

FILM ART

An Introduction
Eighth Edition



DAVID BORDWELL KRISTIN THOMPSON

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FILM ART

AN INTRODUCTION

EIGHTH EDITION

David Bordwell Kristin Thompson

University of Wisconsin



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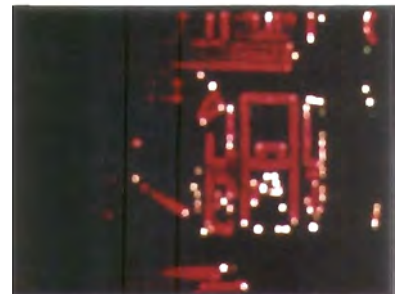
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2



The Significance of Film Form

The experience that art offers us can be intensely involving. We say that movies *draw us in* or *immerse us*. We get absorbed in a book or lost in a song. When we can't finish a novel, we say, "I couldn't get into it," and we say that music we don't like "doesn't speak to me," as if it were a sluggish conversational partner.

All these ways of talking suggest that artworks involve us by engaging our senses, feelings, and mind in a process. That process sharpens our interest, tightens our involvement, urges us forward. How does this happen? Because the artist has created a pattern. Artworks arouse and gratify our human craving for form. Artists design their works—they give them form—so that we can have a structured experience.

For this reason, form is of central importance in any artwork, regardless of its medium. The idea of artistic form has occupied the thinking of philosophers, artists, and critics for centuries. We can't do justice to it here, but some well-established ideas about form are very helpful for understanding films. This chapter reviews some of them.

The Concept of Form in Film

Form as System

Artistic form is best thought of in relation to the human being who watches the play, reads the novel, listens to the piece of music, or views the film. Perception in all phases of life is an *activity*. As you walk down the street, you scan your surroundings for salient aspects—a friend's face, a familiar landmark, a sign of rain. The mind is never at rest. It is constantly seeking order and significance, testing the world for breaks in the habitual pattern.

Artworks rely on this dynamic, unifying quality of the human mind. They provide organized occasions in which we exercise and develop our ability to pay attention, to anticipate upcoming events, to construct a whole out of parts and to feel an emotional response to that whole. Every novel leaves something to the

imagination; every song asks us to expect certain developments in the melody; every film coaxes us to connect sequences into a larger whole. But how does this process work? How does an inert object, the poem on a piece of paper or the sculpture in the park, draw us into such activities?

Some answers to this question are clearly inadequate. Our activity cannot be *in* the artwork itself. A poem is only words on paper; a song, just acoustic vibrations; a film, merely patterns of light and dark on a screen. Objects do nothing. Evidently, then, the artwork and the person experiencing it depend on each other.

The best answer to our question would seem to be that the artwork *cues* us to perform a specific activity. Without the artwork's prompting, we couldn't start the process or keep it going. Without our playing along and picking up the cues, the artwork remains only an artifact. A painting uses color, lines, and other techniques to invite us to imagine the space portrayed, to compare color and texture, to run our eye over the composition in a certain direction. A poem's words may guide us to imagine a scene, to notice a break in rhythm, or to expect a rhyme. In our *Shadow of a Doubt* sequence (pp. 3-7), the dialogue and camerawork during Uncle Charlie's reflection on idle women cued us to see, very starkly, his cold menace, and this created dramatic tension. In general, any work of art presents cues that can elicit our involvement.

We can go further in describing how an artwork cues us to perform activities. These cues are not simply random; they are organized into *systems*. Let us take a system as any set of elements that depend on and affect one another. The human body is one such system; if one component, the heart, ceases to function, all of the other parts will be in danger. Within the body, there are individual, smaller systems, such as the nervous system or the optical system. A single small malfunction in a car's workings may bring the whole machine to a standstill; the other parts may not need repair, but the whole system depends on the operation of each part. More abstract sets of relationships also constitute systems, such as a body of laws governing a country or the ecological balance of the wildlife in a lake.

As with each of these instances, a film is not simply a random batch of elements. Like all artworks, a film has **form**. By film form, in its broadest sense, we mean the overall system of relations that we can perceive among the elements in the whole film. In this part of the book and in Part Three (on film style), we shall be surveying the elements that interact with one another. Since the viewer makes sense of the film by recognizing these elements and reacting to them in various ways, we'll also be considering how form and style participate in the spectator's experience.

This description of form is still very abstract, so let's draw some examples from one movie that many people have seen. In *The Wizard of Oz*, the viewer can notice many particular elements. There is, most obviously, a set of *narrative* elements; these constitute the film's story. Dorothy dreams that a tornado blows her to Oz, where she encounters certain characters. The narrative continues to the point where Dorothy awakens from her dream to find herself home in Kansas. We can also pick out a set of *stylistic* elements: the way the camera moves, the patterns of color in the frame, the use of music, and other devices. Stylistic elements depend on the various film techniques we'll be considering in later chapters.

Because *The Wizard of Oz* is a system and not just a hodgepodge, we actively relate the elements within each set to one another. We link and compare narrative elements. We see the tornado as causing Dorothy's trip to Oz; we identify the characters in Oz as similar to characters in Dorothy's Kansas life. Various stylistic elements can also be connected. For instance, we recognize the "We're Off to See the Wizard" tune whenever Dorothy picks up a new companion. We attribute unity to the film by positing two organizing principles—a narrative one and a stylistic one—within the larger system of the total film.

Moreover, our minds seek to tie these systems to one another. In *The Wizard of Oz*, the narrative development can be linked to the stylistic patterning. Colors

"Screenplays are structure."

— William Goldman, scriptwriter, *Butch Cassidy and the Sundance Kid*

"Because of my character, I have always been interested in the engineering of direction. I loved hearing about how [director] Mark Sandrich would draw charts of Fred Astaire's musicals to work out where to put the dance numbers. What do you want the audience to understand? How do you make things clear? How do you structure sequences within a film? Afterwards—what have you got away with?"

— Stephen Frears, director, *The Grifters*

identify prominent landmarks, such as Kansas (in black and white) and the Yellow Brick Road. Movements of the camera call our attention to story action. And the music serves to describe certain characters and situations. It is the overall pattern of relationships among the various elements that makes up the form of *The Wizard of Oz*.

“Form” Versus “Content”

Very often people think of “form” as the opposite of something called “content.” This implies that a poem or a musical piece or a film is like a jug. An external shape, the jug, *contains* something that could just as easily be held in a cup or a pail. Under this assumption, form becomes less important than whatever it’s presumed to contain.

We don’t accept this assumption. If form is the total system that the viewer attributes to the film, there is no inside or outside. Every component *functions as part of the overall pattern* that engages the viewer. So we’ll treat as formal elements many things that some people consider content. From our standpoint, subject matter and abstract ideas all enter into the total system of the artwork. They may cue us to frame certain expectations or draw certain inferences. The viewer relates such elements to one another dynamically. Consequently, subject matter and ideas become somewhat different from what they might be outside the work.

Consider a historical subject, such as the American Civil War. The real Civil War may be studied, its causes and consequences disputed. But in a film such as D. W. Griffith’s *The Birth of a Nation*, the Civil War is not neutral content. It enters into relationships with other elements: a story about two families, political ideas about the Reconstruction, and the epic film style of the battle scenes. Griffith’s film depicts the Civil War in a way that is coordinated with other elements in the film. A different film by another filmmaker might draw on the same subject matter, the Civil War, but there the subject would play a different role in a different formal system. In *Gone with the Wind*, the Civil War functions as a backdrop for the heroine’s romance, but in *The Good, the Bad, and the Ugly*, the war aids three cynical men in their search for gold. Thus subject matter is shaped by the film’s formal context and our perceptions of it.

Formal Expectations

We’re now in a better position to see how film form guides the audience’s activity. Why does an interrupted song or an uncompleted story frustrate us? Because of our urge for form. We realize that the system of relationships within the work has not yet been completed. Something more is needed to make the form whole and satisfying. We have been caught up in the interrelations among elements, and we want to develop and complete the patterns.

