Chapter 2: Rationale for Study and Related Literature
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2.1 Introduction

This chapter aims to discuss the broader area of study which is to understand how adaptation works and types of adaptation. An efficiently done review of literature is not simply the summarizing of the researched texts and their findings. In an effective review of literature, the findings are strained through the sieve of research across the length and breadth of the area of study. It discusses what has been said already in the area of study and applies the same to one’s own research.

This research work aims at studying the film adaptations of five canonical works of literature from around the world. The works of literature chosen for the purpose of this research are works of fiction. The thesis has been divided into three main chapters that focus on the Form of the Novel and the Film, The Narrative in the Novel and the Film and Space and Time in the Novel and the Film. For understanding works of adaptations, especially cinematic adaptation, one can begin by understanding Eisenstein’s theory and then wrapping up with a look at the types of adaptation given by Geoffrey Wagner and Andrew Dudley.
For the purpose of the literature review, primary source is the novels. The list of the novels and its respective authors is as below:

**The Old Man and the Sea** – Ernest Hemingway

**Nineteen Eighty Four** – George Orwell

**The Metamorphosis** – Franz Kafka

**Siddhartha** – Hermann Hesse

**Samskara** – U.R.Ananthamurthy

The films adaptations based on these novels are also studied as the primary sources of research. The films and the directors of the respective films are as follows:

**The Old Man and the Sea** – John Sturges

**Nineteen Eighty Four** – Michael Radford

**The Metamorphosis of Franz Kafka** - Carlos Atanes

**Siddhartha** – Conrad Rooks

**Samskara** – Pattabhi Rama Reddy

In order to conduct the present study, apart from the five novels and the films adapted from the same novels, other works related to adaptation and more importantly theories on film and film studies have been studied. The secondary sources include the theories of film and
adaptations that are studied to understand the process of adaptation and how it works. For the purpose of the same, the theories studied are applied to the adaptation works based on the form, the narrative and the spacio-temporal aspects of each of the works.

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2.2 Rationale for Study

While reviewing the canon, one has to focus on the author first. But one cannot forget the reader. Thus in this sense, this study is chronological and thematic. It is assumed that there exists prejudice against film adaptations. There is also a question lingering on the scope of adaptation studies. It goes on to dissect the varied works and the principles and the theoretical apparatus that is best suitable. The need to categorize works and researches under the banners of varied aspect has gone on to become the only way of doing research works. Researchers focus on labelling, the works of adaptation under categories based on theories say for example, formalist or semiological, pertaining to narratology or cultural, having a feminist approach or suited to reader-response theory. Very recently the possibility of expression of these two mediums, which is inclusive of the relationship between the image and the spoken word, presenting time and space in literature and in the film, displaying states of consciousness by the two media are being studied too. As a result of this, the relationship between the adapted and the original is an inevitable subject. Also
the thematic changes and the socio-cultural contexts of the two media, ideological and changes of cultural contexts in time and space have been scrutinized.

The work of adapting a literary text into a film, also helps one understand the unity between the artistic media. A film, recreates a work of fiction into a visible and audible atmosphere and invites the viewers to discover unexpected ways of seeing and hearing things. Sometimes, a combination of images and sounds are apt at providing insights into the nature of deep-seated meanings that do not lend themselves easily to verbal exploration. This may help one to appreciate a literary text from a newer perspective. Each work of art represents meanings located within a text in a new way that the form of the medium facilitates. While reading a book, a lot of ideas and notions get engrained into one’s mind that shape it in a particular way. While watching a film adapted on the same book, one gets a fresher perspective at those ideas and one may begin to notice the elements of the new media and understand the text from a newer point of view. This transference of a text between the two media is of a great importance as it oscillates the text beyond the limits of one medium and helps generate more meanings. This would also help to break the barrier of communication across media. Artistic devices such as metaphors and symbols are not just literary devices that convey meanings of significance. Such symbolic structures exist in all forms of artistic activity and in all fields of human creation. A work of literature expresses not just through the words printed on paper but it also reads out to us the meanings hidden in it. A painting is not only an image but it is a play of colours and strokes and patterns that come together to form meaning. Thus, in art there are varied ways to express and these pieces of art are not bound within the walls of the paper or canvas upon
which they are first expressed. They are open to be translated into other forms of arts and can be encoded and decoded as they are adapted to new media.

When the text is adapted into a film, the process of adaptation involves, apart from translation of words into images, also the translation of the written words of the book into an oral/aural text. These dialogues are spoken by the actors or a narrator and heard by the audience. The use of voice is a very enigmatic interpersonal communication tool. The human voice can add more feelings to the words and in turn manipulate the audience’s response towards the film. The magical effect of adding a voice to the words is only heightened by the use of adding music to the film. The music acts as an aid to create the desired mood and heighten the emotional responses of the audiences. In their book, ‘Musik Und Film – Filmmusik’, Gerg Maas and Achim Schudack analyses that the music helps to emphasize the figurative productivity of a literary text while also establishing new relationships between its elements and shedding light on the new meanings generated. (Georg Maas)

While the research work here has primarily concerned itself to focus on how exactly does the process of adaptation unfold, it has also analyzed varied aspects of both the novels and the films in terms of the forms, the narratives and the space-time analysis. Images are a powerful tool at the disposal of a filmmaker. They help to have an insight into the core strength of the literary work. When the filmmaker is involved in adapting a text into the film, paradoxically, they end up coming closer to the literary text. In fact, in order to develop a film based on a work of fiction, chances are that one might develop a rather focused text-centered approach. The film maker focuses on each word in an effort to reconstruct several meanings out of it. There is also enough research to apply appropriate
music and images to these literary words, which help to convey the subtler meanings of the text. This visual re-inforcement may sometimes lead to a better understanding of the text.

