I

INTRODUCTION

1.2 Literature and Motion Pictures

The history of motion pictures shows that literature and cinema are tied in a strong, or what seems to be, an unbreakable bond. Both have been regarded essentially as modes of expression. As Robert Richardson in the ‘Prologue’ to his book *Literature and Film* (1969: 4) remarks:

> The overarching likeness that makes it possible to consider most films and much of literature together is the very simple but possibly crucial observation that, in general, literature and film are story-telling arts.

This great capacity of story-telling or narration by both these arts – literature and film – has, in fact, kept them inseparable. Since the advent of motion pictures (otherwise termed as ‘cinema’ or ‘films’ or ‘movies’) more than a century ago, filmmakers have borrowed extensively from literary sources such as novels, plays, histories, and biographies, translating words on a page to pictures on a screen (in the era of Silent Films) and eventually to pictures and sound in movie houses (in the form of Talkie Films), on television (after transferring the films into Video Cassettes, Video Compact Discs, or Digital Video Discs), and in other forms of advanced technology (such as Digital Technology or 3D Technology). Cinema has always been involved, then, in what came to be called ‘Adaptation’, the transformation of printed works to another medium.

James M. Welsh and Peter Lev in the ‘Introduction’ to their book *The Literature/Film Reader: Issues in Adaptation* (2007: p. xiii) seem to echo the same impression:

> After a century of cinema, movies have changed substantially, both technologically and stylistically, but after a hundred years,
mainstream cinema is still telling and retelling stories, and most of those stories are still being (or have been) appropriated from literary or dramatic sources, as much as 85 per-cent by some calculations and accounts. Adaptation has always been central to the process of filmmaking since almost the beginning and could well maintain its dominance into the cinema’s second century.

Referring to this intimate relationship between literature and cinema over the last century Brian McFarlane (1996: vii) even talks about “the pervasive nature of the interest in this confluence of two art-forms”. As Corrigan (1999: 17) observes, “Filmmakers initially turned to literature for more complex, well-known, and prestigious material, hoping to spread the attraction of the new medium into the middle classes.” (Corrigan as quoted by Kranz and Mellerski 2008: 1). In fact, they have succeeded, as film has now become the premier art form and also the most popular form of entertainment during the last century not only in America but also in other parts of the world. In spite of the rapid growth of the film world into an industry, adaptation has not been discontinued. It is estimated that adaptations represent a full third of Hollywood’s annual output, that their quality as measured by Academy Awards outnumber by almost double of films made from original screenplays, and that most of the biggest box-office winners over the years are adaptations.

1.2.1 Novels and Films
As mentioned above, the meeting point of literature and film is their art of story-telling, or narration. The fusion of story and cinema, thus, places film in the continuing tradition of narrative forms such as epic, folk tale, myth and the novel. There are many types of films like documentaries, news films, educational films, etc. But movies generally connote a story film. Films continue that tradition of the narrative. As Barthes (1977:79) puts it:

The narratives of the world are numberless. Narrative is first and foremost a prodigious variety of genres, themselves distributed
amongst different substances—as though any material were fit to receive man’s stories. Able to be carried by articulated language, spoken or written, fixed or moving images, gestures, and the ordered mixture of all these substances; narrative is present in myth, legend, fable, tale, novella, epic, history, tragedy, drama, comedy, mime, painting, stained glass windows, cinema, comics, new items, conversation. Moreover, under this infinite diversity of forms, narratives are present in every age, in every place, in every society; it begins with the very history of mankind and there nowhere is nor have been a people without narrative. All classes, all human groups, have their narrative, enjoyment of which is very often shared by men with different, even opposing, cultural backgrounds. Caring nothing for the division between good and bad Literature, narrative is international, trans-historical and trans-cultural: it is simply there, like life itself. Commentators in the field are fond of quoting the Poland-born British writer Joseph Conrad's famous statement of his novelistic intention: “My task which I am trying to achieve is, by the power of the written word, to make you hear, to make you feel--it is, before all, to make to see” (Joseph Conrad: Preface to *The Nigger of the Narcissus* (J. M. Dent and Sons: London: 1945:5).

This remark of 1897 is echoed, consciously or otherwise, sixteen years later by American film-maker D. W. Griffith whose cinematic intention is recorded as: 'The task I am trying to achieve is above all to make you see'. George Bluestone's all-but-pioneering work in the film-literature field, *Novels into Film* (1957), draws attention to the similarity of the remarks at the start of his study of 'The Two Ways of Seeing', claiming that 'between the percept of the visual image and the concept of the mental image lies the root difference between the two media?'. In this way he acknowledges the connecting link of 'seeing' in his use of the word 'image'. At the same time, he points to the fundamental difference between the way images are produced in the two media and how they are received. Finally, though, he claims that 'conceptual images evoked by verbal stimuli can scarcely be distinguished in the end from those evoked by non-verbal stimuli', and, in this
respect, he shares common ground with several other writers concerned to establish links between the two media. (McFarlane 1996:4). Christian Metz, the French film critic, also asserts that the cinema is invaded by what he calls “novelesque fiction” (as quoted by Morris Beja 1973:54). He adds that the rule of the story is so powerful that the image which is said to be the major constituent of film vanishes behind the plot it has woven…so that cinema is only in theory the art of images” (Ibid.).

1.1.2 Similarities between Novels and Films

Novels are narratives. So also are most of the films. Novels and films have narrative in common: the recounting of a sequence of events. Both of them tell stories about characters or what may be called the recounting of a sequence of events where the characters are active participants. However, sometimes certain characters are found to be quite passive.

Films can easily be used to reinforce narrative information from a text currently being read in educational institutions as part of the curriculum. That is the reason why films have now become the central conveyors of narrative in our culture. Commenting on this aspect of films John Harington explains,

> While other art forms have taken centuries to develop, he span of a single lifetime has witnessed the birth and maturity of film.”

Some critics like ..... find this similarity between the narrative form of the novel and the narrative form of the film significant, and describe, for example, Joseph Conrad and Henry James as ‘cinematic’.

