先述したように日本語には登場人物の人格を表現するさまざまな方法があるため、ドン・キホーテの口調よりもさらに訳者の個性があらわれる。

　まずは比較する翻訳の中で最も古い片上訳である。底本とした Ormsby 訳は、原文をかなり忠実に英語に訳したものであるため、スペイン語版と同様に Ormsby 訳にもいわゆる訛りのような表現は見受けられない。それを日本語に移した片上訳のサンチョの言葉づかいは、やはり訛りはあまり目立たず、いかにも小間使いや従者といった雰囲気の物言いが特徴である。

　　　さてサンチョー・パンザは、主人に向かつて言つた、「武者修行の旦那さま、貴方さまのお約束なさつた島のことは忘れんやうに気をつけておくれなされませよ。どんなに大きかろと私（わし）や結構治めることが出来ますからの。」（片上、pp. 47–48）

　しかし、片上よりも約10年遅れて出版された、同じく英訳（Motteux 訳を底本としている）からの重訳である森田訳では、以降永田や会田の訳にもあるような「訛り」の表現が見受けられる。

　　　「お願ひですよ、有り難い武者修行の旦那様、」とサンチョー・パンサは主人に向かつて云つた、「あんたは島のことをお約束なさいましたね。それを確と忘れんやうに気を附けておくんなさいませ。押して申し上げますがね、わしにもどうかかうかその島を治めることが出来ますよ、たとへ何んな大きい島であらうともな。」（森田、上、p. 59）

　この台詞では分かりづらいが、直後の台詞では「〜だよ。」や「〜御座えませうぜ。」といった言葉が使用されており、従者とは形ばかりで、元来ただの百姓の出であるサンチョのバックグラウンドを考慮しての創意工夫であると思われる。森田に続き、初の直訳である永田訳以降、続く会田、牛島の訳にも、「〜くんなせえ」や「みせるだから」などの、片上訳にはなかった一種の訛りのような表現があり、森田よりもさらにリアリティを追求した台詞回しとなっている。永田、会田、牛島の三者を比べてみると、大筋において口調に大きな差異はない。

　　「なあ、遍歴の騎士さま、島について約束しなさったことを、忘れねえようにね、気いつけてくんなせえよ。わしゃ、どれほど大え島でも、りっぱに治めてみせるだから。」（永田、正篇（一）、p. 171）

　　「ねえ武者修行の旦那さまよ、おらに約束しなさった島のことは忘れねえでくださいよ、どれほどやっかいな島でも、おらはちゃんと治めてみせるだからよ」（会田、第一巻、p. 106）

　　「ねえ、遍歴の騎士の旦那様、おいらに約束しなさった島のこと、どうか忘れねえでくだせえよ。おいらは、どれほどでかい島でもちゃんと治めてみせるだからね。」（牛島、前篇（一）、pp. 137–138）

　ところが、比較的近年に翻訳された荻内や岩根の訳では、サンチョの訛りの表現は極力避けられている。その代わりに「いやですよ」、「でかい」、「いいですかい」といったくだけた言葉を選ぶことによってサンチョの人柄を表現している。これにより、田舎出身の百姓だといういわゆる「ローカル」な雰囲気はやや薄れるものの、一方で読者にとっては癖がすくない平易な文章として読みすすめやすいという特徴がある。

　　「旦那様、遍歴の騎士のお殿様、お忘れになっちゃいやですよ、お約束のインスラのこと、どんなでかいやつでも、きちんと治めてみせますから」（荻内、前篇上、p. 98）

　　「いいですかい、遍歴の騎士の旦那様、約束の島のことを忘れないように願いますよ。どんなに大きくとも治めてみせますからね。」（岩根、前編、p. 87）

　また、荻内訳のサンチョは主人への仕官の報酬としてもらえる予定の「島」のことを「イン
スラ」と言っており、主人が発した単語を意味もわからずそのまま口にしている様子がうかが
える。こういった工夫からも、読者は主人と比較して教養の少ないサンチョの背景を察するこ
とができる。

Ⅰ–2.　ドン・キホーテとの会話
　次に、ドン・キホーテとサンチョの会話を比較する。前編 8 章の、ドン・キホーテが風車を
巨人と勘違いをする有名なシーンで、あえなく風車に弾き飛ばされ地面に伸びてしまった主人
をサンチョが咎める場面でのやりとりだ。
　まずは Marín 版から引用した原文である。

　　—¡Válame Dios!—Dijo Sancho—. ¿No le dije yo á vuestra merced que mirase bien lo que hacía,
que no eran sino molinos de viento, y no lo podía ignorar sino quien llevase otros tales en la
cabeza?
　　—Calla, amigo Sancho— resprendió don Quijote—; que las cosas de la guerra, más que otras,
están sujetas á continua mudanza;　…　mas al cabo al cabo, han de poder poco sus malas artes
contra la bondad de mi espada.
　　—Dios lo haga como puede— respondió Sancho Panza. (Marín, 1, pp. 192–193)

　『やァれやれまァ、』とサンチョーは言つた、『あれはほんの風車ぢやから、貴方さまの
なさることにお気をつけなされませと、私が旦那さまに申し上げなんだことかい。また誰
が、頭の中にあれと同じやうなものでも有つて居る人で無けりや、あれのことを間違へた
りなぞしようがあろかい。』
　『さう言ふな、サンチョーよ、』と、ドン・キホーテは言つた。
　『凡そ何よりも戦の運は屢々勝敗のありがちなものぢや。　…　しかしつまりは彼奴の
妖術も、わが名剣に施すすべはあるまいぞ。』
　『どうぞさうありたいものでござりますよ。』とサンチョー・パンザは言つた。（片上、
p. 50）

　先述したように、Ormsby はスペイン語をかなり忠実に訳しているため、ここでの片上の訳
も（発音には多少目をつぶるとして）やはり原文をそのまま日本語にしている印象だ。ただ原
文の "Calla, amigo Sancho." や "Dios lo haga como puede." は、英語でも "Hush, friend Sancho." や

"God order it as he may." と訳されているが[2)]、片上訳にはこういったスペイン語らしい表現は
みられない。

　　「こりゃまあ、どうしべえ！」と、サンチョ。「だから、おめえ様に、しなさることをよ
　うく見なせえよ、風車にちげえねえだから、と言うたでねえか。頭んなかを風車ががらゝ
　廻ってる人間でねえかぎり、わかりきったことだによ。」
　　「黙らっしゃい、わしの友のサンチョ」と、ドン・キホーテ。「惣じて、いくさは何事よ
　りも、一瞬の後を測りえぬものじゃ。　…　いまに見ておれ、きゃつの妖術もこの剣の威
　徳に力を失う日がかならず来るをな。」
　　「神様がおできになることをしてくだせえますように」と、サンチョ・パンサは答えた。
　（永田、正篇（一）、p. 177）

　永田も文をかなり忠実に訳している。片上とは違い、「わしの友のサンチョ」「神様が…して
くだせえますように」といった、いかにもスペイン語らしい表現もそのまま日本語に置き換え
られてあるので、こういった言い回しにあまり馴染みのない読者はかえって違和感を覚えるか
もしれない。永田以降の訳者は "amigo" も取りこぼさず訳出している。
　また、ドン・キホーテの "Calla" を、永田、会田、牛島は比較的強い命令の言葉を使って表
現しているため、サンチョに対しやや威圧的な印象となり、全体的に主従の上下関係がはっき
り示されている。

　　「もう、嫌だなあ」と従者がこぼす。「言ったじゃありませんか。風車だと。見れば判る
　ことなのに、頭ん中でも風車が回ってるんですか、くるくるパーと」
　　「そう申すな、おぬしのことを友達だと思っているのに」と主人が窘めた。「戦場にあっ
　ては、何がどうなるか予断がゆるされない。くるくる変わるのだ。　…　しかし、そうは
　問屋が卸すものか。我輩の正義の剣の向かうところ、いかなる奸策も、ものの数ではな
　い」
　　「この場は神の手に委ねるが一番かと。なるようになるでありましょう」（荻内、前篇
　上、pp. 102−103）

　　「なんとまあ！」とサンチョが言った。「ご自分のなさることをよくご覧くださいと言っ
　たでねえですか。頭の中におなじようなものが回ってる人間でない限り間違えようがもな
　い、正真正銘の風車だと言ったでしょうに？」

　　「もうよい、友達のサンチョ」とドン・キホーテが応えた。「何にもまして戦事と言うも
　のは常に先の見えぬものだ。　…　だが、ついには奴の悪しき妖術もわが剣の正義の前に
　効き目なしとなろう」
　　「ならいいですがね」とサンチョ・パンサが応えた。（岩根、前編、p. 87）

　荻内の翻訳は永田らとは趣を異にしており、原文の言い回しをそのまま日本語にするのでは
なく、かなり解釈を加えて意訳を施すことで日本語として読みやすい文体にすることを優先し
ている。そのため、原文を支障のない範囲で端折ったり、逆に意味を加えたりしている箇所が
多い。日本人にはわかりにくい "Calla, amigo Sancho." に対しては「おぬしのことを友達と思っ
ておるのに」と一文つけ足すことで、ドン・キホーテの真意をより明確にしている。また、
「くるくるパー」といった斬新で印象に残る表現が随所に目立つ。日本語ならではのからかい
文句と風車の羽が回る動きを掛け、短いながらも伝わりやすい絶妙な一言となっている。これ
に対するドン・キホーテの台詞にも「くるくる」という単語が使われており、サンチョとの対
話の関連性が高められている。また、荻内はみずから「だから僕の文体は芝居のようです。声
を出して読みたくなるような語りにしたつもりです」[3]と翻訳の趣向を表明しているように、
主従ともに芝居がかった少々おおげさな台詞の応酬が心地よい。
　岩根訳では堅苦しい原文をかなりかみ砕いた優しい日本語が使われていて、どの年代の読者
層にとっても読みやすい文体であることが特徴だ。荻内も岩根も、"Calla, amigo Sancho." の台
詞が命令形ではなくやわらかい口調に置き換えられており、永田、会田、牛島の訳に比べて、
ドン・キホーテとサンチョの上下関係がやや緩和されている。
　いくつかの版の台詞を引用して比較したが、訳者が最重視するポイントはやはり時代ごとに
異なっているように思う。とにかく原文を損なわないよう、英語からの重訳ではあるが忠実に
訳されていた片上の時代。原作の文体を尊重しながらも、スペイン独特の風習や言い回しをで
きるだけ日本人にもわかりやすく理解できるよう工夫が施された永田、会田、牛島の時代。そ
して近年の荻内、岩根訳では、原文に忠実であることよりも読みやすさを優先した、明朗で日
本語として自然な文体であることが重視される傾向にある。またドン・キホーテとサンチョの
関係性も、従来よりも上下関係が緩和されており、こういった点も読みやすさの工夫の一環で
あろう。

II．詩の比較

　次に、本文に挿入されている詩の訳出について比較する。詩は、訳出する言葉の順序やリズ

ム感の再現といった点で平叙文に比べても個性があらわれやすいためである。今回は、前編第11章より、ドン・キホーテ主従が山羊飼いの集団と出会い、歓待を受ける場面で、山羊飼いの一人であるアントニオが一行に歌って聞かせる詩の一部を取りあげることにする。

  Abalánzase al señuelo
Mi fe, que nunca ha podido,
Ni menguar por no llamado,
Ni crecer por escogido.
  Si el amor es cortesía,
De la que tienes colijo
Que el fin de mis esperanzas
Ha de ser cual imagino.