One way in which form affects our experience, then, is to create the sense that “everything is there.” Why is it satisfying when a character glimpsed early in a film reappears an hour later, or when a shape in the frame is balanced by another shape? Because such relations among parts suggest that the film has its own organizing laws or rules—its own system.

Moreover, an artwork’s form creates a special sort of involvement on the part of the spectator. In everyday life, we perceive things around us in a practical way. But in a film, the things that happen on the screen serve no such practical end for us. We can see them differently. In life, if someone fell down on the street, we would probably hurry to help the person up. But in a film, when Buster Keaton or Charlie Chaplin falls, we laugh. We shall see in Chapter 5 how even as basic an act of filmmaking as framing a shot creates a particular way of seeing. We watch a pattern that is no longer just “out there” in the everyday world; it has become a calculated part within a self-contained whole. Film form can even make us perceive

things anew, shaking us out of our accustomed habits and suggesting fresh ways of hearing, seeing, feeling, and thinking.

To get a sense of the ways in which purely formal features can involve the audience, try the following experiment. Assume that “A” is the first letter of a series. What follows?

AB

“A” was a cue, and on this basis, you made a formal hypothesis, probably that the letters would run in alphabetical order. Your expectation was confirmed. What follows AB? Most people say “C.” But form does not always follow our initial expectation:

ABA

Here form takes us a little by surprise. If we are puzzled by a formal development, we readjust our expectations and try again. What follows ABA?

ABAC

Here the main possibilities were either ABAB or ABAC. (Note that your expectations *limit* possibilities as well as select them.) If you expected ABAC, your expectation was gratified, and you can confidently predict the next letter. If you expected ABAB, you still should be able to make a strong hypothesis about the next letter:

ABACA

Simple as this game is, it illustrates the involving power of form. You as a viewer or listener don’t simply let the parts parade past you. You enter into an active participation with them, creating and readjusting expectations as the pattern develops.

Now consider a story in a film. *The Wizard of Oz* begins with Dorothy running down a road with her dog (2.1). Immediately, we form expectations. Perhaps she will meet another character or arrive at her destination. Even such a simple action asks the audience to participate actively in the ongoing process by wondering about what will happen next and readjusting expectations accordingly. Much later in the film, we come to expect that Dorothy will get her wish to return to Kansas. Indeed, the settings of the film give *The Wizard of Oz* a large-scale ABA form: Kansas-Oz-Kansas.

Expectation pervades our experience of art. In reading a mystery, we expect that a solution will be offered at some point, usually the end. In listening to a piece of music, we expect repetition of a melody or a motif. (Songs that alternate verses and refrain follow the ABACA pattern we have just outlined.) In looking at a painting, we search for what we expect to be the most significant features, then scan the less prominent portions. From beginning to end, our involvement with a work of art depends largely on expectations.

This does not mean that the expectations must be immediately satisfied. The satisfaction of our expectations may be delayed. In our alphabet exercise, instead of presenting ABA, we might have presented this:

AB...

The ellipsis puts off the revelation of the next letter, and you must wait to find it out. What we normally call *suspense* involves a delay in fulfilling an established expectation. As the term implies, suspense leaves something suspended—not only the next element in a pattern but also our urge for completion.

Expectations may also be cheated, as when we expect ABC but get ABA. In general, *surprise* is a result of an expectation that is revealed to be incorrect. We do not expect that a gangster in 1930s Chicago will find a rocket ship in his garage; if he does, our reaction may require us to readjust our assumptions about what can happen in this story. (This example suggests that comedy often depends on cheating expectations.)

One more pattern of our expectations needs tracing. Sometimes an artwork will cue us to hazard guesses about what has come *before* this point in the work. When



2.1 Dorothy pauses while fleeing with Toto at the beginning of *The Wizard of Oz*.

Dorothy runs down the road at the beginning of *The Wizard of Oz*, we wonder not only where she is going but where she's been and what she's fleeing from. Similarly, a painting or photograph may depict a scene that asks the viewer to speculate on some earlier event. Let us call this ability of the spectator to wonder about prior events *curiosity*. As Chapter 3 will show, curiosity is an important factor in narrative form.

Already we have several possible ways in which the artwork can actively engage us. Artistic form may cue us to make expectations and then gratify them, either quickly or eventually. Or form may work to disturb our expectations. We often associate art with peace and serenity, but many artworks offer us conflict, tension, and shock. An artwork's form may even strike us as unpleasant because of its imbalances or contradictions. For example, experimental films may jar rather than soothe us. Viewers frequently feel puzzled or shocked by *Eat, Scorpio Rising*, and other avant-garde works (pp. 357–372). And we'll encounter similar problems when we examine the editing of Eisenstein's *October* (Chapter 6) and the style of Godard's *Breathless* (Chapter 11).

Yet even in disturbing us, such films still arouse and shape formal expectations. For example, on the basis of our experience of most movie stories, we expect that the main characters introduced in the first half of a film will be present in the second half. Yet this does not happen in Wong Kar-wai's *Chungking Express* (pp. 406–409). When our expectations are thwarted, we may feel disoriented, but then we adjust them to look for other, more appropriate, ways of engaging with the film's form.

If we can adjust our expectations to a disorienting work, it may involve us deeply. Our uneasiness may lessen as we get accustomed to a work's unusual formal system. Hollis Frampton's *Zorns Lemma*, for example, slowly trains the viewer to associate a series of images with the letters of the alphabet. Viewers often become quite absorbed in watching the series take shape as a cinematic picture puzzle. As *Chungking Express* and *Zorns Lemma* also suggest, a disturbing work can reveal to us our normal expectations about form. Such films are valuable because they coax us to reflect on our taken-for-granted assumptions about how a movie must behave.

There is no limit to the number of ways in which a film can be organized. Some films will ask us to recast our expectations in drastic ways. Still, our enjoyment of the cinema can increase if we welcome the unfamiliar experiences offered by formally challenging films.

Conventions and Experience

Our ABAC example illustrates still another point. One guide to your hunches was *prior experience*. Your knowledge of the English alphabet makes ABA an unlikely sequence. This fact suggests that aesthetic form is not a pure activity isolated from other experiences.

Precisely because artworks are human creations and because the artist lives in history and society, he or she cannot avoid relating the work, in some way, to other works and to aspects of the world in general. A tradition, a dominant style, a popular form—some such elements will be common to several different artworks. These common traits are usually called *conventions*. We looked briefly at one convention in a shot from *The Shining* (1.12), in which Kubrick prepared the audience for the use of the knife at the film's climax. *Genres*, as we shall see in Chapter 9, depend heavily on conventions. It's a convention of the musical film that characters sing and dance, as in *The Wizard of Oz*. It's one convention of narrative form that the conclusion solves the problems that the characters confront, and *Wizard* likewise accepts this convention by letting Dorothy return to Kansas.

From the spectator's standpoint, the perception of artistic form will arise from cues within the work and from prior experiences—experiences derived from everyday life and from other artworks. You were able to play the ABAC game because you had learned the alphabet. You may have learned it in everyday life (in a

classroom or from your parents) or from an artwork (as some children now learn the alphabet from television cartoons). Similarly, we are able to recognize the journey pattern in *The Wizard of Oz*. We've taken trips and we've seen other films organized around this pattern (such as *Stagecoach* or *North by Northwest*), and the pattern is to be found in other artworks, such as Homer's *Odyssey* or J.R.R. Tolkien's *The Lord of the Rings*. Our ability to spot cues, to see them as forming systems, and to create expectations is guided by our real-life experiences and our knowledge of artistic conventions.

