THE FORMATION AND TRANSFORMATION OF IDENTITY IN THE NOVEL AND FILM OF *GREAT EXPECTATIONS* BY CHARLES DICKENS

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SUMMARY

The research done in this study was motivated by the notion that individuals (or societies) create their own *reality* through the specific space they occupy at a certain moment in time. This concept of *reality* implies an "interspace" between (con)texts that could be described as a hybrid (a term that is used to describe the mixing or intermingling of different aspects or liminal space between various (con)texts. As the notion of identity is closely related to the interaction of the individual with a specific context, the main aim of the research was to promote hybridity as a form of identity by exploring the relationship or dialogue between literature (novel) and film as texts.

For this purpose, a comparison was made between the formation of identity in the novel *Great Expectations* by Charles Dickens and its twentieth century counterpart in film produced by Twentieth Century Fox (directed by Alfonso Cuaròn and adapted by Mitch Glazer). The main difference between the two texts, the different periods in which the works were produced, constituted an important point of departure for this study. It also revealed that the main character of the respective texts, Pip/Finn, possesses a type of "core personality" of a sense of values that refuses to be repressed, despite the character's interaction with context as reflected in the interplay between the similarities and differences between the texts.

The methodological approach was based on the Brockmeier model which suggested an imbrication of theories such as narratology, semiotics and intertextuality that could all contribute, in some way, towards the formation of "textual" identity. The analysis first identified three (con)textual aspects/constants in the formation of identity, namely ideological influences, strategies of writing and social reality, in the novel *Great Expectations*, and then proceeded to illustrate the transformation of these contextual markers in the twentieth century film version. The comparison indicated an expansion of the narrator's/protagonist's historic consciousness in the film that correlated with the cultural dominants of the specific time: the film's realist mode as opposed to the postmodernist expansion or fusion of boundaries. The two texts were perceived to be engaged in a dialogue with no conclusive interpretation, an aspect familiar to the postmodernist approach.

KEY WORDS: Identity, hybridity, space, time, contexts, cultural/contextual markers, literary transformation, rewriting, adaptation, semiotics, narratology, hermeneutics, intertextuality, extratextuality, globalisation, Victorian context, postmodernism, palimpsest, Charles Dickens, *Great Expectations*.

OPSOMMING

Die navorsing in hierdie studie is gegrond op die veronderstelling dat individue (of gemeenskappe) hul eie *realiteit* skep deur die bepaalde ruimte en tyd waarin 'n persone hulself bevind. Hierdie konsep van *realiteit* impliseer 'n "inter-ruimte" tussen (kon)tekste, wat beskryf kan word as 'n hibried ('n term wat die vermenging van aspekte beskryf). As gevolg van die feit dat identiteit sterk verband hou met die interaksie van die individu met sy spesifieke konteks is die hoofdoel van die studie om hibriditeit as 'n vorm van identiteit te promoveer deur die interdissiplinêre verhouding of dialoog tussen die literêre werk (roman) en die film as tekste aan te dui.

Dit is gedoen deur die roman, Charles Dickens se *Great Expectations*, te vergelyk met die film wat deur Twentieth Century Fox vervaardig is (regie deur Alfonso Cuaròn en verwerking deur Mitch Glazer), met die klem op die vorming en transformasie van identiteit. Die hoofverskille tussen die tekste, naamlik die verskillende tydperke waarin die tekste geskep is, was 'n kernuitgangspunt van die studie. Dit het ook aangedui dat die hoofkarakter van die onderskeie tekste, naamlik Pip/Finn, 'n tipe "kernpersoonlikheid" besit wat gebaseer is op waardes wat nie onderdruk kan word nie, ten spyte van die karakter se interaksie met die konteks, soos weerspieël in die wederkerige spel tussen die ooreenkomste en verskille tussen die tekste.

Die metode wat gevolg is, is gebaseer op die Brockmeier-model, wat 'n kombinasie van teorieë of benaderings voorstel, onder andere narratologie, semiotiek en intertekstualiteit, in die daarstelling van 'n sogenaamde "tekstuele identiteit". Die analise het eerstens drie (kon)tekstuele merkers geïdentifiseer, naamlik ideologieë, skryfstrategieë en sosiale realiteite. Die studie het ook die transformasie van hierdie kontekstuele merkers in verband met die twintigste-eeuse film ondersoek. Die vergelyking het aangedui dat die protagonis of verteller se kulturele en historiese bewussyn en "verbrede" horison ooreengestem het met die dominante aspekte van die spesifieke tyd: die film se realistiese weerspieëling in teenstelling met die post-modernistiese vervloeiing van grense. Die twee tekste is gesien as 'n eindelose dialoog met geen vaste vertolking nie, 'n kenmerkende aspek van die postmodernistiese benadering.

SLEUTEL WOORDE: Identiteit, hibriditeit, ruimte, tyd, konteks, kulturele/kontekstuele merkers, literêre transformasie, herskrywing, aanpassing, semiotiek, narratologie, hermeneutiek, intertekstualiteit, ekstratekstualiteit, globalisering, Victoriaanse konteks, postmodernisme, palimpses, Charles Dickens, *Great Expectations.*

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1 CONTEXTUALISATION

1.1 Texts and context

The adaptation of written texts, or novels, into film texts has provided the film industry with an extensive repertoire of source material. Yet, adaptation for film has also resulted in various versions of films of a particular novel, whether they were determined by a specific paradigm, time period or intended for casting specific actors. One of the novels that have inspired different film versions over time is Charles Dickens's *Great Expectations* that was written in the middle of the nineteenth century (1860-1861). The film adaptations of the novel include the silent film by Paramount in 1917, the Universal Studio's film produced in 1934 and David Lean's film in 1946 (Tibbetts and Welsh, 1999:94). The most recent film version of *Great Expectations* was adapted by Mitch Glazer (screen writer) and directed by Alfonspo Cuaròn at the end of the twentieth century (1998).

Film texts do not only provide access to a lengthy and elaborate novel in visual form within a demarcated time span, but they also facilitate interaction with a broad public audience. One disadvantage of film pertains to the industry's inclination to cater for populist audiences with an emphasis on romantic and sentimental representations as drawcards for the industry. This materialistic bend tends to distort the value of the film in many instances.

In consideration of the novel's salient qualities and the different film versions that have attempted to capture the spirit of *Great Expectations*, this study will endeavour to determine whether there are basic aspects of a novel that can be successfully represented in a much shorter film version situated within a different time period and location; whether the most recent film version of the novel successfully portrays those aspects; whether Pip's identity formation can be adequately represented in a different medium and finally, whether identity is as important in contemporary postmodernist society as it seems to have been in 19th century fiction, and in particular in *Great Expectations* by Dickens.

The main emphasis in this study will be placed on the different dynamics displayed in the novel and its recent representation in film. Although the central idea or basic plot of the film corresponds to the original text, there are various changes in the film with regard to countries, places and towns, names and occupations of characters et cetera, that characterise the film as a product of the twentieth century. Closer examination and comparison of the two texts reveal that the differences and forms of adaptations discernible in the film are due to the disparate cultural contexts that reflect the different circumstances prevalent in the twentieth century. By adapting the social context in the film to contemporary society, it is presumed that it will become more acceptable and meaningful to the audience involved. This conclusion is substantiated by Brian McHales's (1989:6) concept of the cultural dominant defined as:

> a document of a particular moment in cultural history, it is dominated by its period's dominant; as unique text-structure, it possesses its own unique dominant... different dominants emerge depending upon which questions we ask of the text, and the position from which we interrogate it.

In consideration of the cultural dominants identified by McHale, and using Lerner's (1991:335) identification of the three aspects of context as "its ideology, its strategies of writing, and social reality" as directives, this study attempts to compare and explore the relevant "contexts" of the two texts of *Great Expectations.* A contextual approach would not only facilitate the levels of interpretation in the texts, but also enable a better understanding of the influences that shape personalities, create histories and reflect in the texts or products, such as literature, art, cinema and other expressions. In other words, this study attempts to identify, analyse and trace the social forces at work in artistic expression and to gauge their influence in the transformation of texts relevant to a specific period (the cultural dominant), which will express and highlight different aspects of the two texts such as the representation of space, place and social interaction. In this sense environment would also act as a text.

1.2 Context and identity

The notion of identity formation and transformation in this study is based on the premise that an individual is defined by the specific "space" he/she occupies at a certain moment in time. However, the progression of time involves change that entails constant adaptations to context in the formation of individual (social or collective) identity. In turn,

the interaction of the individual with his/her context also influences or shapes that context or environment.