　この「アントニオの歌」はひとつの連が4行、全部で17連からなる詩で、この部分は5番目と6番目の連である。この連の最も解釈が分かれるところは "fe"、"cortesía" の解釈と、"Ha de ser cual imagino." の解釈であろう。特にこの点に注目しながら各邦訳を比較すると、この節をもっとも率直に訳しているのは本邦最初の直訳である永田の訳だ。

　　そのおとりには飛びつくものの、
　　わしの思いは、呼ばれないとて
　　少しもへらず、えらばれたとて
　　ましようもなかったよ。
　　戀は禮儀といわれるならば、
　　そなたの禮儀をこうも解こうか、
　　わしの希望の行きつくとこが
　　察しられるとおりと。（永田、正篇（一）、p. 211）

　詩であるので原文には詩歌独特のリズムがある。この原文の文体のリズムをそのまま日本語に置きかえるのは不可能であるが、その代わりに日本語としてのリズム感を出しつつ、伝わりやすい訳になっているのがわかる。2012年に『ドン・キホーテ』完訳を果たした岩根も、永田の文体について「この版は地の文章もさることながらとりわけ詩の部分に万葉調の風格が窺われて貴重である」[4]と評している。また、原文と同じ行数で訳したり、"podido"、"llamado"

の韻を「〜とて」の繰り返しで表現したりすることで、スペイン語の持つリズムもできる限り生かしている。

　ではこの永田訳を基準として、他の訳を比較検討していく。

　　罠にとびかかりはするものの
　　僕の想いは真実一途なもので
　　選ばれようと拒まれようと
　　一喜一憂することさらになし。

　　恋になさけが付きものならば
　　君のなさけからこう読み解こう
　　僕の希望の行きつくところ
　　日ごろ心に願いしとおり　と。（牛島、前篇（一）、pp. 194−195）

　牛島訳は永田の訳に大まかに一致しており、基本的にはわかりやすさが重視されている。牛島は先駆者である永田や会田の訳を参考にしているので、訳の類似は当然と言える。ただし、"cortesía" を「禮儀」と訳すか、それとも「なさけ」と訳すかに両者の最も大きな相違がみられ、読者の受け取りかたも変わってくるように思う。

　そして、最後の連であるが、先駆者の永田は原文にあまりにも忠実であるがゆえに「わしの希望の行きつくとこ」が作者の望む結果であるのか、そうでないのかが分かりづらくなってしまっている。その点、牛島は「日ごろ心に願いしとおり」と、作者の期待どおりの結果になることを明確に訳している。

　続いて進藤と会田の訳を見る。

　　よしやこばみ給うとも
　　やさしく招き給うとも
　　変わることなきわが思い
　　罠とは知りつつかかれかし。
　　　恋はなさけと聞くからは
　　君がなさけにわが胸の
　　このあくがれのとどくべき
　　望みのはてをわれはおく。（会田、第一巻、p. 151）

　　　信念（こゝろ）は縋るほのかな誘（かげ）に、

　　　縋り終せた日とてないながら、

　　　とゞかで細る信念（こひ）ならず

　　　とゞいて育つ信念（こひ）ならじ。

　　　戀は優しいものならば、

　　　お前の優しい心ねに

　　　私は知らう、私の終の期待（ねがひ）こそ

　　　私の想ふ姿にならう。（進藤、pp. 149–150）

　　会田は先述した永田訳、牛島訳と比べるといくぶん格調高い文体になっているが、日本人に馴染みの深い七五調に整えることにより、心地よいリズム感を生みだしている。永田、牛島訳と会田訳との差異は、この連の最初の行 "Abalánzase al señuelo" にあたる部分を、連の最後にもってきた点であろう。連の順番の正確さよりも、詩の特徴であるリズム感と読者に対する明瞭さとのバランスを重視したものと思われる。ここまで紹介した三人の訳者はいずれも "fe" を「思い」や「想い」と訳している。本来 "fe" の訳としてはこういった表現はやや意訳に近いが、これも原文をかみ砕いて読者に伝えるそれぞれの訳者の工夫である。

　　進藤の特徴は、単語を本来の意味あいに近い単語に訳す一方で、その読み仮名を「こころ」とし、仮名によって原文の伝わりづらいところをわかりやすくかみ砕いている点だ。例えば、"fe" を「信念」と訳す一方、仮名は「こころ」、箇所によっては「こい」としている。漢字と読み仮名でダブルミーニングにする手法は日本語ならではの方法といえるだろう。"Abalánzase" も「とびかかる」ではなく「縋る」という表現になっている。また前半の連の後半の「とゞかで〜ならず」「とゞいて〜ならじ」では、原文の韻を再現している。そして後半の連の "cortesía" は「優しい」と解釈しており、訳者によって個性があらわれている。全体を俯瞰してみると、先の三者に比べて進藤版はいくぶん意訳の要素が強いといえるだろう。

　　　招かれるとも挫けず

　　　選ばれて高ぶらず

　　　毅然たるわが思い

　　　欣然と罠に飛び込む。

　　　恋が礼節であるならば

　君の物腰から察するに

　わが思いは

　予想どおりの結末か。（岩根、前編、p. 112）

　次に最新の訳である岩根訳を見てみる。岩根も会田と同様に、最初の行を連の最後に持って
くる手法をとっている。訳出しなかった単語がいくつかある一方で、「欣然と」といった原文
にはないニュアンスを加え、やや意訳に近い形となっている。ただ、おそらく “no llamado” の
訳であろう「招かれるとも…」の部分は否定の意味合いが欠落していて逆の意味になってはい
ないだろうか。何度か取りあげている2連めの “cortesía” は、「礼節」と訳しているが、次の行
で「物腰」と言い換え、前後の文脈のつながりをわかりやすくしている。

　さて、比較する訳のなかでもっとも意訳と言っても過言ではないのが荻内の訳だ。原文を率
直に訳すのではなく、多少意訳することで芝居のような文体で訳すことを目標としているた
め、詩の部分でもその特徴が表れている。

　邪険にされてもめげないよ、

　思わせ振りにも自惚れず、

　一途の恋はまっしぐら。

　天の下、はばむものはない。

　尽くして尽くして

　情に訴える、それが恋。

　望み無きにしもあらず、

　思いの届く時節（とき）が来る。（荻内、前篇上、p. 137）

　前半の連は順番を大胆に入れ替えている。はじめの2行 “Abalánzase al señuelo / Mi fe, que
nunca ha podido,” を後半の3、4行目にもってきて大まかに意味を伝え、逆に後半の行を前に
移動させてより直接的な表現でこの詩の伝えんとするところを表しているのだ。ここでは「一
途の恋」が “fe” の担う部分だと思われる。また後半の連はさらに強い独自性の訳を用いてい
て、先に紹介した訳とは大きく異なっている。ここでは “cortesía” は「情に訴える」の部分と
思われるので、「なさけ」と訳した牛島とおおよそ一致した解釈である。

　次に、英語からの重訳の作品を見ていきたい。まずは初の完訳である片上訳と、底本となっ
た Ormsby の訳だ。

Lures to faith are they, those glimpses,

    And to faith in thee I hold;

Kindness can not make it stronger,

    Coldness can not make it cold.

If it be that love is gentle,

    In thy gentleness I see

Something holding out assurance

    To the hope of winning thee. (Ormsby, p. 28)

そのちら〳〵と見えるのが、眞實を引くおとりでも、

私の眞實ァ變りやせぬ、

今さらの親切で、心が堅まる譯ぢやなし、

冷めたいからとて冷めもせぬ。

戀は優しいものならば

お前の優しさのその中に

お前をば、わが物にする望みへの

すがりどころがあらうもの。（片上、p. 73）

　Ormsby は "fe" を "faith" と訳しているが、片上はこの訳を「眞實」としており、「おもい」や「信念」といった主観的な単語を選んだ直訳の訳者たちとは異なっている。よってやや真意がとりづらいように見えるが、詩全体の意味を考えれば、「眞實」とはすなわちこの詩の主人公から思いを寄せる相手への「好意」を指すのだということは読み取れるであろう。一方で、１行目には原文にはない "glimpse" という表現が追加されていて、代わりに "Abalánzase" の部分が削られているといった工夫がみられる。また、Ormsby は "Mi fe, que nunca ha podido, / ni menguar por no llamado, / ni crecer por escogido." の部分をより直接的な表現に変えており、これにともなって片上も Ormsby 訳に忠実に訳している。また、Ormsby は文頭に "-ness" で終わる単語を揃えることで詩のリズム感も再現しているが、片上訳にはこの工夫は見られない。

　では最後に、森田訳とその底本になった Motteux 訳を比較する。

　So, though involved in doubts I lie,

　　　Hope sometimes glimmers through the gloom.