2.3 Review of Related Literature

In order to look at works of film adaptations based on novels, one must look at the film theories as well as what certain prominent critics and scholars of adaptation have to say. The most important work that is relied upon for this research is George Bluestone’s work on adaptation. His insights in understanding adaptations is interesting and pivotal to any research undertaken to study adaptations. Some prominent film makers and film scholars too must be understood to understand films and how the mechanism works in cinema to understand the adaptation process. These scholars are Sergei Eisenstein and his writings on film, André Bazin, Béla Balázs, Francois Truffaut. The works of Henri Bergson and Roland Barthes have been referred to understand the mechanics of time. The prejudice against adaptations comes from the perception of art. The followers of Russian Formalism would state that one must emphasize the importance of medium specific form. But with the advent of post modernism and theories of art arising from it subsequently, there has been widespread acceptance on adaptation works in all the forms of arts due to the theories of intertextuality. In Darwinian sense, every work of art is a work of adaptation. Everything evolves in their own ability to sustain, similarly art too evolves while borrowing and extracting elements from all that is around it. But this is general understanding of adaptation and a very broad concept. One can rely on the definition given by Linda Hutcheon (A Theory of Adaptation) who defined adaptation as a concept as a re-
interpretation and recreation by the artist of an earlier work of art, while taking into consideration the changed circumstances and it is also the way the audience interprets the adaptation work in an intertextual context.

The functions may differ but at the end, a work of fiction and a film are both creative works. Cinematic adaptations for many years have been seen by most critics and scholars, such as inferior to the texts. There has been a tendency to prioritize texts over their adapted versions. While Linda Hutcheon goes on to state that most critics have observed adaptations as “minor”, “subsidiary”, “derivative”, or “secondary” products which lack the symbolic richness of the book and miss the “spirit” of the book. (Hutcheon)

2.4 Types of Adaptation

As discussed above, the many issues pertaining the form of the novel and the form of the cinema, one can say that adaptation studies is a field of studies that looks to understand both the forms in their light. George Bluestone in his book, Novel into Film very rightly says that, ‘a filmmaker is not a translator for a novelist, rather an author in his own right.’ (Bluestone, Novels Into Films). There are many ways to adapt a text. Louis Gianetti in his work, Understanding Movies, states there are three types of adaptations – literal, faithful and loose. (Giannetti, Understanding Movies)

2.4.1 A Literal Adaptation: A Literal Adaptation stays faithful to the original text by relying on it completely. When transferring a written text to a visual form, the biggest barrier is to align the narrative in a similar way. The Old Man and The Sea is a good
example of this type of cinematic adaptation. The only artistic concern here, is that they should not replace the need to read the text by simply viewing the film.

“A director can change the plot of a novel, he can eliminate certain characters and scenes, and he can include scenes not included in the novel without violating it. But he cannot seriously violate the theme of the novel, and one thing he must be able to translate into his new medium is its tone. If the tone of a work is lost, the work is lost; but the tone of the novel must be rendered in an aural/visual patterning instead of by the use of descriptive dialogue or other narrative device”, says George Linden in his work ‘The Storied World’.

(Llyod)

2.4.2 A Faithful Adaptation: A faithful adaptation is a work that tries to maintain closeness to the original work. The plot, character, tone of voice is retained as close to the original as possible. The purpose is to re-create the tone of the literary work in a cinematic form. The film 1984, falls under this category of adaptation. It has relied on the novel for its source but does not copy the film word to word on screen. Michael Radford has captured the essence of the dystopic society in his film.

2.4.3 Loose Adaptations: Films that would fall under the category of “loose” adaptations are the works that are independent pieces of work that have lightly relied on the source texts. The Metamorphosis of Franz Kafka falls under this category.
All the film adaptation are at some point reliant on their sources, the degree may vary. Rachel Malchow discusses varied types of adaptation. *The Displaced Setting*, she says, is where a film retains the original language and flow of the film but makes changes in the setting. This, according to her, is commonly applied to Shakespearean plays adapted on stage and on screen. They are re-set in contemporary times, and bring out the universality of themes. She then, deliberates and discusses the second type, *The Acculturated Adaptation*. The acculturated film adaptation of a literary text is basically an adaptation that retains the general scheme of characters, plot, and themes of the original text. It innovates the language and setting of the original text. These kind of adapted films often put forward the identical universality of theme as the displaced setting adaptation does, but they also create oral, pictorial, and/or aural parallels between the culture represented in the original text and the culture depicted in the adapted text. *The Metamorphosis of Franz Kafka* by Carlos Atanes is in a way Acculturated Adaptation. It is made in Spanish language. The other type of adaptation, she talks about here is *The Politicized Adaptation*. It retains general fidelity towards the original text, but works on the theme in a different way in order to make a political statement. Next, she brings to forefront, *The Radical Homage*, a type of adaptation which makes use of innovative and unusual adaptations of the original text. It also makes use of allusions to the original text. Again, *The Metamorphosis of Franz Kafka* comes across as a good example for this type of adaptation. (Llyod)

While considering Adaptation Studies for the purpose of my thesis, a good amount of doubts and skepticism surface at the onset. The most basic question that has lingered all
through the study of the novels and the film adaptations, is that, what is lost when the medium changes. It is a constant nagging question, that what does a filmmaker enfold and what does the audience unfold with an adapted text. As a work of adaptation involves a source and an adapted text, it is foreseeable that there would be comparison between the two. The concern to understand the Adaptation process has been at a level of understanding how a narrative survives this process. It is very likely that when a literary work is adapted, it devices a new type of narrative in the cinematic form.

One can easily attribute the rise of the theories of adaptation to theorists like André Bazin and George Bluestone. Their outlooks are canonical to the theories and studies of adaptation. The writings of scholars like these help in understanding the relationship between the film and literature. This is turn helps to look at the crux of the adaptation process and how it works. Fair enough, not all adaptations work around the same process. In fact, two adaptations of a same novel could be poles apart. The theories bring to light the shortcomings of each form. Both the forms have their strengths and shortcomings, and how each works with an adaptation process is important. In his book, Novel into Films, George Bluestone throws light on the two disciplines viz., literature and films and discusses the basic underlying difference between the two. This, is why there cannot be a perfect correlation between the two, he says. (Bluestone, Novel Into Films). Bluestone discusses how an audience perceives a literary and cinematic form and also describes the effect of viewing being affected by a camera. The way editing, adding of sound and special visual effects can make the impossible possible in a cinematic medium. The film then, says Bluestone has the power to work with endless possibilities. Bluestone also throws light on how time and space function in literature and film. He defines in his book, that language is
a medium that consists of three characteristics of time – transience, sequence, and irreversibility. In the films, the camera is the narrator and one must only be concerned with the viewing time and the chronological events that take place. Thus, he concludes that the two are absolutely different media and have different origins, different ways of expressing and different viewers. In his words, ‘the overtly compatible, secretly hostile’ relationship between the two disciplines offers a lot for adaptation. The difference of form of the two disciplines lends a good chance to create a synthesis work of adaptation involving the media. The adaptation then becomes a creative, constructive process. In his book Jenkins quoted Jean Mitry which reinstates what Bluestone said about a filmmaker being an author of his film, “…express different things…not the same things in different ways. Adaptation is a passing from one form to another, a matter of transposition, of reconstruction.” (Jenkins)

