

多模态 叙事语篇研究

THE STUDY ON THE MULTIMODAL

刘晓琳·著

NARRATIVE DISCOURSE ANALYSIS

 哈尔滨工程大学出版社

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内容简介

本书主要以 Kress Gunther 和 Theo Van Leeuwen 社会符号学框架下的视觉语法和韩礼德的功能语法为理论基础,论述了各个模态资源之间的关系。全书共分为三个部分,七个章节。第一章是文献综述和介绍本书研究的范围和方法;第二章是从功能语言学的三大功能角度研究多模态叙事语篇;第三章主要分析多模态叙事语篇中的文字与图像之间的关系;第四章主要介绍多模态叙事语篇中文字符号如何协同其他符号共同传递语篇意义;第五章到第七章主要是结合具体的语篇进行实例研究。

本书可供英语专业研究生使用,也可供功能语言学多模态叙事研究的相关人员参考。

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自序

2013年9月我受到国家留学基金委的资助赴英国卡迪夫大学访学一年,完成自己的中央高校基本业务科研项目“多模态视角下的叙事语篇研究”(项目编号HEUCF141205)、“逻辑语义视角下多模态语篇中的人际意义研究”(项目编号HEUCF151211)和黑龙江省哲学社科学研究规划项目“语篇中的转喻研究”(项目编号13D016)。在访学期间我得到我的导师,著名的语言学家 Tess Fitzpatrick 的悉心照顾和帮助,Tess 教授在本书的选题和材料的收集上给我提供了很多宝贵的建议,同时她还帮我联系语言与文化研究中心的功能语言学方面的专家学者,推荐我听他们开设的相关课程,与他们交流自己的想法。在此期间,我选修了我的导师 Tess Fitzpatrick 开设的语言研究方法的课程,为我在实际研究中奠定了科学的研究方法;同时我还选修了功能语言学家 Lise Fontaine 的功能语言学课程, Tom Bartlett 的社会与话语分析, Lisa El Refaie 的多模态课程,这些课程给我的学术研究提供了大量丰富的资料,帮我改进了研究的方法和模式。在出国之前,笔者已经在专业期刊上发表了关于多模态语篇分析的文章多篇,申请了四项校级和省级关于多模态的项目,并顺利结题。本书《多模态叙事语篇研究》就是笔者对多模态话语研究的阶段性总结和汇报。

本书主要以 Kress Gunther 和 Theo Van Leeuwen 社会符号学框架下的视觉语法和韩礼德的功能语法为理论基础,论述了各个模态资源之间的关系。这些不同的模态各自都是一个符号系统,在合适的语境中表达意义,实现交际目的。但它们在绝大多数情况下都不是单独实现交际目的的,即使是语言也是如此,而是和其他模态来共同配合完成交际任务的。这些模态都对语篇的意义构建做出贡献,而不仅仅是通过语言。正如 Norris 所说,“所有的交际都是多模态的,并且多模态‘已渐渐远离了在交际中总是语言起中心作用的概念’,虽然不可否认,通常是这样的(Norris, 2004)。”因此,在叙事语篇的研究中引入多模态话语分析就成为一种必然。本书通过探讨不同模态的突出特征,模态之间的连接和协同的关系等多个层面探讨多模态叙事语篇的特征。

全书共分为三个部分,七个章节。第一章是文献综述和介绍本书研究的范围和方法。第二章至第四章主要是理论研究,从语言学不同的理论来研究多模态叙事语篇。第二章是从功能语言学的三大功能角度研究多模态叙事语篇;第三章



主要分析多模态叙事语篇中的文字与图像之间的关系;第四章主要介绍多模态叙事语篇中文字符号如何协同其他符号共同传递语篇意义。第五章至第七章主要是结合具体的语篇进行实例研究。第五章主要探讨语篇叙述者如何利用各种符号资源来传递意义,达到目的。第六章和第七章主要是结合具体的语篇进行实例研究。第六章是电影中的多模态叙事语篇;第七章是广告中的多模态叙事语篇研究。本书所涉及的静态图片和动态图片分析结果是利用卡迪夫大学多模态研究实验室中的相关软件完成的,该软件技术代表了目前多模态研究的最新进展和先进水准。在此对实验室提供无偿软件服务和帮助的老师们的老师们表示感谢。