　　A flame so fierce, so bright, so pure,

　　　No scorn can quench, or art improve:

　　Thus like a martyr I endure;

　　For there's a heaven to crown my love. (Motteux, I, pp. 107–108)

　疑ひにかく包まれて、わしは暮してゐるけれど、

　希望は時々暗闇の中に微かに現れる、

　胸の焔はいや猛く、いや烈しくぞ燃え盛り。

　侮蔑なぞでは消さりやせぬ、技巧で鎮める餘地もない、

　たゞ殉教者の心にて、わしは怺へてゐるわいな、

　そりや此の戀を結ぶなる天道様への御奉公。（森田、pp. 97–98）

　Motteux 訳はかなり意訳をしている点が特徴的だ。永田も、森田訳から判断した Motteux 訳について、「モットーの英譯は、森田氏が完全重譯したとすると、かなり勝手に切りもりを施した自由な譯らしく、セルバンテスが八行に歌つた墓碑銘を十二行に伸ばして原詩にないことを添加したり、十四行のソネートを十六行にしたりしているが、…」[5]と評しているが、この詩の場面も例にもれず、原文のリズム、構成をすべて一旦解体し、その内容をくみとったうえでまったく新しく再構築している。本稿も不自然な引用に見えるが、そういった理由で、先述した作品とは違い該当箇所を厳格に指定するのが少々難しいためである。そして森田はそういった Motteux 訳をさらに自らの解釈で訳しているので、原文からは大きく離れた意訳となった。

　では内容を見ていこう。永田訳の「おとりにとびつく」、片上訳の「眞實を引くおとりでも」の部分を、森田は「疑ひにかく包まれて」と訳している。しかし、その直後の「希望は時々…」の行は、今回比較している連よりも前にある "Tal vez la esperanza muestra / La orilla de su vestido." の部分に戻って訳しているであろうと推察できる。また、Ormsby と同様に Motteux も "glimmer" という単語を挿入して「ちらちらと」「微かに」のニュアンスをつけ足している。「胸の焔はいや猛く、いや烈しくぞ燃え盛り」は完全にオリジナルである。強いて言えば、「胸の焔」がすなわち "fe" に当たる部分であろう。文章の区切りのいいところまで引用したが、最後の2連は該当箇所よりも後の部分の訳出であろうと思われる。つまり今回引きあいに出した後半の連はまったく削除されてしまっているのだ。Motteux および森田の訳では、おおまか

な趣旨は伝わるものの、原文の表現やリズムは残念ながら感じとることはできない。

おわりに

　ここまで物語に挿入された会話文、詩ともに複数の訳を比較してきたが、まず前提として完全な翻訳などはもちろん不可能である。どれだけ正確に訳しても、原文の持つ特色や詩のリズム感といった要素を違う言語で完璧に表現することなどできるはずもない。それをいかに非スペイン語話者にとってわかりやすく、しかも面白く伝えるかが訳者の腕の見せどころであろう。しかし、やはりスペイン語ではない言語を間に挟んでの重訳は、本来作者が伝えたかった意図からずれ、原文の妙を損なう可能性を高めるため、基本的には原文から直接訳すことが肝要であると思われる。同時に、その作品が書かれた背景、歴史、文化といった要素を知識として持っているかどうかも、翻訳の質に直接つながっている。この点においても、直訳のほうが望ましいだろう。ただし、直訳であればすべて良いというわけでもない。永田も次のような言葉を述べている。

　　　しかし、原作からの直接譯がいつでも重譯に優るのではない。直接譯であっても、原作に對する味讀力が足りなかったり、日本語による表現力が乏しかったりすれば、達者な翻譯家のよい重譯よりも、ずっとくだらないにきまっている。(「『ドン・キホーテ』の邦譯について」、p. 27)

　翻訳には必ず訳者の個性が現れる。原文をできうる限り忠実になぞった永田や牛島の訳もあれば、原文に大きく手を加えて独自の解釈で再構築した森田や荻内の訳もある。何を優先して何を捨てるのか、その取捨選択こそが訳の個性となる。当然どれが正解でどれが不正解ということでもなく、そういったバリエーションがあること自体が大切なのだ。たくさんの訳があることによって、読者も好みの『ドン・キホーテ』物語を選択できるというわけだ。最初の読書体験は読者の印象に大きく影響を与えるだけに、作品と出会うための間口はできるだけ広げておくべきである。そこから、今回の研究のようにさまざまな翻訳文を比較して味わうという楽しみかたもできるであろう。さらに言えば、『ドン・キホーテ』研究は日進月歩だ。岩根も前書きにて「常にその時代にあった新しい翻訳が世に出てしかるべきだし、またそうあらねばならない」[6]と述べているとおり、最新の研究に合わせて定期的にグレードアップされた翻訳の出版は日本におけるスペイン文学研究分野においても肝要なのではないだろうか。

　これからも、さまざまな「新しいドン・キホーテ」との出会いが楽しみである。

注

1 ）島村と片上の共訳というかたちで出版されているが、実際はほとんどの部分を片上が訳したので、以下この版を「片上訳」とする。
2 ）Ormsby, p. 19
3 ）『毎日新聞』2005年10月25日付、朝刊、p. 3。
4 ）岩根「『ドン・キホーテ』の背景とセルバンテス」、p. 21。
5 ）永田寛定著「『ドン・キホーテ』の邦譯について」『図書』(10)、岩波書店、1950年、p. 25。
6 ）岩根、前編「『ドン・キホーテ』の背景をめぐって」、p. 11。

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資料

Recollections of a Grunt in America's Draft Resistance Movement

(Part One: A criminal offense)

R. Jeffrey BLAIR

In the fall of 1969, I entered California Institute of Technology expecting to major in mathematics. It was a turbulent time. The War in Vietnam was raging on and soon spread to other parts of Indochina. What had once been the protests of a few individuals against Johnson's war had grown into a mass movement against Nixon's. My freshman year began with the *largest nationwide day of protest* to date—the Moratorium to End the War—and ended with the shootings at Kent State and Jackson State Universities. The deaths, the images of students running for cover, brought the war home to colleges from coast to coast. History was staring us in the face. We had to ask ourselves, in the words of Neil Young's song *Ohio*, "How can you run when you know?" By the end of 1970, my academic interests had gravitated to history. In the spring of 1971, I left school.

I took a leave-of-absence to get involved in the Draft Resistance Movement, but eventually returned to earn my undergraduate degree in history. My graduation thesis covered the American Civil Liberties Union's legal battles against the injustice of the internment of Japanese Americans during World War II. My keen interest in legal issues surfaced again in graduate school, where my scholarly paper (required for graduation) reviewed federal case law in the United States concerning choice of language. Both papers were subsequently published here at Aichi Gakuin University (Blair, 1999, 2000, 2001, and 2002).

This article and the one that will follow give a firsthand account of a single case coming out of the United States District Court of Hawaii: United States of America vs. Richard Jeffrey Blair. This legal battle spanned a year during which both the political situation in Washington and the military situation in Vietnam took U-turns. The stories intermingle.

June 1972, on a sunny afternoon in Honolulu, U.S. Marshals bring me into court for arraignment. Five days later, the Watergate burglars are arrested and arraigned in Washington, D.C. (Silbert and Causey, 1992, p. 65). Nixon easily defeats Senator George McGovern that November, but his presidency has started its long slide toward resignation.

Soon after Nixon begins his second term, Kissinger signs the Paris Peace Accords. By the beginning of April, the last American combat troops have been withdrawn from Vietnam. Before the month ends, the Watergate investigation expands to include a coverup in the White House (Silbert and Causey, 1992, p. 72), and I am tried and convicted for the destruction of my two draft cards.

Finally, at the end of June 1973, the President's authority to induct men into the Armed Forces expires. July 1st is the dawn of a new age. The draft has ended and will be on hold up to the present. The prosecution of Selective Service violators, however, continues. The next afternoon, I stand before Judge Martin Pence to be sentenced.

Fifty years have passed. The images of American combat troops crossing rice paddies and winding their way through dense jungle have become historical icons, so have the images of protesters setting fire to their draft cards. The final call-ups, in December 1972, were for men born before 1953. *All* the men who have lived under the threat of military conscription are now *over 70 years of age*. The window of opportunity to capture and preserve *firsthand accounts* of our stories of induction and resistance is closing.

Encyclopedia Britannica (Ray, 2023) states that 200,000 men were charged with "draft evasion" and 8,000 were convicted. This vague term is inaccurate, misleading, and demeaning. Most Selective Service violators were charged with *failure to report for* or *to submit to induction*. A few of us were charged with *mutilation*, *destruction*, or *non-possession* of our registration and/or classification certificates (commonly known as draft cards). Not one single person was ever charged with "evasion". While some violators evaded *arrest* by fleeing the country, many resisters were very accommodating in providing evidence of their violations—showing up to induction stations to refuse, turning their draft cards in to the government, submitting letters to draft boards of their intent to violate regulations, burning their cards in front of witnesses and cameras.

Not all ground troops in Vietnam, of course, were inductees. The short, two-year enlistment of draftees, however, meant that they were most suitable for positions that did not require extensive training. Foot soldier fit the bill. New recruits typically spent the better part of a year in training. That left a full year of service, just enough for a single tour of duty in Vietnam as a grunt (foot soldier).

My role in the Draft Resistance Movement was of the same duration, two years (July 1971 to July

1973). Then I returned to my academic life as a history student. During those two years of resistance, I was not a leader. I didn't organize a single demonstration or rally. I only gave two public speeches: one inside the office of my local draft board, when I set fire to my draft cards and one in federal court, when I was sentenced for their destruction. You could say that I was the grant in the war against military conscription.

In this paper I will be relying on my memory with the aid of newspaper articles (Honolulu Advertiser, Star Bulletin, and Another Voice) and unpublished legal documents (see Appendix). I hope my recollections will add a little bit to the historical record, suggest questions for further research, and point future generations of historians toward some primary sources. The complete transcripts for (a) the hearings of pre-trial motions and (b) the one-day trial are preserved in the Hawaiian and Pacific Collection of Hamilton Library on the Manoa Campus of the University of Hawaii. Interested researchers might also contact KGMB-TV, KITV, and other Honolulu TV stations about news reports, especially the 6pm news for November 2, 1971, which included film of the draft cards being burned.