Films also have the same literary features that are found in a literary or print text, e.g. symbolism and characterization.

---

1.1.3 Differences between Novels and Films

The major difference between novels and films is that the author uses words but the film-maker uses pictures or images (not literary images). In a novel (book) a scene is described, in a film a scene is depicted. Though the differences look quite simple externally, they are, in fact, quite complicated. A writer uses different literary techniques such as narration, description, dialogues, interior monologues, figurative languages in the form of images, metaphors, etc. In a film, the film-maker uses mainly two modes: pictures and sound. These two modes also undergo through highly complex technical processes. For pictures depend upon ways of shooting (proper camera movement), lighting, colours, contrasts, mise-en-scene (setting, props, costume, make-up), actors and acting, and also proper editing. Sound, on the other hand, heavily depend upon verbal language, music (background music including songs and dances), environmental sounds as well as special sound effects. One very important difference to be noted is that visual images stimulate our perceptions directly, while written words can do this indirectly. Reading about a scene requires a kind of mental translation but viewing a picture of a scene does not. Film is a more direct sensory experience than reading. Besides verbal language, there is also colour, movement, and sound.

1.1.4 Verbal Language of the Novel vs. Visual Language of the Film

The basic contrast between the novel and the film is that the former is a conceptual and discursive form and the latter a perceptual and presentational form. It needs to be noted here that the novel as a branch of literature and as a narrative medium is an art based on language. But language consists of vocabulary, grammar and syntax. Vocabulary consists of words, which represent things or abstractions, while grammar and syntax are the means by which the words are arranged. Film as a narrative art is also an art like the literary art based on language. Commenting on this language aspect of the film Richardson (1969:65-66) points out:
But the vocabulary of film is the simple photographed image; the grammar and syntax of film are the editing, cutting or montage processes by which the shots are arranged. Single shots have meaning as single words do, but a series of carefully arranged shots conveys meaning much as a composed phrase does. Shots of a house burning, a woman weeping, a plane flying close overhead have each a simple content, but if arranged in the order airplane/house/woman the three together make a statement. Film has an immense, a virtually unlimited vocabulary; its problem has been to evolve a film grammar as subtle as that possessed by a verbal language.

Taking a different view from Richardson’s and trying to present a clearer picture of film grammar or what is popularly known as Hollywood Grammar Monaco (2007:172) explains:

Film has no grammar. There are, however, some vaguely defined rules of usage in cinematic language, and the syntax of film – its systematic arrangement – orders these rules and indicates relationships among them. As with written and spoken languages, it is important to remember that the syntax of film is a result of its usage, not a determinant of it. There is nothing preordained about film syntax. Rather, it evolved naturally as certain devices were found in practice to both workable and useful. Like the syntax of written and spoken language, the syntax of film is an organic development, descriptive rather than prescriptive…

He further goes on to add:

In written/spoken language systems, syntax deals only with what we might call the linear aspect of construction: that is, the ways in which words are put together in a chain to form phrases and sentences, what in film we call the syntagmatic category. In film, however, syntax can also include spatial composition, for which there is no parallel in language systems like English and French – we can’t say or write several things at the same time. So film syntax must include both development in time and development in space. In film criticism, generally, the modification of space is referred to as “mise-en-scène”.
The French phrase literally means “putting in the scene”. The modification of time is called “montage” (from the French for putting together”). As we shall see…the tension between these twin concepts of mise-en-scene and montage has been the engine of film esthetics ever since the Lumieres and Melies first explored the practical possibilities of each at the turn of the century. (Ibid.).

1.1.5 Film as Discourse

In order to understand the process of adaptation there are many aspects to be taken into consideration. The most important ones, perhaps, the ones without which adaptation would not take place are the story and the discourse. The story includes the content behind the narrative, comprising the chain of events, the characters and the setting, whereas the discourse is the means by which the content is communicated (Stirbetiu 491-498). As Desmond and Hawkes put it (2006:39): “In simple terms, the story is the what in the narrative that is depicted, discourse is the how”.

1.1.5.1 Film as a Communicative Event

As has been noted above both novels and films are narratives and it is this that has kept them together in a congenital bond. Since novels and films are also modes of social communication or forms of social discourse they can be analysed through socio-linguistic rules and usage. They can thus be treated as communicative events as they directly address to the society at large.

Taking a cue from Labov (1972:362-6) where he presents a set of discourse rules for natural narratives. Films as instances of discourse can be hypothesized to have the following pattern:

i. Abstract -- This is a short summary of what the film is about. It encapsulates the point of the film in the title.

ii. Orientation –It identifies in some ways the time, place, persons and their activity or situation (e.g. the place, the time and also the
participants as shown in the cast normally shown before the real action starts).

iii. Progression – This constitutes the stages through which the film is developed.

iv. Finale-- It marks the point where the film ends.

v. Coda-- The filmmakers may use this to present their comments on what they have presented to the public or society. It usually comes the end. It may also come at the beginning or may be interspersed in between. In a film it can be extended to the audiences’ reaction in the form of comments.

In the scheme above (iii) and (iv) constitute the core of the film as a Communicative Event while (i) and (ii) are introductory elements and (v) as an evaluatory one (Adopted from Patel 1996: 26-7).

1.1.6 Film as Visual Literature

Films adapted from literary works, novels in particular, are also treated as visual literature. Literature uses only the linguistic form in its written mode, but films use the visual mode as well as the linguistic form in its oral mode. Both are forms of narrative. Films have tools and techniques peculiar to their forms of expression – the audio-visual form.

The misunderstanding relating to the quality of literature and that of the adapted film – the oft heard expression that the book is better than the film -- is, according to the filmmakers, because of the film critics’ “lack of acquaintance with basic movie-making grammar”, as noted by Jai Arjun (2011:1). One of his peeves is that too many reviews these days discuss movies almost exclusively in terms of their plots. Overemphasis on story has the effect of neglecting how the story is told with techniques that cinema has at its disposal. [They] don’t even feel the need to be acquainted with the most rudimentary camera movements… (Ibid.).