There are quite a few modes of adaptations, but the ones very well received are Brian McFarlane’s writings on adaptation. They provide some fresh insights on the potentials and limits of adaptations. Brian McFarlane does not focus on narrative comparison. Instead he focusses on the effects of fundamental rearrangement that takes place when there is a shift from one narrative to another. The narrative devices surrounding a novel and a film are the same, that is, the point of view, tone of voice, and so on. But he enunciates that the treatment meted out by the two media is different. Geoffrey Wagner proposed three different types of adaptation: Commentary, Transposition and Analogy.
2.4.4 Transposition: Transposition is an adaptation, where the film is a direct copy of the original text. This kind of adaptation has completely faithful ness to the original text.

2.4.5 Commentary: In a Commentary, the film follows the text, but has elements that are slightly altered.

2.4.6 Analogy: In an Analogy, the adaptation is very loosely based on the text, and may come across as a different piece of art in itself. If an adaptation work is categorized, it makes easier for the audience to have the right kind of expectations from the film. It also helps a screenplay writer to write the script for the film.

When a text is selected for the purpose of adaptation, it is likely a different version of the same story could emerge. Just like each reader of a novel, has his/her own interpretation of the novel, so does each filmmaker have his/her own understanding of original. And the way, a filmmaker interprets this original version, is indicative of what will be highlighted in the film and what won’t. If we are to look back at the evolution of literature itself, we can see that earliest stories were passed down orally. So it is very likely that as each generation handed down the stories to the next, it altered from its earlier version. In terms of films, the screenplay writer simply writes down a story that is based on the original novel. He retains that what seems to fit into a cinematic medium and let’s go of that which seems unfitting. But for the most part, the ‘transpositional’ works or adaptation seek to retain the mood of the novel. When the viewers watch an adaptation, they are viewing the filmmaker’s interpretation of the novel. Very often, critics compare a film with the novel
it is based on by simply measuring it on a scale of fidelity. They however fail to realize and acknowledge, a work of adaptation from the filmmaker’s point of view. (Cai)

The film theorists have constantly tried to demarcate film adaptation for the purpose of deeper understanding. When we look at an adaptation, we know that that if it captures the essence of the original then it is an art, but if it connects the present moment for the viewers, then it is truly relevant art. A very mindful chain of thought is derived from Dudley Andrew, that a narrative is applicable to both literature and films. They are both very different systems of semiotics, yet it is derivative from both and applicable to both. (Christiane Schönfeld)

The first grouping or “transposition’ resembles film that have original and give the impression of being faithful. The subsequent grouping says Dudley Andrew is ‘intersecting’ where in some cases it de-constructs the text. At times, certain parts of the original are not assimilated in the adaptation, to give a feeling of closeness to the original. In the final grouping, the original text is regarded merely as a raw material. Dudley Andrew says, here it is merely the act of borrowing from the original that is of concern, here the main concern is to acknowledge the wide appeal of the original, ‘in short, it’s existence as a continuing form or archetype in culture.’ (Christiane Schönfeld)

Thus, we can classify the categories of Adaptation as given by Dudley Andrews as follows:

**2.4.7 Borrowing:** This is the kind of adaptation which is most common. The filmmaker relies on the credibility of the name of the source work and thus adapts it into a film. The filmmaker also tries to replicate the strong points of the original text into his film.
2.4.8 Intersecting: In this kind of adaptation, the filmmaker, purposefully, tries to refract from the original. Many a times, such adaptations leave the viewers dissatisfied.

2.4.9 Fidelity and Transformation: This kind of adaptation, allows the filmmaker freedom of interpretation. It demands that the crux of the original should be retained in the film i.e. filmmaker must capture the spirit of the original novel. Dudley Andrew himself points out that while seemingly easy, this is a difficult task to adapt, since most critics believe that the literary and cinematic media are different and therefore capturing and portraying the ‘spirit’ of the text is difficult in this sense. (Dudley)

While considering these different types of adaptation for the purpose of the research, and applying them to the selected films, it has also been noticed that not all adaptations fit into one category. It could fit into more than one category at the same time. The film, The Metamorphosis of Franz Kafka is generally termed as an Analogous Adaptation. But there are only some parts of the film that are totally different from what is described in the novel. Certain originalities from the novel have been retained.

Derrida has an interesting viewpoint, that when a text is adapted, it is deconstructed, demolished, violated. One cannot get away by saying that an adaptation is a mirror image of the original. It is a new text in its own bidding and is afflicted by social, historical, economic and political contexts. (Derrida)

2.5 Theories of Film

Just like any other art, film too has seen abundance of theories that have creeped up over the years. But only a handful have ever impacted the students, critics, scholars and lovers
of films enough. By taking a bird’s eye view of some of the important film theories, one tries to understand how the film form develops and functions in terms of adaptations. Each theory has a different perspective to offer, and film theory has come to develop as a proper system.

