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[Handwritten:] Page Summary: Identifies shortcomings of rhetorical models based on Aristotle → revise for MODERN USAGE

Rhetorical Appeals: A Revision

[Handwritten left margin:] STRUCTURAL MARK-UP

[Handwritten right margin:] ARGUMENT SUMMARY MARK-UP

The way rhetorical analysts now use the term appeals—meaning to plead or to please—has outstripped the available theories, particularly those derived from Aristotle. Indeed, Aristotle's ethos, pathos, and logos may not even be appeals in the modern sense. A revised model relates author and author positions to values in a triangulating relationship. Appeals also appear as techniques for working through varying media, not only media defined semiotically but also as forms of resistance related to cultural differences. Examples from criticism, film, and advertising provide a foundation for replacing a modes approach to rhetorical appeals with a genre approach.

[Handwritten:] ? Who is Aristotle?

[Handwritten left margin:] CRITICAL context. Identify a GAP to fill THESIS PART 1 WHY

The model that dominates the current theory of rhetorical appeals comes from philosophical rhetoric: Aristotle's ethos, pathos, and logos.[1] Rhetorical theorists and analysts rarely define appeal without quickly resorting to this triad of technical terms. There's no entry for appeal in the *Encyclopedia of Rhetoric and Composition* (Enos), for example, only separate treatments of ethos, pathos, and logos. I submit that in modern times, both in the practice of rhetorical analysis and in ordinary language, the Aristotelian terms fail to cover the variety of uses and the full suggestiveness of the concept and that the exclusive use of Aristotle's scheme often reduces the possibilities for understanding and interpreting the rhetorical strategies that could fall under the rubric of "appeal." I say it is time for a revised model.

[Handwritten left margin:] WHAT maps the steps of the argument & types of evidence

This essay provides the foundation for such a model, an approach to the concept of appeals that draws upon the rhetorical tradition but also reinterprets it for contemporary use. I build upon the structure of appeals suggested in the tradition deriving from Aristotle—preserving the triadic form in the relationships of author, audience, and values—but also look to the common definitions of *appeal* (primarily as a verb meaning more or less *to plead* or *to please*) in accounting for the movement of rhetorical participants toward common ground, the alignment of authors, audiences, and values. After an overview of the traditional and revised elements of the approach, I briefly apply the model in an analysis of examples from cultural criticism, popular film, and advertisement. My aim is to

[Handwritten right margin:] current state of the field of Rhetoric → ARISTOTLE'S model Ethos, pathos, logos → need to REVISE A's model because it's too LIMITED for MODERN USES of rhetoric esp. in relation to our definition of "APPEAL"
① overview current & traditional definitions
②
③ Apply to modern egs.

[Handwritten bottom center:] translation of Greek terms "modes of persuasion" P.250 ¶2 Rhetoric P.251 ¶2 Triad defns

[Handwritten bottom:] • ARISTOTLE: "Father of Western Philosophy" Greek philosopher, c. 300 BC

PAGE SUMMARY: current scholarship has no satisfactory definition of PISTEIS ("appeals") esp. in the case of ARTISTIC appeals

THESIS PART 2

flesh out the definition of appeals in modern rhetoric as "efforts to overcome oppositions and divisions either by forming new solidarities, by reinforcing old ones, or by revealing distances and likenesses in order to transform attitudinal conflicts into [communal forms of] action" (Killingsworth and Palmer 17).

REDEFINE "APPEAL" to move from division to COMMUNAL ACTION.