Several critics agree on the interaction between space and the individual. Crang (1998:102), for instance, points out that an individual can only conceive of space in terms of self and environment. Hall (in Mongia, 1997:110) reiterates this perspective by indicating that the position (place) a person occupies in space and time (context) affects a person's particular identity at that specific moment in time. However, this identity is not static because in another moment it will be different: "identity as a 'production', which is never complete, always in process, and always constituted within, not outside, representation". This perception is shared by various poets and critics such as Arnaud (as quoted by Bachelard, 1964:137), who claims: "I am the space where I am"; Zlogar (1986:24), who contends that "man at once affects the space around him while simultaneously being affected by that space"; and Adesanmi (2002:73), who indicates that there is no such thing as "neutral space" because human beings who inhabit space generate a "spatial matrix". Darian-Smith, Gunner and Nuttall (1996:3) elaborate on these perspectives by asserting that space is "a focus for the formation of identity" and continue that the notion of space can be seen as a "multidimensional" entity, which encompasses psychological/personal, social, philosophical, cultural and territorial/physical dimensions.

The historical as well as current dispersion and translocation of peoples for various reasons, such as exile (slavery, colonisation and the Diaspora) and migration due to globalisation,[1] have transformed traditional forms of identity into hybrid forms (Ashcroft, 2001:219) contesting the traditional notion of identity as a static concept dependent on specific geographical locations, conventional cultural patterns and social groups. This protean formation of identity has become an important preoccupation of various contemporary disciplines functioning within a posmodern paradigm. A change in the perception of identity has also brought about the recognition of proximities between various fields of study, such as anthropology, architecture and social history (Low and Chambers 1989:3; Lawrence 1989:91), as well as psychology, philosophy, cultural studies and literature, which are all concerned with identity and identity formation. Literary studies have also been active in this field, as attested to by recent conferences.

[1] Apart from exile, technological advancement and improved communication resulting from the compression of space and time (Stein, 2001:107), have promoted the concept of globalisation.

For example, the Poetics and Linguistics Association Conference: *Challenging the Boundaries* (Istanbul, 23-26 June 2003) and *Place, Memory, Identities: Australia, Spain and the New World* (Melbourne, 9-12 July 2003). Several books and article collections have also addressed the topic of space and boundaries such as Darian-Smith et al. 1996. *Text, theory, space.*

Within the traditional paradigm, identity was essentialised as a definite perception of self, of being, that people had to experience through self-discovery in order to find their *true* identity (Graybill, 2002:par. 15). This concept has its roots in the Victorian Realism of the 19th century that assumed identity to have recognisable traits related to country, nation, class, race and gender. Perceptions of the Victorian world view as described by literary historians and critics such as Potter (1987) and the Bloomsbury Guide to English Literature (Wynne-Davies, 1989), for instance, tend to promote perceptions of a homogeneous interpretation of Victorian life and create the idea of a Victorian identity.

From a postmodern point of view, this universal perception needs to be complemented and enlarged by studies of individual authors and critics. In contrast to traditional views, contemporary perceptions of identity are influenced by constantly evolving patterns of social migration and dynamics that accommodate various cultures, languages and creeds. The contemporary concept includes a more fluid perspective; it is viewed as a *process of formation*, of becoming (Kinnane, 1998:par. 10), or a journey of self-transition, while Raban (1974: 9-10) describes identity as a "soft, fluid, endlessly open" concept that allows you to "decide who you are". The late 20th century, as represented in the film version of *Great Expectations*, reflects the change brought about by globalisation spurred by technology. The Internet and electronic communication media have also brought about the physical isolation of the individual so that identity is formed in all reaches of space, expanded in the present.

From these above-mentioned statements, it can be assumed that identity formation relates to the perception of self within a defined context where the individual is in constant interaction with a physical location as well as with his/her social and historical realities. Therefore a sense of self cannot exist in isolation, because 'selfness' stands in relation to otherness. This idea is also voiced by a critic such as Taylor (1989:35), who refers to Bakhtin's perception of the communal nature of identity, and is also prevalent within the African context as a kind of social interdependence, illustrated by the concept

of 'ubuntu', namely that "a person is a person through [because of] other people" (Louw, 2003: par. 1).

1.3 Context and space in literature and film

As cultural products, literature and film provide a means of exploring representations of different but recognisable realisations/ adaptations of/ adaptations to these contexts.

Literature, and in particular the novel as a construct of culture, provides a suitable field for tracing the process of identity formation. A narrative analysis of a text from a specific period – such as the 19th century – transposed into our contemporary postmodern paradigm, will not only provide a means of identifying crucial cultural characteristics or markers related to identity formation, but will also present some insight into present construction and interpretation of *reality*. This interpretation of *reality* provides a "cultural record" of a particular society. Both the novel and the film are "cultural records" of society in the form of narrative fiction (or myth). Narrative fiction constitutes a means to apprehend or define time. Lothe (2000:1) defines a narrative as "a chain of events, which is situated in time and space." In other words, it is an attempt to situate oneself within the spatio-temporal dimension which, in turn, implies a dialectic, a term from Bachelard (1964:201), or a dialogue between time and space – i.e., context.

1.4 History, literature and film

The Victorian realism of the nineteenth century provides the historical and cultural backdrop for *Great Expectations*. The most important social influence on this period was that of the Industrial Revolution, which had a tremendous effect on the ideology, economy (the rise of the middle class) and politics of the Victorian social environment. Rural spaces were transformed into cities. During this time the space of the individual became more important than the community. This was a departure of a more socially orientated perspective and reflected the idea that the keynote of this period was change. According to Crawford (1991:251) the predominant ideas of Victorian Realism were based on natural, rational explanation of evidence experienced through the five senses. The focus on observation (the eye), explains the fact that the philosopher August Comte (1798-1857) based his philosophy of positivism on explored observation and seeing events in relation to cause and effect. Realism is thus born from the idea of

an "objective" observation of "reality". Darwin's theory of evolution also strengthened the theory of human progress that made the idea of individual and collective improvement possible, as reflected in the *Bildungsroman*. Marx and Engels focused the Victorians' attention on social problems. Thus, the main preoccupations of this time were observation, progress and social problems.

In contrast to the novel, the film of *Great Expectations* is situated within the postmodernist paradigm of the twentieth century. The postmodern context can also be described in terms of a revolution – the Information Technology Revolution. Revolution. Van Niekerk (1992:38) sees postmodernism as a new consciousness which has been brought about by the Cold War, nuclear technology, space exploration, multinational corporate capitalism, advanced computer and other technological developments and sophisticated marketing strategies. Face-to-face contact has become obsolete, leading to the isolation of the individual. Capitalism and information technology make people citizens of the global village. Time is experienced in a flowing continuum as in dreams, with flashes backward and forward. Therefore the postmodern perception of time and space is that all extensions of space are now contemporary or accessible. Time is seen as an extended present incorporating all past and present times and spaces.

To summarise: a comparison of novel and film texts has identified the importance of context and identity in literary and visual representation. In order to facilitate the analysis of the texts in terms of these issues, several approaches will be used.

1.5 Theoretical premises

Narratology will feature as the overarching theoretical premise to determine and describe, first of all, the applicable fields for analytical attention in this study, while semiotics, hermeneutics and postmodernism, as well as intertertextuality, will form the secondary principles of analysis to facilitate the interpretation.

1.5.1 Narratology

Narratology implies the analysis of the narrative space in the different texts/symbolic constructions. Predominant scholars in this field of study are Bal (1985, 2001) and Rimmon-Kenan (1983). As this study will focus on manifestations of identity formation and transformation in two texts from different historical periods with essentially the same plot, narratological precepts will feature as the dominant theoretical underpinning of the study. The way (space and time/context) in which a *fabula* or story is told – the plot or *syushet/sjuzhet* – forms the core element in constructing or forming identity. In addition to the plot, the influence of characters who move through and are affected by the events of the plot is an important factor to bear in mind. This means that specific characters with certain character traits will react in a certain way when faced with certain events in the plot. Bal (1985:120) states that the identity of the narrator effects the character of the text, because the narrator influences the way in which the story is told. Focalisation, a kind of prism through which the story is represented, also has an influence on the character of the text. Bal (2001) developed visual narratology from this concept. Therefore it can be deduced that the narratological components mentioned above, which also include time (phenomenological, cosmological, "Aktzeit" and Cultural "zeit") are of particular importance in regard to identity as a "textual reality".

