This collection of abstracts is part of a continuing series providing information on recent doctoral dissertations. The 16 titles deal with the following topics: (1) the philosophy of rhetoric; (2) an analytical study of the development of major concepts of causality in philosophy; (3) an ontological approach to interpersonal communication pedagogy; (4) a textual approach to communication; (5) the ideas of Paulo Freire on communication and culture; (6) Jurgen Habermas and political analysis; (7) a hermeneutic analysis of human speaking, including an examination of the works of Martin Heidegger, Paul Ricoeur, and Hans-Georg Gadamer; (8) the "Fide" of apologetic discourse; (9) Aristotle's concept of deistic reference as a rhetorical device; (10) Gorgias on rhetoric; (11) a critical analysis and examination of the issue of speech as an overlaid function; (12) a communicative theory of text; (13) the place of rules in human communication inquiry; (14) mystical ontology in Kenneth Burke; (15) an epistemological, theoretical, and methodological approach to cognitive activity; and (16) a theory of semiotics, communications technologies, and culture. (MKM)
Rhetorical and Communication Theory:

Abstracts of Doctoral Dissertations Published in Dissertation Abstracts International, July 1979 through June 1980 (Vol. 40 Nos. 1 through 12)

Compiled by the staff of the

ERIC Clearinghouse on Reading and Communication Skills

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A PHILOSOPHY OF RHETORIC

AUGUSTINE, Dorothy Ann, Ph.D. University of Southern California, 1979. Chairman: Professor W. Ross Winterowd

The paradigm for language referred to in this essay is explicitly post-Chomskian. The thesis is governed by the idea that what people say (or write) when they talk to each other is a surface representation of deep structure, tacit presuppositions.

But some powerfully intuitive notions from the classical tradition have influenced the scope and organization of the argument: The time-honored concepts identified as invention, form, and style, and ethos, pathos, and logos, together with the newer theories and models of deep structure semantics, intention-response, speech acts, and pragmatics can form a coherent rhetorical framework for theoreticians and practical researchers alike.

A basic premise is demonstrated and established in the first chapter, that language is not the articulating tool of a system of thought, but a system itself which may well affect the regulating patterns of other systems, including rhetoric.

Through an analysis of Grice's intention-response mechanism adapted to the pragmatics of performativeness, language is defined as a medium for expressing epistemic knowledge, and rhetoric is seen as an abstract meta-system for facilitating inter-communication of that knowledge in special situations.

A deep structure and explicitly represented performative sentence such as I ((state)) (assert) (advise) ((. . .))) (to you) that . . . is posed as the generating force of all discourse, which, paradoxically, in rhetorical situations is partly determined by the addressee's projection of the alter-intention(s) of the addressee (or audience).

In Chapter 2, a model of the composing process is offered, demonstrated, and given substantiation from recent research in neuro- and psycho-linguistics. The argument is made that the composing process and the inventive activity, especially, are variations of the intention-response mechanism which describes language games in general, and an accommodation to the speech acts which describe environments of performativeness in particular. In the composing process, the competent writer will choose a "performative stance," influenced by the presuppositions he holds about the subject matter and the addressee, and by the presuppositions he projects the addressee to hold about the subject matter and the addressee. Aristotle's theories are examined in light of the discussion of language games, as are two inventive techniques in current neuro-linguistics - NAL programs and journal writing - in order to show their relevance to deep structure phenomena.

Form is defined in Chapter 3 as the ethical, logical, or pathetic code of presentation entailed by the distinctive features of the sub-class of performative verb in the underlying stance. Performatives are sub-categorized as [1 rhetorical].

The deep structure performative stance is demonstrated as having three rhetorical nodes: ethos ("I"), pathos (performative verb + indirect object): logos (subordinate clause). This proposition is made in Chapter 2 on the topos constitute the firmest evidence in the essay that some aspects of the classical tradition are more than just intuitively admisible.

In Chapter 4, style is described as the options a writer has at the level of the sentence, principally in terms of sentence modifiers, to express meaning by "indicating" his choice of performative stance in the surface structure of discourse. Syntactic fluency is shown to have practical value in terms of the "principle of cooperation" as well as aesthetic appeal.

The last chapter concludes with a statement on the holistic activity of composing and the integrated purview of philosophy, linguistics, and rhetoric.

The appendix is a report on a pilot project for a writing program at the high school level. It serves as empirical testing and verification of the philosophy offered in the essay.

AN ANALYTICAL STUDY OF THE DEVELOPMENT OF MAJOR CONCEPTS OF CAUSALITY IN PHILOSOPHY Order No. 3010121

BENJAMIN, William Lyman, Ph.D. Wayne State University, 1979. 301pp. Advisor: George Ziegelmeier

The notion of causality, that events are linked in systematic ways permitting prediction and control of our environment, permeates the speech communication field. Causal reasoning in argumentation, the criterion of "effect" in rhetorical criticism, and the concept of speaker influence upon the audience in persuasive and rhetorical theories exemplify the heavily reliance of this field upon some notion of causation.