END MOVEMENT INTRO | START MOVEMENT BACKGROUND

Appeals in the Rhetorical Tradition

Provides DEFINITIONS of CATEGORIES & Terms

While Aristotle talks at some length about ethos, pathos, and logos, he says very little about the general category to which these terms belong. In the *Rhetoric* (1.2.2), he defines what we have come to call appeals (*pisteis*) by dividing them into two categories: one called "entechnic," "artistic," or "intrinsic"; the other, "atechnic," "inartistic," or "extrinsic" (37, 37n). The atechnic category includes accounts from witnesses and "testimony of slaves taken under torture" (37). The artistic category, the proper concern of rhetoric according to Aristotle, includes ethos, pathos, and logos. They are "artistic" in the sense that while rhetors "use" the inartistic *pisteis*, they "invent" or "discover" or "provide" [*heurein*] the artistic (37, 37n).

APPEALS (PISTEIS)

ARTISTIC
└ pathos
└ ethos
└ logos
└ INVENTION

INARTISTIC
└ testimony
(USE

← Rhetoric's focus

SURVEYS current or trad USAGE

Significantly, no widely accepted translation of Aristotle's text uses the term *appeal* to name either the artistic or inartistic categories. In the still much-used translation of W. Rhys Roberts, ethos, pathos, and logos are called "modes of persuasion"—a technically accurate but not particularly memorable rendering, though one still preferred by some scholars with a strong sense of faithfulness to the original (see, for example, Johnson 243; Swearingen 124). The entry on "Aristotle's Rhetoric" in the *Stanford Encyclopedia of Philosophy* (Section 5) uses the phrase "means of persuasion," which places ethos, pathos, and logos at the center of the treatise because Aristotle defines rhetoric itself as the process of finding the available means of persuasion. But again, this usage has not found its way into the ordinary usage of the scholarly community. Ethos, pathos, and logos are sometimes called artistic "proofs" (see, for example, Kennedy 82). But to use the term *proof* runs counter to modern usage—you aren't supposed to "invent" proof in an argument—a difference that probably accounts for the tendency in modern rhetoric and composition to substitute the term *appeal* not only in textbooks, where the term prevails above all others, but in many scholarly sources (see, for example, Yoos 410; Colavito 494; Kinneavy, "*Pistis*" 521–22 as well as *Theory of Discourse*). Yet the weight of scholarly opinion suggests that "appeal" may not be a good translation for Aristotle's *pistis*. In the notes to his translation, Kennedy sticks with the term *proof*, but in the main text, he declines to translate the Greek term at all and simply refers to atechnic and entechnic *pisteis* (Aristotle, *On Rhetoric* 37, 37n).

"APPEAL" (PISTEIS) not well-translated in scholarship of Aristotle's work

• current translations are vague
• No clear def'n of PISTEIS

On the basis of these sources, I would contend that contemporary usage of the term *appeal* in rhetorical analysis tends to depart from Aristotle except when we confine ourselves to doing neo-Aristotelian analysis of ethos, pathos, and logos, and even then we may be adding new layers of significance to the terms and ignoring old meanings by referring to these "modes" or "means" of persuasion as "appeals." Yet the very drift toward a preference for the term suggests its resonance for contemporary rhetoricians and the need for a revised model that fully accounts for the meaning and overtones of the word, in a way that the recourse to the Aristotelian terms does not.

In heading toward a revision, Aristotle's categories might still prove useful. One hint toward a new direction comes from James Kinneavy. In his *Theory of Discourse*, Kinneavy connects ethos, pathos, and logos with other elements in a generic model of the rhetorical situation. He notices that in Aristotle