In recognizing film form, then, the audience must be prepared to understand formal cues through knowledge of life and of other artworks. But what if the two principles come into conflict? In ordinary life, people don't simply start to sing and dance, as they do in *The Wizard of Oz*. Very often conventions demarcate art from life, saying implicitly, "In artworks of this sort the laws of everyday reality don't operate. By the rules of *this* game, something 'unreal' *can* happen." All stylized art, from opera, ballet, and pantomime to slapstick comedy, depends on the audience's willingness to suspend the laws of ordinary experience and to accept particular conventions. It is simply beside the point to insist that such conventions are unreal or to ask why Tristan sings to Isolde or why Buster Keaton doesn't smile. Very often the most relevant prior experience for perceiving form is not everyday experience but previous encounters with works having similar conventions.

Further, artworks can create new conventions. A highly innovative work can at first seem odd because it refuses to conform to the norms we expect. Cubist painting, the French "New Novel" of the 1950s, and ambient music seemed bizarre initially because of their refusal to adhere to conventions. But a closer look may show that an unusual artwork has its own rules, creating an unorthodox formal system that we can learn to recognize and respond to. Eventually, the new systems offered by such unusual works may themselves furnish conventions and thus create new expectations.

Form and Feeling

Certainly, emotion plays a large role in our experience of form. To understand this role, let's distinguish between *emotions represented* in the artwork and an *emotional response felt* by the spectator. If an actor grimaces in agony, the emotion of pain is represented within the film. If, however, the viewer who sees the painful expression laughs (as the viewer of a comedy might), the emotion of amusement is felt by the spectator. Both types of emotion have formal implications.

Emotions represented within the film interact as parts of the film's total system. For example, that grimace of pain might be consistent with the character's response to bad news. A character's sly expression may prepare us for the later revelation of his or her villainous side. Or a cheerful scene might stand in contrast to a mournful one. A tragic event might be undercut by light-hearted music. All emotions present in a film may be seen as systematically related to one another through that film's form.

The spectator's emotional response to the film is related to form as well. We have just seen how cues in the artwork interact with our prior experience, especially our experience of artistic conventions. Often form in artworks appeals to ready-made reactions to certain images (for example, involving sexuality, race, or social class). But form can create new responses instead of harping on old ones. Just as formal conventions often lead us to suspend our normal sense of real-life experience, so form may lead us to override our everyday emotional responses. People whom we would despise in life may become spellbinding as characters in a film. We can be enthralled by a film about a subject that normally bores us. One cause of these experiences lies in the systematic way we become involved in form. In *The Wizard of Oz*, we might, for example, find the land of Oz far more attractive than Kansas. But because the film's form leads us to sympathize with Dorothy in

"To a story-teller a journey is a marvelous device. It provides a strong thread on which a multitude of things that he has in mind may be strung to make a new thing, various, unpredictable, and yet coherent. My chief reason for using this form was technical."

— J.R.R. Tolkien

"If my film makes one more person feel miserable, I'll feel I've done my job."

— Woody Allen, director, *Hannah and Her Sisters*

her desire to go home, we feel great satisfaction when she finally returns to Kansas.

It is first and foremost the dynamic aspect of form that engages our feelings. Expectation, for instance, spurs emotion. To have an expectation about "what happens next" is to invest some emotion in the situation. Delayed fulfillment of an expectation—suspense—may produce anxiety or sympathy. (Will the detective find the criminal? Will boy get girl? Will the melody return?) Gratified expectations may produce a feeling of satisfaction or relief. (The detective solves the mystery; boy does get girl; the melody returns one more time.) Cheated expectations and curiosity about past material may produce puzzlement or keener interest. (So he isn't the detective? This isn't a romance story? Has a second melody replaced the first one?)

Note that all of these possibilities *may* occur. There is no general recipe for concocting a novel or film to produce the "correct" emotional response. It is all a matter of context—that is, of the particular system that is each artwork's overall form. All we can say for certain is that the emotion felt by the spectator will emerge from the totality of formal relationships she or he perceives in the work. This is one reason why we should try to notice as many formal relations as possible in a film; the richer our perception, the deeper and more complex our response may become.

Taken in context, the relations between the feelings represented in the film and those felt by the spectator can be quite complicated. Let's take an example. Many people believe that no more sorrowful event can occur than the death of a child. In most films, this event would be represented so as to summon up the sadness we would also feel in life. But the power of artistic form can alter the emotional tenor of even this event. In Jean Renoir's *The Crime of M. Lange*, the cynical publisher Batala rapes and abandons Estelle, a young laundress. After Batala disappears, Estelle becomes integrated into the neighborhood and returns to her former fiancé. But Estelle is pregnant by Batala and bears his child.

The scene when Estelle's employer, Valentine, announces that the child was born dead is one of the most emotionally complex in cinema. The first reactions represented are solemnity and sorrow; the characters display grief. Suddenly, Batala's cousin remarks, "Too bad. It was a relative." In the film's context, this is taken as a joke, and the other characters break out in smiles and laughter. The shift in the emotion represented in the film catches us off guard. Since these characters are not heartless, we must readjust our reaction to the death and respond as they do—with relief. Estelle's survival is far more important than the death of Batala's child. The film's formal development has rendered appropriate a reaction that might be perverse in ordinary life. This is a daring, extreme example, but it dramatically illustrates how both emotions onscreen and our responses depend on the context created by form.

Form and Meaning

Like emotion, **meaning** is important to our experience of artworks. As an alert perceiver, the spectator is constantly testing the work for larger significance, for what it says or suggests. The sorts of meanings that the spectator attributes to a film may vary considerably. Let's look at four things we might say about the meaning of *The Wizard of Oz*.

1. **Referential meaning.** *During the Depression, a tornado takes a girl from her family's Kansas farm to the mythical land of Oz. After a series of adventures, she returns home.*

This is very concrete, close to a bare-bones plot summary. Here the meaning depends on the spectator's ability to identify specific items: the American Depression of the 1930s, the state of Kansas, features of Midwestern climate. A viewer unacquainted with such information would miss some of the meanings cued by the film.

We can call such tangible meanings *referential*, since the film refers to things or places already invested with significance.

A film's subject matter—in *The Wizard of Oz*, American farm life in the 1930s—is often established through referential meaning. And, as you might expect, referential meaning functions within the film's overall form, in the way that we have argued that the subject of the Civil War functions within *The Birth of a Nation*. Suppose that instead of having Dorothy live in flat, spare, rural Kansas, the film made Dorothy a child living in Beverly Hills. When she got to Oz (transported there, perhaps, by a hillside flash flood), the contrast between the crowded opulence of Oz and her home would not be nearly as sharp. Here the referential meanings of Kansas play a definite role in the overall contrast of settings that the film's form creates.

2. **Explicit meaning.** *A girl dreams of leaving home to escape her troubles. Only after she leaves does she realize how much she loves her family and friends.*

This assertion is still fairly concrete in the meaning it attributes to the film. If someone were to ask you the *point* of the film—what it seems to be trying to get across—you might answer with something like this. Perhaps you would also mention Dorothy's closing line, "There's no place like home," as a summary of what she learns. Let us call this sort of openly asserted meaning an *explicit meaning*.

Like referential meanings, explicit meanings function within the film's overall form. They are defined by context. For instance, we might want to take "There's no place like home" as a statement of the meaning of the entire film. But, first, *why* do we feel that as a strongly meaningful line? In ordinary conversation, it's a cliché. In context, however, the line gains great force. It's uttered in close-up, it comes at the end of the film (a formally privileged moment), and it refers back to all of Dorothy's desires and ordeals, recalling the film's narrative development toward the achievement of her goal. It is the *form* of the film that gives the homily an unfamiliar weight.

This example suggests that we must examine how explicit meanings in a film interact with other elements of the overall system. If "There's no place like home" adequately and exhaustively summarizes the meaning of *The Wizard of Oz*, no one need ever see the film; the summary would suffice. But like feelings, meanings are born from the dynamics of form. They play a part along with other elements to make up the total system.

