



阅读的修辞性研究

On the Rhetoricity of Reading

姚喜明 著

Written by Yao Ximing

上海大学出版社



阅读的修辞性研究

On the Rhetoricity of Reading

姚喜明 著

Written by Yao Ximing

上海大学出版社

## 图书在版编目(CIP)数据

阅读的修辞性研究/姚喜明著. —上海: 上海大学出版社, 2006. 7

ISBN 7-81058-994-6

I. 阅... II. 姚... III. 修辞学-研究-英文  
IV. H05

中国版本图书馆 CIP 数据核字(2006)第 077156 号

责任编辑 张芝佳 封面设计 孙 敏

## 阅读的修辞性研究

姚喜明 著

上海大学出版社出版发行

(上海市上大路 99 号 邮政编码 200444)

(<http://www.shangdapress.com> 发行热线 66135110)

出版人: 姚铁军

\*

上海华业装潢印刷厂印刷 各地新华书店经销

开本 890×1240 1/32 印张 9 字数 261 000

2006 年 7 月第 1 版 2006 年 7 月第 1 次印刷

印数: 1~2100

ISBN 7-81058-994-6/H·134

定价: 23.50 元

# 前 言

阅读是人类获取关于世界的知识、影响社会信念和提高个人修养的一种重要途径。在阅读研究的初期,人们就认识到阅读是一个认知过程,并从心理学的角度进行了大量的研究。这一传统被继承了下来,其影响一直持续到上个世纪末。这一点从阅读的信息加工模式中就可以看得出来。作为一种使用符号在读者中产生效果的活动,阅读是一种接受修辞行为,因而,也具有修辞性。

在阅读过程中,或然性是符号的任意性和读者的认知经验的多样性共同作用的结果,和不确定性的排除紧密相关,构成阅读过程中劝说的基础。当阅读中的不确定性被极端夸大,阅读便被不可判断性所支配。保罗·德曼和其他一些解构主义者就持这种观点。文本,作为作者劝说意图的载体,具有意义潜势和劝说力。而劝说力的实现则有赖于读者的合作。三种传统的劝说方式,理性诉求、人格诉求和情感诉求,依然在阅读中起作用。阅读中有偏离,也存在同一。在意义的构建过程中,读者不断地发现与作者共享的知识,并构建起和作者相同一的意义体。阅读是心理认知过程,也是知识获取过程。读者不但从文本中获取知识,同时也把作者的知识 and 自己的知识相结合,创造知识。

修辞活动总是发生在某一个情景中。根据 Bitzer 的观点,修辞情景包括紧急状态、听众和限制因素。后来, Biesecker、Vatz 和

Flower 等人进一步扩展了这个概念,认为作者也可以创造紧急状态。阅读是一种事件,发生在紧急状态下,读者也可以创造阅读的紧急状态以达到不同的目的。阅读的修辞语境包括宏观的和微观的语境。前者包括读者所知道的作者所处的情景、读者所处的社会文化背景、读者的物理环境以及读者本人。后者包括读者的心理基础,即他的认知机制和心理词库,以及语言语境,即篇章、句法和语义等语境。一般来说,宏观语境促成阅读行为紧急状态的产生,微观语境则构成阅读过程的限制因素。

修辞效果是通过一系列的语言单位的认知加工才取得的。认识阅读的修辞性的关键在于,弄清在阅读的每一个步骤中,读者是如何在排除无数的不确定性后做出选择的。词汇识别的三种认知模式试图从不同的角度对词汇加工进行阐释。词元模式认为,每个词的识别都涉及到该词的阈值的改变;自动搜索模式认为,词的识别和它们的使用频率有关;而集群模式认为,词的加工开始时采取自下而上的方式,进而语音输入、词频、句法语境和语义语境参与其中,最后和整个语境结合在一起。

以此为基础,作者提出,在一定的拓扑变化范围内,视觉信息是自动加工的。当超出这个拓扑变化的范围时,视觉信息的加工则必须在语境的干涉下经过信息转化才能够被识别。语音转录不是阅读的必须环节,而是一个可选项。它有助于提高阅读效率,这是因为利用了不同的认知资源从而降低了单个认知模块的负荷。词的意义选择过程是通过两种联系产生的:联接和指示。前者指的是语言系统内部的联系,后者指的是语言系统和非语言系统之间的联系。