本书除了以视觉语法和功能语言学为理论基础,还借鉴了语用学等其他语言学理论,使多模态叙事语篇的研究更加细致,尽可能全面地从不同角度描述多模态叙事语篇,本书的每一个章节都是“理论+实践”的框架模式,将理论与实践结合起来,使论证更充分,结论更有说服力。

本书得以完成和出版,与笔者的老师、学院领导、哈尔滨工程大学出版社的支持和帮助是分不开的。首先谢谢我的导师哈尔滨工程大学的梁再明教授,是他把我领进了功能语言学的研究领域,指导我阅读了大量的关于功能语言学的图书,带我参加功能语言学的学术会议,使我能够获取最新的相关信息;其次是要感谢我在卡迪夫大学访学期间对我提供无私援助的语言与交流学院的各位老师,他们对我在学术上遇到的问题总是悉心指导,有求必应,他们在学术上的执着和认真是我永远的学习榜样;此外还要感谢哈尔滨工程大学外语系的领导和我可爱的同事们,谢谢你们对我一如既往的支持和帮助;同时我还要特别感谢在我访学期间的三个同事,兰州理工大学的柏桦教授,谢谢你对我的宽容与信任,总是在我最困难的时候选择无条件地支持我,鼓励我,如果没有遇到你,也许我就会放弃自己的理想;武汉工程大学的陈明芳教授,谢谢你总是为我提供功能语言学最前沿的资料和信息,鼓励我认真做好学问,你在学术上的认真与执着,你对生活的积极态度,给了我正能量,以后无论是在工作还是在生活中我都会永远以你为榜样,在任何时候都会选择积极地面对一切;还有广州外语外贸大学的李茜博士,你每天在图书馆伏案工作的身影就像一盏照明灯,照着我向自己的方向前行。最后感谢我的父母和爱人,谢谢你们对我的包容,对我默默的付出和一如既往的支持。仅以此书献给帮助过我的所有人,传递我对你们的祝福和感激。

由于本人水平有限,难免有不当和疏漏之处,恳请各位专家和同行提出宝贵意见。

著者

2014年7月

Preface

In September 2013, I was sponsored by the China Scholarship Council to be an academic scholar in Cardiff University for a year. During the research and study in the Cardiff University, I finished my project of *Multimodal Narrative Discourse Analysis* (Grant No. HEUCF141205) and *The Study of Metonymy in the Discourse Analysis* (Grant No. 13D016). When in Cardiff University, I got a lot of care and help from my supervisor Tess Fitzpatrick, who is a very well-known linguist in formulaic linguistics. Professor Tess provides me with many valuable suggestions on the choice of topic and collection of materials in this book. Meanwhile, she helps me to get in touch with other functional linguists in the center of the communication and language so that I could audit their lessons and exchange my ideas about the multimodality with them. So I have audited the lesson about the Language Foundation by Professor Tess, which provided more scientific methods in my practical studies; at the same time, I have audited the lessons of Functional Grammar by Lise Fontaine, Society and Discourse Analysis by Tom Bartlett and Multimodality by Lisa El Refaie. These lessons have expanded my views and helped me to improve my methods and the modes of my research. Before going to UK, I have published about 8 papers related to multimodality and finished four projects about multimodality. This book is a summary about the stage study on multimodal discourse analysis.