As a participant in the panel discussion at the ‘Times of India Literary Carnival - 2011’ Jai Arjun further points out:
One of the things that came up during our discussion was that the high quality of a literary work does not necessarily translate into high quality in the movie made from it. (If that were the case, a stationary-camera recording of a good stage production of Hamlet would automatically be a great film.) As our co-panelist Sooni Taraporevala, the screenwriter of such films as Salaam Bombay and The Namesake, put it: ‘A film mustn’t simply be an illustration of the book.’ (Ibid.).

She (Sooni Taaporevala) uses the term “spiritual DNA” to refer to the essence of a literary work, which is what the adapting screenwriter should mainly be concerned with (Ibid.).

What all these mean is that literature is a highly specialised linguistic exercise where the writer uses his literary tools like metaphor, imagery, etc. In the same manner, a filmmaker uses all his cinematic tools like camera, colour, light and shade, etc. for his narrative presentation. Nonetheless, it is also kind of literature – visual literature.

1.2 What is Film Adaptation

A film adaptation is the transfer of a written work, in whole or in part, to a feature film. It is a type of derivative work. A common form of film adaptation is the use of a novel as the basis of a feature film. Other works adapted into films includes non-fiction (including journalism), auto-biography, comic books, scriptures, plays, historical sources, and even other films. From the earliest days of cinema, in nineteenth-century Europe, adaptation from such diverse resources has been a ubiquitous practice of film-making.²

The main reason for this particular phenomenon of adaptation of a great book, or, especially, a bestseller may be purely commercial. Reasons. But a skilled and ambitious filmmaker may see in a poorly received or poorly written novel enough visual potential to make a great film. Bluestone (1973:62), it seems, closest to addressing the root cause of why this may be so when he writes:

What happens…when the filmist undertakes the adaptation of a novel, given the inevitable mutation, is that he does not convert the novel at all. What he adapts is a kind of paraphrase of the novel – the novel viewed as raw material.

This perhaps suggests that, while many a filmmaker will treat a classic work of literature as sacrosanct. Faithful adaptors tend to favour the long-held view that 'literature' is 'better' than cinema, and therefore it is necessary, when adapting, to advantage the source rather than the film based upon it. Thus they attempt to make a “faithful” adaptation of the work – ignoring the fact that a film adaptation must inevitably add, remove and alter aspects of the novel in order to make a successful film – when it comes to either a poor or mediocre novel a filmmaker is often much more willing to alter aspects of the text during the conversion process into film (Shepherd 2009:10).

1.2.1 Types of Adaptation

Wagner in his *The Novel and the Cinema* (1975:222-3) is perhaps one of the first commentators to identify “three types of adaptation: transposition – a novel directly given on screen; commentary – where an original is taken and either purposely or inadvertently altered in some respect; and analogy (e.g. a film that shifts the action of the fiction forward in time or otherwise changes its essential context; analogy goes further than shifting a scene or playing with the end, and must transplant the whole scenario so that little of the original is identifiable) (Quoted in Cartmel and Whelehan 1999:8).

Examples of ‘transpositions’ include the various BBC versions of classic texts such as those of Jane Austen and Charles Dickens, which attempt to be
exceedingly faithful to the novels; ‘commentaries’ include a number of the films including *American Psycho* (Mary Harron, 2000), *A Clockwork Orange* (Stanley Kubrick, 1971), *Fear and Loathing in Las Vegas* (Terry Gilliam, 1998), *The Fixer* (John Frankenheimer, 1968) *The Shining* (Kubrick, 1980) and both Stanley Kubrick’s (1962) and Adrian Lyne’s (1997) versions of *Lolita*; examples of ‘analogies’ may include *Clueless* (Amy Heckerling, 1995), which sets Jane Austen’s quintessentially English novel *Emma* (1816) in 1990s *Los Angeles*, or *Eyes Wide Shut* (Kubrick, 1999), which sets Arthur Schnitzler’s Viennese novella *Dream Story (Traumnovelle)* (1926) in contemporary New York City. (Adopted from Shepherd 2009:11-12).

1.2.1.1 Close Adaptation: An Example

Neil Jordan's adaptation *The Butcher Boy* (1997) of the Patrick McCabe novel of the same name (1992) is translated as directly as possible into film. The characters, plot line, setting and theme remain consistent with the novel, as you will see 3.

1.2.1.2 Intermediate Adaptation: An Example

Patricia Highsmith's novel, *The Talented Mr. Ripley* (1955) was adapted to the film of the same name (1999) by Anthony Minghella. The story and plot remain, for the most part, true to the novel, and the core structure is more or less retained. Nevertheless, this is considered an intermediate adaptation due to drastic variations in theme and character development. In Highsmith's novel, the character Tom Ripley is a sociopathic homosexual murderer, who coldly calculates the murder of Dickie Greenleaf with the specific purpose of taking over his identity and privileged status in society. In the film adaptation, Minghella drastically changes the character of Tom Ripley to a love-struck gay man who kills Dickie Greenleaf in a crime of passion. Similarly, in the novel,

---

3Film in the Classroom’ Masterpiece. (p-15) 2011. Web. 8 Oct. 2013
http://www.pbs.org/wgbh/masterpiece
Dickie Greenleaf is a friendly ex-pat socialite and an aspiring (though not very good) painter, while in the film adaptation, Minghella turns him into a remarkably self-centred womanizer who is classist and uses people for his own selfish purposes. These changes in character alter the theme of the novel in significant ways, yet the movie is entirely recognizable to the novel. (Ibid.).

1.2.2.3 Loose Adaptation: An Example

Francis Ford Coppola's *Apocalypse Now* (1979) is a loose adaptation of Joseph Conrad's novella, *Heart of Darkness*. In the novella, Marlow is a ferry-boat captain for a Belgian trading company, who sails up the Congo river to transport ivory downriver and to return Kurtz to civilization. The setting is the Congo during the Colonial era and focuses on colonialist abuse of the natives in a struggle between good and evil. The motive of darkness is presented and explored through the de-humanizing of the natives and Marlow's look into his own heart and soul.