- ethos focuses on the author, the attractiveness of the character and the authority the author inspires;
- pathos involves the audience, especially the emotions of the audience; and
- logos involves references to the world ("reality") shared by the author and audience. (18, 225–26)
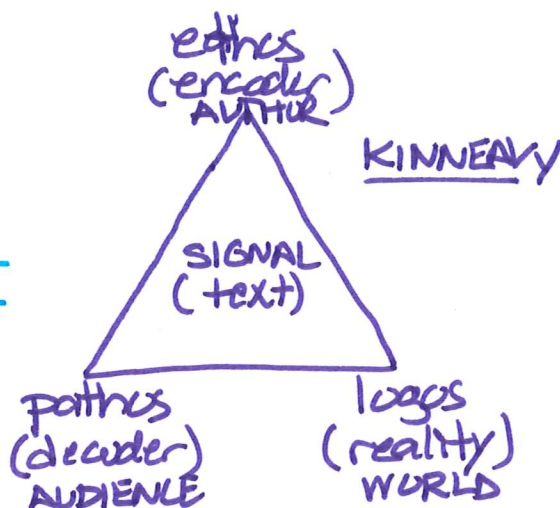
Kinneavy suggests that the three elements adhere to the three points of a "communication triangle"—which, following information theory, he calls the *encoder* (author), *decoder* (audience), and *reality* (the world), with the *signal* (text) filling the middle of the triangle, as if to hold the other elements together. Kinneavy uses his model, among other things, to generate a theory of communication modes. Every element (author, audience, world, and text) is engaged in every communication, he argues, but an emphasis on one element will produce a different kind of discourse. Author-oriented discourse is expressive, audience-focused discourse is persuasive, reality-oriented discourse is objective, and text-oriented discourse is artistic.

For the model I am proposing, Kinneavy's most important contribution is to suggest that ethos, pathos, and logos are something other than appeals as commonly defined. They are more like positions with a metaphorically spatial relationship to one another. Their relationship is triangular, hinting at the concept of triangulation. The three points of the triangle become in my revision the positions of author, audience, and value:

- *The position of the author* draws upon Aristotle's concept of ethos, or character, as well as the modern understanding of ethos as a cultural outlook or worldview that characterizes a community. The author's position is not

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Handwritten annotations:

PAGE SUMMARY: Introduces KINNEAVY'S "COMMUNICATION TRIANGLE"
- Describes ADAPTATION
- AUTHOR: WORLDVIEW

SIGNPOST — sum critical field, restate AIM of essay.

modern usage departs from A. so// we need a new model

DEFINITIONS

USEFUL MODEL from CRITICAL FIELD

?

ADAPTAT'N of a MODEL

DEF'N

ethos (encoder) AUTHOR
KINNEAVY
SIGNAL (text)
pathos (decoder) AUDIENCE
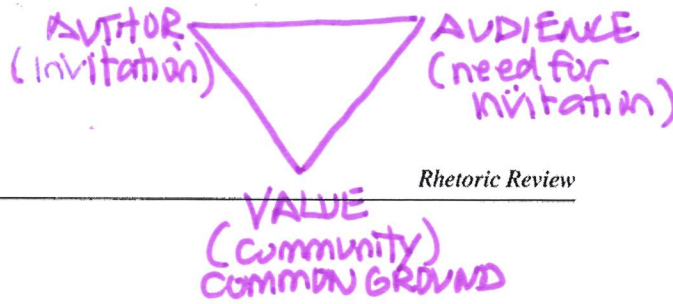logos (reality) WORLD
"COMMUNICATION TRIANGLE"
- diff emph ⇒ diff. kinds of DISCOURSE

AUTHOR: ethos + WORLDVIEW

- DISCOURSE: "a mode of organizing knowledge, ideas, or experience that is rooted in language and its concrete contexts (history, institutions)" Miriam Webster def #3; "a formal and orderly and usually extended expression of thought on a subject" def # 2a.

[handwritten top: PAGE SUMMARY: Revised Communication Triangle]

[handwritten triangle diagram: AUTHOR (Invitation) — AUDIENCE (need for invitation) — VALUE (community) COMMON GROUND]

[handwritten left margin: Def'n elaborated.]

simply a personal account of himself or herself. The author is a complex individual who selectively reveals (or invents) aspects of character pertinent to the rhetorical work required at the moment. The author's position represents a particular communal outlook that points toward agreed-upon values and invites the audience to join (or return to) the community. We can also understand the author's position as a *persona*, the mask of "I."