1.5.2 Semiotics

Semiotics is a useful approach in the comparison of different mediums by focusing on texts as sign systems that communicate in a certain way. Bluestone (1957:1) sees literature, the novel in particular, as "the concept of the mental image", while the film is seen as "the precept of the visual image". The identity of the novel is therefore manifested in a conceptual and discursive form constructed in the symbolic space of the linguistic medium, while the identity of the film is manifested in the symbolic space of a perceptual and presentational form of the visual medium. The emphasis is placed on symbolic spaces that are found in both the novel and the film. Hall (2001:10) perceives the representation of identity as a symbolic space embodying concepts, ideas and emotions, as well as transmitted and fully interpreted meaning. Therefore it can be deduced that the symbolic spaces of the novel and film create a representation of identity embodying a society's concepts, ideas and emotions, as well as transmitted and

fully interpreted meaning. Additionally, the mental and visual images created from events situated in space and time (symbolic spaces) form a narrative, a story or *fabula*.

Due to the fact that the study focuses on texts from different mediums and/or genres, semiotics provides mediation between the sign systems and codes of the novel and film. It provides a way of interpreting the physical location and historical context of the narrative spaces. Film will only be discussed in terms of its implications as a different genre with specific characteristics and visual, kinesic/kinetic and auditory systems or codes. The focus will be placed on individual identity and its interaction with context as represented and depicted in the novel and in its screen version. In this respect, the main character and first person narrator, Pip, encounters various contexts that shape (and distort) his personality. While the novel focuses on significant aspects of Victorian life and social norms, such as materialism, concepts of respectability and education, the film relates to contemporary versions of those issues.

A comparison of the texts' individual contexts reflects a progression in time, with a concomitant change in context. Although the film represents a contracted form of individual and social development, it has the additional advantage of visual codes that enhance or direct interpretation; it is a universal art form that can also be shared by millions of people at the same time, in contrast to the limitations of the individual reader of the prose text. In this sense film seems to be more adaptable to our contemporary world of multiculturalism and globalisation, whereas the novel was a typical development of the focus on the individual and the lives of ordinary people in the nineteenth century. Film cuts across barriers of race and religion since a film shot of a child stroking a pet possibly denotes innocence and tenderness or caring that have the same meaning for audiences around the world. On the other hand, reading a novel implies a more personal experience or interaction for the reader. The language in which the novel is written, as well as the cultural practices within the context, also limits its accessibility for a certain reader audience. Maya Deren (as quoted by Giannetti, 1982:ix) highlights film's extra-ordinary range of expression by describing it as follows:

> It has in common with the plastic arts the fact that it is a visual composition projected on a two dimensional surface; with dance, that it can deal in the arrangement of movement; with theatre, that it can create a dramatic intensity of events; with music, that it can compose in rhythms and phrases of time and can be attended by song and instrument; with poetry, that it can juxtapose images;

with literature generally, that it can encompass in its sound track the abstractions available only to language.

The combination of certain aspects of Saussure's work (mainly the focus of literary scholars) with certain aspects of Peirce's work (mainly the focus of film scholars) on semiotics leads to the establishment of a spatio-temporal semiotics that makes a comparison between the novel and film more viable. Chaudhuri's (1986:18-22) idea that the theatre consists of a system divided into several subsystems can be applied to novels and films too, making it possible also to view them as systems consisting of several subsystems. In doing so, certain subsystems that the novel and film have in common owing to their *mimetic* nature can be compared even if they are presented in different ways by the two mediums. In this instance, semiotics translates the sign systems. Jacobson's communication model, which indicates that there are six factors (addresser, message, addressee, context, code and contact) and six functions (referential, emotive, conative, phatic, metalingual and poetic) that influence the communication process, helps in the analysis of a literary transformation (Lodge, 1988:35). If any of these factors or functions have changed in the transformation process, the literary transformation will be dramatically different.

1.5.3 Hermeneutics and postmodernism

In this study several theories working on different levels are used as heuristic tools. In the first instance, narratology is used to determine the applicable fields for analytical attention, while the other theories form the secondary principles of analysis to facilitate the interpretation. Semiotics provides a way of translating the different sign systems, making it possible to interpret the physical location and historical contexts of the narrative spaces. Dialogism, the dialogue between the texts and their respective social contexts (Juri Lotman focuses on this part of the process and calls it extratextuality), as well as the dialogue between the texts themselves (Kristeva focuses on this part and calls this intertextuality), is used to interpret the novel and film (Van Zyl, 1982: 73-77,86-87).

Hermeneutics, the interpretation and reinterpretation of the texts is a continuous process in this study. Firstly, there is the interpretation of the novel as text in regard to its physical location and its social environment. Secondly, there is the interpretation of the film transformation as text in regard to the physical location and social environment.

DeBona (1992:par 3) sees this form of interpretation as an adaptation that shares with "interpretation theory, especially since adaptation is the appropriation of *Bedeutung* from prior text." Lastly, there is the reinterpretation of both, which focuses on the interaction or dialogue between the novel (with its particular physical location and social environment) and the film (with its particular physical location and social environment). These continuous interpretations or reinterpretations reveal a heterogeneous composition of different, often contradictory, layers of meaning that enhance the meaning derived from the interpretation or reinterpretation of only one text. Gebauer and Wulf (1992:268) provide an acceptable explanation for these differences in interpretation when they assert the following:

> Texts are never originals, always 'doubles'; they come into being through acts of collation and supplementation, through entanglements in other texts. They have no origin but rather begin in situations that are already mimetic. Every origin is a repetition. What is written can be imitated at will and is open to divergent interpretations.

This statement underscores the postmodern mindset in which boundaries are violated so that the distinction between "originals" and "copies" no longer exist. This also links up with the postmodern idea of a labyrinth of interlacing and intersecting paths that is constructed so that every path can be connected with every other path, with potentially infinite combinations. The postmodern perception of the compression of time, as well as the intermingling of spaces and times, underscores the whole idea of transposing one social and historical context to another, while it also suggests the transposing of one narrative fiction to another by violating genre and medium boundaries. These forms of interpretation and reinterpretation are only seen as a postmodern game where anything goes that can be negotiated.

1.5.4 Intertextuality

Intertextuality recognises and refers back to other texts and this approach is important when comparing the novel and film. and is an elaboration of Bakhtin's dialogism. It is based on the idea that texts communicate with one another. Kristeva's focus is also on how a text is made up of other texts. In a comparison of the novel and the film, the cultural markers in the novel (mostly related to cultural contexts of space and time) would need to be identified and related to the film, and the role of intertextuality between the two genres would need to be addressed.

The latter aspect plays an important role, as Orr and Nicholson (1992:1) point out when they state that "such is the current intensity of the tie-in, the intertexuality of the written word and the visual image in our electronic culture, that one is tempted to speak, as John Izod does ... of 'literary and cinematic fictions' as the shared property of the book and the screen." Nethersole (1995:88) also regards literary transformation as a positive effect, for she states that "an investigation into the space of literature will show that while the traditional borderlines of the literary field are being erased its ground is merely being transformed by the electronic media". Lothe (2000:vii) sees narrative fiction as story-telling that can take many forms in our culture, such as "novels, films, television series, strip cartoons, myths, anecdotes, songs, advertisements, biographies". Eikhenbaum (as quoted by Lothe, 2000:8), a Russian formalist, sees the transformation of literature into film as "neither the staging nor illustration of literature but a *translation to film language*".

Jakobson (as quoted by Bassnett, 1992:14), who was one of the first theorists to identify an intersemiotic translation that entails the interpretation of verbal signs by means of the signs of nonverbal sign systems, defines translation as "only an adequate *interpretation* of an alien code". He called this process "transmutation", in other words, the reworking or rewriting of a text into another system or code altogether by incorporating non-verbal signs. Bluestone (1957:5) describes this process of transformation of literature into film as the movement from " a given set of fluid, but relatively homogeneous conventions to another". Gebauer and Wulf (1992:268) do not see this process of transformation of literature into film as imitation, but contend:

> The mimetic treatment of texts and writing marks itself off from imitation and simulation through an element of difference. The goal is not the production of the same but the generation of the similar; it makes difference possible and, with difference, productive freedom.