Despite frequent utilization of causal notions, this concept has yet to be thoroughly studied in this field. This study examines the major historical conceptualizations of causality in philosophy. The writings of two traditionalists, Aristotle and St. Thomas Aquinas, are examined first. Next, the British Empiricist analysis of causation is explicated from writings of John Locke, George Berkeley, and David Hume. Two responses to Hume are then considered: Scottish Common Sense Philosophy, exemplified by James Beattie and Thomas Reid, and the critical response of Immanuel Kant. Finally, two approaches to causal induction are analyzed: Francis Bacon's and John Stuart Mill's.

After explicating these philosophical conceptions of causality, the results are synthesized into one view of causality addressing the major issues addressed earlier.

The nature of "cause" is considered initially. A cause is an assemblage of objects and/or events prior to, contiguous with, constantly conjoined with, and responsible for another object/event. It may overlap with its effect, and the interval between its beginning and its effect's beginning may be too small to detect. Material causes are prior to their effects, as final cause (purpose). Final cause (completed object) and formal cause exist simultaneously with their effects. Causes are physically contiguous with their effects (unless connected through other causes). Causes possess some sort of power through which they are responsible for their effects. Currently, the word "cause" connotes only the efficient and final cause.

Causal knowledge is scientific knowledge, permitting prediction and control of future events. It is important in daily life. Knowledge of causal laws is more useful than knowledge of the causes of particular facts. Causal knowledge is obtained from experience (except for knowledge obtained through means similar to Mill's Method of Residues). Causal reasoning is often analogical.

The principles of universal and uniform causation, as well as the claim of causal necessity, have yet to be proven, and may always remain unproven. Nevertheless, these are reasonable and useful assumptions, capable of confirmation.

Mill, refining Bacon's work, presents five canons of causal induction. These Methods are: Agreement (the cause or effect is that circumstance which is present in similar instances of the phenomenon under investigation), Difference (the cause or effect is that circumstance which differs between two similar instances, one of which lacks the phenomenon under investigation), Residues (those circumstances not identified by previous inductions are the causes of hitherto unexplained aspects of the phenomenon under investigation), and Concomitant Variation (causally related phenomena will vary together).

Implications of these conceptions of causality for speech communication are also explored. Aristotle's four categories are still useful in research. The analysis underlying Mill's canons (especially the Method of Difference) is the same employed in experimental studies. Analysis of multiple causation, treated systematically by Mill, is important in speech communication. Two realms of causality distinguished in the philosophical literature physical (physical events caused by other physical events or human action) and interpersonal (listener effects caused by interpersonal transactions), exist in speech communication. It is argued that the conceptions of causality discussed here apply to both, but with greater confidence in the former.

Finally, it is claimed that one's etymology influences one's conception of causality.
AN ONTOLOGICAL APPROACH TO INTERPERSONAL COMMUNICATION PEDAGOGY: DOING PHENOMENOLOGY

Order No. 8001486

Director of Dissertation: Dr. Ray Wagner

This work examines the epistemological presuppositions of social science and ontology in an effort to assess their significance to interpersonal communication pedagogy. The assessment is specifically concerned with each epistemology's value and impact in promoting the adoption and transfer of communication skills to the student's life world.

The inquiry was conducted by examining each epistemology across the themes of reality, knowledge, truth, teaching/learning, and as applied to communication research. The sources of communication research came from Aubrey Fisher's Perspectives in Human Communication. Sources for the ontological epistemology were derived from Martin Heidegger's Being and Time, Hans-Georg Gadamer's Truth and Method and Phenomenological Hermeneutics, and other existential phenomenological writers. Ontological oriented communication research resources were drawn from articles in hermeneutic phenomenology by Stanley Deetz and Leonard Hawes. The relation of ontology to teaching/learning was addressed from Donald VanDenber's Being and Education: An Essay in Existential Phenomenology.

The inquiry reveals several limitations and problems inherent in current practices of interpersonal communication pedagogy which mitigate against the development and transfer of communication skills to the life-world. The problems are associated with the positivist epistemology of social science which predominate propositions about communication and shapes the manner of treating teaching/learning in interpersonal communication education. The problems revolve around the expectation of fulfilling the development and transfer of communication skills to the life-world through theoretical propositions which lack sufficient fidelity and relevance with one's experience of communication. This reflects a reliance of categorical and reified essence over lived experience in the teaching/learning situation which serves to alienate the student from others, himself, and coming to knowledge. Hence, the development and transfer of communication skills is obstructed.

The meaning of Being, the focus of contemporary ontology, provides an alternative for viewing interpersonal communication education and an answer to the problems of a positivist epistemology. Being pre-reflectively underlies the experience of communicative acts and in the ground which gives rise to communicative behaviors. Development of communicative skills and attitudes is contingent upon a correlative and complementary state of Being. The ontological stance of learning and development recognizes the need to address the Being of one's existential situation as the way to coming to genuine knowledge. Knowledge arises through transcending one's state of Being.