[handwritten left margin: DEF'N tEg Intro of critical sources to "flesh out" defn]

- *The position of the audience* (which Kinneavy associates provocatively with Aristotelian pathos) differs from that of the author, even if only slightly (as in the case of a church congregation that the preacher feels has slipped toward worldliness) or temporarily (as in the case of a community of scholars that has fallen under the influence of a faulty theory or has been swayed by bad evidence). Bitzer's concept of exigence suggests that something has divided the author from the audience and thus moved the author to make an appeal for alignment. Black's concept of the audience as a "second persona" ("you") also hints at the need for alignment, in which the author's "I" proposes a merger with the audience's "you" to make a plural first persona of "we." The possibility of a third persona "they"—against which the author defines his or her own position and that of the ideal audience—creates the possibility for invective and irony, among other things (a possibility broached tentatively by Killingsworth and Krajicek).

[handwritten left margin: DEF'N w/ Egs or helpful METAPHOR.]

- *The position of value* is the triangulating point that defines (or reestablishes) the relationship, the common ground, of the other two positions. The author may merely refer to an already existing point (reminding the audience of an authoritative concept) or may actively construct a new image or idea that attracts the audience, using new evidence or recognized authorities (whether people, texts, or abstract concepts such as love, justice, and community). In this way the position of value is like the neo-Aristotelian logos. I use the metaphor of a star that guides the audience into the port of common interest with the author, with the star standing at the apex of the triangle, but if we turn the model upside down, in the manner of Kinneavy's communication triangle, the position of value is the *ground* of the appeal, something like Burke's notion of sub-stance in his theory of consubstantiality or Toulmin's concepts of warrants and backing. Now the position of value seems more like the control tower of an airport, toward which the author moves and directs the flight of the audience.

The three positions do not exhaust the rhetorical situation but only model it. There are other elements that must always be considered. Above all, there is

[handwritten right margin:
AUTHOR = "persona" (ethos) (rep of values) (INVITATION to a community)
AUDIENCE (pathos) (2nd persona) "you" reveals some kind of division in the community that requires or initiates the appeal by the author I + YOU = WE
VALUE = (logos) COMMON GROUND "control tower" that guides AUTHOR & AUDIENCE back into community]

the *medium* of exchange, the textual context of language and signs as well as the cultural context that includes obstacles that must be worked through or avoided. There is also the former position of the author and audience, the *background* of this appeal. And there is the personal position of the author and audience members, the individual quirks and traits that get left out when the appeal is constructed but that might still influence its success or failure. There are always more elements than you can focus on in any given moment of analysis or production.

But my experience suggests that for getting quickly into the work of rhetorical analysis, few methods are easier to comprehend and more powerful than beginning with the simple question, "*What's the appeal?*" With students and novices, I find it useful to begin not with the historical and theoretical connections I have sketched so far (that can be filled in later once the students get the basic model down) but rather with a look at how the term gets used in ordinary language.

Appeals in Ordinary Language

In the everyday world of television news, courtroom interchange, and commercial discourse, *appeal* means one of two things. First, it can mean "to plead one's case," usually before a higher authority. We can thus appeal to the Supreme Court, for example—or in a more metaphysical vein, we can appeal to Nature, to God, or to some other supreme being. Second, *appeal* can mean "to please," as when a product appeals to a customer, or the object of affection appeals to a lover: product appeal or sex appeal. To appeal thus means roughly "to plead" or "to please."

According to the *Online Etymology Dictionary* (Harper), *to plead* derives from the Old French word for "to go to law or sue," and to a related term in Latin for "that which is agreed upon, a decision, or decree." *To please* is derived from the Latin term for "pleasing" or "agreeable" and a related term meaning "to calm" or "to soothe." The Indo–European root for all these words points to an interesting meaning: "to be calm (as of the flat sea)." In sum, to appeal to an audience—whether to plead or to please—means to promote agreement or harmony, to smooth the waters between author and audience or any two positions.