词的加工发生在阅读过程的底级层面上。句子加工发生在高一

级的层面上，并且是读者构建虚拟作品最重要的一个环节。在进行句子加工时，读者采用一系列的策略。这些策略可以分为三种：句法策略、语义策略和信息结构策略。句法策略又可以进一步分为词序策略、句子成分策略和功能词策略；语义策略又可分为实词策略和相关策略；信息结构策略则是指读者通过扩展共有的认知知识把已知信息和新信息联系起来。利用这些策略，读者不断趋近并获取作者在文本中创造的意义潜势。在读者的大脑中，意义是通过一系列的映射构建起来的，一般有四种：投射映射、语用函数映射、图式映射和双重映射。每种映射处理具有不同特征的句法结构。

词汇和句子加工完成后，读者便获得了阅读的修辞效果。通常有四种修辞效果：1. 成功的劝说，即读者的认知经验在很大程度上和作者的认知经验取得同一，这样，读者取得和文本基本相等的修辞意义；2. 因意义缩小而部分实现的劝说，即读者和作者取得部分同一，损失了部分文本意义；3. 因意义膨胀而部分实现的劝说，即读者和作者取得部分同一，但读者添加了在文本中并不存在的意义；4. 意料之外的劝说，在这种情况下，读者完全歪曲了文本中的修辞意义并自行构建了一个意义体。

在本书的写作过程中，胡曙中教授给了我极大的帮助。他不但在许多宏观问题上提出了不少指导性意见，而且在许多微观内容上也提出了很多批评，这些意见和批评使我避免了许多错误。美国 Belmont 大学 Hap Bryant 博士通读了全书，并提出了许多中肯的意见。在我求学的过程中，张霖欣教授不断地鞭策，并在生活上、学业上等多方面给予帮助。卢卫中博士、李志岭博士、陈兵博士、张辉博士、姜亚军博士等也曾给予各种帮助和鼓励。在此，我向他们表示深

深的谢意。

书中的错误及不妥之处，均由本人负责。欢迎读者提出批评意见。

姚喜明

2006年4月

# Abstract

Reading is an important means by which human beings acquire knowledge about the world, influence their social beliefs, and refine their personalities. At an early stage of reading research, reading had been considered as a cognitive process and a significant amount of research had been made from the psychological perspective. This tradition has been inherited and its influence continued until the end of last century, which can be seen from the information processing models of reading. Because reading is a symbol using activity to produce a certain effect on the reader, it is considered as a rhetorical act. Thus, it is equipped with rhetoricity. This dissertation attempts to view reading from the rhetorical perspective and to investigate its rhetoricity with recourse to the cognitive achievements of the reading models. The rhetoricity of reading is discussed from two aspects: effects and process.

Since rhetoric is a discipline concerning effects of symbol using, in discussing the rhetoricity of reading, the rhetorical aspects concerning effects—persuasiveness, identification and knowledge acquisition are discussed in order to discover the mechanism of the text's persuasion, the reader's role, the process of persuasion, how



the means of persuasion work, how identification is achieved and why reading is epistemic.

In the reading process, probability, which is the result of the integrated effect of symbol's arbitrariness and the diversity of the reader's cognitive experience, is closely related to the reduction of uncertainties in the reading process and constitutes the foundation of persuasion. When uncertainty in reading is exaggerated to extremities, reading will be dominated by undecidability, which has been maintained by Paul de Man and other deconstructionists. The text, a carrier of the writer's persuasive intention, is a meaning potential and is endowed with persuasive force, the realization of which depends on the reader's cooperation to persuade himself. The three traditional modes of persuasion—logos, ethos and pathos, also work in reading. Reading is both a deviation process and an identifying process. In the process of meaning construction, the reader continuously discovers the mutually shared knowledge with the writer and constructs the identified meaning entity. Reading is an epistemic process as well as a cognitive one. The reader can not only to acquire knowledge from the text but also create knowledge by integrating the writer's knowledge with his own.