Now, the movie shares many motifs and symbols with the novella. For example, the motif of darkness persists, not only in the abuse and de-humanizing of the natives (now Cambodian and Vietnamese), but also in the film's look into the human heart. Yet the story changes almost completely. Marlow becomes Army Captain Benjamin L. Willard, who is sent up the Mekong river and into the jungles of Vietnam and Cambodia to locate and assassinate Colonel Walter E. Kurtz.

While the movie is a loose adaptation of Conrad's novella, it also draws from other sources, such as Werner Herzegs *Aguirre, The Wrath of God* (1972) and Michael Herr's *Dispatches* (1977) (Ibid.).

1.2.2.4 Reverse Adaptation/Novelization: An Example

Reverse Adaptation/Novelization is the process of turning movies into books. Adapting books into movies is a normal phenomenon. But movies can also be turned into books which can be a good way to make some extra money. A movie
script that is turned into a novel is called ‘Novelization’. Though it is not usually considered much of a worthy literary endeavour, there is no doubt that such endeavours are big money-makers. For example, the novelization of *ET* made millions upon millions.

One of the reasons why these books are not given much respect is that they are an offshoot of film promotion. However, some of such books are quite good. For example, *Nosferatu* by Paul Monette is considered one of the best. One of the first examples of novelization is *King Kong*. The film’s screenplay actually appeared in 1932, a year before the release of the film.

Many successful novelization are based on genre films, particularly science fiction and horror flicks such as: *Star Wars, Star Trek, The Stargate series, Aliens, Underworld, X-men, The Omen, Dawn of the Dead*; or action films like: *Indiana Jones, National Treasure, Pirates of the Caribbean, The Rocky series, The Terminator series, Jumanji*. In the 1980’s, there were even books based on films like *Desperately Seeking Susan, Gremlins, Ferris Bueller’s Day Off, Grease and Grease 2*. (Fernandes: 2010) But it remains an established fact that books inspiring films are hardly comparable to books inspired by films. (Ibid.)

### 1.3 Language Adjustment in Adaptation

Fixed and Unfixed language (also referred to often as specific and unspecific language) are helpful terms when talking about fidelity and film adaptation. As Desmond and Hawkes (2006:34) put it, “the text's verbal language and the film's pictorial and aural languages have distinct qualities that prohibit the exact replication of a text on screen. No matter how concrete and specific an author's diction, his or her verbal language is ultimately unfixed and unspecified. On the other hand, pictorial and aural languages are fixed and specified”.

By way of an example they analyse the sentence: ‘A tree stood in front of the house where I used to live.’ Using this sentence as an example of text, they point out the specific pictorial and aural language choices a Director must make to adapt the textual language into film. The choices are many: What kind of tree is it? What time of day is it? What season is it? What occupies the space around the
tree? What does the house look like? From what point of view and perspective will the tree be shot? Furthermore, is there the sound of wind blowing through the branches? Birds singing? Etc...Sometimes information is not available at all from the text, so the director must make decisions on his own. For example, the outfit that a character is wearing may not be specified in the text, yet the director must clothe the character.

One can see that the changes from unfixed to fixed language require choices. In turn, these choices can be used to create a close adaptation, an intermediate adaptation or a loose adaptation. The move from the unfixed language of the text to the fixed language of the film can play a significant role in any discussion of film adaptation. (Ibid.)

Bluestone in his *Novels into Film* (1957:49) discusses the two media’s differing ability to handle time and space. He defines language as a medium consisting of “three characteristics of time – transience, sequence and irreversibility”, but in film “the camera is always the narrator, we need concern ourselves only with the chronological duration of the viewing and the time-span of narrative events” (Ibid). It is precisely due to the difference between the two, the gap between the forms that adaptation is rendered into a far more creative and constructive process than simple translation.

### 1.4 Problems in Transposition of Space and Time

As Bluestone in his *Novels into Film* (1957:103) illustrates, the inherent problem with many transpositions is that they adhere stringently to the plot of the novel from which they are derived, yet of course the plot was never designed to convey images upon the eye, but rather only to convey images upon the mind’s eye. Thus, Bluestone produces what is universally accepted as one of the most important paragraphs in his book:

> Both novel and film are time arts, but whereas the formative principle in the novel is time, the formative principle in the film is space. Where the novel takes its space for granted and forms its
narrative in a complex of time values, the film takes its time for granted and forms its narrative in arrangements of space. Both film and novel create the illusion of psychologically distorted time and space, but neither destroys time or space. The novel renders the illusion of space by going from point to point in time; the film renders time by going from point to point in space. The novel tends to abide by, yet explore, the possibilities of psychological law; the film tends to abide by, yet explore, the possibilities of physical law (Ibid.61).

When a screenwriter and director adapt a novel into a film they are taking a text which - while it does of course exist in physical space as an entity but not as a narrative – is constructed within a framework of time, i.e., chronologically rather than spatially organised. They then transform it into a text which -- while it exists within time -- is arranged according to spatial principals.

Another important film scholar, Jean Mitry (1971:7-8), also dealt with this dilemma in a similar manner when he wrote that:

Time in the novel is constructed with words. In the cinema it is constructed with actions. The novel creates a world while the cinema puts us in the presence of a world which it organizes according to a certain continuity. The novel is a narrative which organizes itself in a world; the film, a world which organizes itself in a narrative.

Both Bluestone’s and Mitry’s preceding comments, when arranged together, should go some way to indicating just how different these two aesthetic objects – the novel and the film – actually are, and as a result highlight the immense difficulties facing screenwriters and directors who wish to make successful and intellectually challenging adaptations.(Adopted from Shepherd 2009:12-13).
1.5 Adaptation and Fidelity

‘Fidelity’ is a term used when talking about film adaptations. The degree of fidelity represents how faithful the film adaptation is to the original text. In other words, the book is the norm and the film should be a perfect copy of the book in terms of sight and sound. Desmond and Hawkes in their book *Adaptation: Studying Film and Literature* (2006:2-3) do not use fidelity “as an evaluative term that measures the merit of films, but as a descriptive term that allows discussion of the relationship between companion works”.