My story is unusual for a resister, because I was raised in a military family. My grandfather George Blair enlisted to fight in the Spanish-American War (1898). He mustered out when that short war was over,

Camp Cresswell, Pa., July 28, 1917
Col. Robert M. Blair (age 9 months)
Col. George Blair (as a major)
Anna Love Blair, wife and mother
Maj. Russell Blair (age 11)

Coblenz[1], Dec. 14, 1918
Major George Blair
on horseback, in the center
crossing the Rhine into Germany
with the 3rd Army Advanced Guard

but re-enlisted later and made the Army his career. He accompanied General John J. Pershing on his 1916 expedition into Mexico to chase Pancho Villa. He fought in World War I (photos on previous page). He and my grandmother raised two boys—Uncle Russ and Dad (Robert M. Blair). Both were graduated from the United States Military Academy at West Point and followed in Grandpa's footsteps.

Uncle Russ graduated with the Class of 1928. His two boys—Cousin Russ and Cousin Bob (Robert H. Blair)—accompanied him on assignments that included Hawaii in the mid-1930s and Costa Rica during World War II. They both enlisted in the army soon after high school, entered West Point upon completion of their military service, but transferred to other universities before graduation. Cousin Bob took ROTC (Reserve Officer Training Corps) classes and continued his military career as an officer in the U.S. Army Special Forces, including at least four tours of duty in Vietnam.

Dad was appointed to the United States Military Academy, left, attended University of Pennsylvania and University of Hawaii, returned, and graduated with the Class of 1942. Six months after the Pearl Harbor attack, he and his classmates went straight to their regiments and off to war. More than half of them, including Dad went into the Army Air Corps. He remained in the States and helped train pilots. Soon after the war he was transferred to the Philippines, where he met and married Mom.

Rita Francis Connelly in Italy
with the Red Cross during WW II

My mother Rita F. Connelly had joined the Red Cross after America entered World War II. She served in Italy until the end of the war, then she was transferred to the Philippines. When Mom and Dad married on December 10, 1947, the war was over. Peace had come two years earlier, and the World War II draft (September 1940 to March 1947) had ended. It seemed like a good time to raise a family.

They returned to the States, to Fort Knox, Kentucky. Even before their first child was born, however,

a new draft was enacted. Robert M. Blair, Jr. was born four months later. The Selective Service Act of 1948 would be extended again and again for the next twenty-five years. My three brothers and I grew up at a time when our country was always gearing up for yet another war. The next war came just seven months after my brother Russ was born at Fort Meade, Maryland. The Korean War broke out on June 25, 1950.

Portrait of the Resister as a Young Man

I was born a year later. By this time Dad had been transferred to the American sector of West Germany, so I was born in Munich. Mom was hoping that I would be delivered on the 4th of July. I emerged a month prematurely, but managed to land on another holiday, Memorial Day 1951. Twenty days later the draft got a new name, the Universal Military Training and Service Act.

After Germany, Dad was assigned to the Pentagon (headquarters of the Department of Defense), so we moved to Arlington, Virginia. My younger brother Greg was born at Fort Belvoir, Virginia. Some of Dad's work was in collaboration with the F.B.I. He was rewarded with a letter of commendation from J. Edgar Hoover and an autographed copy of *The F.B.I. Story*. A television series with the same title became very popular. As a preteen I read the book from cover to cover and decided that that would be a nice job. I would someday replace Hoover.

Dad bought a small house in a nice neighborhood close to Oakridge Elementary School and Gunston Jr. High. I started first grade at Oakridge, but halfway through the year Dad was transferred to the Military Assistance Advisory Group (MAAG) in Taiwan (Republic of China). Eight injections and a long plane ride, with stops in Alaska and Japan, brought us to Tianmu, a suburb of Taipei, surrounded in those days by rice paddies.

It was January 1958 when we arrived. In late August, China decided to retake Taiwan, starting with the outer islands, near the east coast of the mainland. While my parents could hear the heavy shelling in the distance, my brothers and I were too busy playing kickball to notice. We remained blissfully ignorant of it and the nuclear crisis that ensued. We didn't watch Chinese TV. Instead, the whole community went to the movie theater every Friday night. The main feature was always preceded by a newsreel. That was my only source of information about events in America and around the world. Those newsreels didn't leave much of an impression on us kids.

In May of 1960 Dad was transferred to the 3rd Armored Cavalry Regiment (the Brave Rifles) at Fort Meade Maryland, where he took command of the First Squadron. He rode a tank at the head of his squadron down Pennsylvania Avenue for President Kennedy's Inaugural parade[2].

On Wednesday nights my two older brothers and I went to the indoor range on post for target practice with .22-caliber rifles. The program started kids in prone position, then they worked their way through sitting and kneeling positions to standing. I earned NRA (National Rifle Association) medals for prone and sitting positions: Pro-marksman, Marksman with a first-class bar, and Sharpshooter with three of the nine bars. At Christmas I asked Santa Claus for a .22-caliber rifle of my own and got it[3].

During the summer of 1962 we moved back into our house in Arlington. I finished elementary school, where I had begun, at Oakridge followed by three years at Gunston Junior High School. At home we did not watch the 6 o'clock news on TV, that time was reserved for family conversations around the dinner table. Although I was aware of the Cuban Missile Crisis, I didn't feel threatened by photos of launch pads in Cuba. There were two events that made much bigger impressions on me—the Kennedy assassination and The Beatles.

My last class of Friday, November 22, 1963 was math. It was cancelled, and the entire school sent home early. All four television stations carried nothing but news of the assassination, Oswald's arrest and murder (on camera), and then the funeral. Kennedy was buried at Arlington National Cemetery. The cemetery, much smaller and unfenced in those days, was next to the small Catholic church on Fort Myer's South Post that my brothers and I attended with Mom every Sunday. We often strolled through the cemetery after mass, both before and after Kennedy's internment. Grandpa (Colonel George Blair, 1879–1975), Uncle Russ (Major Russell Blair, 1906–1996), and their wives now lie in graves on a hill next to the Eternal Flame. Cousin Bob's (Major Robert H. Blair, 1935–2017) final resting place is also in the cemetery.

In February 1964 Beatlemania hit America—the music and the hairstyle. This was the beginning of the Counterculture and a huge generation gap. I had been playing trumpet since fourth grade. I added a few guitar chords to my musical repertoire and learned how to play "House of the Rising Sun". More than music, however, mathematics became my passion. For three years my teacher Mr. Buttermore fed me math books and let me study in the back of his classroom at my own pace. I went from algebra to calculus.

Current events and politics remained underneath my radar. The Vietnam War expanded after an imagined attack in the Gulf of Tonkin on August 4, 1964. I was oblivious to the moral issues raised by early anti-war protesters and civil rights activists and the images of their struggles. My civics teacher showed us televised images of Selma's "Bloody Sunday" that had occurred on March 7, 1965. He said, "This is what the Russian government tells their people America is like." I honestly thought it was *fake news* being used as communist propaganda. Nothing like that had ever happened in *my* America. In September 1965 Gunston Jr. High was integrated. It went very smoothly and suddenly from an all-white school to one-third

black.

Dissatisfied with his work at the Pentagon for the Defense Intelligence Agency, Dad volunteered for an overseas assignment. The family wasn't allowed to go to Korea with him, so for nine- or ten-months Mom was left in charge of a house, full of boys (ages 11, 14, 16, and 17). It was during this time that the Vietnam War suddenly came home to our family.

Cousin Bob, now a captain in U.S. Army Special Forces, was medevacked to the Philippines and then to Walter Reed Hospital. This happened on his third tour of duty in Vietnam. A bullet had grazed his skull, sending pieces of bone into his brain. On his previous tours as a "green beret"—celebrated in the mid-1960s in Barry Sadler's ballad—he had been involved in special cross-border operations and the training of Montagnard tribesmen. Robin Moore had tagged along with him, gathering material for stories that he put in his bestselling novel. Their close friendship, forged in combat, lasted decades.

A metal plate in my cousin's head and meds allowed him to lead a normal life, and even to return to Vietnam for yet another tour of duty. When he got out of the hospital he bought a new sports car, a white Corvette Sting Ray, and almost immediately got into a crash. The car was totaled, but he was unscathed. He had a scrapbook with small black and white snapshots of his life in Vietnam, including enemy casualties. War lost all its glory, when I saw dead soldiers with their intestines hanging from entry wounds. In one photo, I noticed a rotten log lying across a narrow jungle path. Upon closer inspection, I realized it was a human corpse.

When Dad finished his tour in Korea, the Army asked him where he would like to go next. His answer was Hawaii. He had attended the University of Hawaii in the 1930s, while Uncle Russ was stationed there. The small island of Oahu was and still is home to numerous military bases, not only Pearl Harbor, but also Hickam Air Force Base, Fort Shafter, Wheeler Air Force Base, Schofield Barracks, Kaneohe Marine Corps Air Station, Camp Smith, Barbers Point Naval Air Station, Bellows Air Force Station, and Fort DeRussy. Dad flew to Oahu in September 1966 and the family, without Brother Bob and me, joined him at Schofield Barracks in January.

Until January, my brothers Russ and Greg continued school in Arlington. Bob and I enrolled as cadets at Virginia Military Institute (VMI) and Culver Military Academy (CMA) respectively. General Spivey, the Superintendent of Culver, was a classmate of Uncle Russ' at West Point. When my uncle retired from the Army, he found a teaching position in Culver's foreign language department, where he taught both Spanish and Russian.

I had wanted to join Culver's famed Black Horse Troop, but scholarships for troopers were unavailable because of the extra costs involved. Mom signed me up for the Band, one of six companies

in the Infantry Battalion. The next three years of my life were regimented (Gignilliat, 1916) and busy—always in uniform, marching to meals, taking classes, working out with athletic teams, studying in the evenings, marching while playing trumpet in parades on the weekends. Afternoons and weekends were devoted to athletics. I earned two varsity letters for Canoeing and one junior varsity letter each for Cross Country (2 miles) and Wrestling. There was no time for TV. Our only entertainment was Saturday night movies at Eppley Auditorium which the entire corps of cadets attended.