It is only befitting that one understand these theories of film and compare and contrast them in lieu of the research process at hand. Not only would it help to broaden the understanding of cinema from varied perspectives but also help one to realize that film is an art form first and foremost. Understanding how the minds of filmmaker works and how a film is actualized becomes an interesting study only once one has known of Eisenstein’s montage or Bazin’s realism. Here are a few major film theories:

**2.5.1 Auteur Theory:** One of the most important theories of cinema, is the *auteur theory*. Born in 1950’s, through the culmination of synthesis of ideas and notions of the critics and theory in France, it has gone one to become the pioneering works in the field of film studies. The French word *auteur* meaning author in English places the director of film on par with the writer of a novel. Even though the film is a collective unit made by a group of people who have expertise in various disciplines and arts, the director of the film is the main *showman*. He leads the entire process. Francois Truffaut made the statement, ‘there are no good or bad films, but only good or bad directors’. (Montano)

One of the base for the rise of the Auteur Theory was to safeguard the creative freedom of the directors. But at large the theory shifted the perspective to how films are made and how they function as an art. This would help to place the films in a historical and creative
context. The Auteur Theory lays emphasis on the work of the director as a whole, not his individual films.

The major critics associated with the development of auteur theory were associated with Cahiers du Cinema, a film magazine published from France in the 1950s. They were Francois Truffaut, Jacques Rivett, Claude Chabrol, Eric Rohmer and André Bazin. They developed the auteur theory in relation to the American Cinema then. Francois Truffaut wrote in 1954, in Cahiers du Cinema a polemic article that suggested the beginning of ‘auteur theory’. Even though its basis was in the French film industry itself, and the industrial and political conflicts within the industry. It focusses on the director of the film as the author of the film, despite the fact it is an adapted film or not.

2.5.2 Rudolf Arnheim and the Film Form

Arnheim, an ardent follower of the Gestalt School of Psychology, gave forth views of cinema that clearly indicate his interest in film as a form. Rudolf Arnheim advocates that a film is more of an illusion of reality and can never come close to reality, as it cannot let one experience the senses of taste, smell and touch. He has suggested that the technical aspects such as photography, lighting all help a film distort reality and manifest this distortion as real.

In his book on major theories in film studies, Dudley Andrew states that for Arnheim, every medium, when used for artistic purposes, draws attention away from the object which the medium conveys and focusses it on the characteristics of the medium itself. (Andrew) He further also discussed that the silent cinema was the epitome that filmmakers had reached with the film form. The advent of the sound would do more harm than profit as a form.
2.5.3 Eisenstein and Montage

Sergei Eisenstein was a far more complex thinker than Arnheim. Though he does not delve out any specific theory of film, montage remains revered till date. He was highly influenced by the Kabuki Theater. ¹ Eisenstein was keen to organize the medium of films, where all the cinematic elements such as story, acting, lighting, sound would be on par with one another and measurable equally.

“A purposeful ‘fusion’ of compositional elements together with a generalized ‘contour’ of the image.” (Eisenstein, Towards a theory of Montage)

Very early on Eisenstein discusses a single shot as the smallest unit in a film. He later went on to study the shot at great length too. In simple words, montage is the technique of editing and showing images in quick juxtaposition to each other to arouse emotions in the audience.

2.5.4 Balázs and Formalism

The stalwarts of cinematic theory, like André Bazin, Béla Balázs, George Bluestone and Sergei Eisenstein have studies literature and films based on literature and therefore adaptation as a process that connects literature to film. His work belongs to the period known as Classical Film Theory period. This period came to an end around 1960s. Bazin’s work overshadowed Balázs’ works and was very well received by the English speaking world. Balázs’ work throws light on his aptitude for silent cinema. In his work, Der

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¹ Kabuki is a traditional Japanese form of theater with roots tracing back to the 16th –17th C. It is recognized as one of Japan’s three major classical theaters and has been named as a UNESCO Intangible Cultural Heritage.
sichtbare Mensch, he writes, “that film is a new art and is as different from every other as music is different from painting and painting from literature. Film is a fundamentally new revelation of humanity”. Erica Carter (Early Film Theory) also throws light on point of view where he says that cinema has a distinct language unmatched in the history of western arts and culture. For spectators this kind of language produces new experiences that trigger psychological satisfaction and curiosity. (Carter and Balázs). In his work, “Theory of the Film: Character and Growth of a New Art”, Balázs discusses that the film script is a new literary form. And therefore, a novel should be regarded as the basis for this new form. The novel works as the raw material for the screenplay and therefore the writer of the film has the freedom to transform it at his will. He further adds that the screenplay can approach reality by bringing the themes to the forefront and providing an aesthetic design to the literary model. (Balázs). Béla Balázs elevates the argument further that even though an adaptation takes the base of its own from the subject of some other creator, an adaptation is an entirely new creation. A work of literature acts as a basis for a film adaptations to create new meanings and contents. Eisenstein in his work, “The Film Sense” talks about how an adapted work has some responsibility towards the source from which it is adapted. (Sergei Eisenstein) But Balázs goes ahead to say the following in his book Theory of the Film,

“a film script writer adapting the play may use the existing work of art merely as raw material, regard it from the specific angle of his own art form as it were raw reality, and pay no attention to the form once already given to the material” (Balázs 263)

It is to say that Balázs gives the film maker the freedom to only select that which is of use to him and discard that which is not needed to make the film while adapting from a novel.
This is to say that Balázs regards adaptation as an independent piece of work that does not owe anything to the original work it borrows from. Also, it is not any less worthy than the original work it borrows from. He further goes “on to throw light on the fundamental process of adaptation of a novel into a screenplay. An adaptation work is independent work and is neither superior nor inferior to the original work. Many theorists suggest that an adaptation must remain faithful to the original work. While Eisenstein talks of film theory, he says that in many works of literature, he finds cinematic techniques. The description of the same scene from various angles and the way a particular sound is heard from various locations is described so aptly that it seems to have a cinematic technique everywhere. Eisenstein writes the essay, “Word and Film”, that the montage technique can be used both in literature and film to achieve such an effect. (Eisenstein, Word and Film)

Within any medium, any form is the crux of the art. It develops and shapes the way, in which something artistic is expressed. Thus when studying adaptations, it is vital to understand the form of the original text as well as the adapted text.

2.5.5 Realist Film Theory and André Bazin

André Bazin was the first and foremost theorist who voiced opinion that theory on film ought to be based solely while considering film as an art of moving images, not upon the threshold of artistic theories. In his book, Major Film Theories, Andrew Dudley quotes Bazin, “Cinema attains its fullness in being the art of real.” Bazin also clarified what this reality meant, it was not the reality of subject or author’s expression, rather the cinematic
realism, “…that realism of space without which moving pictures do not constitute cinema”.