The slight distinction I'm making between "author and audience" and "any two positions" is important. An appeal is always directed to an audience in some sense, but one interesting thing about appeals is that they tend to proceed indirectly toward their goal. Thus when the poet says that the very skies cry out at an offense against the hero, we have an appeal to Nature that the ideal audience will find appealing. If an accused thief says, "As God is my witness, I did not do it,"

Handwritten annotations:

PAGE SUMMARY: Transition to usage of "APPEAL"
Etymology: plead, please ⟹ HARMONY

DEFIN'& Add elements to consider

TRANSITION to next movement

END OF MVMT #1 BACKGROUND | START of MVMT #2 - NEW MODEL EXPLAINED

Def'n in a SPECIFIC CONTEXT W/ Egs.

Historical DEFNS & SUM. CLARIFY — "W/ Egs"

Also important: medium background personal positions

Best place to start: ordinary usage WHAT IS THE APPEAL?

"everyday" usage of "APPEAL"
↳ to plead
↳ to please
↓
DEFN: APPEAL to create HARMONY b/w author & audience

• directed to an AUDIENCE
• moves INDIRECTLY
↳ "triangulating path" (p. 254)

What does Etymology mean? Why so there?
? ∴ Etymology: the study of the history of words, definitions & usage over time (asked prof)
↳ teaches us how cultural context shapes language & vice versa.

the appeal to the Higher Power is meant to sway the audience of police or jury. In these cases the appeal goes toward the audience by way of the third position, God or Nature. The author is trying to align the three positions: the author's position, the position of authority or value, and the audience's position.
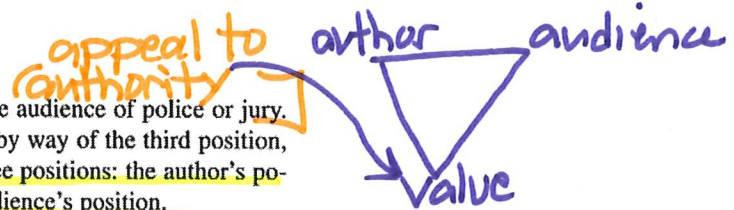
This triadic quality of appeals—the attempt to align the three positions—is also suggested by the nautical imagery within the etymologies of *plead* and *please*—the part about calming the seas—which in turn resonates in a special way with one strand in the etymology of *appeal*:

> appeal—1297 (n.), 1330 (v.), originally in legal sense of "calling" to a higher judge or court, from Anglo-Fr. apeler "to call upon, accuse," from L. appellare "to accost, address, appeal to, summon, name," iterative of appellere "to prepare," from ad- "to" + pellere "to beat, drive." Probably a Roman metaphoric extension of a nautical term for "driving a ship toward a particular landing." Popular modern meaning "to be attractive or pleasing" is quite recent, attested from 1907 (appealing in this sense is from 1891), from the notion of "to address oneself in expectation of a sympathetic response." (Harper n.p.)
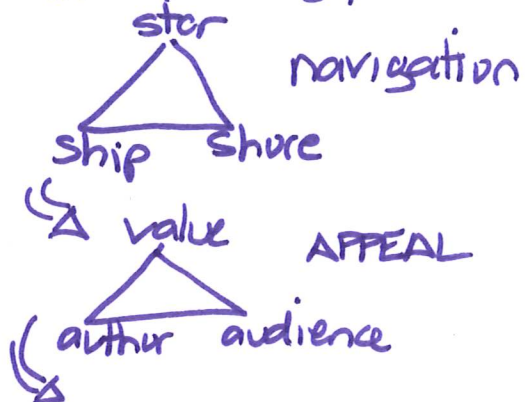
The act of navigation, implied in driving a ship into port, depends upon triangulation. Sailors navigate by the stars. The ship goes from launch to landing, but the direction is guided by the stars. Appeals go from author to audience, but their success may well be determined by some association the author forms with a third entity, the metaphorical equivalent of the stars. In the example "As God is my witness," the criminal appeals to the audience by way of the higher power. An appeal generally follows such a triangulating path, at least in its basic form.