Usually, we can't isolate a particularly significant moment and declare it to be *the* meaning of the whole film. Even Dorothy's "There's no place like home," however strong as a summary of *one* meaningful element in *The Wizard of Oz*, must be placed in the context of the film's entire beguiling Oz fantasy. If "There's no place like home" were the whole point of the film, why is there so much that is pleasant in Oz? The explicit meanings of a film arise from the *whole* film and are set in dynamic formal relation to one another.

In trying to see the meaningful moments of a film as parts of a larger whole, it's useful to set individually significant moments against one another. Thus Dorothy's final line could be juxtaposed to the scene of the characters getting spruced up after their arrival at the Emerald City. We can try to see the film as about, not one or the other, but rather the relation of the two—the delight and risk of a fantasy world versus the comfort and stability of home. Thus the film's total system is larger than any one explicit meaning we can find in it. Instead of asking, "What is this film's meaning?" we can ask, "How do *all* the film's meanings relate to one another?"

3. **Implicit meaning.** *An adolescent who must soon face the adult world yearns for a return to the simple world of childhood, but she eventually accepts the demands of growing up.*

This is more abstract than the first two statements. It goes beyond what is explicitly stated in the film, suggesting that *The Wizard of Oz* is in some sense about the passage from childhood to adulthood. In this view, the film suggests or implies that, in adolescence, people may desire to return to the apparently uncomplicated world of childhood. Dorothy's frustration with her aunt and uncle and her urge to flee to a place "over the rainbow" become examples of a general conception of adolescence. Unlike the "no place like home" line, this meaning isn't stated directly. We can call this suggestion an *implicit meaning*. When perceivers ascribe implicit meanings to an artwork, they're usually said to be *interpreting* it.

Clearly, **interpretations** vary. One viewer might propose that *The Wizard of Oz* is really about adolescence. Another might suggest that it is really about courage and persistence or that it is a satire on the adult world. One of the appeals of artworks is that they ask us to interpret them, often in several ways at once. Again, the artwork invites us to perform certain activities—here, building up implicit meanings. But once again, the artwork's overall form shapes our sense of implicit meanings.

Some viewers approach a film expecting to learn lessons about life. They may admire a film because it conveys a profound or relevant message. Important as meaning is, though, this attitude often errs by splitting the film into the content portion (the meaning) and the form (the vehicle for the content). The abstract quality of implicit meanings can lead to very broad concepts, often called *themes*. A film may have as its theme courage or the power of faithful love. Such descriptions have some value, but they are very general; hundreds of films fit them. To summarize *The Wizard of Oz* as being simply about the problems of adolescence does not do justice to the specific qualities of the film as an experience. We suggest that the search for implicit meanings should not leave behind the *particular* and *concrete* features of a film.

This is not to say that we should not interpret films. But we should strive to make our interpretations precise by seeing how each film's thematic meanings are suggested by the film's total system. In a film, both explicit and implicit meanings depend closely on the relations between narrative and style. In *The Wizard of Oz*, the Yellow Brick Road has no meaning in and of itself. But if we examine the function it fulfills in relation to the narrative, the music, the colors, and so on, we can argue that the Yellow Brick Road does indeed function meaningfully. Dorothy's strong desire to go home makes the road represent that desire. We want Dorothy to be successful in getting to the end of the road, as well as in getting back to Kansas; thus the road participates in the theme of the desirability of home.

Interpretation need not be an end in itself. It also helps in understanding the overall form of the film. Nor does interpretation exhaust the possibilities of a device. We can say many things about the Yellow Brick Road other than how its meaning relates to the film's thematic material. We could note that the road marks Oz as a fantastical land, since real-world bricks are a brownish-red color. We could analyze how the road becomes the stage for dances and songs along the way. We could see how it is narratively important because her indecision at a crossroads allows Dorothy to meet the Scarecrow. We could work out a color scheme for the film, contrasting the yellow road, the red slippers, the green Emerald City, and so forth. From this standpoint, interpretation may be seen as one kind of formal analysis, one that seeks to reveal a film's implicit meanings. Those meanings should be constantly tested by placing them within the concrete texture of the whole film.

4. **Symptomatic meaning.** *In a society in which human worth is measured by money, the home and the family may seem to be the last refuge of human values. This belief is especially strong in times of economic crisis, such as that in the United States in the 1930s.*

Like the third statement, this is abstract and general. It situates the film within a trend of thought that is assumed to be characteristic of American society during the 1930s. The claim could apply equally well to many other films, as well as to many

novels, plays, poems, paintings, advertisements, radio shows, political speeches, and a host of cultural products of the period.

But there is something else worth noticing about the statement. It treats an explicit meaning in *The Wizard of Oz* (“There’s no place like home”) as a manifestation of a wider set of values characteristic of a whole society. We could treat implicit meanings the same way. If we say the film implies something about adolescence as a crucial time of transition, we could suggest that emphasis on adolescence as a special period of life is also a recurrent concern of American society. So, it’s possible to understand a film’s explicit or implicit meanings as bearing traces of a particular set of social values. We can call this *symptomatic meaning*, and the set of values that get revealed can be considered a social **ideology**.

The possibility of noticing symptomatic meanings reminds us that meaning, whether referential, explicit, or implicit, is largely a social phenomenon. Many meanings of films are ultimately ideological; that is, they spring from systems of culturally specific beliefs about the world. Religious beliefs, political opinions, conceptions of race or sex or social class, even our most deeply seated notions of life—all these constitute our ideological frame of reference. Although we may live as if our beliefs were the only true and real explanations of how the world is, we need only compare our own ideology with that of another group or culture or era to see how historically and socially shaped many of those views are. In other times and places, *home* and *adolescence* don’t carry the meanings they carry in 21st-century America.

Films, like other artworks, can be examined for their symptomatic meanings. Again, however, the abstract and general quality of such meanings can lead us away from the concrete form of the film. As when analyzing the implicit meanings, the viewer should strive to ground symptomatic meanings in the film’s specific aspects. A film *enacts* ideological meanings through its particular and unique formal system. We’ll see in Chapter 11 how the narrative and stylistic system of *Meet Me in St. Louis* can be analyzed for ideological implications.

To sum up: Films have meaning because we attribute meanings to them. We cannot therefore regard meaning as a simple content to be extracted from the film. Sometimes the filmmaker guides us toward certain meanings; sometimes we find meanings the filmmaker didn’t intend. Our minds will probe an artwork for significance at several levels. One mark of our engagement with the film as an experience is our search for referential, explicit, implicit, and symptomatic meanings. The more abstract and general our attributions of meaning, the more we risk loosening our grasp on the film’s specific formal system. In analyzing films, we must balance our concern for that concrete system with our urge to assign it wider significance.

Evaluation

In talking about an artwork, people often *evaluate* it; that is, they make claims about its goodness or badness. Reviews in newspapers and magazines and on the Internet exist almost solely to tell us whether a film is worth seeing; our friends often urge us to go to their latest favorite. But all too often we discover that the film that someone else esteemed appears only mediocre to us. At that point, we may complain that most people evaluate films only on the basis of their own, highly personal, tastes.

How, then, are we to evaluate films with any degree of objectivity? We can start by realizing that there is a difference between *personal taste* and *evaluative judgment*. To say “I liked this film” or “I hated it” is not equal to saying “It’s a good film” or “It’s wretched.” Very few people in the world limit their enjoyment only to the greatest works. Most people can enjoy a film they know is not particularly good. This is perfectly reasonable—unless they start trying to convince people that these pleasant films actually rank among the undying masterpieces. At that point others will probably stop listening to their judgments at all.

So personal preference need not be the sole basis for judging a film’s quality. Instead, the critic who wishes to make a relatively objective evaluation will use

specific *criteria*. A criterion is a standard that can be applied in the judgment of many works. By using a criterion, the critic gains a basis for comparing films for relative quality.