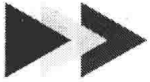
As the science and technology advance quickly and the internet and multimedia are extensively in use, multimodality has become an integrate part of everyday life in the world dominated by visual culture. Based mainly on Kress and van Leeuwen's social semiotic analysis and Hallidayan linguistics, this contribution attempts to employ a multimodal analysis of narrative in order to ascertain the extent to which visual and verbal components create meaning. There are many other modes of meaning, in any culture, which are outside the realm of language (Halliday, 1978:4). This recognition implies that the understanding of meaning not only requires the analysis of language in text, but also the study of other semiotic resources (images, gestures, sounds, ...) operating independently and also interdependently on different levels in a multimodal text (Lim Fei, 2007:195). Matthiessen (2007:2) considers that there are different diversified



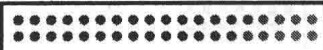
and expressive modalities and all of them are complementary and integrated contributions to the creation of meaning. In fact, as Kaindl (2004:176) also states, “non-verbal elements in multimodal texts not only perform the function of illustrating the linguistic part of the text, but also play an integral role in the constitution of meaning, whether through interaction with the linguistic elements or as an independent semiotic system.” Although it is now widely recognized that both linguistic and non-verbal modalities are bearers of meaning in a particular culture (Kress and van Leeuwen, 2001, 2006; Baldry, 2000; Baldry and Thibault, 2006; Hagan, 2007; Matthiessen, 2007), it is far from clear how the visual can add to the verbal or how they are coordinated in the process of creating meaning in context.

The systemic functional (SF) approach to multimodal discourse analysis (MDA) involves developing theoretical and practical approaches for analyzing written, printed and electronic texts, three-dimensional sites and other realms of activity where semiotic resources (e. g. spoken and written language, visual imagery, mathematical symbolism, sculpture, architecture, gesture and other physiological modes) combine to make meaning. The SF-MDA approach is concerned with the meaning potential of semiotic resources distributed across strata (i. e. context, discourse semantics, lexicogrammar and phonology, and typography/graphology) and the theory/analysis of the integrative meaning of semiotic choices in multimodal discourse. The SF-MDA approach has, for example, led to the study of the functionality of language, visual images and mathematical symbolism in mathematical discourse, and theorization of how linguistic, visual and mathematical symbolic choices combine to construct reality in ways which extend beyond what is possible using linguistic resources alone (O’Halloran, 2005, 2007a, 2007b). In addition, SF-MDA provides a transdisciplinary bridge.

Multimodality provides resources to support a complex fine grained analysis of artefacts and interactions in which meaning is understood as being realized in the iterative connection between the meaning potential of a material semiotic artefact, the meaning potential of the social and cultural environment it is encountered in, and the resources, intentions, and knowledge that people bring to that encounter. That is, it strives to connect the material semiotic resources available to people with what they mean to signify in social contexts. Changes to these resources and how they are configured are therefore understood as significant for communication. Digital technologies are of



Preface



particular interest to multimodality because they make a wide range of modes available, often in new inter-semiotic relationships with one another, and unsettle and re-make genres, in ways that reshape practices and interaction. Digital technologies are thus a key site for multimodal investigation.

Mature systems have been around for a very long time and have had enough time to evolve as well-structured and optimally functioning systems. One of their most important characteristics is a natural, or motivated, relationship between meanings and their realizations (see e. g. Halliday, 1994: XVIII, on language). Natural languages, gestures that co-occur with speech and facial expressions of emotions are good examples of mature systems. Nascent systems, generally not as old, have not had enough time and opportunity to evolve to a great extent and are still in the process of becoming. This is reflected in the relationships between their meanings and realizations sometimes being arbitrary as opposed to natural from the perspective of the internal logic of the system. A good example of a nascent system is the system of new media design presented in Martinec and Van Leeuwen (2008), further developed in Martinec (2010).