By my senior year I had risen from plebe to cadet Sergeant and, temporarily, a platoon leader. Culver teaches leadership by putting cadets, specifically the senior class, in charge with minimal supervision from adults—the Commandant's Office, counselors, and barracks inspectors. A year earlier, Jay Miracle had asked me to room with him and Jeff Marxen. He became company commander, Marxen became First Sergeant. As a hall officer, I inspected rooms on a regular basis. I was tough. I wrote cadets up for any infractions I found and passed the reports on to Miracle. He was smart. He threw them in the trash. No demerits, no extra duty. Marxen and I were partners on the Canoe Team. In November Nixon was elected President, and Culver's Black Horse Troop again pranced down Pennsylvania Avenue in the Inaugural Parade, as they had for Eisenhower in 1957, Kennedy in 1961, and Johnson in 1965.

On Memorial Day the entire Corps of Cadets marched to the chapel, where we listened as the names of all the alumni who had died on the battlefields of two world wars, Korea, and Vietnam were read aloud. May 30, 1969 was my eighteenth birthday. Immediately after the service ended, I reported to the Commandant's Office and registered with the Selective Service. Ten days later I graduated.

Starting in 1967 I spent all my summers at home in Hawaii (See photos[4] on next page). We lived at Schofield Barracks in the middle of the pineapple fields. Wheeler Air Force Base was right across the road. Four minutes before reaching Pearl Harbor on December 7, 1941, Japanese planes had flown across central Oahu, destroying most of Wheeler's fighters before they got off the runway. Mom's sister Martha Toner and my 1-year-old cousin Susan were there with my uncle James "Buzz" Toner, Jr., a pilot in the Army Air Corps. After the attack, Aunt Marty and Susan were evacuated along with the other families by ship to San Francisco.

During that first summer we moved from Schofield to new quarters on Fort Ruger, a tiny post on the back of Diamond Head (now the campus of Kapiolani Community College). It was a short walk to the beaches of Waikiki. This would be my summer home during high school and my first year of college.

In the summer of 1969, my draft cards arrived in the mail. The Commandant's secretary had forwarded the paperwork to Local Board #53 in Plymouth, Indiana at the beginning of June, thus the official

registration date was June 2. Plymouth sent all the necessary paperwork to Local Board #2 in downtown Honolulu. They issued me a Registration Certificate and a Notice of Classification (see Appendix 1). I now had a Selective Service Number, 52-2-51-462. Fifty-two designated the State of Hawaii; 2 was the local board number; 51 the year of my birth. Four hundred and sixty-one men had registered before me, so apparently about 900 to 1,000 men registered each year with my local board. My Notice of Classification showed that I was a college student, II-S. It would be renewed each year as long as I made satisfactory progress in my studies.

The summer between high school and university was a quiet one. I didn't even notice the Woodstock Festival or the first Moon Landing. I was occupied with my first job and my first romance. I worked as a busboy and later as a dishwasher at Fort Ruger's Cannon Club. From the slopes of Diamond Head, it had a beautiful view of Waikiki, the sunset, and Honolulu City lights. My romantic interest that summer was Sherri, the 16-year-old daughter of one of Dad's West Point classmates General "Big Tom" Rienzi and his wife Clare. I was young and Island life was good.

Culver
cadet
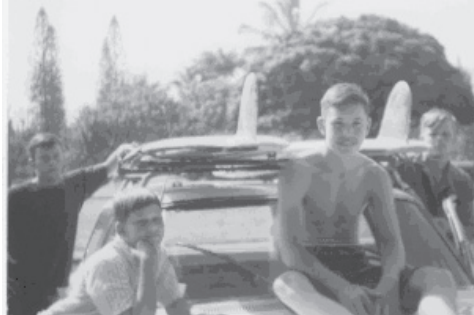
Summers in Hawaii
with my family

Caltech
student

College, Counterculture, and Protest

In September 1969 I traded in the cold winters on Culver's Lake Maxinkuckee for the mild climate of Pasadena. Life at Caltech was casual, free, and not yet coed. I maintained my Culver routine: breakfast, classes, lunch, more classes, sports, dinner, and evening studies. Since there was no canoe team, I joined the wrestling team.

The war came into sharp focus the next month. Protest was in the air. The Nixon administration had initiated a plan in April to "Vietnamize" the war with phased withdrawals of American troops. Troop levels started to come down from a peak of 543,400. Too little, too late. On October 15, anti-war forces

organized the *largest nationwide day of protest* to date: the Moratorium to End the War. Even student groups at an apolitical school like Caltech sponsored an on-campus rally. Professors led group discussions about the historical background and moral issues. A few student activists promoted the idea of draft resistance. The draft remained a major concern among young men. They were being drafted *oldest first* up to age 26 (or 35, if they had been deferred) whenever they were graduated, and their student deferments had expired.

Nixon countered with a speech appealing to "the great silent majority". The Selective Service System responded with a new system—a lottery that would reduce the period of maximum exposure to one year, the calendar year that a man turned 20 or lost his deferment. On January 1st of the next year, he would be placed in a newly created category (I-H) with a lower priority. With very little likelihood of being inducted, the pressure would be off. He could start to plan his future without governmental interference.

The First Draft Lottery took place on December 1st. Every registrant born before 1951 was assigned a number from 1 to 366 according to date of birth. Many college students, especially seniors, watched the spectacle on TV. My brother Russ was lucky. November 24 was inside the 230th blue capsule to be pulled out of the large cylindrical fishbowl. Brother Bob's number was even higher—264, but having gone through three years at VMI, he was legally required to serve in the Armed Forces after graduation.

When the year 1969 came to an end, 283,586 men had been inducted. Eleven thousand seven hundred and eighty U.S. troops had been killed in Vietnam.

1970: Call-ups by Lottery for Men Born before 1951

In May, the war suddenly escalated, as did student protests. U.S. troops invaded Cambodia. Ohio National Guardsmen invaded Kent State University and shot into a crowd of protesters, injuring a dozen students and killing four. Student (and faculty) rage spread across the country. Twenty-five hundred colleges, including Caltech, went on strike. A similar tragedy occurred at Jackson State University in Mississippi ten days later. My freshman year quickly came to an end.

Brother Bob was graduated from the University of Hawaii. He had transferred there after three years at VMI. Because of the transfer, he had not spent the previous summer in Basic Training. The Army neglected to send him this summer and approved his request to join their JAG (Judge Advocate General) program. They sent him to law school at the University of North Carolina at Chapel Hill.

I spent the summer thinking about draft resistance. Radical priest Daniel Berrigan embodied that spirit for four months—April 9 to August 11—as a fugitive, eluding arrest. The FBI is reputed to have put him on their List of 10 Most Wanted[5]. On January 25, Time Magazine put him and his brother Phillip on their cover.

The Second Draft Lottery, for men like me who were born in 1951, took place on July 1st. The number assigned to May 30 was 209. Would I be faced with induction? How high would *next* year's call-up go? How high would *this* year's call-up go? We would all just have to wait and see. In the meantime, I traveled around the country, a lot of it by thumb. First, I hitchhiked up to Travis Air Force Base for my annual flight home for military dependents, visiting friends at Stanford University and San Francisco's Presidio along the way. I spent half of my summer in Hawaii, then returned to Pasadena to act as an observer for the Clean Air Car Race[6]. I helped chauffer a committee car from Caltech to MIT, where the race was to begin, and the 50 cars entered in the competition were to be tested for emissions. The rally from Cambridge to Pasadena took seven days.

By this time, I was determined to completely disassociate myself from the Selective Service System. The first step toward Peace, it seemed to me, was to **stop** *forcing* people to go to war *against their will*. Sure, the Constitution grants the federal government the right to raise an army, just as plantation owners in the South had a right to raise cotton. Nobody, however, has the right to use slave labor, not in the cotton fields nor on the battlefield. Involuntary servitude was wrong *before* the Thirteenth Amendment was enacted, *not because* it was enacted. Military service is NOT *service* unless it is *voluntary*. Otherwise it is *servitude*.

While riding the subway the other day, I happened to see a button on a woman's purse. It said, "I'm already against the next war." Everyone should adopt this attitude. Not only must war be *justified* in the minds of Congress and of every soldier, but it should also be the option that causes the *least amount of harm* for whatever benefit it delivers. Theirs IS to reason why, before they start to kill and die. War should be the *last resort* of governments *and* individuals. Turning the other cheek IS an option. Such self-restraint needs to be considered. Japanese call it 我慢 (gaman).

Assuming that, as a resister, I would be sent to prison for two or three years, I decided to cross the country again and pay a visit to friends from Gunston and CMA. The opportunity came on Labor Day. Caltech wrestler Doug Wood had graduated and was driving to graduate school. I could help him drive to the University of Illinois and hitchhike to the East Coast from there. My college roommate, Joe Bajorek, wired $100 to me the next day when banks opened. I hung out with Doug for a couple of days, then set out on my own.

First stop, Culver Military Academy in Indiana, free room-and-board for alumni. The Class of 1971 was now in command—and the Commandant. In the dining hall I had a bit of a spat about the dress code for visiting alumni with Col. Estey—fictionalized and immortalized in Tin Soldiers (Leonard, 2006) as the Viper. I enjoyed catching up with the seniors at meals and after taps had sounded. Then it was time to continue my journey eastward to the coast. Met my Culver roommate and canoe partner Jeff Marxen in Van Wert, Ohio. Visited with Mr. Buttermore at Gunston and checked out my old neighborhood in Arlington.

Most of my friends were back in college and classes were starting. I thumbed around to their colleges: Culver roommate Jay Miracle and Brother Bob at UNC-Chapel Hill; Carl Hemenway at Yale; Freddy Lutz at Rhode Island School of Design; Steve Bachmann and Bill Daley[7] at Harvard; Lew Erwin at MIT; Rick Grossman, Terry March, and Wilda Anderson at Cornell. I sampled a class or two at each university. By the time I reached Ithaca, New York, I was a couple of weeks late for my own classes in Pasadena and tired of traveling. I thumbed to Chicago and flew student standby[8] as far as I could go, Las Vegas. I arrived with only a dollar and a quarter in my pocket. I lost the quarter in a slot machine at the airport and saved the dollar in case I got hungry. Long wait for a ride, but it was a good one, within walking distance of school and my off-campus apartment.