(Andrew)

2.6 Form of the Novel and the Form of the Film

A work of literature is an author’s work alone. A film is a team’s work. It is a piece of work created from the by the coming together of so many people. It is an amalgamation of many ideas and thoughts processed into one. It is a collaborative effort in a true sense and therefore a difficult one to achieve as compared to a novel. This is not to say that writing a novel is an easy task. It requires the kind of mental effort on the part of only writer. It can be extremely exhausting and perpetuating for the writer as well when he sets out to write. For a filmmaker when he sets out to adapt the challenges are different. Many ideas have to be sustained and cannot be visualized due to innumerable kinds of challenges faced during the process of filmmaking.

Literature and film have always been related. From the very olden days when classic literature was still adapted into drama and theatre, it evolved to being adapted into films. Sergei Eisenstein has spoken about the roots of the American film in classic Victorian novels. He ridicules the notion that a film is an autonomous form. It is an art form borrowed from the novels. But there are other critics such as Alan Spiegel, Keith Cohen who have argued that the novels have borrowed technicalities from the films after 1920. Spiegel coined the term 'concretized form' to explain the modern novel's emphasis on concrete experience encouraged by film's dependence on visual image. (Speigel). The postmodern novel, with its unreliability of tendencies and narratives and fragmented appearance, added to the film making. The Film Sense by Eisenstein looks like an extended version of the
literary imagination. The modern texts of fiction by Joyce, are like cinematic renditions of the literary versions. One tries to establish the fact that there are certain techniques that film has developed and have been adapted by fiction. Eisenstein pointed out that when films venture to adapt novels that have physical descriptions, they are more likely to be successful. They tend to fail when they try to adapt any modern novel that has interior monologue or elements of stream of consciousness. One may even go further and say that the montage theories and their film implementation of Eisenstein were models to the works of James Joyce. He writes about this in his essay, ‘Dickens, Griffith and Film Today’, that the introductory chapter of James Joyce’s *A Portrait of the Artist As A Young Man* had the implementation of free movement of time and space that is an example of the use of montage in fiction.

### 2.7 Narrative in the Novel and in the Film

A work of literature is predominantly concerned with words and therefore it is literary. The crux of the literary work of art has ‘*word*’ at its core. In that sense, a film has images and sound as well at its core so a film cannot be termed as a literary medium. But if we consider literature as an art of narration, then a film can surely be called literary, since it is also an art of narration.

Robert Scholes say that Narration is a kind of human behavior that is specifically mimetic. Through this behavior human beings communicate and send across messages. So in this sense, a narrative can be narrated orally, written or enacted, presented in a drama or mime or represented through images or moving pictures. Robert Scholes has also gone on to say a film is an entity that comprises of fiction, films, dance, music, drama, poetry. A narrative
is backed up by the way a camera is positioned, the light, sound and special effects in a film. All the major film theorists from Eisenstein to Balázs have talked about how a camera functions and frames actions. They have given a sound base of the form of film and how it derives from the form of literature, the narratives of fiction and film and the spatial, temporal and cognitive possibilities in literature and film.

In the last fifty years the trends have been favourable towards the research in film adaptations. The trends have been represented by those who have been at the canon of the literary concepts.

While Seymour Chatman has been considered as the pioneer for narratology. He is at the top of the ladder when it comes to American Narratology and is a film and literary critic. (Contributors, Seymour Chatman) Narratology flourished during a period when linguistics and film theories were on the rise. There are two major intellectual trends of narratology; Anglo-American trend which is pioneered by Henry James, E M Forster and the Russian Formalist trends led by Roman Jakobson with the French Structuralists Claude-Levi Strauss, Roland Barthes and Gerard Genette. Narrative has a salient property of double time structuring i.e. all narratives in whatever medium combine the time sequence of plot events, the story time along with the presentation of those events in the text known as “discourse time”. In a narrative, regardless of the medium, these two times are always present. Let us understand this in depth. When we consider a realist narrative, the story time is fixed i.e. say for example, the time of the birth of the protagonist, his lifetime and eventually his death. The discourse time may be completely different here. The discourse time may begin from the person’s death and move into flashback and his entire life. The discourse time can function so independently only because of the subsumed story time.
Any text would require some amount of time to read it. Say for example a book may take a few days to be read, an article a few minutes and yet some other texts longer or shorter time depending on the length of the texts. Although we must consider that certain non-narrative texts too take their own time to be read e.g. a legal notice, a sermon. For these texts, there is no discourse time, as the internal structures of these texts are logical not temporal just as the viewing time of a painting is irrelevant. One may observe a Monet for an hour, but the aesthetic effect may be as if one has been watching it for hours on an end. In a narrative on the other hand, the story time and the discourse time go hand in hand. This holds true for any media, where two orders of time can be actualized into a narrative. This quality of a narrative renders it the ability to be transferred from one medium into another. For a long time structural theorists have been fascinated with this ability of the narrative structures. They have keenly observed the constancies in the narrative structures across different media. There have been instances of differences as well and these have been studied keenly from a point of interest. From the time of *Poetics* there has been a distinctive definition of the elements of a narrative. Structuralist theory states that there are two parts to a narrative; the story and the way the happenings are expressed.

While reading novels and viewing films, the same narrative is adapted for a screen version and some changes deem inevitable. An up close study of the novels and the film versions of the same narrative bring to light the characteristic strong points of both the media. But for the purpose of this research, we will stick mainly to description and point of view and narrative voice. Roland Barthes suggests that, ‘to understand a narrative is not only to follow the unfolding of a story but also to recognize in it a number of “strata”, to project
the horizontal concatenations of the narrative onto an implicitly vertical axis. Barthes says that the meaning does not lie at the end of the narrative but it bestrides it.’ (Duisit)

A novel is a genre that does not have any exact definition. Andre Gide’s text, *The Immoralist* is a novel, and Chekhov’s *The Duel* is considered a short story, but both are actually the same length. The point to remember here is that a novel has a wider scale. The novel may have multiple focal point. Novel emerged as a very important form of prose in the eighteenth century. Even though its precursors date back to the oldest texts in the literary history. The early novel had its roots deeply seated in the epics. Around the seventeenth century, there came a rush of new kind of novels in England. With the advent of Daniel Defoe’s *Robinson Crusoe* in 1719, Henry Fielding’s *Tom Jones* in 1749, there came a new advent in literary genre. This newly established genre of literature, ‘novel’ was marked significantly by ‘realism’ and ‘individualism’. These became the basic foundations of the new literary genre. It was more grounded in reality and had more socio-historical affinities and was closer to reality.