This book has three parts including seven chapters. Chapter one is the first part, which introduces the cultural and theoretical background of the research and briefly touches upon the methodology and what to do in the research in order to provide an overview of the whole book. The second part is theoretical research, which includes chapter two, three, and four. Chapter two presents the analysis of multimodal narration from the perspective the functional grammar by Halliday. Chapter three analyzes the relationship between words and images. Words and images contribute differently to the overall organization of the narration, since they give complementary and, in turn, essential information to the understanding of the narrative plot. Chapter four mainly discusses how verbal and visual modes complement one another in the multimodal narrative. The last part is from chapter five to chapter seven, which is the practical study of the specific types of the multimodal narrative. Chapter five is studied from the angle of the multimodal narrators. Artists and writers must become aware of the potential of combining verbal and visual modes in picture books, so that they offer complementary meanings, without pushing the limits drawn by the cognitive and literary abilities of their



readers. Chapter six is the multimodal analysis of film and chapter seven is the multimodal analysis of advertisement. The analysis of the static images and dynamic images in the book is finished through the related software at the multimodal research laboratory of Cardiff University, and the technology represents the latest progress and advanced level in the study of multimodality. Great thanks go to the teachers who provide free software for laboratory services and help.

Besides the theories of visual grammar and functional grammar, I also adopt pragmatics and other linguistic theories in order to make the research of multimodal narrative discourse more meticulous from different angles to describe the multimodal narrative discourse. Every chapter of this book is the framework of “theory + practice”, combining the theory and practice, making the argument more fully and the conclusion more persuasive.

For the successful publication of this book, my special appreciation goes to my teachers, school leaders and colleagues of foreign languages of Harbin Engineering University and Harbin Engineering University Press. My first gratitude goes to my supervisor Professor Liang Zaiming, who brings me into the study field of functional linguistics, guides me to read a lot of books on functional linguistics and bring me the functional linguistics academic conference so that I can get the latest information. My second gratitude goes to the teachers of the center of communication and language in Cardiff University, who provided selfless helps and guidance in my research. Their persistence and serious attitude in academy has set a good example for me. Then I must thank the leaders and colleagues in Foreign Languages Department for their support and help. Last, my greatest thanks go to my parents and husband, who always tolerate and support me. This book is dedicated to all the people helping me.

There may be some mistakes and careless omissions in my book due to the data and philatelic knowledge I acquired and my capability of compiling. I would be very grateful if you point out and correct my possible mistakes and add more information to make it improved and more detailed.

Liu Xiaolin
July 15, 2014

Contents

Chapter One Introduction of Multimodal Narratives	1
1.1 Narrative	1
1.2 Semiotics and Narrative	3
1.3 On Modes and Media	4
1.4 Method for Analyzing Multimodal Narrative	6
Chapter Two Compositional, Interpersonal and Representational Meanings in the Multimodal Discourse Analysis	7
2.1 Introduction	7
2.2 Systemic Functional Grammar and Multimodality	8
2.3 Relevant the Orgies of Text and Images and of Their Relations; Barthes and Halliday	12
2.4 Sample Analysis	16
2.5 Summary	29
Chapter Three A System for Image-Text Relations	32
3.1 A System for Image-Text Relations	32
3.2 Units and Realizations of Status Relations	34
3.3 Logico-Semantic Relations	36
3.4 Units and Realizations of Logico-Semantic Relations	38
3.5 Equal-Status and Logico-Semantics Combined	39
3.6 Summary	41
Chapter Four Multimodal Digital Semiotics and Software	43
4.1 Introduction	43
4.2 The Fox News Video	45
4.3 Multimodal Analysis Software	46
4.4 Modeling the Multimodal Semantic Data Using Allen's Temporal Logic	50
4.5 Discussion	60
4.6 Summary	61



Chapter Five Multimodal Storytellers: How to Use Multimodal Semiotics to Narrate	63
5.1 Artefactual Literacies and Multimodality in Narrative Texts	63
5.2 Narrative Theory and Magical Realism	64
5.3 The Simultaneity of Experience Represented in Converging Time and Space ...	71
5.4 Implications for Narrative in the Classroom	75
Chapter Six Case Study One: Multimodal Analysis of Film	77
6.1 Implicature in Film Communication	80
6.2 Data Set and Methodology	86
6.3 The Process of Analysis	87
6.4 Analysis and Discussion: Implicature at the Service of Comedy and Romance in Bridget Jones Films	95
6.5 Summary	110
Chapter Seven Case Study Two: Multimodal Analysis in Advertising Narrative	113
7.1 Advertising Research in Medias	117
7.2 Multimodal Analysis in Advertising Communication	120
7.3 Exploring Multimodal Narrative in Advertising	121
7.4 Analytical Framework	128
7.5 Summary	131
References	134