One of the first adaptations was filmed in 1924 with Eric Von Stroheim's *Greed*, a literal adaptation of Frank Norris's *McTeague*. The film adaptation was over sixteen hours long!!! That was probably the last literal or a fully faithful adaptation of a novel ever attempted. Some other mediums, the short story, for example, or the comic book, lend themselves to literal adaptations, but not novels. Since that time, directors have used a variety of techniques to create adaptations that fit within a reasonable time frame.

1.6 A Brief History of Film Adaptation

In March of 1895, the founding fathers of modern film, Louis and Auguste Lumiere projected the first film for a public viewing: *La Sortie des Ouvriers de L’Usine Lumiere a Lyon* (Workers Leaving the Lumiere Factory). It, like other films of its time, actually showed what the title stated: workers leaving a factory for home. It was like other early films which were “actualities,” or non-fictional and generally unedited views of ordinary slices of life: street scenes, firemen, passing trains, and parades. But Edison and Heise took a historic decision to tell a story. But rather than write a story, they decided to adapt one. They hired the well-known stage actors May Irwin and John C. Rice of the of the Broadway and had them re-enact the final scene of John McNally’s stage production *The Widow Jones* so that a broader audience might be able to experience a Broadway show. This twenty-second clip entitled *The Kiss* was brilliant. It was brief but sensational. It thrilled, awed, and enraged its audience
when it was projected onto a makeshift screen in Ottawa, Canada on July 21, 1896. It was blasted by the clergy as a “lyric of the stockyards”. Several newspapers also gave disapproving reviews. However, in 1999 Heise and producer Thomas Edison finally received their long overdue reward when the Library of Congress deemed the short film “culturally significant” and selected it for preservation in the National Film Registry. The film is significant on many levels: With a single twenty second clip, Edison and Heise gave life to both (i) narrative film, and (ii) film adaptation. Thus, through this short clip they created new horizons for film by opening the door for the narrative films of the next century, i.e. the twentieth century. It was also (iii) the first on-screen kiss, and, as a result, (iv) ignited the first censorship debate regarding film.

In 1903, one of Edison’s former cameramen, Edwin S. Porter, directed the first narrative film of significant length, *The Great Train Robbery*. This ten minute one-reeler had fourteen scenes based on an 1896 stage melodrama bearing the same title by the American playwright Scott Marble (1847–1919). It became not only a classic film but also the most popular and commercially successful film of the early days. At the same time, it created a sensation by establishing ‘film’ as a commercially viable medium. Film began to develop quite fast as a popular form of entertainment. In their competition for acquiring high quality narrative material production companies quickly turned to works of literature.

As the popularity of cinema grew, so did the lengths of the films produced. Producers realized that an audience would sit in the theatre for more than an hour. They also became sure that they could save money—and therefore make more money—by shooting longer films on standing sets rather than constantly building new sets. Thus, production companies began creating the first feature films. In Europe, the first was Michel Carre’s *L’Enfant Prodigue* produced in 1907. The US studios quickly followed suit by producing a four-reel version of *Les Miserables* (1909), releasing each reel separately. Two years later, the Italian *L’Inferno* (*Dante’s Inferno*) was released in its entirety. Not to be outdone,
H.A. Spanuth produced and released *Oliver Twist* (1912). It became the first US feature film to be shown in its entirety. Two years later, D.W. Griffith released the first epic motion picture, the 175-minute *The Birth of a Nation*. Although the film is often condemned for its blatantly racist outlook, it is in many ways the most influential film ever made in that it first used techniques that have now become industry standards. Interestingly enough, all of these major milestones in cinema history are adaptations. By the mid-30s, adaptations were so popular and widespread that Maxine Block attempted to catalogue all films based on works of fiction or drama. After researching a scant three-month period, she found at least 39 films that were drawn from literary sources and published her findings as an article entitled simply ‘Films Adapted from Published Works’. In 1979, Morris Beja estimated that roughly 30 percent or more of all films produced *each* year were based on novels and that sixteen of the twenty highest-grossing films ever were adaptations drawn from novels. Five years later, Dudley Andrew claimed, “Well over half of all commercial films have come from literary originals”. The most recent edition of *Enser’s Filmed Books and Plays* includes 8,000 entries listing films released from 1928 through 2001 that were based on novels or plays. If Hollywood’s own standard of excellence, the Academy of Motion Picture Arts and Sciences annual Oscar Awards, is used as a gauge of the predominance of adaptation, the numbers are quite telling. Of the 240 Best Picture Nominees since 1957, 153 have been adaptations. Beja’s claim was based on the 1977 list of highest-grossing films, and therefore does not take into account the Lucas/Spielberg era. However, the most recent list includes ten adaptations in the top twenty with six of those films falling into the top ten. *Gone with the Wind* (1939), an adaptation, remains the all-time box office champ. 1957 was the first year the Academy made a definitive decision that only five films would be nominated in each major category. It was also the year that the Screenwriting category was officially separated. In fact, in the entire 77-year history of the Academy Awards, 70% (54 films) of the winning films have been adapted from literary sources.
The history of film adaptation as mentioned above proves that ‘Adaptation’ is as old as the cinema itself and shows no signs of weakening. Greg Jenkins in his book *Stanley Kubrick and the Art of Adaptation: Three Novels, Three Films.* Jefferson (1997:8) has observed that adaptation “is a presence that is woven into the very fabric of film culture”. Although this statement is true, no definitive theory of adaptation exists. Critics and scholars ponder adaptation, yet cannot seem to agree on what makes an adaptation good or bad, a success or a failure. Jenkins further explains:

Adaptation represents such a dark and enigmatic thread that it has elicited disparate and sometimes diametric opinions. Even among those who champion faithful adaptations, there is no clear formula concerning how generally to implement the procedure, or afterwards how to evaluate the procedure’s success or failure. (ibid.)