When Kenneth Burke claims that rhetoric is founded upon the act of identification, he hints at the triangulating movement of the appeal. He gives the example of a politician who claims to have grown up as a farmer when he addresses an audience of farmers. The politician appeals to the common ground (sub-stance) of past experience in order to close the distance between himself and the people he seeks to please. Appeals always involve such acts of transformation and substitution. The politician becomes a farmer for the moment, or he substitutes an image of the farm boy from days past for the present image of the politician that stands before the eyes of the farmers. The identification depends upon the power of the appeal to close the distance. Another tack would call for the politician to appeal not to the present condition of the farmers but to what they lack—power, that is. The politician thus aligns himself with the powers of the state capital and appeals to the audience by virtue of his association not with

them but with what they need or desire. The farmers live out their yearning for power by allowing the politician to substitute for (represent) them.

The metaphor of triangulation made its way into the methodology of the social sciences and came back to rhetoric and composition via ethnography. The methodology is nearly as popular in recent composition studies as it is in anthropology. The ethnographer who goes into the native village (or a composition class in a suburban American university) must find ways to corroborate testimony. What one villager says must be triangulated against what others say in the same site or in similar sites reported in the literature. To make a valid argument, the researcher must make dozens of appeals, all of which involve such triangulation. The whole activity roughly corresponds to the work of a sailor who plots a series of courses that leads the ship into the desired port.

Equally important in this navigational metaphor are the idea of motion. In some ways the author, the person making the appeal, must move toward the audience, whether in identifying with what the audience is (farmers, as in our previous example) or with what the audience desires (power, in the same example). In navigating by way of common ground or desire, the author moves toward the audience, but this motion must be reciprocal. The audience must recognize and respond to the appeal, the point of triangulation. The audience must be *moved* in the sense of changing positions as well as in the sense of emotional engagement—in every sense of the term implied in the concept of *movere* from Roman rhetoric (Barilli ix).

Also implied in the navigational metaphor is the idea of moving through something and the idea of resistance. Authors and audiences occupy stances or positions and must be set into motion against the resistance of inertia. The very medium of movement—the sea that must be navigated—increases resistance. The idea of appealing through a medium is crucial. We can think of the medium in all the ways made possible by contemporary theory—from media theory (McLuhan, for example) to traditional semiotics, which connects the concepts of signs and media (see the overview in Killingsworth and Gilbertson 37–89), and social semiotics, which connects media and signs to sociocultural contexts (Hodge and Kress). There is certainly language to consider, the medium of communication that must be smoothed for easy passage or energized to motivate (in the literal sense of "motivate"). But there are also contexts of many kinds that must be mediated—textual, social, historical, cultural—a virtual sea of channels, genres, forms, manners, mores, expectations, typologies, myths, habits, and patterns that must be negotiated. Burke's farm-going politician may not be able to use the language of the political specialist or the lawyer to make his appeal as a farmer among farmers, but must immerse himself in the colloquial, though he does so at the risk of appearing phony. He must appeal through the stereotype of

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Handwritten annotations:

PAGE SUMMARY: must consider the MEDIUM (language & contexts) that create resistance to the APPEAL in order to MOVE the audience.

Illustrative Eg. of APPLICATION

EXPAND DEF'N unto new facet

EXPAND DEFN again

Egs.

Eg from Ethnography
• gathering testimony = "triangulating" many stories

MOTION: audience must be MOVED (engaged) by the appeal

MEDIUM: language, social contexts, habits etc. create Resistance that must be overcome in order to MOVE the audience

What is ethnography?

ETHNOGRAPHY: "the study and systemic recording of human cultures" and "a descriptive work produced from such research" (Merriam Webster)