There are many different criteria. Some people evaluate films on *realistic* criteria, judging a film good if it conforms to their view of reality. Aficionados of military history might judge a film entirely on whether the battle scenes use historically accurate weaponry; the narrative, editing, characterization, sound, and visual style might be of little interest to them.

Other people condemn films because they don't find the action plausible. They dismiss a scene by saying, "Who'd really believe that X would meet Y just at the right moment?" We have already seen, though, that artworks often violate laws of reality and operate by their own conventions and internal rules.

Viewers can also use *moral* criteria to evaluate films. Most narrowly, aspects of the film can be judged outside their context in the film's formal system. Some viewers might feel any film with nudity or profanity or violence is bad, while other viewers might find just these aspects praiseworthy. So some viewers might condemn the death of the newborn baby in *The Crime of M. Lange*, regardless of the scene's context. More broadly, viewers and critics may employ moral criteria to evaluate a film's overall significance, and here the film's complete formal system becomes pertinent. A film might be judged good because of its overall view of life, its willingness to show opposing points of view, or its emotional range.

While realistic and moral criteria are well suited to particular purposes, this book suggests criteria that assess films as artistic wholes. Such criteria should allow us to take each film's form into account as much as possible. *Coherence* is one such criterion. This quality, often referred to as *unity*, has traditionally been held to be a positive feature of artworks. So, too, has *intensity of effect*. If an artwork is vivid, striking, and emotionally engaging, it may be considered more valuable.

Another criterion is *complexity*. We can argue that, all other things being equal, complex films are good. A complex film engages our interest on many levels, creates a multiplicity of relations among many separate formal elements, and tends to create intriguing patterns of feelings and meanings.

Yet another formal criterion is *originality*. Originality for its own sake is pointless, of course. Just because something is different does not mean that it is good. But if an artist takes a familiar convention and uses it in a way that makes it a fresh experience, then (all other things being equal) the resulting work may be considered good from an aesthetic standpoint.

Note that all these criteria are matters of degree. One film may be more complex than another, but the simpler film may be more complex than a third one. Moreover, there is often a give-and-take among the criteria. A film might be very complex but lack coherence or intensity. Ninety minutes of a black screen would make for an original film but not a very complex one. A slasher movie may create great intensity in certain scenes but may be wholly unoriginal, as well as disorganized and simplistic. In applying the criteria, the analyst often must weigh one against another.

Evaluation can serve many useful ends. It can call attention to neglected artworks or make us rethink our attitudes toward accepted classics. But just as the discovery of meanings is not the only purpose of formal analysis, we suggest that evaluation is most fruitful when it is backed up by a close examination of the film. General statements ("*The Wizard of Oz* is a masterpiece") seldom enlighten us very much. Usually, an evaluation is helpful insofar as it points to aspects of the film and shows us relations and qualities we have missed: "*The Wizard of Oz* subtly compares characters in Kansas and Oz, as when Miss Gulch's written order to take Toto is echoed by the Wicked Witch's fiery skywriting to the citizens of the Emerald City, 'Surrender Dorothy.'" Like interpretation, evaluation is most useful when it drives us back to the film itself as a formal system, helping us to understand that system better.

In reading this book, you'll find that we have generally minimized evaluation. We think that most of the films and sequences we analyze are more or less good

based on the artistic criteria we mentioned, but the purpose of this book is not to persuade you to accept a list of masterpieces. Rather, we believe that if we show in detail how films may be understood as artistic systems, you will have an informed basis for whatever evaluations you wish to make.

Principles of Film Form

Because film form is a system—that is, a unified set of related, interdependent elements—there must be some principles that help create the relationships among the parts. In disciplines other than the arts, principles may be sets of rules or laws. In the sciences, principles may take the form of physical laws or mathematical propositions. In research and invention, such principles provide firm guidelines as to what is possible. For example, engineers designing an airplane must obey fundamental laws of aerodynamics.

In the arts, however, there are no absolute principles of form that all artists must follow. Artworks are products of culture. Thus many of the principles of artistic form are matters of convention. In Chapter 9, we shall examine how various genres can have very different conventions. A Western is not in error if it does not follow the conventions of classic Westerns. The artist obeys (or disobeys) *norms*—bodies of conventions, not laws.

But within these social conventions, each artwork tends to set up its own specific formal principles. The forms of different films can vary enormously. We can distinguish, however, five general principles that we notice in experiencing a film's formal system: function, similarity and repetition, difference and variation, development, and unity/disunity.

Function

If form in cinema is the overall interrelation among various systems of elements, we can assume that every element has one or more **functions**. That is, every element will be seen as fulfilling roles within the whole system.

Of any element within a film we can ask, What are its functions? In *The Wizard of Oz*, every element in the film fulfills one or more roles. For instance, Miss Gulch, the woman who wants to take Toto from Dorothy, reappears in the Oz section as the Wicked Witch. In the opening portion of the film, Miss Gulch frightens Dorothy into running away from home. In Oz, the Witch prevents Dorothy from returning home by keeping her away from the Emerald City and by trying to seize the ruby slippers.

Even an element as apparently minor as the dog Toto serves many functions. The dispute over Toto causes Dorothy to run away from home and to get back too late to take shelter from the tornado. Later, when Dorothy is about to leave Oz, Toto's pursuit of a cat makes her jump out of the ascending balloon. Toto's gray color, set off against the brightness of Oz, creates a link to the black and white of the Kansas episodes at the film's beginning. Functions, then, are almost always multiple. Both narrative and stylistic elements have functions.

One useful way to grasp the function of an element is to ask what other elements demand that it be present. For instance, the narrative requires that Dorothy run away from home, so Toto functions to trigger this action. Or, to take another example, Dorothy must seem completely different from the Wicked Witch, so costume, age, voice, and other characteristics function to contrast the two. Additionally, the switch from black-and-white to color film functions to signal the arrival in the bright fantasy land of Oz.

Note that the concept of function does not always depend on the filmmaker's intention. Often discussions of films get bogged down in the question of whether the filmmaker really knew what he or she was doing by including a certain element. In

asking about function, we do not ask for a production history. From the standpoint of intention, Dorothy may sing “Over the Rainbow” because MGM wanted Judy Garland to launch a hit song. From the standpoint of function, however, we can say that Dorothy’s singing that song fulfills certain narrative and stylistic functions. It establishes her desire to leave home, its reference to the rainbow foreshadows her trip through the air to the colorful land of Oz, and so forth. In asking about formal function, therefore, we ask not, “How did this element get there?” but rather, “What is this element *doing* there?” and “How does it cue us to respond?”

One way to notice the functions of an element is to consider the element’s **motivation**. Because films are human constructs, we can expect that any one element in a film will have some justification for being there. This justification is the motivation for that element. For example, when Miss Gulch appears as the Witch in Oz, we justify her new incarnation by appealing to the fact that early scenes in Kansas have established her as a threat to Dorothy. When Toto jumps from the balloon to chase a cat, we motivate his action by appealing to notions of how dogs are likely to act when cats are around.

Sometimes people use the word “motivation” to apply only to reasons for characters’ actions, as when a murderer acts from certain motives. Here, however, we’ll use “motivation” to apply to any element in the film that the viewer justifies on some grounds. A costume, for example, needs motivation. If we see a man in beggar’s clothes in the middle of an elegant society ball, we will ask why he is dressed in this way. He could be the victim of practical jokers who have deluded him into believing that this is a masquerade. He could be an eccentric millionaire out to shock his friends. Such a scene does occur in *My Man Godfrey*. The motivation for the beggar’s presence at the ball is a scavenger hunt; the young society people have been assigned to bring back, among other things, a beggar. An event, the hunt, *motivates* the presence of an inappropriately dressed character.