The problem of adaptation stems from many sources. What, if anything, does a film owe the novel or play on which it is based? How does a film remain faithful to its source? Is a film a version of a story or its own autonomous work of art? Who is the author of this work? What is an Author? Which text is given primacy: the novel or the film? What is a Text?

These questions, and many others, are at the heart of adaptation studies. No doubt, adaptation creates problems, but, at the same time, it brings about opportunities. Because it raises so many questions, because it creates interpretive problems, because it is so elusive, adaptation can become the perfect tool for promoting our own critical engagement with a particular work of literature and literature as a whole by “reading” texts in a different medium. From a pedagogical perspective, asking students to respond to literary texts through their filmic counterparts enhances students’ awareness of their own interpretive and reading strategies, and thereby promotes active engagement with the literary originals on multiple levels of textuality.
A major controversy normally created by the literary critics is because of their view that the novel or the other literary sources as primary and the film based on them as secondary. This is not necessarily the case. If one considers primary to mean simply occurring first in time or sequence, then obviously the novel on which the film is based is the primary text. However, if one considers primary to mean highest in rank, quality, or importance, then it can be easily argued that many adaptations rise above their source texts while others raise their source texts to new levels of awareness or importance. Any medium that is able to do either of these cannot be considered secondary. (Adopted from Bane 2006:3-6).

1.6.1 Adaptation Overseas

John Harrington, in his book *Film And/Is Art* (1977), estimates that a third of all films ever made have been adapted from novels, and, if one includes other literary forms, such as drama or short stories, that estimate might well be 65 percent or more. Nearly all of the works of classic literature students study in high school have been adapted for film—some many times and in multiple languages, settings, or formats. For example, there are over 200 film versions of Sherlock Holmes, from a silent film made in 1916 by William Gillette to the reimagined 2010 Masterpiece version starring Benedict Cumberbatch. There are nearly 50 film versions of *Romeo and Juliet*, from a 1900 French version called *Roméo et Juliette* to the 2011 animated American film *Gnomeo and Juliet*. But turning a novel into a screenplay is not just a matter of pulling dialogue from the pages of a book.

In novels, we often come to know characters best not through what they say, but through what they are thinking or what is said about them in the narration. A narrator mediates the meaning of what we read through his or her point of view: a coming-of-age story reads much differently if we hear about what happens from the point of view of the person growing up than if we learn about it from that person’s mother, sister, or teacher. But in film, the narrator largely disappears. Sometimes a narrator’s perspective is kept through the use of a voice-over, but
generally the director, cast, and crew must rely on the other tools of film to reproduce what was felt, thought, and described on the page.

The famous scene from the 1998 film adaptation of *Rebecca*, can be cited as an example. The narrator here, a young, naïve girl who has just become the second wife of the wealthy Maxim de Winter, first meets Mrs. Danvers, the forbidding housekeeper of his estate, Manderley. Rebecca’s terror and awkwardness, revealed in two pages of first-person narration in the book, are made clear to the viewer in the film simply by the way Mrs. Danvers first emerges from the shadows with just her severe face lit and the way the camera lingers there uncomfortably, making the viewer cringe with the same fear that the new Mrs. de Winter feels.

1.6.2 Adaptations in India

It is no surprise that the Indian Film Industry, like its counterpart in Hollywood, is flooded with adaptation from literary sources. The first full-length silent feature film - full film length of 3700 ft., in four reels, about 50 minutes of running time – *Raja Harishchandra* – was an adaption from Indian mythology. Dada Saheb Phalke, who eventually came to don the title ‘father of Indian Cinema’, was the director, script writer and producer of the film. The film was screened at the Coronation Cinema in 1913 before invited audience of the representatives of the press and guests. The film received wide acclaim and was a commercial success. Phalke followed it up by making films such as *Satyavan Savitri*, *Satyawadi Raja Harish Chandra (1917)*, *Lanka Dahan (1917)*, *Sri Krisna Janma (1918)* and *Kaliya Mardan (1919)* - all based on mythological stories from *Ramayana* and *Mahabharata*. Like the great Indian painter Raja Ravi Verma who brought Hindu mythology on canvas, Phalke brought it in motion pictures. The cast and crew of Dadasaheb’s film company numbered more than 500 people. When the film was made, working in films was taboo. So, it is quite interesting to note that Dada Saheb advised his artists to tell others that

---

4 *Film in the Classroom: A Guide for Teachers*. Masterpiece. WGBH Educational Foundation. 2011
they were working in *Harishchandrachi Factory*, the factory of one 'Harishchandra'. Adaptation in Indian Film Industry is quite prolific even now.

This aspect is treated at length in **Chapter III.**

### 1.6.3 Adaptation and Commercialisation

Novel and film share the status of reusable documents. But what is important to bear in mind is the fact that a novel has been produced by an individual writer; the end-product is supported by a relatively small readership; and it is relatively free from censorship. The film, by contrast, is produced cooperatively under industrial conditions; the end-product is supported by a mass audience; and it is constrained by National Boards of Film Censors. As Lester Asheim points out, the practitioners in film production refer to their field of endeavour as ‘The Industry’, and their major question will not be “Is it art?” but “Will it sell?”(Asheim 1951:292 – as referred to by Brunssen - nd :60)

In the same vein Seger (1992:4) also comments:

> [it] is important to remember that entertainment is show plus business, and producers need to be reasonably sure that they can make a profit on their investment. There is a fine line between taking reasonable risks so that original projects get made and making careful decisions by assessing what has drawn audiences in the past.

She further adds:

> This fine line becomes particularly important when deciding what to adapt. There are many novels, plays, and true-life stories that are simply not commercially viable. They are too difficult to adapt and will resist any changes to make them adaptable. … I applaud the producers and writers who stretch the art of film-making by finding new subject matter and new stories. I’m delighted by the surprises – the books and plays we didn’t expect to work. Films …had problems
implicit in the material that could have meant failure. Yet these problems were solved, proving that if you know what you’re doing, unusual stories can be successful. (Ibid. 4-5).