1.6 Questions and aims

Exploring the different spaces and points in time in the novel, as well as in the film adaptation, offers a unique way of investigating the dynamic and ever-changing quality of identity formation. Changes in identity formation over time entail subsequent changes in context, but there are certain recognisable traits or markers that deny or

transcend the significance of evident contextual factors, such as the passage of time, the change of names, social position or genre. This perception is evident in the film version of *Great Expectations,* which is recognisably based on or adapted from the novel despite the fact that it is set in another time, has characters with different names and is transformed into another medium altogether.

To summarise, the above contextualisation has raised several key issues, which can be formulated in question form, as follows.

- Which theoretical approach(es) or framework(s) would best interrogate, analyse and accommodate processes of identity formation and transformation occurring over time and space?
- How is identity formation manifested in the novel *Great Expectations*?
- How is identity transformed in the twentieth century film of *Great Expectations* to illustrate the development of the protagonist's/narrator's cultural and historic consciousness and expanded horizon?
- What theoretical and textual conclusions could be drawn from a comparison of different genres and disparate social contexts with regard to identity formation and transformation, and how could these ideas/ guidelines be applied to our contemporary, postmodern frame of reference?

In order to investigate the concept of identity formation, the aims of this study are to:

- Determine which theoretical approach(es) or framework(s) would best interrogate, analyse and accommodate processes of identity formation and transformation occurring over time and space.
- Explore the identity formation manifested in the novel *Great Expectations.*
- Explore the transformation of identity in the twentieth century film to illustrate the development of the protagonist's/narrator's cultural and historic consciousness and expanded horizon.
- Gauge/determine what theoretical and textual conclusions could be drawn from a comparison of different genres and disparate social contexts with regard to identity formation, and how these ideas/guidelines could be applied to our contemporary, postmodern/postcolonial frame of reference.

1.7 Thesis statement and methodology

The focus of this study is to examine how identity is formed and transformed in response to a particular context (spatial and temporal) in novel and film, and to determine whether certain markers or characteristics occur or recur in changed contexts. Such a comparison not only highlights the dynamic concept of hybridity and cross-cultural fertilisation with regard to identity, but also illustrates how the two genres complement each other and enhance the original message of the text(s).

This study lends itself to various theoretical approaches such as, among others, narratology, semiotics, hermeneutics and intertextuality. The focus of this study is not on technical aspects of film theory, although certain terms from contemporary film studies might be used. However, in such an analysis, the cinematic codes that involve *mise-en-scéne* in space and time, cinematographic properties of the photographic image (framing, duration, etc.), editing and sound might be looked at in the relevant chapter to trace the transformation of identity in the film (Bordwell & Thompson, 1993:145–303). According to Bryson (in Bal, 2001:6) the traditional mode of analysing these aspects of film theory was that of Laura Mulvey's "The Gaze", which focused on the optical aspects of viewing the *mise-en-scéne*. Alternatively this study will analyse these aspects of film according to Mieke Bal's rhetorical mode of analysis by viewing sight as semiotic and not as scenic. By viewing the film as an image of visual narration and utilising narratological concepts, a wider spectrum for interpretation with regard to contextual and character representation is obtained (which includes focalisation). Bal (Bryson in Bal, 2001: 6) is at the forefront of creating a "new way" to analyse the images of film and not just the technical aspects of the shot.

The applicable theoretical approaches will be outlined in the introductory chapters before proceeding with the analysis or interpretation related to the specific text(s). Intertextuality, which implies the interplay between narrative texts, in this case the novel and the film versions of *Great Expectations*, will also feature prominently. Du Plooy (1992:139) describes this interplay between novel and film as versions of a complex interaction of the intertextuality of intertexts. In his article entitled *Texts and Other Symbolic Spaces,* Jens Brockmeier's (2001:par. 1) conception of identity as a "textual reality" proves to be a useful model to apply in this study. Firstly, he regards identity as

a symbolic construction (narratology); secondly, as a semiotic mediation (semiotics); thirdly as a process of continuous interpretation and reinterpretation (hermeneutics); and, lastly, as a heterogeneous composition of different, often contradictory layers of meaning (hybrids of text). The text is not just seen as a linguistic phenomenon, but as a symbolic space, including narrative media.

1.8 Conclusion

Brockmeier's model (2001) will be used as a general guideline to analyse the novel *Great Expectations* and its interpretation, or literary transformation, into the film adaptation of *Great Expectations* (1998). The fact that this novel lends itself to filmic representation due to its melodramatic qualities is duly recognised by the film scholar Griffith, who according to Sergei Eisenstein (in Mast & Cohen, 1985:371) claims that Dickens contributed to the development of a film technique with regard to parallel action or montage.

Although the introductory chapter elaborates on the problem statement, aims, thesis statement and methodology of the study, it also discusses the significance of context, its interaction with individual experience, and the role in the definition of space and place. Chapter two analyses the narrative structure in the construction and manifestation of identity in the novel of *Great Expectations* and it contextualises the novel in historical and cultural contexts. Chapter three traces the continuous process of interpretation and reinterpretation of identity formation/transformation in the narrative structure of the film adaptation of the novel, *Great Expectations* then it discusses pertinent semiotic qualities in the film transformation and it also contextualises the film in its historical and cultural contexts. Chapter four outlines the applicable dialogic principles; and it discusses pertinent intertextual qualities. Chapter five, the concluding chapter, assesses the formation and transformation of identity. Despite the dynamic and non-static nature of identity, certain recognisable traits that deny or transcend the significance of contextual factors are to be highlighted and possible leads suggested for future research, such as the role of (literary) transformation in the study of different genres.

2 NARRATIVE ASPECTS OF THE NOVEL

2.1 Introduction

A comparison of the novel and film texts of Charles Dickens's *Great Expectations* necessarily entails a thorough analysis of the novel as primary text. The predominantly narrative nature of both texts justifies an approach which analyses the narrative aspects of the texts according to a basic narratological methodology. The narratological analysis of the novel will form the basis of the analysis of the film text as well as of the eventual comparison between the two versions or renditions of the same narrative material.

As both these texts relate – in retrospect – significant incidents in the life of a young protagonist, the central concern of both texts proves to be the representation of different processes of identity formation. From a detailed analysis of the structure and the meaning of the texts, certain patterns of identity formation emerge that indicate and trace the development of the protagonist and his interaction with his environment and cultural context.

According to Lerner (1991:335), ideology, social reality and strategies of writing are the three concepts that "rule" a context. He claims that they are entrenched in narrative texts that reflect the prevalent ideas of a particular historical space in time. This implies that the constant interaction of the individual with a physical location as well as with cultural and social contexts creates or influences a perception of self. Lerner's three components of context mentioned above will be used in this thesis as cultural markers to determine specific fields of comparison between the novel and film texts of *Great Expectations*.

2.2 Narratology

The narratological analysis of *Great Expectations* is based on the principles explained by prominent narratologists such as Mieke Bal, Shlomith Rimmon-Kenan and Jacob Lothe. Bal (1985: i) proposes that narratology should be seen as a "heuristic tool" to be used in conjunction with other concerns and theories. This idea is also echoed by Brockmeier and Carbaugh (2001:4), who see "*narratologie* as the child of French

structuralism and as grandchild of Russian and Czech formalism". They view narratology as an interdisciplinary semiotic and cultural theory of narrative texts and contexts.

In addition to providing the first comprehensive narratological method in her book *Narratology* (1985, published in Dutch as *De theorie van vertellen en verhalen* in 1978), Bal's importance for this study relates to her elaboration of the term "focalization" as well as her groundbreaking work on identifying narrative in visual art by offering another way of analysing the film in her work *Looking in: The Art of Viewing* (2001). Rimmon-Kenan's work, *Narrative Fiction: Contemporary Poetics* (1983), provides an important point of orientation in this analysis as it renders a sound theoretical basis and a useful methodology for a narratological analysis of a complex novel or film. Jacob Lothe's contribution to textual analysis is also important in this study as he focuses on both narrative and film texts in his work entitled, *Narrative in Fiction and Film* (2000). Finally, based on a combination of various perspectives and approaches, Brockmeier (2001:par 1) develops a useful model that identifies and interprets the seminal aspects influencing identity formation in narrative texts.

In this chapter, the novel *Great Expectations* is analysed through the description and discussion of the narratological aspects such as the story, the plot (including temporal relations, space and spatial relations, characterisation and focalisation), as well as the narration, in order to trace and interpret the manifestation and formation of the identity of the central character Pip.