Rhetorical activity occurs exclusively in a certain situation. According to Lloyd F. Bitzer, the term "rhetorical situation" covers exigence, audience, and constraints. Later, Barbara A. Biesecker, Richard Vatz and Linda Flower further expanded the scope,

maintaining that the writer can create exigence. Reading is an event, taking place in exigence, and the reader can also create exigence to fulfill different purposes. The rhetorical context of reading includes the macrocontext and the microcontext. The former includes the writer's situation in the eyes of the reader, the social and cultural background the reader is in, the reader's physical surroundings and the reader himself. The latter includes the reader's psychological foundations, which covers his cognitive mechanism and the mental lexicon, and the linguistic context, which covers the textual context, the syntactic context and the semantic context. Generally, the macrocontext contributes to the formation of exigence of the reading act and the microcontext constitutes the constraints of the reading process.

Rhetorical effects are achieved through the cognitive processing of linguistic units. The key to understanding the rhetoricity of reading is to discover how choices are made at every step of the reading process with a plethora of uncertainties removed. Three cognitive models of word recognition have been already constructed to disclose how words are processed in the mind from different perspectives. The logogen model assumes that the recognition of each word involves the change of its threshold; the autonomous search model assumes that words are processed in terms of their frequency; and the cohort model assumes that word processing begins with a bottom-up mode, continues with the involvement of

phonetic input, word frequency, and syntactic and semantic context, and then, ends with its integration into the entire linguistic context. Having reviewed these models, I propose that visual information is processed within a range of topological change automatically, and the visual information beyond the range goes through transformation with contextual intervention. Phonological recoding is not a necessary link but an option in word recognition. It can help improve reading efficiency, because different cognitive resources are used instead of only one cognitive resource, and the load of a single cognitive modality is reduced. The meaning choosing process of a word is carried out with associative connections, which refer to the connection within the verbal system, and referential connection, that is, the connection between verbal system and nonverbal system.

The processing of words occurs at the bottom level of the reading process. The processing of sentences occurs at a higher level, and is the most important link when the reader constructs the virtual work. The reader processes sentences by applying a series of strategies, which are divided into three types: the syntactic strategy, the semantic strategy and the information structure strategy. The syntactic strategy is further divided into word-order strategy, part-of-speech strategy, and function-word strategy; the semantic strategy into notional-word strategy and relevance strategy; and lastly is the information-structure strategy, in which the reader

connects the given information and the new information through extending the mutual cognitive knowledge. By these strategies, the reader approaches and accesses the meaning potential that the writer has devised in the text. In the reader's mind, meaning is constructed through a series of mapping processes, which are usually classified into four types: projection mapping, pragmatic function mapping, schema mapping and dual mapping. Each of the mappings deals with syntactic structures with different features.

Having completed the processing of words and sentences, the reader achieves four kinds of rhetorical results: first, successful persuasion, that is, the reader's cognitive experience identifies to a large extent with the writer's and, thus, acquires a rhetorical meaning equivalent to that in the text; second, the half-done persuasion with the rhetorical meaning deflated, by which the reader achieves partial identification with the writer and loses much of the rhetorical meaning of the text; third, the half-done persuasion with the rhetorical meaning inflated, by which the reader achieves partial identification but adds considerable meaning which is not present in the text; and finally, the unexpected persuasion, by which the reader completely distorts the rhetorical meaning in the text and makes up one of his own.

# Contents

## CONTENTS

前言 .....	VII
Abstract .....	XI
<b>Chapter 1 Introduction .....</b>	<b>1</b>
1.1 Significance and Purposes of Reading .....	2
1.2 Perception of Reading .....	7
1.3 Rhetoric and Rhetoricity of Reading .....	11
1.4 Objective and Methodology of the Study .....	18
<b>Chapter 2 A Brief Review of Reading Research .....</b>	<b>20</b>
2.1 Reading Research prior to 1960s .....	20
2.2 Reading Research after 1960s .....	23
2.3 A Sketchy Review of the Reading Models .....	26
2.3.1 The Information Processing Model .....	27
2.3.2 The Automatic Information Processing Model .....	31
2.3.3 The Psycholinguistic Model .....	36
2.3.4 The Interactive Model .....	40
2.3.5 The Schema-Theoretic View .....	42
2.4 Summary .....	46