The socio-economic changes of the society too helped this form of literature boom. The invention of the printing press, rise of the middle class, growing disregard for the symbolic allegory of the preceding ages all added to the growth of the ‘novel’. It does have a number of subgenres. The plot, time, character, setting, narrative point of view and style are some of the elements of inquiry common to a novel and a film. The plot functions in the following way:

Exposition – Development- Complication – Climax – Resolution
The **Exposition** is the problem or the crisis or conflict that is presented in the text. Characters and situations develop in the second stage. In the third stage, a problem arises that leaves everything unsettled. **Climax** is when all the actions and events lead up to a rise a major action and finally the **Resolution** which is the solving of the problem and the ends. Most novels follow the traditional **Linear Plot**. Plots also make use of **Flashbacks** or **Foreshadowing** to reveal information in the narrative.

In the novel, Nineteen Eighty-Four, an example of foreshadowing is seen when Winston writes, ‘in the end the Party would announce that two and two is five and you would have to believe that.’ Before his rehabilitation with O’Brien ends, he starts believing the same. Another very good example of foreshadowing is when he mentions repeated entrances of rats, it foreshadows his being taken to Room 101, where he is met with his fear of rats when he is being tortured.

Even in the novel, Samskara, the entrance of rats in the Agrahara, seeing them in the store rooms and rats dying all over the place, children picking up dead rats and throwing them, foreshadows the onset of plague and the eventual deaths.

So while the works in the classic era of film theory debated on the fidelity issue of film adaptation and expressed how apt it was or not, the major defining work concerning the process of adaptation was George Bluestone’s *Novel into Films* published in 1957. In this book, Bluestone discusses the potentialities and limitations of both novels and films. He applies the analysis of how a work changes when the medium is transformed. He suggests that a novel deals with time characteristically. Which is to say that it may take a week to read a novel or even months. But a film is definite in its length and one has to watch it from
beginning to end. A novel can skip years in sentences and discuss minutes into pages. But a film cannot expand time and hold it in a similar fashion.

“A novel has three tenses. A film only one.” (Bluestone, Novels Into Film 48)

The literary style has resources such as figures of speech at hand to embellish expression. But for the film, dialogue and music become the most important tools to embellish picture. They say a picture is worth a thousand words. The film has the benefit to use facial expressions to help the dialogue. Just like a novel, a film can move ahead in time and space. This is an attribute common to all narrative fiction. A cinematic adaptation has a greater visual impact, a point of view that can be shifted. Eisenstein has discussed in one of his essays, ‘Dickens, Griffith and the Films Today’, that the filming technique of montage used by Griffith is indebted to Dicken’s style of narration in his novels. Griffith has been termed as the Father of Film Technique.’ (Mathews)

A very contrary and interesting viewpoint is developed when one skims through Virginia Woolf’s essay, ‘The Cinema’ in 1926. She draws on the comparison of Anna Karenina’s character in the novel and the film. The heavily dressed character on screen resembles Queen Victoria more than the Anna Karenina one has deeply imprinted in one’s mind from the novel. (Briggs)

The great French thinker, Roland Barthes said that essence of narration is that it is a seed sown in the narrative and that it bears fruits later that can be seen at the narrative level or other level. He also went on to say that there are two main categories of functions that a narrative serves, they are distributional and integration functions. Distributional functions are horizontal in nature that is to say they refer to actions and events. They refer to a
functionality of doing and are strongly connected to one another. The integration function refers to the psychological information relating to the characters. It is not directly related to the action. It is more vertical in nature and leads to our understanding of the narrative. For an adaptation of a text from a novel to a film, the adaptation actually happens at the horizontal level. Some elements of the integration function can also be seen. Barthes has further divided these functions into cardinal functions and catalyzers. The cardinal functions are those strong points in the story that lead an action to its consequence. They create the points through which the reader constructs meanings of the text. Within a novel there are many such cardinal functions or as Seymour Chatman calls them, ‘kernel’ which are like the skeleton of the story. Upon transferring a text from novel to a film, even if one of these kernels is deleted, it leads to viewer dissatisfaction. So, for a filmmaker, who is keen on a faithful adaptation, he has to seek to retain these ‘kernels’.

There are also catalyzers that complement the story. They develop the roots for the cardinal functions. One may look at the example of Siddhartha. The presence of river all through the three phases of the novel is very interesting. It is like a catalyzer. The protagonist settles down with a life on the river and learns the lessons from it he has longed to learn all his life. River has been in the background all throughout the story and thus its emergence as a very strong symbol in the end is only apt.

The narration modes found in a novel can be difficult to sustain in a film. The novels chosen for the purpose of this research have different modes of narration. However, many of these narrative processes may be omitted in the adaptation process of a film. Let us look at the narration in each of the novels. In The Metamorphosis by Franz Kafka, the narrator is an omniscient person who recounts the story in a very monotonous tone which is very neutral.
The narrator speaks in a third person and focusses on the thoughts, emotions and feelings of Gregor Samsa. The narrator describes everything from the point of view of Gregor Samsa and what he sees, feels, thinks, hears and perceives. In Siddhartha too, a third person omniscient narrator describes the events and the point of view is that of Siddhartha. A third person narrator describes the events in The Old Man and The Sea and he also describes the thoughts and dreams of Santiago. In Nineteen Eighty Four the narrator is third person and limited, mostly it is Winston and dialogues between the characters and descriptions.

The narrative approach of Claude Levi Strauss is very appealing too. It talks of the Binary Opposites. According to this approach, all the conflicts within a narrative are centered on such binary opposites. A few examples of the binary opposites are as follows: good vs evil, peace vs war, protagonist vs antagonist, strong vs weak, and ignorance vs wisdom.