2.3 Narrative text defined

Narrative texts can be regarded as sign systems that organise meaning according to narrative structures that seem to be universal.

Scholes (1982:57) sees narration as a kind of human behaviour that is "specifically a mimetic or representative behaviour, through which human beings communicate certain kinds of messages." The concept of *mimesis*, which refers to the imitation, or rather the mimetic representation of *reality*, is based on ideas put forward by Aristotle, the most influential scholar of antiquity, in his *Poetics* in which he, in a sense "unknowingly", promoted the socio-cultural interdependency in literature, which will be explored in more

detail later in this thesis (Dorsch, 1967:33). Ricoeur (1984: 54) supports Aristotle's idea that the representation of *reality* lies in the representation of action. However, "the world of action" not only unfolds through action (showing), as in drama, but can also be constructed by a narrator, narrating or telling from a certain point of view (focalisation). Thus, the representation of action in space and time (context) from a certain point of view or focalisation that is told by a narrator in a text or discourse, can be seen as constituting a narrative.

The term narrative implies telling, which is the narration of events in space and time. Narrative fiction tells a story, as Bremond illustrates so graphically: "It is words one reads, it is images one sees, it is gestures one deciphers, but through them it is a story one follows, and it may be the same story" (in Rimmon-Kenan, 1983:7). According to Brooks (1984:4), the function of narrative is that it "demarcates, encloses, establishes, limits, [and] orders." Lothe (2000:3-5) uses the term narrative texts as a broad definition that includes many forms of *"narrative potential"*, such as newspaper reports and other non-fictional narratives. He suggests the use of the term narrative fiction to denote the fictitious nature of different forms of texts, including the narrative film. However, for the purpose of this study the term "narrative texts" will be used to refer to fictional narrative texts, such as the novel and film versions of *Great Expectations* which will be discussed.

2.4 Story, plot and text

The Russian formalists were the first to distinguish between the story and the plot. They used the term *fabula* to indicate the chronological story, and the plot was called the *syuzhet/sjuzhet.* The *fabula* was seen as the material for narrative, that on which the narrative was based. The *syuzet/sjuzhet* was seen as the design of the story, the order and way in which the events were presented in space and time (Lothe, 2000:7; Toolan, 2001:10-12). Therefore, it can be deduced that the *fabula* is the underlying narrative material or the actual story that can be presented or represented in many different ways or from many different angles in the *syuzhet/sjuzhet/*plot. In narrative fiction, both the *fabula* and the *syuzhet/sjuzhet/*plot demarcate a specific context – a specific space and its interaction with time – with one difference, namely that the events situated in time and space are represented in a more specific or structured way in the *syuzhet/sjuzhet/*plot.

In this study, the term story will be used to indicate the material of the narrative, even though the term story is used differently by Bal (1985:5). She uses the term story for what other narratologists call plot: (1) "A *story* is a fabula that is presented in a certain manner." (2) "A *fabula* is a series of logically and chronologically related events that are caused or experienced by actors" (Bal, 1985:5)[2]. Due to the different spelling options that have been encountered in different research material for *syuzhet/suzet/sjuzhet*, the term *plot* will henceforth be used to refer to the structured representation of the narrative material in the text. The terms *story* and *plot* used in this study therefore correlate with the way in which Rimmon-Kenan uses these terms.

In addition to the story and the plot, Bal (1985:8) identifies the text, the linguistic structure, as the third layer in a narrative text. This layer is linked to words produced by an agent who narrates – the narrator. The story layer is concerned with elements that are linked with *reality*, including events, actors, time and location (1985:7). The plot layer focuses on aspects such as temporal relations (sequencing and ordering), rhythm, frequency, characters, space and focalisation.

2.4.1 *Great Expectations*: The story

The chronological rendition of events in *Great Expectations* can be compared to the typical stages of a *Bildungsroman*: A poor, young orphan boy, Philip Pirrip, lives with his older sister and her husband Joe, who is a blacksmith. Philip, who abbreviated his name to Pip, seems to be neglected and abused, except for the care that Joe bestows on him when he finds the time. Joe tries to protect Pip as much as possible from the wrath of his aggressive sister, who claims to be raising him "by hand" (Dickens, 1981:39).

One fateful day when Pip roams the cemetery to find some affirmation of his origins on the tombstones of his deceased parents and siblings, an escaped convict named Magwitch erupts into his forlorn existence. This fateful meeting, which instils in him a feeling of guilt arising from his association with the convict, Magwitch, is the first meeting that determines his fate inexorably. His small world, restricted to his home and

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[2] The translator of Bal's work uses these terms, but this does not correlate with her work in Dutch: "Een *verhaal* is een op een bepaalde wijze gepresenteerde geschiedenis. Een *geschiedenis* is een serie logisch en chronologisch aan elkaar verbonden gebeurtenissen..." (Bal, 1979:12).

the wild marshes nearby, is suddenly enlarged one day when he is ordered to go and play with Estella, the ward of the rich Miss Havisham. This meeting makes a lasting impression on Pip and enslaves his heart to the cold Estella, who has been raised to despise men. These two encounters then determine the course of his future relationships and moral development.

When the lawyer, Jaggers, informs Pip that he has a secret benefactor who wants to make him a gentleman, he goes to London to be "schooled" in the ways of a Victorian gentleman. London acts as a negative pole to the country village, and Pip falls victim to the materialistic values of a hypocritical and class-conscious society. When Magwitch reappears on his horizon once more, Pip is forced to introspection and recognises the false values, the ironic "great expectations", that have determined his life. He realises that a true gentleman need not be rich, and he also learns to value true friendship (Calder, 1981:14-15). Ironically and contrary to Victorian standards, Joe represents the epitome of the true gentleman.

2.4.2 Components of plot

To describe and understand the process and the content of Pip's identity formation and development, the representation of the events in the story has to be analysed and interpreted. This means that the plot of the novel, the aesthetic rendering of the mere facts of the story, must by scrutinised.

The first important aspect is the actual "world of action" in the text, the arrangement of the *story* in a certain way. Peter Brooks's work on analysing the spatial nature of plot in *Reading for the Plot: Design and Intention in Narrative* (1984) will have an influence on the conceptualisation of aspects in this study. He (1984:5) underlines the importance of the plot in all forms of narrative fiction as follows: "Plot is, first of all, a constant of all written and oral narrative"

Narrative fiction in its ordered form, the plot, is in essence based on events. Toolan (2001:17) emphasises the importance of the event and its transforming nature as follows: "Thus 'event' or 'change of state', is the key and fundamental of narrative." Bal (1985:13) defines events in her study as "the transition from one state to another state". This idea correlates with Aristotle's view that a plot is the space where a change of

fortune occurs. On the other hand, Lothe (2000:5) describes the role of events in narrative development as follows: "narrative development takes place between the two events". This shows how events help the plot to move forward. According to Lothe (2000:73-75), the energy associated with events, which may be combined with other factors, is the main factor that activates the dimensions of space and time. He also points out that the consequences of events determine their importance. Thus, an event has a function to create a certain consequence, but all events are not of the same importance or consequence in a text. Lothe (2000:75-76) uses the distinctions made by Roland Barthes to explain the hierarchy and nature of the functions of events as follows:

> A kernel is a 'cardinal function' which promotes the action by giving the character one or more alternatives to choose between; it can also reveal the results of such a choice. A catalyst accompanies and complements the kernel, but the action to which it refers does not 'open'...an alternative that is of direct consequence for the subsequent development of the story.

Bremond, on the other hand, is more concerned with the sequence of events, emphasising the progression inherent in a series of consecutive events. He also uses the term *function* to indicate an event and explains that narrative progression is effected by a sequence of three functions, which correlate with the three logical stages of all action, namely that of possibility (or potentiality), process and outcome (Rimmon-Kenan, 1983:22). These sequences of events reflect either deterioration or improvement in relation to the preceding state of events in the narrative. Bal (1985:38) points out that these events or sequences of events themselves happen during a certain period of time and they occur in a certain order. Analysing the order of rendered events in a narrative text brings one to the next aspect of importance in the plot that needs closer scrutiny, that of time in narrative fiction.