Motivation is so common in films that spectators take it for granted. Shadowy, flickering light on a character may be motivated by the presence of a candle in the room. (We might remember that in production the light is provided by offscreen lamps, but the candle purports to be the source and thus motivates the pattern of light.) A character wandering across a room may motivate the moving of the camera to follow the action and keep the character within the frame. When we study principles of narrative form (Chapter 3) and various types of films (Chapters 9 and 10), we will look more closely at how motivation works to give elements specific functions.

“You can take a movie, for example, like Angels with Dirty Faces, where James Cagney is a child and says to his pal Pat O’Brien, ‘What do you hear, what do you say?’—cocky kid—and then as a young rough on the way up when things are going great for him he says, ‘What do you hear, what do you say?’ Then when he is about to be executed in the electric chair and Pat O’Brien is there to hear his confession, he says, ‘What do you hear, what do you say?’ and the simple repetition of the last line of dialogue in three different places with the same characters brings home the dramatically changed circumstances much more than any extensive diatribe would.”

—Robert Towne, screenwriter, *Chinatown*

Similarity and Repetition

In our example of the ABACA pattern, we saw how we were able to predict the next steps in the series. One reason for this was a regular pattern of repeated elements. Like beats in music or meter in poetry, the repetition of the A’s in our pattern established and satisfied formal expectations. Similarity and repetition, then, constitute an important principle of film form.

Repetition is basic to our understanding any film. For instance, we must be able to recall and identify characters and settings each time they reappear. More subtly, throughout any film, we can observe repetitions of everything from lines of dialogue and bits of music to camera positions, characters’ behavior, and story action.

It’s useful to have a term to describe formal repetitions, and the most common term is **motif**. We shall call *any significant repeated element in a film* a motif. A motif may be an object, a color, a place, a person, a sound, or even a character trait. We may call a pattern of lighting or camera position a motif if it is repeated through the course of a film. The form of *The Wizard of Oz* uses all these kinds of motifs. Even in such a relatively simple film, we can see the pervasive presence of similarity and repetition as formal principles.

Film form uses general similarities as well as exact duplication. To understand *The Wizard of Oz*, we must see the similarities between the three Kansas farmhands



2.2 The itinerant Kansas fortune-teller, Professor Marvell, bears a striking resemblance to .



2.3 . . . the old charlatan known as the Wizard of Oz.



2.4 Miss Gulch's bicycle in the opening section becomes . . .



2.5 . . . the Witch's broom in Oz.



2.6 As the Lion describes his timidity, the characters are lined up to form a mirror reversal of . . .



2.7 . . . the earlier scene in which the others teased Zeke for being afraid of pigs.

and the Scarecrow, the Tin Man, and the Cowardly Lion. We must notice additional echoes between characters in the frame story and in the fantasy (2.2–2.5). The duplication isn't perfect, but the similarity is very strong. Such similarities are called *parallelism*, the process whereby the film cues the spectator to compare two or more distinct elements by highlighting some similarity. For example, at one point, Dorothy says she feels that she has known the Scarecrow, the Tin Man, and the Cowardly Lion before. At another point, the staging of a shot reinforces this familiarity (2.6, 2.7).

Motifs can assist in creating parallelism. The viewer will notice, and even come to expect, that every time Dorothy meets a character in Oz, the scene will end with the song "We're Off to See the Wizard." Our recognition of parallelism provides part of our pleasure in watching a film, much as the echo of rhymes contributes to the power of poetry.

Difference and Variation

The form of a film could hardly be composed only of repetitions. AAAAAA is rather boring. There must also be some changes, or *variations*, however small. Thus difference is another fundamental principle of film form.

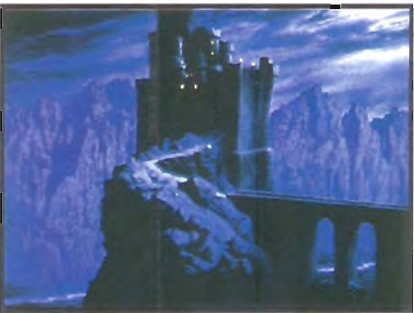
We can readily understand the need for variety, contrast, and change in films. Characters must be differentiated, environments delineated, and different times or activities established. Even within the image, we must distinguish differences in tonality, texture, direction and speed of movement, and so on. Form needs its stable background of similarity and repetition, but it also demands that differences be created.



2.8 Through her crystal ball, the Wicked Witch mocks Dorothy.



2.9 Centered in the upper half of the frame, the Emerald City creates a striking contrast to . . .



2.10 . . . the similar composition showing the castle of the Wicked Witch of the West.



2.11 Dorothy puts her feet on the literal beginning of the Yellow Brick Road, as it widens out from a thin line.

This means that although motifs (scenes, settings, actions, objects, stylistic devices) may be repeated, those motifs will seldom be repeated *exactly*. Variation will appear. In *The Wizard of Oz*, the three Kansas hired hands aren't exactly the same as their "twins" in Oz. Parallelism thus requires a degree of difference as well as striking similarity. When Professor Marvel pretends to read Dorothy's future in a small crystal ball, we see no images in it (2.2). Dorothy's dream transforms the crystal into a large globe in the Witch's castle, where it displays frightening scenes (2.8). Similarly, the repeated motif of Toto's disruption of a situation changes its function. In Kansas, it disturbs Miss Gulch and induces Dorothy to take Toto away from home, but in Oz, his disruption prevents Dorothy from returning home.

Differences among the elements may often sharpen into downright opposition among them. We're most familiar with formal oppositions as clashes among characters. In *The Wizard of Oz*, Dorothy's desires are opposed, at various points, by the differing desires of Aunt Em, Miss Gulch, the Wicked Witch, and the Wizard, so that our experience of the film is engaged through dramatic conflict. But character conflict isn't the only way the formal principle of difference may manifest itself. Settings, actions, and other elements may be opposed. *The Wizard of Oz* presents color oppositions: black-and-white Kansas versus colorful Oz. Dorothy in red, white, and blue versus the Witch in black; and so on. Settings are opposed as well—not only Oz versus Kansas but also the various locales within Oz (2.9, 2.10). Voice quality, musical tunes, and a host of other elements play off against one another, demonstrating that any motif may be opposed by any other motif.

Not all differences are simple oppositions, of course. Dorothy's three Oz friends—the Scarecrow, the Tin Woodman, and the Lion—are distinguished not only by external features but also by means of a three-term comparison of what they lack (a brain, a heart, courage). Other films may rely on less sharp differences, suggesting a scale of gradations among the characters, as in Jean Renoir's *The Rules of the Game*. At the extreme, an abstract film may create minimal variations among its parts, such as in the slight changes that accompany each return of the same footage in J. J. Murphy's *Print Generation* (p. 359).

Repetition and variation are two sides of the same coin. To notice one is to notice the other. In thinking about films, we ought to look for similarities *and* differences. Shuttling between the two, we can point out motifs and contrast the changes they undergo, recognize parallelisms as repetition, and still spot crucial variations.

Development

One way to keep ourselves aware of how similarity and difference operate in film form is to look for principles of development from part to part. Development constitutes some patterning of similar and differing elements. Our pattern ABACA is based not only on repetition (the recurring motif of A) and difference (the varied insertion of B and C) but also on a principle of *progression* that we could state as a rule: alternate A with successive letters in alphabetical order. Though simple, this is a principle of *development*, governing the form of the whole series.

Think of formal development as a *progression moving from beginning through middle to end*. The story of *The Wizard of Oz* shows development in many ways. It is, for one thing, a *journey*: from Kansas through Oz to Kansas. The good witch Glinda emphasizes this formal pattern by telling Dorothy that "It's always best to start at the beginning" (2.11). Many films possess such a journey plot. *The Wizard of Oz* is also a *search*, beginning with an initial separation from home, tracing a series of efforts to find a way home, and ending with home being found. Within the film, there is also a pattern of *mystery*, which usually has the same beginning-middle-end pattern. We begin with a question (Who is the Wizard of Oz?), pass through attempts to answer it, and conclude with the question answered. (The Wizard is a fraud.) Most feature-length films are composed of several developmental patterns.