The ontological approach to interpersonal communication pedagogy requires the learner to address his/her experience as the object of knowledge. An interrogation of the experience through hermeneutic phenomenological methods uncovers one's choice of Being in and through a given communicative experience. The identification of Being to experience reflects a pedagogy which makes one's experience the focus of inquiry and identifying the presentational essence (or Being) the goal of the inquiry.

The hermeneutic phenomenological mode of inquiry provides an orientation to interpersonal communication pedagogy that treats communication phenomena from a holistic and experiential perspective which is meaning, process, and problem centered. Phenomenological inquiry uncovers the "what" and "how" of one's communicative experience. This disclosure reveals one's Being to experience and provides the basis from which the need for change can be addressed from its most primordial focus and from which development can occur that disposes one to adopting appropriate communication skills and attitudes. The ontological approach to interpersonal communication pedagogy, unlike the positivist approach, enacts a style of teaching learning that does not treat learning from an authoritarian stance of pr\textquoteright ;

THE IDEAS OF PAULO FREIRE ON COMMUNICATION AND CULTURE

Order No. 8009016

DE LIMA, Vencio Artur, Ph.D. University of Illinois at Urbana-Champaign, 1979. 228pp.

There is an increasing consensus among some communication scholars about the need for theoretical investigation and conceptual analysis within the domain of communication studies. This consensus reflects a growing discontent about the historical prevalence of positivist paradigms in communication, the prevalence of the theoretical models of behaviorism and functionalism.

Students of communication, especially in the United States, have largely overlooked or neglected possible contributions from "outside" areas when developing communication theories. Paulo Freire is a case in point on this narrowness of most current communication studies. This dissertation attempts to analyze and to evaluate his ideas on communication and culture and their possible contributions to communication studies.

The study is divided into six chapters, followed by two appendices and a selected bibliography. Chapter I consists of an introduction emphasizing the rationale for this work being done in communication, its organization and a brief description of each chapter's content. Chapter II presents Freire's biographical background and a critical analysis of the major patterns followed by studies done about him in other disciplines. Chapter III concerns the history-political context of the basic formative period of Freire's thought—Northeast Brazil in the fifties and early sixties. Chapter IV explores Freire's concept of culture by discussing three of his key phrases: culture of silence, the anthropological concept of culture and cultural action. Chapter VI offers an analysis and evaluation of Freire's relevance to communication studies.

Appendix A consists of a comprehensive list of Freire's writings indicating, wherever available, the English translation. Appendix B offers a quotational bibliography of dissertations done about Freire in North America up to 1978.

The Bibliography lists all materials to which references were made in the dissertation.

COMMUNICATION, SPEECH, AND POLITICS: HABERMAS AND POLITICAL ANALYSIS

Order No. 8009994

EALY, Steven Douglas, Ph.D. University of Georgia, 1979. 304pp. Major Professor: Eugene F. Miller

The investigation carried out in this dissertation combines the empirical and theoretical dimensions of the study of language and politics. These two sets of concerns are approached through an analysis of the communication theory of Jürgen Habermas. Habermas is useful for this purpose because he combines an understanding of the theoretical questions relating to language with a concern for the methodology of social science and an interest in the analysis of political behavior. My study begins with an empirical investigation of the relationship between language and politics, namely, a case study of the Georgia Classification Survey, which was conducted by the State Merit System between July, 1975, and July, 1978. The purpose of this case study is twofold. First, the case study stands independently as an introduction to the types of communication problems which arise in political and administrative organizations. Second, and more importantly, the case study is used to test the applicability of the communication theory of Habermas and the political situation.

The next segment of the dissertation consolidates and integrates the writings of Habermas which are of significance for the communication theory he is in the process of.
A PHENOMENOLOGY OF THE MESSAGE: A TEXTUAL APPROACH TO COMMUNICATION

HORNE, Janet S., Ph.D. Ohio University, 1979. 133pp. Director of Dissertation: Dr. Ray E. Wagner

This dissertation describes the nature of the text for communication studies, thereby developing a rationale for a textual approach to communication. The investigation underlines the need for a conceptual analysis of the text and rhetoric, explicating them in their significance for this study.

The model for the textual approach to communication was found in the philosophy of literature, specifically in Roman Ingarden's description of the ontology of the literary work of art. Ingarden's phenomenology of the literary text provided a valuable conceptual analysis to which a conceptual analysis of the communication text could be analogous. The importance of Ingarden's work for communication studies was its provision for differentiation among types of texts with respect to the attitude or stance taken toward the text by the reader or critic.

Ingarden referred to such differentiations of types of texts as concretizations of texts. In addition, Ingarden described the literary work of art as composed of strata or dimensions which have structural-functional significances. The major contribution of Ingarden's work to the study of the communication text was, then, the notion that the text must be dimensionally located vis-à-vis the ontological status of the text as object and the status given to it by the reader.

The work of Paul Ricoeur provided a thorough discussion germane to the problem of the communication text with his writings on discourse. Ricoeur examined the differences between spoken and written discourse. He also described what can be revealed by a text and discussed the nature of inscription and its relationship to the materiality of structuralism's power to describe inscribed discourse.