The plot will thus be discussed in terms of the five components or aspects, mentioned above: temporal relations, character, space, the narrator (although it is part of the subdivision text, it is identified as effecting identity in this study) and focalisation. Whereas the story is described as a chronological series of events, the plot of the novel presents the reader with more complex temporal relations by complicating the order of events, by effecting a narrative rhythm and by introducing patterns of repetition and iteration. The second aspect focuses on characters as functions in the text with regard to other aspects/components. The third aspect is concerned with space. The fourth component (words) is the narrator's role in lending the text its specific character

(identity), while the fifth aspect looks at the interpretative and manipulative aspects of focalisation.

2.4.2.1 Temporal relations

Rimmon-Kenan (1983:6) emphasises the role of time as follows: "In fact, story is one axis within the larger construct: the axis of temporal organization". The scholar who has researched this aspect of narrative fiction in detail is Ricoeur. In his third volume (1990:12-17) he philosophises about the concept of time. He supports Bergson's major doctrine in his *Essay on the Immediate Data of Consciousness* that time can only become measurable through its contamination by space. The idea that time is related to movement (a change occurs) without being identical with it, is also highlighted. This movement is also indicative of decay for "change removes what is" (Ricoeur, 1990:17). The role of the mind in distinguishing the change in time is explained by referring to two end points and an interval. These end points and the interval are then seen as the perception of time.

Ricoeur explores this notion of time extensively. He bases his idea of time in narrative fiction on the works of Aristotle and Augustine. Aristotle's idea of time is related to the organisation of events, what he terms emplotment. Aristotle's (in Ricoeur, 1984:37) view of time is thus connected to the concept of plot and is described as cosmological time or world time. However, the term cosmological time is ambiguous and in this study it is replaced with the term "chronological time" to emphasise the underlying chronological sequence of events in the plot. Abbott (2002:3-4) emphasises this view by stating that events should be allowed "to create the order of time." Augustine's idea of time is related to the idea that memory constitutes a person's experience of time – the now, the now past and the now to come. This type of temporal experience he termed phenomenological time which, in other words, could be described as lived time (Ricoeur, 1990:129). In this study experienced or lived time is used to describe this particular concept of time so as to emphasise the relationship between the character and his or her experience of time. Ricoeur (1990:22) underlines the importance of the interaction and mediation between these different perspectives of time for narrative fiction as follows:

> Our narrative poetics needs the complicity as well as the contrast between internal time-consciousness and objective succession, making all the more

> urgent the search for narrative mediations between the discordant concordance of phenomenological time and the simple succession of physical time.

Easthope (1991:188) suggests that the interaction of these different perspectives of time can also be experienced as an "uneven bundle of swerves". When concerned with narrative fiction, Ricoeur (1985:70) identifies two types of time, that of "Aktzeit" and "Textzeit". "Aktzeit" correlates with his first moment of *mimesis* – the world of action, while "Textzeit" correlates with the second moment of *mimesis* – the actual (reading) time of the fictional discourse.

According to Toolan (2001: 42-53), Gerald Genette is the most influential modern theorist who identified three major temporal aspects from story to text, namely order, duration and frequency. Order refers to the representation of chronological events, though not necessarily in chronological order. If the order of consecutive events represented in the narrative text is not chronological but anachronous, analepses (flashbacks) and prolepses (flashforwards) can be identified. Order also refers to the retrospective narration of events in a story, which means they are related after they have happened. Duration implies reading time, where certain techniques are employed, such as ellipsis or summary (no text space is given to story duration, i.e. textual compression), descriptive pause (text space elaborates without keeping to story duration) and scene (story and text duration are considered identical). Frequency has to do with the repetition of the telling of a single story incident. Nøjgaard (quoted by Lothe, 2000:50-51) identifies three forms that present the relationship between text (narrative) time and space: narration as the temporal presentation of action in space; description as spatial presentation in time and comment as neither spatial nor temporal.

A third type of time will be added to refer to the historical period and its culture. A culture's specific perception of time at a certain moment in a culture plays an important part in the interpretation and reinterpretation of events. Therefore time as a cultural expression implies that a certain culture's views and perspectives on social, political and cultural issues are embedded in its cultural artefacts, of which narrative fiction is an expression. In *The Political Unconscious* Jameson (1981:20) reiterates the importance of the socio-cultural context from a Marxist perspective by stating that when cultural artefacts are unmasked, they will show themselves as socially symbolic acts. He underlines the Marxist premise that certain structures and sub-structures are present in *reality* as well as in the world of the text/ "world of action". The proposed structure or

"mode of production" evident in "reality" and in the text consists of certain levels within a recognised social system. Culture, ideology, the juridical, the political and the economic are seen as the different levels of this structure. This idea of cultural time is explained by Ricoeur in the following way:

> I shall say that mimesis[3], marks the intersection of the world of the text and the world of the hearer or reader; the intersection, therefore, of the world configured by the poem and the world wherein real action occurs and unfolds its specific temporality (1984:71).

In conclusion of this section on time and narrative, Rimmon-Kenan (1983:58) stresses the indispensability of time in narrative fiction as follows: "To eliminate it (if this were possible) would be to eliminate all narrative fiction." This view is reiterated by Abbott (2002:3) when he states that "*narrative* is the principal way our species organizes its understanding of time."

2.4.2.1.1 Temporal relations in *Great Expectations*

Two concepts of time stand out in *Great Expectations* – experienced time and chronological time. In the first instance, lived time shows how a memorable moment, the interpretation of an intense awareness, can influence the formation of the identity of a character, in this instance Pip. This awareness creates a certain emphasis and gives the text, the novel, its particular "identity". In *Great Expectations* the descriptive pause is one of the most effective strategies that gives the novel its "identity". It is linked to the idea that time is frozen as literally manifested by the clocks in Satis House. The frequency of telling a story element in *Great Expectations* is based on the concept of gradually constructing meaning by constantly adding to the "story" in relation to Miss Havisham's unhappiness or jilting. Other elements of duration in the novel are those of summary, which is used to link volumes and to refresh readers' memories, as well as instances where the duration of the story and that of the text may be considered to be the same, such as where dialogue occurs.

In the second instance, the chain of iron or gold (chronological time or lived time) reveals that actions or events in the developmental structure of the plot have an effect on the identity formation of a character such as Pip. The flashback concept is a significant strategy used by Dickens in *Great Expectations*, because in the novel the

mature Pip recalls his youth and relates to the past and the present, as well as to the historical past of characters.

The idea of the present and the past is created through lived or experienced and chronological time. The interaction of lived time and chronological time can be seen as the historical past of characters. Pip's historical past is created through the "reinscription" of lived time on chronological time (Ricoeur, 1990:127). This means Pip's historical past is created through an autobiographical rendition of events that have played an important role in the formation of his identity. The mature Pip of the present relates his past adventures as if experienced in the present (see the discussions of flashback and narration). The interpretation and reinterpretation of the past (lived or experienced and chronological time) in the present, which is connected to the progression or passage of time (position in time), relates the historical past of the protagonist, Pip. Lothe (2000:49) supports this view as follows: "the concept of time is linked to both the physical world and our perception of the world".

The novel, *Great Expectations*, is based on the interplay between lived time and the chronological sequence of events as the following quote indicates:

> That was a memorable day to me, for it made great changes in me. But, it is the same with any life. Imagine one selected day struck out of it, and think how different its course would have been. Pause you who read this, and think for a moment of the long chain of iron or gold, of thorns or flowers, that would never have bound you, but for the formation of the first link on one memorable day (Dickens, 1981:101).

This quote highlights the idea that one memorable moment in time can set in motion a certain chain of events that unfolds over time and that excludes other possible chains of events. The memorable moment that sets in motion the chain of events according to Pip, the narrator of *Great Expectations*, is his first encounter with Miss Havisham and Estella. This memorable event is mainly related through the description of place/space and characters as well as through Pip's interpretation of his experience. The quote illustrates Pip's description of Satis House:

> My young conductress locked the gate, and we went across the court-yard. It was paved and clean, but grass was growing in every crevice. The brewery buildings had a little lane of communication with it; and the wooden gates of that lane stood open, and all the brewery beyond, stood open, away to the high enclosing wall; and all was empty and disused (Dickens, 1981:85).