2. 8 Time and Space in the Novel and the Film

In consideration of the Space and Time in the Novel and the Films, for the purpose of this research, Eisenstein’s comments on temporal continuity and temporal discontinuity are referred to. One has to understand that the analysis of temporal factors in a work of fiction are conceived and comprehended only in terms of narrative. Thus the understanding of the narratives and then the subsequent analysis of the texts and films based on temporal continuity and discontinuity help view a text and the film from an interesting perspective. Similarly, the spatial movement of characters and the spatial regions of interaction also throw light on how space functions within a text. Especially in terms of a film, the foreground and background space add character, meaning and depth to the narrative. Thus
it becomes for an interesting phenomena peon to look at Space and Time in Novels and Films adapted from these texts. More and more film theorists and film scholars are perplexed by this scientific phenomenon. The Society for Cognitive Studies of the Moving Images has long tried to understand and promote the moving image phenomena. One might say that they have a power over the audiences. The use of actor and camera movement lend to a new meaning on the part of the viewer. The French term *mise-en-scene* is used to describe how the filmmakers make use of placement of objects and characters within a frame for the viewer to make sense of it. (contributors)

David Cook, in his work *A History of Narrative Film*, says that a filmmaker can also manipulate emotional response from the audience by editing scenes in particular way. (Cook) In a film, one shot and then consecutively on sees the next shot on screen. They may have been filmed on two different occasions but editing help to glue them together. Many shots together make a scene. When many scenes come together, it make a film. Therefore eliciting meaning from all of these hundreds of shots such that the scene looks continuous and arranging the scenes in the film such that it lends meaning to the film is not short of an art. A beautiful example of this placement of character is that, when a character’s movement on screen is in upward direction, it shows power and strength, but a downward movement of a character shows weakness and lack of power. (Giannetti, Understanding Movies) The coming together of the space in which a character is positioned, as compared to their spatial movement, may help denote the importance of the character. Eisenstein has spoken about the vertical movement of a character. When a character moves vertically away from the screen, into the horizon, it is said to be symbolic
of the character’s emotional withdrawal. If a character moves toward the screen then, it
denotes aggressiveness and hostility as an emotion is enlarged.

In a way the criticism also goes on to say that while a film has images to portray meanings,
it also in a way limits everything for a viewer. Each time a scene is visualized, it narrows
down the open-ended characters, objects, landscapes, created by the book and imagined by
the reader in his mind forming concrete and definite images. The character added to the
places, objects, moments and everything that is there in a book, is open to various decoding
possibilities of imagining. But a film transmits these in a pre-defined way. The insights of
theories of Bakhtin, intertextuality, deconstruction, reception theory, cultural studies,
narratology, or performance theory might have relevance to adaptation studies, these
connections have only begun to be made. The theoretical impasse in narrative adaptation
studies is represented by an ongoing dominance that is usually referred to as “fidelity
discourse”. This is a common way of determining the worth of an adaptation work’s
success in terms of its faithfulness or closeness to the ‘original’. To be able to understand
an adapted film from a point of view of a piece of art is only possible when we distance
ourselves from the literary text. It is difficult to watch a cinematic version on screen of the
books we have loved and internalized so intimately and made them an integral part of our
imagination. When we read a book, it has the ability to take us into a magic realm, into an
atmosphere where all our senses are embraced. So when one watches the film adaptation,
the inner need is to prolong the magic of the book. So when an adaptation does not do the
same, we are left with the feeling that it missed the magic of the book and it attacks our
integrity. A film has very different techniques of portraying the story, and so the chances
are, when a book is adapted, a film maker is well aware of the severe and critical arguments.
In spite of knowing this, the filmmakers, still go open to adapt literary texts. So while, Linda Hutcheon is right in her observation that these adaptations are called secondary to the original works, she also tries to find out why the filmmakers are still prompted to adapt works on screen. Linda Hutcheon questions “What motivates adapters, knowing that their efforts will be compared to competing imagined versions in people’s heads and inevitably be found wanting?” (Hutcheon)

Her conclusion, is that it may be fruitful to think about the pleasure derived from adapting a work of art creates a sense of rendering the feel of known with the unknown. ‘The appeal of adaptation lies in the mixture of repetition of similarities and differences, of familiarity and novelty’, says Hutcheon. She further adds that the mingling of the tension between the old and the new, brings some sort of comfort. So while a book is a familiar world for the reader, it is like a myth that one has long known. So the appeal of the adaptation is rooted in the desire to witness the rebirth of this myth. For a filmmaker, the focal point is to add newness, freshness to the existing work. A filmmaker desires to add his touch and perspective to the text. The audience is drawn to this film adaptation to view the text they have read, being visualized, for seeing the characters and places come alive. It is also a kind of curiosity to watch the imagination of someone else come live on screen of the same text.

Hutcheon further goes on to say that the filmmaker’s urge for creation may be strong and that they may find pleasure in sharing the aesthetic experience by unfolding the literary work into a filmic medium. The very manifest quality about cinematic medium is that a cinematic adaptation blurs the boundaries between different media, it forces the filmmaker to penetrate the surface of a written text, to read out what lie beneath this surface and
recreate it into a visual and aural medium. A literary world is a lot more complex. It has an endless possibility of being interpreted. The readers are left to their own will to imagine and create the worlds by joining together the concepts that are articulated by the author directly or implied in a subtle way. A work of adaptation invites the viewers to discuss not only the film itself but also their individual understanding of the text. It gives them a chance to fill in the gaps and voids if any, through the imagination of another reader of the same text, the film maker. It is like peeking into an artist’s creative take on another artist from whom the adapted work is derived. It also is an interesting way to look at how a filmmaker explores certain significant areas of the literary text, and having an insight into this knowledge can be very pleasure giving. It throws light on how the characters are molded, how the relations between characters, structures and objects evolve, and transform, how the subtexts are reconstructed, and finally how a work of literature is given life visually and aurally on screen. It helps the viewers see the way a filmmaker links the details of the meanings into new meanings and how they see the world.