Chapter One

Introduction of Multimodal Narratives

The term multimodality refers to the various semiotic resources the author (or teller) chooses in order to create their stories. The use of multiple semiotic codes in telling stories involves trans-semiotic relations between words, pictures and sound which may enrich the productive and perceptive opportunities for storytelling. The combination of languages and media in interactive environments challenges traditional semiotic and narratologic research. First, research on multimodality focused on the verbal/non-verbal combination during communication processes or on the text/image relationship, for example, the contribution of typography or layout to newspaper sense construction. So, in this situation, multimodal narrative is surely interrelated to the extent that new media have been said to encourage authors and users to co-deploy a complex web of semiotic modes in their online stories. For linguists, this “invitation to multimodal discourse” creates a growing urge to modify narrative concepts formerly used to look at monomodal text patterns. For narrative scholars, in particular, the multimodal extension of texts makes necessary the re-modelling of existing methods of analysis, and most contributions of this reader are actually presenting different ways to achieve the aim. In this book, narratives will be examined generically in the multimodality from the perspective of formal, functional, social and medial dimension from the websites, storybooks to film.

1.1 Narrative

The origins of the attempt to define the essence of narrative is probably Aristotle's *Poetics*. Here a narrative is a recounting of a whole, which has a beginning, a middle part and an ending. The plot is the essence in any narrative and comprises events that are ordered on a consequential basis. However, this definition of narrative has been problematized and today narrative is not only thought of as an object with a certain internal structure but as an activity. Ochs & Capps (2001), for example, conceive of narrative as a host genre that can encompass a huge variety of specific



appearances. In their view, the narrative can be understood in terms of a set of dimensions (tellership, tellability, embeddedness, linearity, moral stance) that it displays to different degrees. They write, “Each narrative dimension establishes a range of possibilities, which are realized in particular narrative performances.” (Ochs & Capps, 2001, 19).

Engel argues (1995) that narratives of children are primarily constructed to satisfy the child’s need to be understood. In their narratives children solve cognitive puzzles in their world and make emotional sense of themselves and the people around them. According to Hakkarainen, “Narratives describe and organize the world in which the child lives and acts” (Hakkarainen, 2006, p. 194).

Narrative (written or spoken) or visual presentations are different ways to represent something in the world and they also offer different ways of making meaning (Kress, 2003). Thus as Kress asserts, “The world told is different from the ‘world shown’” (2003, 1). Kress further asserts that the combination of these modalities (language and image) requires more than interpretation of text and image separately. According to Kress (2003), in multimodal texts, fantasy (imagination) is about filling words with meaning and creating order in the placements of the elements in the image. In digital storytelling the modes of language and image are combined which makes it particularly interesting to study as a semiotic means in the context of creative literacy and literary activities.

Putting Vygotsky’s ideas about development of written language and leading creative forms in communication with the theory of multimodality has several implications. First, it becomes clear that the diverse modes are not only preparations for the written sign system but feature particular affordances in their own right. Second, the theory of multimodality presented by Kress offers opportunities to refine and develop our understanding of sign mediation, a concept first introduced by Vygotsky. By taking into consideration the different ways that the diverse modes offer meaning and means for learning and communication, separately and in combination, we might better understand their role in mediated activities. Third, the opportunities that digital technology offers tend to blur and transcend the boundaries between the leading creative forms that Vygotsky discussed. The possibility of mixing, for example, sound, script and image enable people to express complex thoughts and emotions, as we will see in the next section. Another example would be the possibility of making images which information technology facilitates, for example, drawing (Klerfeldt, 2002) and photography. Finally, putting Vygotsky’s thoughts about development of writing and creativity in dialogue with the theory of multimodality hopefully will furnish pedagogues in their task to facilitate children’s learning and development, particularly creative activities as ways of communicating and expressing themselves. Studying digital storytelling is one





way to start to investigate these questions.