The memorable moment in time quoted above reveals that the wall creates an enclosed space that keeps the empty, disused and decaying mansion away from prying eyes. The coldness Pip experiences during this memorable moment not only reflects the coldness of Satis House, but also gives Pip a first impression of Miss Havisham's inner state of mind. Pip describes her appearance as " having dropped, body and soul, within and without, under the weight of a crushing blow" (Dickens, 1981:91). This memorable moment furthermore denotes Estella's frozen heart and cold judgemental comments and actions towards Pip. These comments and actions, for example, throwing the cards down "as if she despised them for having been won" of Pip, in return makes Pip cold and judgemental, first of himself and then of others, such as Joe. Pip describes the impact of this encounter on his identity by saying:

> I was a common labouring-boy; that my hands were coarse; that my boots were thick; that I had fallen into a despicable habit of calling knaves Jacks; that I was much more ignorant that I had considered myself last night, and generally that I was in a low-lived bad way (Dickens, 1981:91).

However, his encounter with Miss Havisham and Estella is not the only encounter that influences his life and identity. Although Pip does not at first identify his encounter with Magwitch as a moment that influenced his life, his encounter with Magwitch also influences the chain of events (Pip is not aware of it as child). Indirectly, his encounter with this convict turns his world upside down in the same manner he is physically turned upside down by Magwitch during their first encounter (Dickens, 1981:36). His encounter with Magwitch leads to his "great expectations" and his "chance" to be with Estella.

There are many examples in *Great Expectations* where lived time comes to the fore when Pip experiences time in relation to events that have made a large impact on him, his memory of them and the influence these events have on the formation of his identity. Although these moments do not initiate the chain of events, they have a large impact on Pip and the formation of his identity. Lived time is linked to two aspects of the represented narrative, the techniques of duration and frequency. The following passage shows how time stops for Pip when he zooms in on his environment with intense awareness during his first meeting with Miss Havisham I quote this section at length because I want to convey the impression of how Dickens uses literary strategies to indicate the build-up of tension and awareness of atmosphere.

> I crossed the staircase landing, and entered the room she indicated. From that room, too, the daylight was completely excluded, and it had an airless smell that was oppressive. A fire had been lately kindled in the damp old-fashioned grate, and it was more disposed to go out than to burn up, and the reluctant smoke which hung in the room seemed colder than the clearer air – like our own marsh mist. Certain wintry branches of candles on the high chimneypiece faintly lighted the chamber: or, it would be more expressive to say, faintly troubled its darkness. It was spacious, and I dare say had once been handsome, but every discernible thing in it was covered with dust and mould, and dropping to pieces. The most prominent object was a long table with a tablecloth spread on it, as if a feast had been in preparation when the house and the clocks all stopped together. An épergne or centerpiece of some kind was in the middle of this cloth; it was so heavily overhung with cobwebs that its form was quite undistinguishable; and as I looked along the yellow expanse out of which I remember its seeming to grow, like a black fungus, I saw speckled-legged spiders with blotchy bodies running home to it, and running out from it, as if some circumstance of the greatest public importance had just transpired in the spider community.
>
> I heard the mice too, rattling behind the panels, as if the same occurrence were important to their interests. But, the blackbeetles took no notice of the agitation, and groped about the hearth in a ponderous elderly way, as if they were short-sighted and hard of hearing, and not on terms with one another.
>
> These crawling things had fascinated my attention and I was watching them from a distance, when Miss Havisham laid a hand upon my shoulder. In her other hand she had a crutch-headed stick on which she leaned, and she looked like the Witch of the place (Dickens, 1981:113).

This passage can be regarded as a descriptive pause, a technique of expanding or elaborating on impressions without keeping to the story duration. This is an important moment in time when Pip enters Miss Havisham's sacred sanctuary. The room is an outer manifestation of Miss Havisham's dark, decaying (fungus) and insect-infested inner state of being: the focus is placed on the table centrepiece that represents Miss Havisham's dark obsession with the events surrounding the defection of her bridegroom on their wedding day. The oppressiveness of her inner state is reflected through the sense of smell. The reluctant fire shows that Miss Havisham is barely alive – breathing but not living life. This "frozen" moment in time shows Pip, the narrator's, awareness of how these objects represent Miss Havisham's inner state and it is also the time when Pip and Miss Havisham connect. Pip's inner state resembles Miss Havisham's inner state, because he is also centred on an obsession – his obsession to win Estella.

Furthermore, the insects reveal the relationship between Pip, Estella and Miss Havisham. The spiders can be likened to Miss Havisham being so obsessed with her own pain and spinning a web of revenge for all men by using Estella. Friedman (1987:413) also points out the connection between Drummle, called the Spider by

Jaggers, and the spiders on the wedding-table. This underlines the idea that negative characters in Pip's eyes are compared to spiders. Pip and Estella, on the other hand, can be likened to the beetles that are "short-sighted and hard of hearing, and not on terms with one another". Pip does not see Miss Havisham's plan to use him as an instrument to teach Estella to break men's hearts and he does not want to hear that Estella will break his heart. Estella does not see that her "training" will hurt her in the end for she will not be able to feel love. She does not want to listen to Pip later on in the novel when he wants to make her aware of the negative consequences of her "training". Although all three impact on one another's identities, they are disconnected from one another due to their obsessions. Apart from describing predators and victims, the passage also accentuates a lack of insight, a type of blindness.

This important moment in time influences Pip later to make the erroneous assumption that Miss Havisham is his magical witch who is responsible for his "great expectations". Not only is Miss Havisham seen as a witch-like figure, but also as the embodiment of "mythic horrors of countless cruel mothers" (Raphael, 1989:404). The false assumption that Miss Havisham is his benefactor leads him to leave the forge and to go to London. Therefore the assumption that Miss Havisham is his magic witch or fairy godmother, together with his impressionable age and intense awareness of his environment have a direct influence on his identity formation. He wants to become a gentleman so that he can fulfil the plan he assumes Miss Havisham has for him and Estella.

In *Great Expectations,* Dickens takes the use of lived time to the extreme. Miss Havisham has stopped "living" because time has stopped for her as physically manifested by the clocks in Satis House: "It was then I began to understand that everything in the room had stopped, like the watch and the clock, a long time ago" (Dickens, 1981: 89). The idea of time being frozen is further indicated by her dress, all white (or rather, yellow) and decayed. The idea of loss is further elaborated on by the decay of the house and the idea of suspended time is indicated by the fact that Miss Havisham had not finished dressing for her wedding. Holden (1991: xiii) sees this as a manifestation of a woman who is obsessed by her past and refuses to live in the present.

The techniques of ellipsis (no text space on story duration) and summary (pace is accelerated through textual compression) used in *Great Expectations*, are also

manifestations of lived time, because a distortion of time is implied which is used to help readers remember where one volume ends and another begins. A break occurs at the end of chapter 19 and the beginning of chapter 20. Pip's journey to London illustrates that the inner state of a person, or character in this instance, influences his/her experience of the passage of time. In the first quote, Pip's inner state affects the way he perceives his surroundings. The surroundings reflect his inner state, as indicated by the mists that illustrate his "aching heart". His sadness even makes him imagine that he sees Joe, who has come to fetch him. Pip's inner state foreshadows a change in his identity. In contrast, the second quote is devoid of emotional intensity. It is as if Pip has dealt with his "aching heart" and has resolved that a new developmental stage in his identity formation is awaiting him, as the following quotes from *Great Expectations* (Dickens, 1981:186 & 187) show:

> So subdued I was by those tears, and by their breaking out again in the course of the quiet walk, that when I was on the coach, and it was clear of the town, I deliberated with an aching heart whether I would not get down when we changed horses and walk back, and have another evening at home, and a better parting. We changed, and I had not made up my mind, and still reflected for my comfort that it would be quite practicable to get down and walk back, when we changed again.

> The journey from our town to the metropolis was a journey of about five hours. It was a little past midday when the four-horse stage-coach by which I was a passenger, got into the ravel of traffic frayed out about the Cross Keys, Woodstreet, Cheapside, London.

Frequency deals with the repetitive telling of a single story incident. Although there may not seem to be a repetition of a single story incident, the fact that Miss Havisham was jilted at the altar is gradually unfolded. This replaying or building up of a certain event underlines the importance of the event and the memories connected to it. Reliving a certain event is seen as lived time. The reference to her unhappiness relates to her broken heart:

> 'Do you know what I touch here?' she said, laying her hands one upon the other, on her left side.
> 'Yes, ma'am.' (It made me think of the young man.)
> 'What do I touch?'
> 'Your heart.'
> 'Broken!' (Dickens, 1981:88).

Then there is the reference to Estella as the tool of revenge when she says, "'You can break his heart'" (Dickens, 1981:89). Later Herbert explains the reason for her broken heart when he relates the story of her misfortune:

> The marriage day was fixed, the wedding dresses were bought, the wedding tour was planned out, the wedding guests were invited. The day came, but not the bridegroom" (Dickens, 1981: 205).