The works of Ingarden and Ricoeur established a foundation for the study of discourse. Ingarden referred to such inscriptions as the available text for the study of communication. Also, however, following Ingarden and Ricoeur, the inscription of discourse constitutes the communication text and the role of rhetoric in communication, and the definition of relationships through communication.

The major contributions of the study lie in the emphasis upon messages as the proper focus for communication studies. In his later essays on language, Ingarden referred to the problem of the communication text with his interest in the text of human speaking and in the way in which human speaking is essential to that space. The metaphor of discourse is the task of this dissertation. What is sought is a description of the space of human speaking and the way in which human speaking is distributed. This analysis of Habermas begins with his discussion of the primary cognitive interests in which speech and the practical interest in intersubjective understanding provides the basis for the historical-hermeneutic sciences, and the emancipatory interest underlies the critical social sciences.

Next, I apply the concepts developed in Habermas's communication theory to an analysis of the Georgia Classification Survey. This analysis is presented as a first step in assessing the utility of Habermas's communication theory for the study of political phenomena. In this analysis, I tentatively accept as valid the theoretical position of Habermas. I find that this position does have applicability in the analysis of a practical situation, such as that covered in the case study, and that many of the communication problems encountered during the course of the survey can be explained in Habermasian terms.

I conclude that Habermas's theory of communication is useful at least as a heuristic device to identify and explain communication problems, whatever its ultimate philosophical validity.

Finally, I turn to an appraisal of Hans-Georg Gadamer. My critique of Habermas is both internal and external. My internal critique raises questions concerning the notion of cultural interests and the relationship between emancipation and communication theory. My external critique is based on the classical understanding of political speech. I suggest that Habermas's model of communication is not adequate for all types of political speech and that I present an alternative understanding of the role of speech. I conclude with a discussion of the consensus theory of truth and the relationship between political philosophy and emancipation.
Aristotle's work (Chapter IV) on methodology and his development of the concept of play indicate more clearly the weakness of Recouer's position and the importance of Heidegger's framework. Gadamer's work on language, tradition, community, and the paradigm of dialogue significantly influence his consideration of language. He focuses on the human speaker as the centre of language but also as in need of finding the right language, that is, of following the logic of the thing.

Gadamer's contributions to the hermeneutic analysis of human speaking are particularly important for a development of the characteristic of belonging.

The examination of the work of these three philosophers suggests the possibility of extending a hermeneutic analysis of human speaking by means of a thematic presentation of the characteristics of saying, listening, and belonging (Chapter V). This presentation discusses the contributions of Heidegger, Ricoeur, and Gadamer in relation to each other. Each characteristic is then further developed by means of a guiding word. The words pursued are “saga,” “anamnesis,” and “kinesis.” An examination of the role of paradigm (Chapter VI) further concretizes this thematic characterization of the space of human speaking. The paradigms of poetry, text, and dialogue are evaluated. While the paradigm of poetry is shown to be most appropriate, an application of this paradigm to everyday speaking leads to the development of a further complementary paradigm, that of storytelling. The exploration of this paradigm indicates the merits of the hermeneutical analysis for exploring and holding open the space of human speaking.

THE EIDÉ OF APOLOGETIC DISCOURSE: AN ARISTOTELIAN RHEtorICAL-POETIC ANALYSIS

KRUZE, Noreen Wales, Ph.D. The University of Iowa, 1979. 357pp. Supervisor: Professor Donovan J. Ochs

For twenty-five centuries, scholars and critics have accepted the apologia as a viable genre of discourse. However, to date, no one has attempted to identify the generic eidos, the substantive materials which form the premises of apologetic claims. Such an identification was the principal task of my investigation.

For this study, I have defined apologia as that discourse which: (1) is produced as the result of an actual attack upon the element of one's ethos which relates to good character; (2) seems to have character or image restoration as its function, and (3) at least appears to be produced by the censured individual. Because the form in which the message may be cast does not affect the controlling definitional features, I examined autobiographies and poetic works, as well as oral statements, as representative apologies.

The nine works included in the study are: (1) Demosthenes' On the Crown; (2) Hitler's address to the Reichstag in defense of the Rahn purge; (3) Theodore Sorensen's statement made in withdrawing his name for nomination as CIA Director; (4) The Autobiography of Charles Darwin; (5) Albert Speer's Inside the Third Reich; (6) The Memoirs of Richard Nixon; (7) the extant fragments of Solon's poetry; (8) Arthur Miller's play, After the Fall; and (9) John F. Kennedy's novel, The Company.

In all cases, apologists present themselves as tragic heroes, as good people who have been brought down by the erroneous choices they have made or which the public thinks they have made. Therefore, in order to locate the apologetic eidos, I analyzed each representative work in relation to five features of the Aristotelian tragedy: (1) the proofs of the apologist's good character as these appear in that individual's habitual choices, (2) the "explanation(s)" of the apologist's censured deed(s) which are offered in the depictions of choices which have no moral overtones and in the description of the subsequent fall, (3) the manner(s) in which the apologist establishes commonality with the audience, (4) the emotional states the apologist tries to generate in the audience, and (5) the way(s) in which audience members can relate their emotional tensions through catharsis.