My Caltech friends were happy to see me in class. Administrators wondered why I hadn't called them. This was 1970. Information technology was still at a primitive stage of development. The grading system at Caltech, for example, had yet to be computerized. There was, of course, no Internet, and long-distance calls were prohibitively expensive.

Joe Bajorek and I occupied the front half of a small house, like the Pasadena residence in the movie Kill Bill. We were both biology majors. He was on the football team, and I, on the wrestling team. In my weight class was a student who had left school, completed his military service, and come back. Russ Crenshaw had been captain of the team during the 1965–66 season. He was an excellent wrestler with a strong upper body from his military training and from using crutches when he wasn't wearing his artificial leg. It had been amputated above the knee after the Battle of Hamburger Hill. He always beat me in the team wrestle-offs, bumping me from the 167-weight class up to 177. The next year he transferred to a university in Oregon. Sad to see him go. He was very popular and highly respected.

Wrestlers often work hard to cut weight, so they can wrestle in a lighter category. For a week or two we had a tall, skinny student come workout with us. His local draft board had ordered him to report for a physical exam. He wanted to make sure that he would be underweight, so he could keep his 4-F

classification (physically unfit for induction). He succeeded in *dodging* the draft. The whole classification system was geared to providing legal options to induction, thereby channeling young men into universities (II-S), grad school, and jobs of national importance. General Lewis B. Hershey, the Director from 1941–1970, had spelled it all out in a memorandum (Hasbrouck, 2022) back in July 1965.

On October 23rd, Hawaii State Senator Larry Kuriyama was gunned down in his driveway by an underworld hitman (Hawai'i State Senate, 2014). The assassination left an opening in the State Legislature that would be filled in a special election a year later. Brother Russ was graduated from the University of Hawaii in December with a BA in creative writing. This race would be his political debut.

When the year 1970 came to an end, men with **lottery numbers from 1 to 195** had been called up for induction and 162,746 had been inducted. Six thousand one hundred and seventy-three U.S. troops had been killed. Though American troops were being pulled out of Vietnam, the war had raged on and expanded into Cambodia. Campus protests exploded in the wake of the Kent State shootings. Doves[9] in the Senate had been unable to rein in the Nixon administration. The McGovern-Hatfield Amendment to set a deadline for an end to the war was defeated in September: Hawks 55-Doves 39. McGovern's brutally frank speech shocked the Senate, as intended.

1971: Call-ups by Lottery for Men Born in 1951

At the end of the first term[10] of my sophomore year, I switched my major from biology to history, but concentrated on my wrestling. When the season was over and second term had ended, I was ready to take a break from school and determined to sever all relations with the Selective Service System. My lottery number, 209, was higher than the highest number called up in 1970. I was unlikely to be called up for induction, but I did NOT want to be a part of Nixon's Silent Majority. I decided to return my draft cards and took a year's leave-of-absence (March 1971 to March 1972). I did NOT notify my local draft board that I was no longer a student. My failure to do so in writing within ten days was *my first violation* of the Military Selective Service Act, but it would not be my last. I kept my II-S classification, spent third term doing make-up work in an economics class, and followed the news.

The big news in May was the attempt of antiwar protesters to bring the federal government to a halt by blocking the bridges and roads that federal employees used to get to work. This was before Presidents and Congressmen routinely brought the government to a standstill during battles over the budget, and

it shocked the Nixon administration. D.C. police (5,100 officers) were backed up by 2,000 National Guardsmen, 4,000 paratroopers from the 82nd Airborne Division, and 4,000 other federal troops. They arrested anyone that looked like a protester, more than 7,000 on Monday, another two thousand were arrested the next day for sitting down in front of the Justice Department, and 1,200 on Wednesday at a rally on the steps of the Capitol. It was the biggest mass arrest in U.S. history—more than 12,000 arrests in three days. Brother Bob was arrested at the Justice Department sit-in. He quit law school and returned to Hawaii.

Aloha to the Selective Service

I flew back to Hawaii that same month. I had read *Goliath* (Harris, 1970), *The Resistance* (Ferber and Lynd, 1971), and *In the Service of Their Country: War Resisters in Prison* (Gaylin, 1970). I was psychologically prepared. Mom knew from my letters that I was planning to return my draft cards, and she was worried. She had Dad take me to see an attorney, but the young Asian graduate of Harvard Law School had no advice to give about a crime that had not yet taken place.

I looked for Hawaii Draft Resistance at the Church of the Crossroads but found they were no longer active. Dana Rae Park and Nick Reidy had finished serving their prison sentences. Gene Parker, John Witeck, Jan Haffner, Rodger Brooks, Jay Wallrabenstein, and Ashley Brown had been declared "delinquent" and moved to the head of the line for induction. When the Supreme Court (396 U. S. 295) ruled that the Selective Service was acting illegally, their cases were dismissed.

John Witeck had founded Youth Action. He and Gerry LaPage were working with G.I. resisters, men in the military who went Absent without Leave (AWOL). After a month had passed, they would take sanctuary at a church or even the local draft board office, surrounded by their supporters. Jim Albertini and Jim Douglass and their group called catholic Action also participated.

Elaine "Woodie" Schwartz had founded the Honolulu branch of American Friends Service Committee (AFSC) and had worked closely with Hawaii Draft Resistance. Now AFSC was offering draft counseling services from a small office in the back of a garage at the Friends' Meeting House, located at 2426 Oahu Avenue in Manoa Valley. The program was under the able direction of the Program Secretary David "Murph" Henkel. I joined Jean Howard, Mary Neilson, and the other counselors, mostly middle-aged women who wanted to help young men stay out of the war.

Henkel mentored me and, in cooperation with catholic Action and the People's Coalition for Peace and Justice, organized a small demonstration at the downtown office of the Local Boards #1, 2, 5, and 6 on

July 1st. Coleen McGrath (age 18) and a 17-year-old Kalani High School girl drew two hopscotch courts on the sidewalk in front of the building: (a) Liberation Hopscotch and (b) Selective Service Hopscotch. They were arrested for loitering, but soon returned to the demonstration (Borreca and Unknown, July 2, 1971). We delivered a birthday cake to celebrate the birth of freedom from the draft. The President's authority to induct men into the Armed Forces had lapsed for the first time in twenty-three years. It would take Congress three months to extend it.

The Island of Oahu, with all its military bases, had been the Pacific HQ for the Defense Department since 1947. In the summer of 1971, the anti-war movement in Hawaii was focusing on protesters within the Armed Forces. Albertini's "catholic Action" (with a small c) was conducting AWOL sanctuaries. I joined them.

On July 13th two AWOL sailors from the Coast Guard and their supporters took sanctuary inside Our Lady of Peace Cathedral in downtown Honolulu. George Lee and Vincent Williamson had enlisted in the Coast Guard to avoid the possibility of combat duty in Vietnam. They didn't realize that the Coast Guard was involved in the conflict and were shocked when they received orders to go there.

Plain clothes military police came downtown to patrol the perimeters of the church. They did not enter. Honolulu Police officers arrived in the evening. When it was time for the church to close, they asked the head priest if he would like them to arrest the protesters for trespassing. The priest consented. The two sailors and thirteen of their supporters—men and women—refused to leave until Honolulu Police made it clear that we were, in fact, under arrest (Borreca and Unknown, July 14, 1971). Then we all filed out of a side door into a waiting paddy wagon. Brother Bob was watching from the sidelines, looking after his younger brother. He let our parents know what had happened, so that they would not worry when I didn't come home at night. No handcuffs, just a short ride to the police station. Photos, fingerprints. The police took away our belts, gave us each a blanket, and put us into holding cells. The lights were on the whole night. Comfortable temperature, so I used my blanket as a pillow with one fold covering my eyes to block out the light. The next morning, we were taken to State District Court for arraignment.

We all plead "not guilty" to charges of criminal trespass—a misdemeanor[11]. We asked to be released on our own recognizance (without bail) and to have a lawyer from the Legal Aid Society of Hawaii appointed to our case. The trial date was set for November 3. We protesters were released and free to go, while the AWOL sailors were released into the custody of the military police. Brook Hart and his assistants at the Legal Aid Society were among the nation's best public defenders according to a magazine article published at that time. Jim Blanchfield was assigned to our case.

Mom was still worried about my desire to return my draft cards to my local board. She told me that

I had to make a choice between (a) draft counseling and (b) resistance, that I wouldn't be able to offer my draft counseling services from prison. She was also concerned that I would take this action alone, the government would lock me up, and no one except my family would care. It was a bleak picture that she painted, so I continued (a) counseling, (b) visiting the local board offices to look at the public information that they kept on registrants, (c) publishing Hawaii Draft News, and (d) checking the pending criminal docket in federal district court for information about draft cases.

Several local draft board offices, including mine, shared office space on the third floor of the Bethel-Pauahi Building. When I visited, I would go to the reception counter in Room 307 and ask the clerks for permission to inspect a large logbook in the adjoining room. It contained a list of registrants with some basic information about each. The clerks were always cheerful and friendly. We built a good relationship, without knowing each other's names. They did, however, learn to recognize my face, which later enabled them to identify me in a photo lineup. Destiny would lead me to burn and return my draft cards at the reception counter. Then seven months later, FBI agents would find and arrest me in the adjoining room.

I also paid routine visits to the Court Clerk's office in the Federal Courthouse. Docket sheets are available for public inspection. Like the draft board office, no names, cheerful friendly service. One of the law clerks was a young man, not too much older than I. After checking the docket sheets for any new selective service cases, I would report about them in Hawaii Draft News. Little did I know that *this* is where I would discover that I had been indicted by a grand jury and that a warrant had been issued for my arrest. The young clerk would be the one to read the jury's verdict at my trial.

I still hadn't figured out how to communicate my opposition to conscription and disassociate myself from the Selective Service System. I considered filing for conscientious objector status and started to write a statement detailing *my objections to the draft*. I was not really seeking the I-O status of a CO, of course, and assumed that it would be turned down. I never finished the statement.

As a counselor I read through the regulations of the Selective Service and happened upon one that might be interpreted to prohibit registration on holidays. In early September I wrote letters to the Hawaii State Headquarters of the Selective Service and to Culver Military Academy arguing that my registration on Memorial Day violated government regulations. I heard back from Hawaii (Sep. 30), the new CMA Commandant Captain Carl Steely (Oct. 12), and Verda Romig (Oct. 25). They all assured me that I was, indeed, legally registered.