1.2 Semiotics and Narrative

Many researchers who were educated in the late 1980s or 1990s consider semiotics to be an outdated or old discipline that only considers texts and has nothing to say about real subjects or processes. However, semioticians' huge output in the last 30 years concerning television, advertising, cinema, political discourse, and new media contradicts this superficial vision. Semiotics has a lot to say about media languages and, especially, about TS. If the researcher needs a unifying conceptual framework for analyzing the convergence of different media and languages in a multimodal narrative world, semiotics can be a very useful tool. TS integrates different applied semiotics (Eco, 1975), like those of television, cinema, theater, comics, etc.

In sociocultural theory, the basis for my reasoning in this book language—spoken and written—mediates development of the human mind and consciousness which Vygotsky (1978) calls higher order functioning. However, there is no evidence that literacy, in and of itself, leads to the cognitive functioning of, for example, logical, analytical, and critical thinking that the 'literacy myth' (Gee, 2008) prescribes (Cole, 1996). Rather, it is the social practices in which reading and writing take place that make a difference (Gee, 2008). Thus, in order for the child to be a significant participant in communities such as school, peer groups and society as a whole, literacy is essential for a child to develop.

Vygotsky discusses appropriation of written language as a stepwise utilization of signs. He asserts that the mastery of the complex sign system of written language is "the culmination of a long process of complex behavioral functions in the child" (1978, 106). He describes how this trajectory starts with the use of gestures and continues with the use of drawing and play and is eventually completed with the written word.

Vygotsky asserts, "only by understanding the entire history of sign development in the child and the place of writing in it can we approach a correct solution of the psychology of writing" (106).

His discussion about appropriation of written language should be connected to his thought about creativity. In his essay *Imagination and Creativity in Childhood* (Vygotsky, 2004) Vygotsky argues that each stage of childhood has its own characteristic form of creativity. Literary and verbal creativity is characteristic of school-aged children following stages where play and drawing dominate as a creative form. For Vygotsky, play is imagination and creativity embodied. He states



that play is “imagination in action” (Vygotsky, 2004). On the other hand, literary forms enable the youth to express more complex relationships, especially inner relationships, than does drawing.

In the kind of digital storytelling that I discuss in this paper, these diverse forms of expression are present. They are also merged and intertwined. Digital storytelling is made possible by digital technology (Lambert, 2002; Nilsson, 2008) combining different kinds of sign systems such as gesture, speech, images (still and moving), writing, music and sound. Hull & Nelson (2005) describes a digital story as a digital multimodal text. Multimodality emphasizes the variety and combination of multiple sign systems or modes (Kress, 2003). Kress argues that different modes have different affordances. For example, he argues that language (written and spoken) is regulated by linearity and time; the internal order of the parts offers meaning. In addition, they argue that words are relatively empty of meaning; we have to fill them with our own images.

Bruner (1986) makes a distinction between two language-based modes of thought or knowledge: the narrative and logical-mathematical. In the latter we ask what something is and in this form of knowledge we mean exactly what we say. The scientific discourse is implied. In the narrative we ask what something means and we mean more than we say; otherwise the story becomes flat. This mode values interpretation rather than scientific, unambiguous and logical thinking. Thus, there are different ways to employ language in the knowledge domain with different outcomes. In this paper I am interested in the narrative form. I will therefore discuss narrative in a little more detail but before doing so I will say something about the particular affordances that Kress (2003) ascribes to images.

Kress (Ibid) argues that in comparison to language the logic of the image is regulated by space and simultaneity. In addition, the image is filled with meaning but we do not have to read it in a given order. The positions of things located in the image offer meaning. If I write, “I, Monica, live in Stockholm” it offers meaning based on how the words are related in sequence. For those who know me and know Stockholm the sentence tells as much as a photo could. But for those who do not know Stockholm or me, a photo could have provided more information than this short meaning, for example, whether I am long or short, blond or dark, that Stockholm is on the water, etc.