If we look at a cinematic adaptation, it is something that can be easily enjoyed by a common man as well as a film student. It combines words with images and sounds and brings together a piece of art that has a complete unity of the sounds, words, images and music with the predominant presence of a performing artist on screen. The actors who are the human representation on screen are the most important presence on screen. They are the live people who bring the adaptation to life with their character roles and performances. It is often these people who make the adaptation come alive with their performances often make the viewers appreciate the adaptations solely on the basis of their performances. The viewer’s attitude towards the character is marked by the performance given by the
performer’s skills. While one reads the texts, the character is vaguely imagined by the reader and with the viewing of the film, this character comes alive. The performer can mold the character in a way they wish to. They can add to the character or subtract from it based on their and the filmmaker’s interpretation of the character. Sometimes some characters that are not very fully highlighted in the text can be brought to forefront in an adaptation and developed by the director and accordingly performed by the actor.

Laura Mulvey stresses on a very fascinating point of view regarding adaptation. She states that, in a film, when the actor perform, they add a magical quality to the text which allows it to surpass the boundaries of time and space. The film then becomes a projection for the viewers’ desires and wishes. (Mulvey) A film therefore becomes a catalyst for the projections in an indirect and subtle way. Sometimes the filmic additions are so ingeniously designed and the performed that they seem to be an integral part of the author’s world, and the absence of such additional scenes in the book reverses the source-adaptation hierarchy related to the fidelity issue.

Literature is generally regarded as a temporal art. Since, the events it describes go by the timely sequence. Film is more of a spatial art. It relies on the capturing of segments of events that can be seen by viewers later on. There have been authors who have tried to give this kind of pictorial effect to the literary texts. There are narratives that have multiple perspectives and these emerge in varied texts from literature to films.

The literary texts chosen for this research vary largely concerning their backgrounds and substance. Yet they all tread on common underlying theme of conflict (either between an individual and society or an individuals' conflict with self) thus rendering each novel
different in its approach and style. The choice of the texts has been made with respect to the author and their background globally. The aforementioned texts are not an arbitrary choice. All the preferred texts are in some way influencers of the postmodern era. While Ernest Hemingway stands at the pivot of American literature, U R Ananthamurthy is a well-known Indian author of Kannada lineage. On one hand Hermann Hesse probes into spirituality, and on the other Franz Kafka tries to question the notion of physical appearance and relationships. Whereas George Orwell takes a plunge into the psychotic, chaotic dystopian society that is enough to send a shiver down anyone's spine. Thus such a juxtaposition of varied works by different authors and in turn their cinematic counterpart would help to maintain objectivity in the process of research and add an element of universality to it.

Even though the study of cinematic adaptation has fascinated many scholars in the past, most seem to be content analyzing simply the thematic structure. But certain burning questions still remain unanswered; Are literary adaptations at once literature and cinema? Should an adaptation be cinema first and then literature? Would it be appropriate to term a cinematic adaptation of literature as 'literature on screen'? If it is on screen, is it still literature? If it is literature, how can it be cinema as well? And why would anyone want to claim that it is both?

With a framework that consists of the questions of general nature as expressed above, this research will be focussed on three major focal points.

A work of literature tends to the states of consciousness and cognition whereas the film to that of the observed reality. In lieu of the statement above, does the adaptation of a text
from one form/narrative to the other produce a new and completely independent form of art?

The major aim of this study is also to probe into this change and understand whether the text transforms as the form transforms or not. When a text is adapted into a form different from its original form altogether, a number of queries arise. The form, narration, technique of story-telling ET all transforms, even though the basic underlying message may/may not remain the same. This turn of events becomes an interesting study of the interplay of the two vastly different disciplines. For the longest time, researchers and theorists have tried to put the two works side by side and drawn conclusions. George Bluestone in his 'Novel into Films' focuses on the limits of the novel and the limits of the film. There is only so much each can portray (Bluestone). He states that language has its own limitations which push a writer to develop newer possibilities, realities thus making realities in novels more flexible. But films on the other hand have still to shift out of portraying reality. Even though in the recent decades, cinema has showcased that the reality in films too is pliable.

In light of the hypothesis proposed as above, this research seeks to put forth certain aims and objectives that would prove beneficial in the process of implementing the research.

To study the structure of the literary form, the narrative and the role of narrator, the linguistic style, the plot, characters, the themes and their corresponding cinematic adaptation (form of the adaptive discipline, it's techniques, narration, limitations and benefits) The focal point in this study has been to understand the two disciplines and studying their interplay.
As with any qualitative empirical research the methodology of the study has been an in-depth reading of the texts and their adaptive counterparts initially.

Such deskwork has facilitated in understanding the complexity of the intertwining disciplines as the process of adaptation unfolds. It has also enabled to look at the texts and the forms without simply encountering a thematic comparison.

Since this research wishes to look at the interdisciplinary facet, such a comparative analysis, is expected to bring to the forefront the nuances and differences of the two disciplines and the way a same text is moulded when the form changes.

Each text and its version/s in the other discipline are understood in the purview of three major categories.

a) **Form of the Novel and the Film**

b) **Narrative Structure of the Novel and the Film**

c) **Space and Time in the Novel and the Film**

Thus allowing ample opportunity to apply the proposed hypothesis and check its validity.

Some of the past works in the field of adaptation studies have been critically examined for understanding adaptation studies. Specifically, the adaptation theory as explained by George Bluestone is taken as the main theory. He is considered to be a pioneer in the field and his outlook has more or less remained veneered till now. A look into newer theories also has been taken such as understanding Linda Hutcheon’s theory of adaptation (Hutcheon).
In her work of adaptation studies, Linda Hutcheon mentions that first and foremost Adaptation is repetition without replication. The intention behind adapting could be the urge to create new art or question the existing one. She also states that it is a process that delves into re-interpretation of a text and re-creation. She calls it an extended intertextual engagement with the adapted work. (Hutcheon) The work of adaptation may be a work derived from one medium into another or within the same medium from one genre to another say for example an epic re-written into novel, from context into another i.e. changing time and space co-ordinates. Many have argued that literature can never be adapted into a film. A literature has a value that makes it unique and a film can never have a literary value. But arguments followed that a film can have literary value and much more. It is in fact an art the uses language and images and fits them together to make meaning and deliver it. It also makes use of sound to sync with the images and has colour, light, and many other techniques that make it a medium that can take over the form of a literary novel.
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