One day my draft counseling took me to the State Headquarters, where I came face-to-face with the State Director, Col. Henry C. Oyasato. He immediately told me that he was busy, didn't have much time. Before I left, however, he put an empty piece of paper on the table and said that if I really wanted my

registration cancelled, I should put it in writing. Elated, I started to write out a request. About halfway down the page, I realized he had no authority to grant the request. "You can't do this, can you?" Suddenly his demeanor changed. He started reminiscing about the old days, like he was looking forward to retirement. I listened to his human side. Forty-five minutes later we parted.

Meanwhile all summer long, Brother Russ had been running in a field of about 12 candidates for the State Senate seat left vacant by Larry Kuriyama. The election was held on October 1st. The winner, Joe Kuroda, was impressed by his young rival and hired him as a legislative assistant. Thus began Russ' political career.

I still had my II-S student deferment (see Appendix 1). It was due to expire automatically on September 30, but did not. Selective Service Headquarters in Washington had suspended all processing for 30 days, after publishing new regulations in the Code of Federal Regulations. The announcement to resume operations came on November 2nd.

Oblivious to all the twists and turns of these legal technicalities, antiwar activists were planning another AWOL sanctuary at the draft board office for that very day, as part of an All-Souls' Day protest. Many of us from the Cathedral sanctuary decided to be arrested again. We would thereby be due in two courtrooms at the same time—one for arraignment and another for our trial. A young man named Melvin was going to burn his draft card. Knowing that I wanted to turn in my draft cards, one of the organizers suggested that I join him. Anxious to make my move and happy to support another resister, I immediately accepted the invitation.

All Souls' Day at the Local Board Office

On Tuesday afternoon November 2nd things went according to plan. Gerry LaPage had written a solemn service for the occasion. News reporters and a TV film crew were there to record the event, "but the words that explained the event [were] overlooked by the men and women with cameras, pencils, and microphones (Jones, 1971)." Reverend Larry Jones did convey those words to his readers in a special Sunday article for the Honolulu Advertiser. From the back wall on the other side of the counter, State Director Henry C. Oyasato and local board clerks looked on. As cameras clicked away and film rolled, Melvin Sanehira and I set fire to our draft cards, both our registration and classification cards. My flame petered out quickly, burning away the edges where I had signed my name, and not much more. We left the

charred paper on the office counter.

As closing time approached, protesters sat down around George Hall, an AWOL sailor from Pearl Harbor. Military police had arrived in plain clothes. The State Director suggested that they wait in another room just down the hall and have some coffee. Their attitude was too lackadaisical. We were being taken for granted. John Witeck announced a change of plan—a roving sanctuary. Everyone filed out of the third-floor office and down the emergency stairwell. The MPs heard the noise and ran in pursuit, but too late. Protesters dispersed into the downtown streets and pedestrian mall. George was whisked away, AWOL for another month. No arrests were made, and I returned home in time for dinner.

It was a hamburger dinner, on trays, sitting in a semi-circle around the television. Mom and I happened to be facing each other. Family conversation, 6 o'clock news in the background. Mom caught it out of the corner of her eye, two men burning draft cards. She was stunned. "Did I just see what I thought I saw?" We had a private talk. Somehow, she thought I had promised not to return my draft cards. Wishful thinking on her part, I had made no such promise.

The next morning a photo of our charred draft cards appeared on page 2 of the Honolulu Advertiser (see Appendix 1). My name was clearly visible—Richard Jeffrey Blair on the registration certificate and J. Blair on the Notice of Classification. Only a corner of Melvin's card remained. It was clearly a Notice of Classification (Form 110), but no identifying information had survived.

No time to relax, I was due in State District Court. The thirteen Cathedral defendants and our attorney James Blanchfield appeared at the appointed time. We were charged with a misdemeanor, so there was no jury. After about an hour of testimony, Blanchfield suggested that we could make more of an impact without him. As a lawyer, he would be restricted by his position as an officer of the court. We accepted his advice, fired him, and informed the judge that we would each be representing ourselves—thirteen amateur lawyers. Some more testimony, then the judge informed us that his brother was a priest at Our Lady of Peace Cathedral. Would we like him to remove himself from the case? At first, we said no. After a little more testimony we said yes. He did better than that. He noted that Honolulu Police had *initiated* the arrest. The priest did not ask them to remove the protesters until *they* had suggested it. The judge dismissed the charges. We were free to go.

Though I was off the hook legally, I lost my ride to work and then my job at Corbally's Cabinet Shop. Dad told Mom that I should leave the house, but Mom refused to kick me out. So, I continued to enjoy the comfort of a home and family. When Special Agents Malone and Bender paid a visit on November 17, I was out. Mom asked them to come back the next day, and they did.

I let them ask their questions: "Would you like to tell us why you burned your draft cards?" No comment. "Did you burn your draft cards?" Still no comment. Then they showed me the two cards in a plastic zip lock bag, each one black around one edge. When I refused to identify them, they left. I had confirmed that I was officially under investigation. Anything I said to the FBI could be used in court. If it came to trial, I wanted the witnesses to appear—to testify and undergo cross examination.

I continued to question the legality of my registration in a letter dated December 1st to the Headquarters of the Selective Service System in Washington. Two weeks later General Counsel Walter H. Morse replied "for the director". He said that Title 5 section 6103 of the United States Code of Federal Regulations (CFR), which I had cited, did not apply. My registration was legal.

About that same time, I received a letter from my local board. I assumed that it contained a new Notice of Classification certificate, that my II-S student deferment had been changed to I-A. That would make me "available" for induction, but very unlikely to be called up. I did NOT open the letter. I had just gotten rid of my draft cards. I did NOT want a new one. I would feel compelled to return it and, thus, commit yet another felony. I simply wrote "return to sender" on the envelop and stuck it in a mailbox. I never heard from my local board again.

When the year 1971 came to an end, men with **lottery numbers from 1 to 125** had been called up for induction and 94,092 had been inducted. Two thousand four hundred and fourteen U.S. troops had been killed. Congress had repealed the Gulf of Tonkin Resolution and put some limits on Nixon's war powers. In June the New York Times and Washington Post had managed to publish the Pentagon Papers, a classified study of the course of American involvement in Vietnam's civil war.

Melvin and I had made a very clear statement to the Selective Service System. Several criminal offenses had been committed in the process: mutilation, destruction, and non-possession. The FBI was gathering evidence. To prosecute OR not to prosecute, that was the question … that the Justice Department had to answer. The ball was in their court. The story could have ended right here. Melvin's did. Mine did not. Recollections of a Grunt in America's Draft Resistance Movement (Part Two: The legal defense) will cover 1972 to 1974—my indictment, arrest, trial, sentencing, and appeal.

Notes

1　Koblenz is spelled with a K in German.

2　His portrait has been preserved in the Inaugural Collection in the John F. Kennedy Presidential Library—Box 016.

3　Since I was only ten years old, it was registered in my father's name.

4　The photo on the left was probably taken by my classmate Robert Ireland. The photo on the right appeared in a publication of California Institute of Technology.

5　Daniel Berrigan's name does *not* appear on FBI's List of Ten Most Wanted fugitives posted on Wikipedia.

6　The Clean Air Car Race was more of a rally than a race.

7　Bill Daley and John Ingram were my roommates for part of my plebe year. Richard Hough and David O'Berry were my original roommates. I roomed with Jay Miracle and Jeff "Mox" Marxen for the two years after plebe year.

8　In those days students could fly stand-by for half fare.

9　Popular terms for pro-war and anti-war politicians were "hawks" and "doves".

10　Caltech had a trimester system: three terms—fall, winter, and spring.

11　Misdemeanors are crimes with a maximum sentence of one year or less, while felonies are those with a longer maximum sentence.

12　The photo of the burned cards at the bottom of this page was published in the Honolulu *Advertiser*, page 2 on November 3, 1972.

Acknowledgments

Points of Contact

Any comments on this article will be welcomed and should be mailed to the author at Aichi Gakuin University Junior College, 1-100 Kusumoto-cho, Chikusa-ku, Nagoya 464-8650 or e-mailed to him at pds.english (at) au.com. Some previous papers may be accessed at http://www3.agu.ac.jp/~vicks62/jeffreyb/research/index.html .

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Appendix

Burned cards and statement[12]   … Appendix 1
Four cards, one seems to have expired before being burned.

On Memorial Day 1969 we, the cadets of Culver Military
Academy, marched to the chapel to listen as the names of
all our alumni that had died on the battlefields of two world
wars, Korea, and Vietnam were read aloud. I couldn't help
but to feel a sense of uneasy community with the men whose
names I heard. This day was my eighteenth birthday. Shortly
after this chapel service I reported to the Commandant's
Office and submitted to registration with the Selective Service.

In the course of the next year, the impact of three
events changed my life and its commitments. The National
October Moratorium introduced to me the suffering and destruction
that has been taking place in Vietnam, the same suffering
that occurs in all wars. (Strange that my three years of
Jr. ROTC instruction had not touched upon this aspect of war.)
The following May brought with it the invasion of Cambodia
(and Kent & Jackson State Universities). I began to see
responsibility for the illegitimate destruction of human life
within the civilian government as well as the military.
In early June a magazine interview with Joan Baez opened up
my eyes to some non-violent alternatives to armed conflict.
Since then I have slowly developed a commitment to a life
of non-violence.

Today, on All Souls' Day, as we again pay tribute to the
memory of all of the dead, I make public my commitment to
life. No longer will I SUBMIT to Selective Service procedure.
I refuse to:1) keep SS informed of changes in my "status"
              2) retain possession of "draft" cards
              3) submit to SS physical examinations
              4) submit to induction
              5) destroy human life

Rather than serve America in body only, I shall serve
my country and all of mankind with BOTH my body and my
conscience.