## **Chapter 3 Probability, Persuasion, Identification, and**

<b>Epistemology of Reading</b> .....	48
3.1 Reading: Probability vs. Undecidability .....	49
3.2 The Persuasiveness of Reading .....	52
3.2.1 Persuasion: Classical and Modern .....	53
3.2.2 Persuasive Text and Persuasive Reader .....	55
3.2.2.1 Writer's Intentions and Text's Persuasive Potential .....	56
3.2.2.2 The Dynamic Reader in the Persuasive Process .....	59
3.2.3 Persuasion in Reading: Barriers and Foundations .....	62
3.2.4 Knowledge from Persuasion .....	66
3.2.5 Process of Persuasion in Reading .....	69
3.3 Three Modes of Persuasion .....	74
3.3.1 The Appeal to Reason .....	76
3.3.2 The Appeal to Characters .....	80
3.3.3 The Appeal to Emotions .....	85
3.4 Identification and Epistemology of Reading .....	88
3.4.1 Identification: from Language System to Social Beliefs .....	89
3.4.2 Reading: Cognitive and Epistemic .....	92
3.5 Summary .....	95

<b>Chapter 4</b>	<b>Reading in a Rhetorical Context</b>	97
4.1	Reading as Event	98
4.2	Rhetorical Situation	99
4.2.1	Rhetorical Situation; a Traditional Perspective	100
4.2.2	Rhetorical Situation for and by the Writer .....	104
4.3	Rhetorical Context of Reading—the Macro Aspect .....	108
4.3.1	What Constitutes the Rhetorical Context of Reading	108
4.3.2	The Writer's Situation in the Reader's Eyes	111
4.3.3	A Distant View of the Text	114
4.3.4	Social and Cultural Context of the Reader .....	116
4.3.5	Immediate Context; the Physical Situation and the Reader	120
4.4	Psychological Aspect of the Reader—the Microcontext ( I )	124
4.4.1	Psychological Foundations of Reading	125
4.4.2	The Mental Lexicon	127
4.5	Linguistic Aspect—the Microcontext ( II )	130
4.5.1	Textual Context	131

4.5.2	Syntactic Context .....	135
4.5.3	Semantic Context .....	138
4.6	Summary .....	141
<b>Chapter 5</b>	<b>Rhetorical Processing of Words .....</b>	<b>143</b>
5.1	A General Description .....	144
5.2	Cognitive Models of Word Recognition .....	146
5.2.1	The Logogen Model .....	147
5.2.2	The Autonomous Search Model .....	149
5.2.3	The Cohort Model .....	150
5.2.4	A Brief Comment .....	151
5.3	Word Processing: a Rhetorical Perspective .....	152
5.3.1	From Referents to Symbols .....	153
5.3.2	Prior to Word Recognition .....	156
5.3.3	Word Recognition and Symbol Transformation .....	158
5.3.3.1	The Processing of Visual Information .....	159
5.3.3.2	Phonological Recoding: Yes or No? .....	167
5.3.3.3	Lexicon as Dynamic .....	172
5.3.3.4	Rhetorical Processing Operations .....	177
5.4	Summary .....	183



<b>Chapter 6 Rhetorical Processing: Sentence and Text .....</b>	<b>185</b>
6.1 Rhetorical Strategies in Sentence Processing .....	185
6.1.1 Syntactic Strategy .....	187
6.1.1.1 Word-order Strategy .....	188
6.1.1.2 Part-of-Speech Strategy .....	191
6.1.1.3 Function-word Strategy .....	193
6.1.2 Semantic Strategy .....	196
6.1.2.1 Notional-word Strategy .....	197
6.1.2.2 Relevance Strategy .....	200
6.1.3 Information Structure Strategy .....	203
6.2 Mapping Mechanism in Reading .....	207
6.2.1 Projection Mapping .....	208
6.2.2 Pragmatic Function Mapping .....	209
6.2.3 Schema Mapping .....	211
6.2.4 Dual Mapping .....	215
6.3 Meaning Construction in Text Processing .....	219
6.3.1 Text and its Representation .....	220
6.3.2 Different Stances for Different Texts .....	225
6.3.3 Text Structure and Text Representation .....	229
6.4 Varied Virtual Texts and Varied Persuasive Effects .....	233
6.4.1 Successful Persuasion: Equivalent Rhetorical Meaning .....	233
6.4.2 Half-done Persuasion: Rhetorical Meaning .....	