In order to analyze a film's pattern of development, it is usually a good idea to make a *segmentation*. A segmentation is simply a written outline of the film that breaks it into its major and minor parts, with the parts marked by consecutive numbers or letters. If a narrative film has 40 *scenes*, then we can label each scene with a number running from 1 to 40. It may be useful to divide some parts further (for example, scenes 6a and 6b). Segmenting a film enables us not only to notice similarities and differences among parts but also to plot the overall progression of the form. Following is a segmentation for *The Wizard of Oz*. (In segmenting films, we'll label the opening credits with a "C," the end title with an "E," and all other segments with numbers.)

THE WIZARD OF OZ: PLOT SEGMENTATION

C. Credits

1. Kansas

- a. Dorothy is at home, worried about Miss Gulch's threat to Toto.
- b. Running away, Dorothy meets Professor Marvel, who induces her to return home.
- c. A tornado lifts the house, with Dorothy and Toto, into the sky.

2. Munchkin City

- a. Dorothy meets Glinda, and the Munchkins celebrate the death of the Wicked Witch of the East.
- b. The Wicked Witch of the West threatens Dorothy over the Ruby Slippers.
- c. Glinda sends Dorothy to seek the Wizard's help.

3. The Yellow Brick Road

- a. Dorothy meets the Scarecrow.
- b. Dorothy meets the Tin Man.
- c. Dorothy meets the Cowardly Lion.

4. The Emerald City

- a. The Witch creates a poppy field near the city, but Glinda rescues the travelers.
- b. The group is welcomed by the city's citizens.
- c. As they wait to see the Wizard, the Lion sings of being king.
- d. The terrifying Wizard agrees to help the group if they obtain the Wicked Witch's broomstick.

5. The Witch's castle and nearby woods

- a. In the woods, flying monkeys carry off Dorothy and Toto.
- b. The Witch realizes that she must kill Dorothy to get the ruby slippers.
- c. The Scarecrow, Tin Man, and Lion sneak into the Castle; in the ensuing chase, Dorothy kills the Witch.

6. The Emerald City

- a. Although revealed as a humbug, the Wizard grants the wishes of the Scarecrow, Tin Man, and Lion.
- b. Dorothy fails to leave with the Wizard's hot-air balloon but is transported home by the ruby slippers.

7. Kansas—Dorothy describes Oz to her family and friends

E. End credits

Preparing a segmentation may look a little fussy, but in the course of this book, we'll try to convince you that it sheds a lot of light on films. For now, just consider this comparison. As you walk into a building, your experience develops over time. In many cathedrals, for example, the entryway is fairly narrow. But as you emerge into the open area inside (the nave), space expands outward and upward, your sense of your body seems to shrink, and your attention is directed toward the altar, centrally located in the distance. The somewhat cramped entryway makes you feel a contrast to the broad and soaring space. Your experience has been as carefully planned as any theme park ride. Only by thinking back on it can you realize that the

planned progression of the building's different parts shaped your experience. If you could study the builder's blueprints, you'd see the whole layout at a glance. It would be very different from your moment-by-moment experience of it, but it would shed light on how your experience was shaped.

A film isn't that different. As we watch the film, we're in the thick of it. We follow the formal development moment by moment, and we may get more and more involved. If we want to study the overall shape of things, though, we need to stand back a bit. Films don't come with blueprints, but by creating a plot segmentation, we can get a comparable sense of the film's overall design. In a way, we're recovering the basic architecture of the movie. A segmentation lets us see the patterning that we felt intuitively in watching the film. In Chapters 3 and 10, we'll consider how to segment different types of films, and several of our sample analyses in Chapter 11 will use segmentations to show how the films work.

Another way to size up how a film develops formally is to *compare the beginning with the ending*. By looking at the similarities and the differences between the beginning and the ending, we can start to understand the overall pattern of the film. We can test this advice on *The Wizard of Oz*. A comparison of the beginning and the ending reveals that Dorothy's journey ends with her return home; the journey, a search for an ideal place "over the rainbow," has turned into a search for a way back to Kansas. The final scene repeats and develops the narrative elements of the opening. Stylistically, the beginning and ending are the only parts that use black-and-white film stock. This repetition supports the contrast the narrative creates between the dreamland of Oz and the bleak landscape of Kansas.

At the film's end, Professor Marvel comes to visit Dorothy (2.12), reversing the situation of her visit to him when she had tried to run away. At the beginning, he had convinced her to return home; then, as the Wizard in the Oz section, he had also represented her hopes of returning home. Finally, when she recognizes Professor Marvel and the farmhands as the basis of the characters in her dream, she remembers how much she had wanted to come home from Oz.

Earlier, we suggested that film form engages our emotions and expectations in a dynamic way. Now we are in a better position to see why. The constant interplay between similarity and difference, and repetition and variation, leads the viewer to an active, developing engagement with the film's formal system. It may be handy to visualize a movie's development in static terms by segmenting it, but we ought not to forget that formal development is a *process*. Form shapes our experience of the film.



2.12 The visits of the final scene.

Unity/Disunity

All of the relationships among elements in a film create the total filmic system. Even if an element seems utterly out of place in relation to the rest of the film, we cannot really say that it isn't part of the film. At most, the unrelated element is enigmatic or incoherent. It may be a flaw in the otherwise integrated system of the film—but it does affect the whole film.

When all the relationships we perceive within a film are clear and economically interwoven, we say that the film has *unity*. We call a unified film tight, because there seem to be no gaps in the formal relationships. Every element present has a specific set of functions, similarities and differences are determinable, the form develops logically, and no element is superfluous. In turn, the film's overall unity gives our experience a sense of completeness and fulfillment.

Unity is, however, a matter of degree. Almost no film is so tight as to leave no ends dangling. For example, at one point in *The Wizard of Oz*, the Witch refers to her having attacked Dorothy and her friends with insects, yet we have never seen them, and the mention becomes puzzling. In fact, a sequence of a bee attack was originally shot but then cut from the finished film. The Witch's line about the insect attack now lacks motivation. More striking is a dangling element at the film's end: we never find out what happens to Miss Gulch. Presumably, she still has her legal

order to take Toto away, but no one refers to this in the last scene. The viewer may be inclined to overlook this disunity, however, because Miss Gulch's parallel character, the Witch, has been killed off in the Oz fantasy, and we don't expect to see her alive again. Since perfect unity is scarcely ever achieved, we ought to expect that even a unified film may still contain a few unintegrated elements or unanswered questions.

If we look at unity as a criterion of evaluation, we may judge a film containing several unmotivated elements as a failure. But unity and disunity may be looked at nonevaluatively as well, as the results of particular formal conventions. For example, *Pulp Fiction* lacks a bit of closure in that it never reveals what is inside a briefcase that is at the center of the gangster plot. The contents, however, give off a golden glow, suggesting that they are of very great value (as well as evoking the "whatsit" in *Kiss Me Deadly*, a classical film noir). By not specifying the goods, the film invites us to compare characters' reactions to them—most notably, in the last scene in the diner, when Pumpkin gazes at it lustfully and the newly spiritual hitman Jules calmly insists that he will deliver it to his boss. In such ways, momentary disunities contribute to broader patterns and thematic meanings.

Summary

If one issue has governed our treatment of aesthetic form, it might be said to be *concreteness*. Form is a specific system of patterned relationships that we perceive in an artwork. Such a concept helps us understand how even elements of what is normally considered content—subject matter, or abstract ideas—take on particular functions within any work.