By applying the scheme suggested by principles found in Aristotle's Poetics, I discovered that the apologetic eidos relate to four different types of materials: character, situation, values, and emotional tension. In some cases, the eidos are similar to those Aristotle identifies as the special topics of forensic and epideictic rhetoric. However, the materials in each of the four groups are particular to the apologia. In most cases, too, the eidos and their applications are time- and culture-variant.

ARISTOTLE'S CONCEPT OF DEISTIC REFERENCE AS A RHETORICAL DEVICE

Ovastreet, Reginald Larry, Ph.D. Wayne State University, 1979. 242pp.

Aristotle lived and wrote in a religious world, and the orators of his day commonly made use of deistic reference. Therefore, one would expect to find in Aristotle's Rhetoric some recognition of this device and perhaps advice as to whether or not it is appropriate for rhetoric. The objective of this study, therefore, is to identify and to analyze Aristotle's rhetorical theory concerning the use of deistic reference. In so doing, an overview of the Rhetoric's composition is preliminary. Of special interest to this study is what types of orators Aristotle specifically links to deistic reference, what values Aristotle perceives in deistic reference, and how explicitly or implicitly he sets forth his rhetorical principles. Little research has ever been done specifically on the question of to what extent and in what manner Aristotle uses deistic reference in his Rhetoric and advocates an orator may employ deistic references as a rhetorical device.

A clear understanding of Greek religion during Aristotle's time is necessary in order to have a standard by which to evaluate Aristotle's own references to religion and deity. Since both language and religion develop in the historical setting, then one should expect the language of religion to reflect that setting. Further, Aristotle's own attitude toward Greek religion must be examined. Whether or not Aristotle corresponded to generally accepted religious standards of his time will have a bearing on comprehending his Rhetoric. These matters form the necessary historical foundation toward understanding deistic references in the Rhetoric.

The actual examination of the Rhetoric involves a reliance on the Greek text rather than solely on English translations. As any one who has learned more than one language can testify, translation from one language to another is always difficult, and complete accuracy is elusive. Raising the study on the Greek text helps to minimize some of the problem.

The dissertation concludes that the socio-cultural-linguistic context of ancient Greece was saturated with religion and religious concepts. Aristotle lived, wrote, and taught in this religious context. He knew firsthand the religious beliefs, opinions and attitudes of the Greeks, and that any deistic references would be interpreted by Greeks in view of their religious climate. Aristotle himself was a religious man, polytheistic in belief. His polytheism, however, differed from the ordinary Greek's in that Aristotle did not believe in anthropomorphic gods.

Since Aristotle lived in a world influenced by religion, he devised rhetorical principles which could function in that world. In his Rhetoric, Aristotle advises (explicitly and implicitly) orators how to use deistic references. Aristotle directly connects both the deliberative and forensic orators with deistic references. In addition, Aristotle enumerates five particular values of appeals to deity: (1) in establishing goodness, (2) in oaths, (3) in stirring the emotions, (4) in developing argumentation, and (5) in strengthening style.

This study demonstrates Aristotle's awareness of deistic reference as a utilitarian device compatible with rhetoric's goal: persuasion. The study shows Aristotle not only elucidated definite instructions concerning the utilization of deistic reference, but that he also employed it to amplify, explain, and illustrate his theoretical principles.
GORGIAS ON RHETORIC


Gorgias' success as a rhetorician during the fourth century B.C., his profound influence on rhetorical theory, and the remarkable similarity of his views with those of some contemporary phenomenologists merit scholarly attention. It is the purpose of this study, by relying primarily on his surviving fragments, to construct Gorgias' theory of rhetoric. This theory modifies the Platonic account of the Sophists and demonstrates the modernity of Gorgias' thought.

Chapter I, introductory in nature, places Gorgias within the cultural and intellectual milieu of his time, summarizes his views on rhetoric, discusses the Platonic and Aristotelian criticism of those views, and surveys the literature relevant to the study. Chapter II inquires into the philosophical presuppositions which constitute the basis of Gorgias' theory of rhetoric. These presuppositions emerge from an extensive discussion of the issue of perception, language, and knowledge, issues suggested by the content of Gorgias' fragments. Chapter III articulates a theory of rhetoric consistent with Gorgias' philosophical position. The key to the understanding of this theory is that Gorgias approaches rhetoric more from an aesthetic than a metaphysical point of view. Chapter IV compares Gorgias' position on perception, language, and knowledge with that of the phenomenologists Maurice Merleau-Ponty, Georges Gaston, and Edmund Husserl. In this chapter, it is claimed that the phenomenological perspective extends the boundaries of Gorgias thought and provides a useful alternative to the traditional dichotomy of Idealism and empiricism.

The final chapter summarizes the major concepts of this study, advances a new definition of rhetoric, and discusses some implications of phenomenology for rhetoric.