執 筆 者 紹 介

鷲 嶽 正 道（本学教授…………… 英　　　語）
WASHITAKE Masamichi

Heather DOIRON（本学外国人教師…… 英　　　語）

早 川 真理子（本学非常勤講師…… 米 文 学）
HAYAKAWA Mariko

誉 田 百合絵（本学非常勤講師…… 西 文 学）
HONDA Yurie

R. Jeffrey BLAIR（本学非常勤講師…… 英　　　語）

編 集 後 記

　『教養部紀要』第71巻第 1・2 合併号が発行され、皆様にお届けすることができましたことを編集委員一同、大変嬉しく思っております。本号には、論文 5 編ならびに資料 1 編が掲載されました。研究成果をまとめてご投稿いただきました先生方、編集にあたられた委員の先生方、そして実務にお力添えいただいているご関係各署と業者の皆様に心より感謝申し上げます。

　教養部紀要で扱われる領域は広く、充分に研究内容を理解することはむずかしいかも知れませんが、それは同時にこの紀要が多彩な研究内容を保障する場であることを示してくれていると言えそうです。

　今後も本紀要を研究活動に関する情報共有の場として、また情報発信の場として益々充実したものにするため、どうぞご協力を賜りますように謹んでお願い申し上げます。（城記）

愛知学院大学教養教育研究会会則

第　1　条　本会は愛知学院大学教養教育研究会と称する。

第　2　条　本会の事務所は愛知学院大学教養部に置く。

第　3　条　本会は大学設立の趣旨に則り、人文科学・社会科学・自然科学・語学・健康総合科学等の、教養
　　　　　　教育に関する諸学の研究成果ならびに教育成果の発表を通じ、学問の水準を維持、向上せしめ教
　　　　　　育及び社会一般に寄与することを目的とする。

第　4　条　本会の会員は次の通りとする。

　　　　　　(1)　正　会　員　本大学の教養部専任教員とする。

　　　　　　(2)　準　会　員　本大学の在学生とする。

　　　　　　(3)　賛助会員　本大学の卒業生及び本会の趣旨に賛同し、会長の承認を得た者とする。

第　5　条　本会は第3条の目的を達成するために次の事業を行う。

　　　　　　(1)　機関誌「愛知学院大学論叢教養部紀要」の刊行

　　　　　　(2)　研究会、講演会、討論会等の開催

　　　　　　(3)　その他本会の目的を達成するために必要と認められる事業

第　6　条　「愛知学院大学論叢教養部紀要」は原則として毎年3回発行し、会員に配布する。

第　7　条　本会は教養教育研究会委員会を置き、委員は次の者で構成する。

　　　　　　(1)　会　　　長　　1名

　　　　　　(2)　副　会　長　　1名

　　　　　　(3)　委　　　員　12名

　　　　　　(4)　会　　　計　　1名

　　　　2　会長は学長これを委嘱する。

　　　　3　委員は正会員の互選により、人文科学・社会科学・自然科学・第1外国語・第2外国語および健
　　　　　　康総合科学の各系列より2名あて選出する。委員の任期は2年とする。ただし、再任を妨げな
　　　　　　い。

　　　　4　副会長及び会計は委員の互選により、会長がこれを委嘱する。

第　8　条　会長は本会を代表し、会務を統轄する。

　　　　2　副会長は会長を補佐し、会務を掌る。

　　　　3　委員は委員会を構成し、本会の企画運営にあたる。

第　9　条　会長は委員会を招集し、その議長となる。

第　10　条　会長は本会の会務執行のため、必要あるときは実行委員会を委嘱することがある。

第　11　条　会員は毎年度始めにおいて会費を納入する。

　　　　2　新入会員は入会金を納付するものとする。

第　12　条　本会の運営費は、会員の納付する会費、愛知学院大学からの補助金または有志からの寄付金およ
　　　　　　びその他の収入をもってこれにあてる。

第　13　条　本会の会計は4月に始まり、翌年3月に終る。

第　14　条　本会の会則の改正は正会員の3分の2以上の賛成をもって成立する。

付　　　則

　　本会則は、昭和32年4月1日に制定し、即日施行する。

　　本会則は、昭和53年2月6日に改正し、即日施行する。

　　本会則は、昭和57年3月24日に改正し、同年4月1日より施行する。

本会則は、昭和58年 6 月17日に改正し、即日施行する。

本会則は、昭和63年 4 月 1 日に改正し、即日施行する。

本会則は、平成 2 年 7 月 6 日に改正し、同年 4 月 1 日より施行する。

本会則は、平成 8 年 7 月19日に改正し、即日施行する。

本会則は、平成11年12月17日に改正し、翌年 4 月 1 日より施行する。

本会則は、平成20年12月12日に改正し、翌年 4 月 1 日より施行する。

本会則の施行により愛知学院大学一般教育研究会会則を廃止する。

本会則は、平成27年 4 月 1 日に改正し、即日施行する。

愛知学院大学論叢「教養部紀要」投稿規程

1988年 4 月 1 日成立・実施

〔投稿資格〕

第 一 条　この会誌に投稿する資格をもつ者は、原則として教養教育研究会正会員とする。

〔転載の禁止〕

第 二 条　他の雑誌に掲載された論文・資料・翻訳・書評などは、これを採用しない。

〔原稿の形式〕

第 三 条　投稿に際しては、次の要領に従って本文、図および表を作成する。

　　　　　⑴　原稿は、電子媒体による入稿とする。（プリントアウトを 1 部添付する）

　　　　　⑵　原稿の量はおおむね16,000字以内とする。

　　　　　⑶　本文の前に、別紙で、次の 3 項を次の順序で付する。

　　　　　（ｉ）和文の題目および執筆者名。

　　　　　（ⅱ）欧文の題目および執筆者名。

　　　　　（ⅲ）（イ）論文・資料・翻訳・書評などの区別

　　　　　　　　（ロ）その論文・資料・翻訳・書評などが属する専門領域名。

　　　　　　　　　　ただし、ここにいう専門領域は、人文・社会・自然・外国語・健康総合科学の 5 部門に

　　　　　　　　　　区別する。

　　　　　　　　（ハ）教授・准教授・講師・助教・外国人教師など別

　　　　　⑷　図・表・写真は、印刷するのに十分な画質のもの（原則としてモノクロ）を、本文の該当箇

　　　　　　　所に挿入する。

〔原稿の申込み〕

第 四 条　投稿希望者は、教養教育研究会委員会（以下、委員会と称す）の公示する期限までに、委員会の

　　　　　提示する申し込み用紙に氏名を記入する。

　　　　　ただし、申し込み者が所定の数に達しないか、またはそれを越える場合には、委員会がこれを調

　　　　　整する。

〔提出期限〕

第 五 条　投稿は委員会の定める提出期限までにこれを行う。締切り日以後に提出された原稿は掲載されな

　　　　　いことがある。

〔原稿組版の制限〕

第 六 条　図版・カラー写真などの掲載により一般の経費より多くかかる場合は、その必要性を各号の編集

責任者に申し出て委員会を開催して審議し、承認を得ることとする。なお、承認を得られず掲載を希望する場合、その費用を別途に個人負担とする。

〔原稿修正の制限〕

第　七　条　投稿後の原稿の修正は、原則としてこれを行わないものとする。やむをえない場合は初校において修正し、その範囲は最小限度にとどめる。大幅な修正の結果、印刷費が追加されるときは追加費用を個人負担とすることがある。

〔校　　　正〕

第　八　条　校正は原則として第3校までとし、本文については執筆者がこれに当たり、表紙・奥付その他については編集委員がこれに当たる。

〔抜き刷り〕

第　九　条　抜き刷りは、論文・資料・翻訳・書評など各1篇につき50部までを無料とする。これを越える分については実費を執筆者の負担とする。50部以上を要する場合には、執筆者はその必要全部数を原稿の表紙に朱記する。

〔掲載論文等の複製権・公衆送信権〕

第　十　条　この会誌に掲載された論文等の電子化および公開に関わる複製権および公衆送信権は、教養教育研究会に属するものとする。

　　　　　　ただし、掲載された論文などの執筆者が他の機関への転載もしくは複製権または公衆送信権の行使を申し出た場合は、正当な理由がない限り、教養教育研究会はこれを拒むことはできない。

付　　　則

　一、本規定の改正には、教養教育研究会正会員の3分の2以上の賛成を要する。

　二、本規定は、1988年4月1日に成立し、即日施行する。

　三、本規定は、1996年7月19日に改正し、即日施行する。

　四、本規定は、1999年12月17日に改正し、翌年4月1日より施行する。

　五、本規定は、2003年11月21日に改正し、即日施行する。

　六、本規定は、2005年4月22日に改正し、即日施行する。

　七、本規定は、2007年11月16日に改正し、即日施行する。

　八、本規程は、2018年9月21日に改正し、即日施行する。

申し合わせ（教養部会 2010.7.16)

　　●第一条の「投稿する資格を持つ者」には、以下の非正会員を含む。

　　　⑴　正会員との共同執筆による投稿

　　　⑵　正会員が推薦する本学教養部の非常勤講師で、本務校をもたない人の投稿

　　　⑶　元正会員で、本務校をもたない人の投稿

　　●上記⑴⑵⑶に該当する投稿希望者がある場合は、担当編集委員が投稿の可否を決定し、投稿希望者に通知する。担当編集委員で判断できない場合には、教養教育研究会委員会を開いて投稿の可否を決定する。

　　●投稿原稿の掲載に際しては、⑴の場合の原稿料は1篇分とし、⑵⑶の場合の原稿料は支払われない。また、⑴⑵⑶いずれの場合も抜き刷り50部までは無料とする。

　　●投稿者は、第三条の〔原稿の形式〕を厳守し、第四条の〔原稿の申し込み〕の時に委員会の提示する「投稿票」用紙に必要事項を記入のうえ添付して投稿する。

　　●投稿された原稿について担当編集委員から検討の申し出があった場合は教養教育研究会委員会を開き、委員会名において訂正を依頼したり投稿を断ることがある。

●第六条「図版・カラー写真の掲載」については、紀要作成予算の範囲内と見なされる場合、その採否は
　紀要編集委員の決議にゆだねるものとする。ただし、予算の範囲を逸脱する、あるいは採否の決議が困
　難の場合は教養教育研究会委員会を開催して、決定することとする。
（注）教養教育研究会が本会正会員の著書・論文等について書評を依頼する場合は、原稿料を支払うこと
　　　とする。

THE JOURNAL OF AICHI GAKUIN UNIVERSITY

Humanities & Sciences

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