1.6.4 Adaptation and Pleasure

Some film critics such as Linda Hutcheon have a different view. They feel that to think about adaptations in terms of pleasure is a more fruitful way of looking at this phenomenon. The source of this pleasure seems to derive from the combination of the known with the unknown. It appears almost certain that “the appeal of adaptations lies in their mixture of repetition and difference, of familiarity and novelty”, what can be compared with “a child’s delight in hearing the same nursery rhymes or reading the same books over and over. Like ritual, this kind of repetition brings comfort, a fuller understanding, and the confidence that comes with the sense of knowing what is about to happen next” (Hutcheon 2009: xv).

1.7.0 The Present Research

The research has been planned to study the application of the theory of adaptation such as ‘expansion’ and ‘condensation’. It is planned to take four Indo-Anglian novels which are made into Hollywood and Bollywood films. The novels and their corresponding films are:

1.7.1 Reasons for Choosing these Novels

The main reason for choosing these four novels is that they are Indo-Anglian novels which have been well-adapted into films by their respective Directors. These films have also made their mark at the Box Office. Moreover, the novels written and their adapted films are made within the last ten years – the novels between 2003 and 2011, and the adapted films between 2006 and 2011. The latter two novels are adapted by two Indian Directors whereas the former two are adapted by two Hollywood Directors. However, in terms of Box-Office success in India of the two Hollywood films the first one is more successful than the second one. And between the two Bollywood films No.3 and No.4 in our list the third one is more successful than the fourth one. The relative degree of success of these films also provides us the opportunity to find out how the theory of adaption has been applied to these novels which has affected the box office success of these films.

1.8.0 Rationale and Significance of the Present Study

1.8.1 The Rationale:

(1) There aren’t many research works on Film Adaptation in India. This study will not only academically contribute to this new field of research it will also expand the horizon of literary studies to those of the Films. It is expected that studies will generate an interest among the Curriculum Designers to include Film Studies as part of the curriculum in Indian Universities.

(2) The writer of the novel often complains that the filmmaker changes the story or deviates from the spirit of the novel. As the Novel is concerned with the literary (linguistic) medium and the Film with the audio-visual medium, the Producer and the Director are often constrained to make such departures because of pressures of the demands of Box Office Success.

(3) It tries to set apart the two forms of Art – Novel and Film – distinct from each other and as such their values cannot be judged on the same parameters.
1.8.2 The Significance:

(1) It is a departure from the usual academic research of making comparative studies within the same genre. It is a comparative study between two genres – two art forms – Novel and Film -- which are interdependent in many important ways;

(2) It tries to explore new avenues of research bringing in Film Studies as a field of literary research;

(3) It tries to float the idea in the minds of Curriculum Designers to include Film Studies as part of the University Curriculum as this genre is as valuable as other genres currently included under Literature Studies ; and

(4) There is a kind of a freshness as this research makes a comparative study of novels written and the adapted films made within the last ten years. The novels are written between 2003 and 2011, and the adapted films are made between 2006 and 2011.

1.9.0 A Brief Survey of Work Done in the Research Area and the Need for Further Research

1.9.1 A Brief Survey of Work Done in the Research Area

A good amount of work has already been done in this area. There are many theorists and critics like Ronald Barthes and Bakhtin who have done a considerable amount of work in developing film theories. There are a number of books on film theories and the art of adaptation. Some of the important books by foreign authors are *How to Read A Film* by James Monaco, *Film and Literature: An Introduction* by Morris Beja, and *The Art of Adaptation: Turning Fact and Fiction into Film* by L. Seger. Books by Indian authors on the art of adaptation seem to be non-existent. However, some attempts have been made in India to investigate the relationship of Novels and their Adapted Films at the M.Phil. and Ph.D. levels. There is an unpublished M.Phil. Dissertation entitled *Fiction into Film: The Name of the Rose and The Remains of the*
Day (1998) by G. Rajesh Reddy. But this work discusses mainly the theories which are applied in the transformation of novels into films, but does not touch upon the techniques of adaption. Another work at the Ph.D. level is the unpublished thesis entitled Imaging the Word: Visual Interpretation of Psychological Realism in Joseph Conrad and D.H.Lawrence with Special Reference to Lord Jim, Heart of Darkness, The Rainbow and Women in Love (2007) by A.D. Bandal. Though this Study is on film adaptation its main emphasis is on the psychological realism as transferred to the corresponding films, but like the study mentioned above it also does not touch upon the techniques of adaptation.

1.9.2 Need for the Present Study

It seems there has not been much academic study of Hindi film adaptations of Indo-Anglian novels. The present work will offer a somewhat unique study considering the fact that Indo-Anglian novels have also been made into Hollywood and Bollywood films.

1.10 Aims of the Study

i. To find out the points of departure between each of the four novels under study and the corresponding adapted film.

ii. To investigate the reasons for such departures made by the film makers while adapting the novels.

iii. To show the impact of such departures on the box office success or failure of the adapted films.

1.11 Objectives of the Study

The Objectives of the Study are:

i. To extend the horizon of Literature studies to Film studies.

ii. To drive home the point that Film Studies is as valuable as Literature Studies.
iii. To persuade the Curriculum Designers to include in the University curriculum Film Studies as Films can be treated as visual literature.

iv. To prove that the film maker needs to make certain departures in the forms of condensation and expansion in the adapted film as his goal is different from that of the novelist’s.

v. To establish two different sets of parameters for judging a novel and the adapted film as they are two different forms of art.

1.12 Hypotheses

The present research is based on the following hypotheses:

i. Film is Visual Literature, more so when it is an adaptation of a novel or any other genre of literature.

ii. The film-maker is somewhat bound to make certain departures from the novel (source material) because his goals are different from those of the novelist’s.

iii. Since the novelist works in the linguistic medium whereas the film-maker works in the audio-visual medium, the transfer of materials from one medium to another necessitates certain changes.

iv. ‘Adaptation Studies’ as a part of curriculum will promote our students’ active critical engagement taking them to another level of textuality.

v. ‘Adaptation Studies’ as a part of curriculum can also be fruitfully used by Second Language teachers to teach the Second Language learners the correct use of English in its proper context along with its correct paralinguistic features.