Our experience of an artwork is also a concrete one. Picking up cues in the work, we frame specific expectations that are aroused, guided, delayed, cheated, satisfied, or disturbed. We undergo curiosity, suspense, and surprise. We compare the particular aspects of the artwork with general conventions that we know from life and from art. The concrete context of the artwork expresses and stimulates emotions and enables us to construct many types of meanings. And even when we apply general criteria in evaluating artworks, we ought to use those criteria to help us discriminate more, to penetrate more deeply into the particular aspects of the artwork. The rest of this book is devoted to studying these properties of artistic form in cinema.

We can summarize the principles of film form as a set of questions that you can ask about any film:

1. For any element in the film, what are its functions in the overall form? How is it motivated?
2. Are elements or patterns repeated throughout the film? If so, how and at what points? Are motifs and parallelisms asking us to compare elements?
3. How are elements contrasted and differentiated from one another? How are different elements opposed to one another?
4. What principles of progression or development are at work throughout the form of the film? More specifically, how does a comparison of the beginning and ending reveal the overall form of a film?
5. What degree of unity is present in the film's overall form? Is disunity subordinate to the overall unity, or does disunity dominate?

In this chapter, we examined some major ways in which films as artworks can engage us as spectators. We also reviewed some broad principles of film form. Armed with these general principles, we can press on to distinguish more specific *types* of form that are central to understanding film art.

Where to Go from Here

Form in Film and the Other Arts

Many of the ideas in this chapter are based on ideas of form to be found in other arts. All of the following constitute helpful further reading: Monroe Beardsley, *Aesthetics* (New York: Harcourt Brace & World, 1958), especially chaps. 4 and 5; Rudolf Arnheim, *Art and Visual Perception* (Berkeley: University of California Press, 1974), especially chaps. 2, 3, and 9; Leonard Meyer, *Emotion and Meaning in Music* (Chicago: University of Chicago Press, 1956); and E. H. Gombrich, *Art and Illusion* (Princeton, NJ: Princeton University Press, 1961).

On the relation of form to the audience, see the book by Meyer mentioned above. The ABACA example is borrowed from Barbara Herrnstein Smith's excellent study of literary form, *Poetic Closure* (Chicago: University of Chicago Press, 1968). Compare Kenneth Burke's claim: "Form is the creation of an appetite in the mind of the auditor and the adequate satisfying of that appetite." (See Kenneth Burke, "Psychology and Form," in *Counter-Statement* [Chicago: University of Chicago Press, 1957], pp. 29–44.)

This chapter presupposes that any filmmaker uses basic formal principles. But is the filmmaker fully aware of doing so? Many filmmakers use formal principles intuitively, but others apply them quite deliberately. Spike Lee's cinematographer Ernest Dickerson remarks, "A motif we used throughout [*School Daze*] was two people in profile, 'up in each other's face.' That was a conscious decision" (*Uplift the Race: The Construction of "School Daze"* [New York: Simon & Schuster, 1988], p. 110). Sidney Lumet decided to give *Twelve Angry Men* a strict progression by shooting from different camera positions as the story developed. "As the picture unfolded I wanted the room to seem smaller and smaller. . . . I shot the first third of the movie above eye level, the second third at eye level, and the last third from below eye level. In that way, toward the end, the ceiling began to appear" (Sidney Lumet, *Making Movies* [New York: Knopf, 1995], p. 81).

Form, Meaning, and Feeling

How does cinema evoke emotion? It's actually a bit of a puzzle. If a giant ape were lumbering toward us on the street, we'd run away in fright. But if King Kong is lumbering toward us on the screen, we feel frightened, but we don't flee the theater. Do we feel real fear but somehow block our impulse to run? Or do we feel something that isn't real fear but is a kind of pretend-fear? Similarly, when we say that we *identify* with a character, what does that mean? That we feel exactly the same emotions that the character does? Sometimes, though, we feel some emotions that the character isn't feeling, as when sympathy for her is mixed with pity or anxiety. Can we

identify with a character and not have the same feelings she has?

In the 1990s, philosophers and film theorists tried to shed light on these issues. For a sampling, see Carl Plantinga and Greg M. Smith, eds., *Passionate Views: Film, Cognition, and Emotion* (Baltimore: Johns Hopkins University Press, 1999). The essays in this collection grew out of debates around some influential books: Noël Carroll, *The Philosophy of Horror; or, Paradoxes of the Heart* (London: Routledge, 1990); Murray Smith, *Engaging Characters: Fiction, Emotion and the Cinema* (Oxford: Oxford University Press, 1995); Joseph Anderson, *The Reality of Illusion: An Ecological Approach to Cognitive Film Theory* (Carbondale: University of Southern Illinois Press, 1996); and Torben Grodal, *Moving Pictures: A New Theory of Film Genres, Feelings, and Cognition* (Oxford: Oxford University Press, 1997). See also Greg M. Smith, *Film Structure and the Emotion System* (Cambridge: Cambridge University Press, 2003).

An alternative approach to understanding spectators' response to films has been called *reception studies*. For an overview, see Janet Staiger, *Media Reception Studies* (New York: New York University Press, 2005). Often scholars working in this tradition seek to understand how specific social groups, such as ethnic groups or historically located audiences, respond to the films offered to them. Influential examples are Kate Brooks and Martin Barker's *Judge Dredd: Its Friends, Fans, and Foes* (Luton: University of Luton Press, 2003) and Melvin Stokes and Richard Maltby, eds., *American Movie Audiences: From the Turn of the Century to the Early Sound Era* (London: British Film Institute, 1999). In *Perverse Spectators: The Practices of Film Reception* (New York: New York University Press, 2000), Janet Staiger discusses how audiences and critics can respond to films in ways that the filmmakers could not have anticipated.

Many critics concentrate on ascribing implicit and symptomatic meanings to films—that is, interpreting them. A survey of interpretive approaches is offered in R. Barton Palmer, *The Cinematic Text: Methods and Approaches* (New York: AMS Press, 1989). David Bordwell's *Making Meaning: Inference and Rhetoric in the Interpretation of Cinema* (Cambridge, MA: Harvard University Press, 1989) reviews trends in film interpretation.

Linear Segmentation and Diagramming

Dividing a film into sequences in order to analyze its form is usually called *segmentation*. It is usually not difficult to do, though most often we do it intuitively.

Usually, a feature-length film will have no more than 40 sequences and no fewer than 5, so if you find yourself dividing the film into tiny bits or huge chunks, you may want to shift to a different level of generality. Of course,

sequences and scenes can also be further subdivided into subsegments. In segmenting any film, use an outline format or a linear diagram to help you visualize formal relations (beginnings and endings, parallels, patterns of development). We employ an outline format in discussing *Citizen Kane* in the next chapter and in discussing modes of filmmaking in Chapter 10.

Websites

www.uca.edu/org/ccsmi/ A site devoted to the Center for Cognitive Studies of the Moving Image, which examines various aspects of psychological and emotional responses to film.

<http://en.wikipedia.org/wiki/Art>. A helpful introductory essay on the role of form in different art media.

Recommended DVD Supplements

DVD supplements tend to focus on behind-the-scenes production information and on exposing how techniques

such as special-effects and music were accomplished. Sometimes, though, such descriptions analyze formal aspects of the film. Despite its title, the supplement “City of Night: The Making of *Collateral*” deals largely with principles of narrative development: the use of chance to bring characters together, character change as a result of the two protagonists’ interaction, contrasting types of music, and so on. In “Sweet Sounds,” the supplement on the music in *Charlie and the Chocolate Factory*, composer Danny Elfman discusses how the musical numbers that follow the disappearance of each of the obnoxious children created parallels among them and yet achieved variety by being derived from different styles of music.

“Their Production Will Be Second to None,” on the *Hard Day’s Night* DVD, includes an intelligent interview with director Richard Lester in which he talks about the overall form of the film. He remarks, for example, that in the first third, he deliberately used confined spaces and low ceilings to prepare for the extreme contrast of the open spaces into which the Beatles escape.