A CRITICAL ANALYSIS AND EXAMINATION OF THE ISSUE OF SPEECH AS AN "OVERLAI D FUNCTION"


A continuing issue is the question of whether speech (i.e., human vocalization) is an "overlaid function." An "overlaid function" is any function which employs an anatomical structure or system which was originally developed for more fundamental biological purposes. It was proposed that the controversy surrounding this issue has a potentially heuristic value for human communication, since the question itself embodies issues and arguments that pertain prima facie to the domain of human communication theory. The "overlaid function" argument is concerned with the functional relationship between human speech production and its biological correlates. The central question of the study is "What are the implications for theory construction in human communication that may be derived through a critical examination of the 'overlaid function' argument?" It was then proposed that inferences having significant implications for human communication theory might be drawn through a critical analysis of that literature which deals explicitly with the argument. A rationale for the use of a critical mode of inquiry was presented wherein it was established that argumentative analysis was both a justifiable and a productive research strategy. The literature was then reported, followed by a critical analysis. The constitutive framework provided by the major elements of argument (viz., assumptions, evidence, issues, and conclusions) made it possible to organize the literature in such a way that isolated arguments could be compared and evaluated from a unified perspective.

The major conclusion reached was that the identification of human speech as an "overlaid function" can be simplistic, misleading, or thoroughly inappropriate. When "human speech" is distinguished from the "vocalizations" of animals, and when the "speech apparatus" is meant to include not only the peripheral effector organs as a group, but also the speech-specific neural structures and pathways, it can then be concluded that speech is "overlaid" only in the sense that the speech apparatus is in part built upon organs and systems that were originally designed for other primitive functions. Without an elaboration of the context in which they appear, the statement that "speech is an overlaid function" may be misleading or may imply a superfluous function which is not clearly an intended one. The major conclusions drawn are that the human speech apparatus is an "overlaid function" and that the human speech apparatus is an "overlaid function." This study, therefore, provides a useful alternative to the traditional dichotomy of Idealism and empiricism.

TOWARDS A COMMUNICATIVE THEORY OF TEXT

SELLNER, Manfred Bernhard, Ph.D. University of Illinois at Urbana-Champaign, 1979. 164pp.

This dissertation studies the textual function of language. A theory of text is identified as one that specifies all the acceptable, usable texts of language. The purpose of Chapter I is to contrast the doctrines of generative-transformational theory to the assumptions that underly this textlinguistic study. These are identified as the act-view of language that sees language as activity of speakers/writers with a purpose and recipients as individuals that try to find out what was in their hearts. Chapter II starts with a Grundlegendiskussion of observations that a comprehensive theory of text will have to account for. These observations are set in relation to several "text-models," which are shown to be in need of revision. Finally, I characterize a "rational," and "non-absolute" position on textuality.

Chapter III is an analysis of the communicative function of the agentless "werden"-passive in German. This analysis is performed under the assumption that speakers/writers act "rationally" and that they choose the form that best suits their intentions. In the course of this study, several ways of exploitation are identified which are then contrasted to the exploitation of man by speakers and writers of German.

Chapter IV gives a statement of the major findings of the dissertation, as well as its shortcomings. The conclusion is that the passive is used for more than one function and that there is indeed one context that can support the claim of a substituational relationship of passive and man...

THE PLACE OF RULES IN HUMAN COMMUNICATION INQUIRY

SHIMANOFF, Susan Bussey, Ph.D. University of Southern California, 1978. Chairman: Professor Walter R. Fisher

In pursuing the place of rules in human communication inquiry, this study focused on the criteria for judging the admissibility of evidence to support theoretical statements regarding human communication theory from a rules perspective. Four specific questions were addressed: What is a communication rule? How are rules and behaviors related? What are the advantages and disadvantages of various methodological approaches in providing evidence for rule-related research? What contributions does a rules perspective make to the advancement of communication theory? The major findings of this investigation were as follows: A communication rule is a followable prescription that indicates what behavior is obli-
gated, preferred, or prohibited under certain conditions. A rule should take the form: *If X, then Y is obligated (preferred or prohibited).* Rules serve multiple functions, from regulation, interpretation, evaluation, justification, correction, and prediction to the explanation of behavior.

Using rule compliance/noncompliance and the degree of rule consciousness, nine different types of rule-related behavior were identified: positive rule-reaction, rule-following, rule-conforming, rule-filing, rule-abstain, rule-ignore, rule-error, rule-violation, and negative rule-reflective behavior. These terms were compared and contrasted with four others: rule-guided, rule-governed, rule-symptomatic, and rule-allowance behavior.

To infer rules from behavior, evidence must meet two criteria: regularity under similar conditions and prescriptive force. The existence of rules and rule-related behavior may be discovered in several ways. Six methods were compared and evaluated: self-reflection, survey, naturalistic observation, participant observation, quasi-experimental, and experimental. Each method was judged according to its ability to provide evidence of regularity and prescriptiveness, and the probable accuracy and generalizability of its findings for everyday communication. Because each method has advantages that others do not, multiple methods of inquiry were recommended.