1.13 Methodology and Techniques Used

The methodology adopted in the study is based mainly on the theories and techniques presented by Morris Beja (1973) and Linda Seger (1992). Taking cue from these authors a micro-level analysis of each one of the four novels and its corresponding adapted film is made. Each novel is broken episode by episode and then the corresponding visual presentation is juxtaposed against such episodes. This show exactly where the film maker has resorted to either the technique of
‘Condensation’ or that of ‘Expansion’ in the visual presentation of the novel as a whole. A macro-level analysis is also made by comparing the overall rating of the book and the relative success of the adapted film at the box office.

The insights of other film theorists and analysts like Bluestone (1957), Brown (1947), Chatman (1980), Cohen (1979), Morrissette (1985), and others are also fruitfully used for such micro- and macro-level analyses.

Such analyses are made to point out whether the film-maker has resorted to the technique of ‘Condensation’ or that of ‘Expansion’ in the process of adaptation. Thus, the points of departure made by the film-maker have not only been marked but critical analyses of the constraints of such departures have also been made. This has also helped the researcher to assess the filmmaker’s usual claim of resorting to departures in order to achieve a greater commercial success at the Box Office. A critical comparison of the success or failure of the novel with the readers and that of the film at the Box Office forms the critical analysis of both the film and the adapted novel at the macro level.

1.14 Data Collection

Both the print and electronic media comprise the Primary data -- the printed novels as the print medium and their corresponding adapted films which are available in the form of DVDs as the electronic medium. The relevant data for analyses are chosen from these novels and films.

The secondary data are collected from the books on Film Theories and Film Adaptation. The relevant articles necessary for the analysis are also collected from the Journals, Periodicals, Magazines and other sources which are directly related to the issues concerned. The primary source (Library) for collecting data is the National Film Archive of India, Pune.

Another useful source for collecting data is the Internet. Different websites are also used for collecting relevant information.
1.15.0 Scope and Limitations of the Present Study

1.15.1 Scope of the study

Deviating from the two research works mentioned above the present work will focus on the techniques of adaptation -- namely, the techniques of condensation and expansion—as applied to the films taken for the study.

As mentioned earlier the present study is an analysis both at the micro and macro levels of film adaptation on the basis of condensation and expansion of four Indo-Anglian novels. The study also has certain pedagogical implications. Film students and critics can study films with an open mind and will not criticize a film simply because it makes a departure from the novel or the literary work on which it is based. They can now know how the techniques of condensation and expansion are adapted by filmmakers. Novel as a literary medium is quite different from film which is an audio-visual medium. Hence the criteria adopted for judging a novel should not, rather must not, be applied for judging a film.

The filmmakers will also get a chance to know the exact reasons why some pictures become run-away hits and some others become box-office failures. Such studies will also help future filmmakers to make careful adaptations so that their films instead of becoming box-office flops will turn out to be box-office hits. Such studies will also help the film critics to write proper reviews before passing value judgments on the film and on the novel from which it is adapted. As the number of films made by adaptations is growing day by day the scope and need for more such research is also growing.

1.15.2 Limitations of the Study

Though this study is quite new in this area of research, it is not without its limitations. The limitations of the present study are:

(i) it is limited to only four novels and four adapted films;
(ii) it is narrowed to the study of the art of adaptation mainly through the techniques of ‘condensation’ and ‘expansion’, leaving aside the
study of other aspects such as ‘film as interpretation of literature’ or ‘film as aesthetics’ or ‘film as social communication’ or ‘film as a source of entertainment’ or ‘film as a source of pleasure’ or ‘film as a means of teaching second language.

1.16 Organisation of the Thesis
The present thesis has been divided into five chapters.
The First Chapter INTRODUCTION begins by talking about the relationship between literature and cinema in general, and novels and their adapted films in particular, and then points out the similarities and differences between these two distinct genres, and the typical problems faced by adaptors in the adaptation of literary works, especially novels, into films. This Chapter also gives a brief History of Film Adaptation after defining ‘Adaptation’ and talking about different types of adaptation. After that this Chapter talks about the present research mentioning the Rationale and Significance, Need, Aims, Objectives, Hypotheses, Methodology and Techniques, Data, Scope and Limitation of the present study.
The Second Chapter THEORETICAL FRAMEWORK presents the theoretical basis on which the present research is taken up. The chapter begins by making a brief survey of the adaptation theories from 1951 till date pointing out some radical departures from such traditional theories because of the influence of Post-Structural, Semio-Pragmatic, Inter-Semiotic theories in the field. The chapter closes after presenting the theories directly relevant for the present study.
The Third Chapter HOLLYWOOD AND BOLLYWOOD talks about the conventions followed in Hollywood and Bollywood as far as adaptation is concerned. This chapter also points out the special features which go into making an adaptation which is typically Bollywood.
The Fourth Chapter ANALYSES forms the crux of the present study. The detailed comparative analysis of each of the novels and its adapted film is made in five steps. The chapter also records the Findings of such analyses.
The Fifth Chapter FINDINGS AND PEDAGOGICAL IMPLICATIONS is the concluding chapter of the present study. The chapter enumerates major findings of the present research. Then it states the pedagogical implications of the present study relevant to the Second Language situation of India. The chapter also suggests some new lines for further research and comes to an end after making some concluding remarks.

This Chapter INTRODUCTION, as its title suggests, presents a general idea about the relationship between literature and cinema in general, and that of novels and films in particular, pointing out the similarities and differences between these two different mediums, and also the problems faced by filmmakers in adapting the novels for its filmic counterpart. It also presents a brief history of film adaptation in the world, and in India. This Chapter also states the reasons for the present study and also those for choosing the four novels and their filmic counterparts, and finally concludes by stating how to go about the present study. The next Chapter THEORETICAL FRAMEWORK presents the theoretical bases for the present study.