1.3 On Modes and Media

In many respects, Internet change reflects the change narratives have undergone both in form and function. However, before we do so, some important terminological remarks are necessary.





These concern the often cited but notoriously ambivalent concepts of medium, mode and form of communication. Over the last decades, different writing spaces have taken shape on the Internet, e. g. e-mail, website, weblog, chat, message board. They largely answer to the communicative exigencies of the computer medium as well as to the expressive constraints and goals of individual authors. We can locate forms of communication between a material storage device, i. e. the modes. With a view to these different contextual fields, internet authors create stories. To this effect, they may not only select one semiotic mode but choose multiple co-occurring modes as offered by a specific form of communication. While some forms of communication may invite authors to make use of a broad range of different semiotic resources, others constrain their use. Chat-rooms, for instance, commonly deny their users the application of video streams, hyperlinks or pictures. In contrast, websites and weblogs usually allow their authors to incorporate verbal, pictorial electronic and filmic modes. Hence there is a fundamental bond between the medium we use for certain form we adopt on these media and the semiotic modes made available and selected by authors and readers.

Modes, which are almost certainly multiple for any meaning-making text or event, can be seen both as being and comprising resources for meaning. Modes include action (e. g. gesture, posture), voice (e. g. talk, singing, whispering), other forms of sound (e. g. music, noise from machines), gaze and facial expression (and other non-verbal communication) and texture, as well as image (e. g. colour, shape) and writing (see also Kress, 2010).

These examples remind us that each mode has an associated rich set of ‘modal resources’. In regard to picturebooks, modal resources of writing include ‘syntactic, grammatical and lexical resources, graphic resources such as font type, size, and resources for “framing”, such as punctuation’ (Bezemer and Kress, 2008: 171). On picturebook covers, the data for this study, writing (in the book titles) includes the modal resources of colour, case, graphic variation (e. g. of font and font size) and shape. The sequencing of these resources may create a linear and directional ‘reading path’ in that, in English, competent readers read from left to right, top to bottom (Bezemer and Kress, 2008; Kress, 2011).

Especially in new media, the use of multimodal discourse is paramount. We should think that narratives are not only derived from the perceptive qualities of one expressive mode alone but need to be interpreted through the co-assessment of additional semiotic modes. The latter likewise engage collaboratively in the meaning-making process. In most forms of communication, storytellers can rely on a breadth of possible semiotic resources but they are likely to choose a particular mode which they deem most relevant or advantageous for their communicative goals. The use of multimodal meaning is subject to constant accentuation and suppression, enhancement or



deprivation, evocation or displacement based on individual socio-technological factors.

In new media contexts, narrators appropriate generic conventions already established in old media. These older conventions are often re-purposed and enhanced the moment they are imported into new media environments, usually extending their previous functional and technological appeal.

1.4 Method for Analyzing Multimodal Narrative

When analyzing the digital stories I draw on multimodality and visual analysis (Kress & Van Leeuwen 1996; Machin, 2007) as well as theory on children's storytelling. In order to structure the analysis I employ the three meta-functions of language originally conceptualized by Halliday and later appropriated by Kress and Van Leeuwen (1996). These are the three basic requirements of any semiotic mode in order to function as a communicative system, that is, the ideational, interpersonal and textual meta-function. The ideational meta-function represents and communicates states of affairs in the world (who or what is involved in what processes or relations) (Kress, et al., 2001). It represents ideas beyond its own system of signs (Machin, 2007). In visual design, for example, blue might represent the idea of the ocean. The interpersonal meta-function represents and communicates the social and affective relations between the participants in the act of communication, that is, between the producer and the receiver. In this meta-function attitudes are expressed towards what is being represented. The color red might be used to create a mood of warning or romance. Another example would be that the depicted person might be turned away from the viewer, which connotes absence of a sense of interaction. The textual meta-function is about a coherent whole, genres, and how parts are linked together. For example, in visual communication the color green could be used in a composition for the color of text headings to show that they are of the same order.