Rules theories may be expressed in an axiomatic form. Axioms express assumptions about humans as communicators; theorems describe relationships that may be inferred from rules or rule-related behavior, and other theoretical statements are derived from axioms or inferred from theorems. While rules theory is too early in its development to have formulated theoretical statements, hypothetical statements were offered to illustrate how such statements might be constructed. The illustrations included theoretical statements about rules for behavior, rule-related behavior, rule sanctions, meta-rule processes, rule manipulations, and the interdependence of rules and sociopsychological variables. How rules theory and research explain, predict, and offer the opportunity for the control of communicative behavior was discussed. Comparisons of a rules perspective with covering laws and systems approaches to communication inquiry revealed that each perspective makes different contributions to the study of human communication.

The study demonstrated that a workable concept of rule is available for theory-building and research, that rules can be distinguished from other related constructs, that there are various methods that can be used to discover and validate them, and that they can make a significant contribution to human communication inquiry.

MYSTICAL ONTOLOGY IN KENNETH BURKE: THE CONSEQUENCES FOR HIS CONCEPT OF RHETORIC

THAMES, RICHARD HAMON, PH.D. University of Pittsburgh, 1979, 254pp.

This dissertation proposes to demonstrate that underlying Burke’s system is an anhistorical, “mythical” ontology which ultimately leads to a depreciation of historical, “political” (for Burke) “social” facts. Such a demonstration requires explication of the system in a manner more traditional than Burke’s.

Burke’s concept of “rhetoric” is basically Platonic: there is rhetoric and Rhetoric. This more excited rhetoric, perfecting and transcending normal rhetoric, is really dialectic. While rhetoric results in division from, dialectic results in merger with the ground of all being. To act out dialectic is to develop fully the implications of language. Desire to track down those implications is the basic human motive. The ultimate implication is that abstract is the basic human motive. The ultimate implication is that abstract Term unites all other terms, the “god-term.” Because “dialectic” coincides with “being,” the god-term’s proving a linguistic necessity is the same as God’s proving an ontological one; climbing linguistically to that ultimate abstraction is the same as striving actually for mystic merger with God’s God is “Nature containing the-principle-of-speech” (similar to Spinoza’s God or Nature) whose known attributes consist of the “verbal” and the “nonverbal” (similar to Spinoza’s “thought” and “extension.”) Man is the “symbol-using animal,” the finite part equal to (synecdoche of) the infinite whole, his mind a mode of the verbal, his body of the nonverbal. Burke’s God necessarily expresses himself through modes, he creates that which is implicit within him. Creation is cathartic: logically circular, simultaneous essences are expressed as linear, temporal existences (like a “chord” is stretched into an “arpeggio”); the endless is given an end. God “unfolds” through the nonverbal and “enfolds” through the verbal (a “dialectic” similar to Neo-Platonic emergence from and return to the One).

Material unfolding (evolution) ends, linguistic enfolding (entelechy) begins, with Man’s necessary articulation. As man is synecdoche of God, so articulation is of Creation. But God’s act is total, man’s only partial. Articulation ultimately results in a Fall; Creation, however, is a “proto-Fall.” The verbal-nonverbal distinction created by God is implicitly a division; articulation makes that division actual. Articulation ultimately leads to “salvation” in this life; it is the first step in a verbal return to God. Like Creation, articulation is cathartic. Though blame for division lies with the verbal, through articulation man purges himself of division, symbolically projecting blame onto the nonverbal and leaving the thus burdened nonverbal behind in a verbal. Six methods of God in whom the divided two are one. Man merges with and re-emerges from the One; he dies and is reborn—pure, innocent, a new creation as if again at the beginning of time. Divisions are distinctions again. But such salvation is temporary. Any action in the midst of the Fall requiring a repeat of the remedy. Death brings the only individual salvation, the exaltation the only universal one; the death of the individual and the death of the universe are final returns to the One.

Dialectic, confused with any motive other than the purely linguistic, deteriorates into rhetoric. Dialectic leads to true transcendance, genuine mysticism; rhetoric to false transcendance, Ersatzmythen. Political action is rhetorical, entangling men in motives of the here-and-now, the “historical.” War exemplifies at its farthest remove from dialectic; war unites, but to do so divides. Dialectic is logically linguistic, luring men from history and the partisan into eternity and the universal.

My criticism of Burke, based on the preceding explication, is two-fold. (1) Consequences of Burke’s theories for the use of rhetoric. The only set ontologically valid is dialectic—linguistic activity culminating in a “mystical” attitude toward rather than “political” (or “social”) action in the world. (2) Consequences of Burke’s theories for the study of rhetoric. Any action evolving out of criticism is discouraged and an attitude of appreciation for ingenious symbol-use encouraged instead. Furthermore, significant hermeneutic problems are created; attempts to interpret any system stretching historically (e.g., Christianity or Marxism) may be prejudiced by anhistorical presuppositions—presuppositions such as Burke makes.

AN EPISTEMOLOGICAL, THEORETICAL AND METHODOLOGICAL APPROACH TO COGNITIVE ACTIVITY

Order No. 8013608

TUTELMAN, CARY JAY, PH.D. University of Washington, 1979, 204pp.

Chairperson: Professor John Angus Campbell

Human communication theorists in the discipline of Speech Communication have assumed a limited view of epistemology. The assumption is that only two mutually exclusive and exhaustive epistemological systems (the humanistic and the positivist) exist, dominates contemporary human communication theory. Additionally, human communication theorists have dichotomized method into two mutually exclusive and exhaustive systems (the psycholinguistic and the mentalistic). Much of the controversy in Speech Communication centers around which of the two epistemological and/or methodological systems should be adopted by the discipline. The author contends that the philosophical position of dichotomization creates an artificial duality in human communication theory. Many different epistemological systems and methodologies exist. Further, epistemological systems possess basic assumptions that generate, direct and restrict theoretical and methodological frameworks. Dichotomization also restricts an understanding of the complex interdependency between epistemology, theory and method. Thus, attention to epistemological systems is not only important for understanding philosophical foundations, but also for the construction of theory and the development of research methodology.

This dissertation offers a methodological and theoretical framework for the study of cognitive activity deriving from an epistemological system. Specifically, the author proposes a methodology for the study of cognitive activity called an analysis of cognitive structures, emerging from a theory called Cognitive Phenomenology, and deriving from an epistemological system called pre-existent phenomenology. The dissertation, in essence, presents a unified view of cognitive activity that integrates an epistemology, a theory and a methodology.

Pre-existent phenomenology is an epistemological system based on the concept of a pre-existent essence that exists independently of and prior to being in the life-world, and that manifests itself in the life-world as co-present essence. Cognitive phenomenology is a structural many-valued, many dimensional theory of cognitive activity. It focuses on the organization
of meanings derived from experience into meaning substructures, the organization of meaning substructures into cognitive structures called forms, and the organization of forms into one unified cognitive structure called self-concept. Additionally, cognitive phenomenology focuses on form and self concept as foundations and bases for future cognitive activity, the generation of cognitive conclusions, the transformation of cognitive conclusions into behavioral alternatives, and behavior. Analysis of cognitive structure is a methodology that attempts to uncover and describe cognitive phenomenological aspects of the cognitive structure, each individual generates perceptions of his or her internal cognitive structure and process of cognitive activity, reflects on them, and derives cognitive conclusions about him or herself or his or her relationship to them.

A THEORY OF SEMIOTICS, COMMUNICATIONS TECHNOLOGIES, AND CULTURE

WURTZEL, Gary Irwin, Ph.D. New York University, 1979. 422 pp. Chairman: Professor Christine L. Nystrom

Media of communication bridge the synapse between material reality and the cognition of that reality which members of any human group share. In bridging that gap, communications media literally mediate between the human mind and the materials humans use to construct culture. From this position, media affect culture continuity as well as rate and quality of culture change. An explanation of this dynamic between communications media and culture is the purpose of the study.

The study begins with the recognition that most theorizing about communication gravitates toward either of two perspectives. These are the media determinist and semiological perspectives, each named for the element it emphasizes in linking communication and culture. The argument of the study proceeds with critical analyses of these perspectives, examining the merits and shortcomings of each.

The argument unfolds in four chapters, the first chapter presenting the hypothesis shared by such media determinists as Benjamin Lee Whorf, Edward T. Hall, Harold Imes, Jacques Ellul, David Riesman, and Marshall McLuhan. This hypothesis is that the culture of any given human group will be determined by the communications media it uses. The chapter explores the failure of this perspective to clearly describe either a) the mechanism through which the forms of communication determine culture, or b) the limits and controllability of this media determinism.

Chapter Two examines the missing components of the media determinist perspective by evaluating the perspective as a whole against ethnographic and historical cases. Such cases, drawn from the cultures of Torah Jews, ancient Greeks, and others, suggest that while much of the media determinist hypothesis may be valuable, key parts of it are refuted by historical and social fact. Chapter Two concludes that the lacunae in the media determinist perspective compel a search for an alternate, more explanatory approach to the relationship between communication and culture.

Chapter Three presents semiotics (or semiotics as such an alternate approach. The semiological approach is based on propositions about the human mind. The most basic of these is the ineluctable tendency for human beings to mentally structure their experience of "objective" reality into related categories of signs which are, in the semiotic view, culture itself. For the semiotists, communication and culture are synonymous and the study of culture is the study of the creation, transmission, and apprehension of symbols. Chapter Three outlines this approach to the social world: the contributions of Mary Douglas, Clifford Geertz, Suzanne K. Langer, and Dan Sperber are analyzed as elements of the semiological perspective. But even as a whole, this perspective is also found to be only partially successful at explaining communication's relationship to culture.

While the semiotists explain much, they are unable to account for the cultural impact of the technologies and techniques which allow transmission of symbolic forms in social life. Here logic points back again to the perspective of the media determinists as providing the theoretical aspect missing from semiology. Although both perspectives are incomplete by them-
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