The next reference to a broken heart is when Pip tells Estella that he loves her and she rejects him, while Miss Havisham, present at this confession, grasps her own heart, realising that Pip is experiencing exactly what she experienced when her bridegroom failed to appear (Dickens, 1981:376). History tends to repeat itself, because Miss Havisham's actions and the remorse she feels are suggested in her words: "Until you spoke to her the other day, and until I saw in you a looking-glass that showed me what I once felt myself, I did not know what I had done" (Dickens, 1981:411).

In the beginning Pip is aware of Miss Havisham having a broken heart. Later he learns the facts surrounding Miss Havisham's jilting from Herbert and realises that Estella in turn will break men's hearts to avenge Miss Havisham's broken heart. The climax of the retelling is achieved when Miss Havisham recognises her broken heart in Pip, after Estella has rejected him. Miss Havisham's identity as being broken-hearted has also become Pip's identity. The progression of time has made her words, "'You can break his heart'", come true (Dickens, 1981:89).

Another example of lived time is illustrated where the story and the text duration are considered identical. This usually happens when characters are in dialogue with each other (interestingly, even the time it takes the characters to read with pauses in between appears similar to the time it may take a real person to talk and pause before going on). The following quote from *Great Expectations* (Dickens, 1981:492) representing the second or published ending to the novel, serves as an example:

> 'I have never been here since.'
> 'Nor I.'
> The moon began to rise, and I thought of the placid look at the white ceiling, which had passed away. The moon began to rise, and I thought of the pressure on my hand when I had spoken the last words he had heard on earth.
> Estella was the next to break the silence that ensued between us
> 'I have very often hoped and intended to come back, but have been prevented by many circumstances. Poor, poor old place!'

> The silvery mist was touched with the first rays of the moonlight, and the same rays touched the tears that dropped from her eyes. Not knowing that I saw them, and setting herself to get the better of them, she said quietly:
> 'Were you wondering, as you walked along, how it came to be left in this condition?'
> 'Yes, Estella.'
> 'The ground belongs to me. It is the only possession I have not relinquished. Everything else has gone from me, little by little, but I have kept this. It was the subject of the only determined resistance I made in all the wretched years.'
> 'Is it to be built on?'
> 'At last it is. I came here to take leave of it before its change. And you,' she said, in a voice of touching interest to a wanderer, 'you live abroad still?'
> 'Still.'
> 'And do well, I am sure?'
> 'I work pretty hard for a sufficient living, and therefore – Yes, I do well.'
> 'I have often thought of you,' said Estella.
> 'Have you?'
> 'Of late, very often. There was a long hard time when I kept far from me, the remembrance of what I had thrown away when I was quite ignorant of its worth. But, since my duty has not been incompatible with the admission of that remembrance, I have given it a place in my heart.'
> 'You have always held your place in *my* heart,' I answered.

This awkward meeting between Pip and Estella emulates a fairytale in contrast with Dickens's original or first ending to the novel. However, the use of lived time makes the actual description very realistic. Therefore in a sense Dickens's first ending is still implied through the presentation of his second more "fairytale-like" ending. Forgiveness is there, but no guarantee that they will live happily ever after – it is merely suggested by Pip's interpretation of events "... I saw no shadow of another parting from her" (Dickens, 1981:493). Both Pip and Estella have been purged by the progression of time in the second ending to the novel. According to Meckier (1993: par. 15) they both "undergo parallel periods of self-imposed suffering and regret." The original ending to the novel does not adhere to the idea of the *Bildungsroman* because the passage of time changes Estella, but not Pip – the protagonist of the novel. Pip stays disillusioned, while Estella shows change, as the following quote indicates:

> I was very glad afterwards to have had the interview; for, in her face and in her voice, and in her touch, she gave me the assurance, that suffering had been stronger than Miss Havisham's teaching, and had given her a heart to understand what my heart used to be (Dickens, 1981:496).

Therefore, I believe the second more ambiguous ending supports the whole idea of time propagated in the novel as "think for a moment of the long chain of iron or gold, of thorns or flowers, that would never have bound you, but for the formation of the first link

on one memorable day" (Dickens, 1981:101). The meeting between Pip and Estella once again sets in motion a chain of events that can either be viewed as iron (thorns) or gold (flowers), depending on the point of view of the interpreter. Meckier (1993: par. 33) points out that *Great Expectations* ends "paradoxically with a beginning." Furthermore, it would be unrealistic to "free" Estella from Miss Havisham's influence or teachings, while leaving Pip as a second Miss Havisham with a broken heart. Time (which includes events) in the novel is seen as an instrument that effects change (time as instructor), and the original ending would be a violation of this perspective. Pip, in contrast with Miss Havisham, is not frozen in time by the breaking of his heart, but propelled forward to change.

After investigating the effect of lived time, the focus now shifts to the chain of events put in motion by a memorable moment in time. As indicated earlier in this chapter, Pip identifies his first encounter with Miss Havisham as the most important memorable moment. This section will look at the consequences created by this memorable moment and juxtapose this incident with his encounter with Magwitch in order to determine in what manner the chronological sequence of events of the novel have been affected by these encounters.

The concept of time as a positive or negative aspect of life is first presented in serial form (one to two chapters at a time) and later in its current volume form. Interestingly, each chapter is presented as a scene in a play or a drama, for each chapter focuses on linked events in a certain place, just like in a drama. This phenomenon can be explained by Dickens' interest in the theatre.

According to Kucich (in Schellinger, 1998:311) Dickens claimed to have attended the popular theatre every evening for two or three years running, early in his career. References to the theatre are also found in *Great Expectations.* One of the most humorous is Mr Wopsle's interpretation of Hamlet (Dickens, 1981:273-278). It also seems that Dickens has organised the development of events in his novel, in the same way the plot in a play is organised. It seems that the elements or diagrammatical aspects of plot can be found in all three volumes and the novel as a whole.

In volume one we get the following development or organisation of the plot:

- Exposition: Pip on the marshes meets the convict Magwitch (Chapter 1).
- Development: Pip meets Miss Havisham and Estella (Chapter 8).
- Complication: Pip's apprenticeship (Chapter 13).
- Crisis: Mysterious benefactor (Chapter 18).
- Climax: Freedom to become the gentleman he wants to be (Chapter 19).
- Denouement: Leaves for London (Chapter 19).

In volume two the development or organisation of the plot is as follows:

- Exposition: London (Chapter 20).
- Development: Joe out of place in London (Chapter 27).
- Complication: Estella in London (Chapters 28 – 29 and 32 – 33).
- Crisis: Estella treats him differently from other men not to entrap him (Chapter 38).
- Climax: Real benefactor is revealed (Chapter 39).
- Denouement: Expectations to marry Estella crushed (Chapter 39).

In volume three the plot's organisation or development is as follows:

- Exposition: Pip feels that he must protect Magwitch (Chapter 40).
- Development: Estella is to marry Drummle (Chapter 44).
- Complication: The fire – Miss Havisham asks for forgiveness (Chapter 49).
- Crisis: Magwitch's attempted escape (Chapter 54).
- Climax: Benefactor dies (Chapter 56).
- Denouement: Eleven years later he visits Satis House and is reunited with Estella (Chapter 59).

The plot development of the novel as a whole is the following:

- Exposition: Pip on the marshes meets the convict Magwitch (Chapter 1).
- Development: Pip meets Miss Havisham and Estella (Chapter 8).
- Complication: Mysterious benefactor (Chapter 18).
- Crisis: Real benefactor is revealed (Chapter 39).
- Climax: Benefactor dies (Chapter 56).
- Denouement: Eleven years later he visits Satis House and is reunited with Estella / Rebirth (Chapter 59).

The organisation and development of the whole novel illustrate that certain events are arranged in a particular order to create a certain result. It is also apparent that certain events have more impact than others in relation to their stages of development or organisation. By looking at these developmental stages of the plot from a structural point of view, the following assumptions can be made: volume one encompasses the exposition, development and complication; volume two constitutes the crisis; and volume three represents the climax and denouement. These developmental stages of the organisation of the plot are important in its construction. The beginning of the novel lays the foundation for the novel because the three developmental stages found in

volume one, seem to be important in attracting interest in the novel. Volume two focuses on the crisis of the novel, how it evolves and develops, while volume three's purpose is to lead to the climax and its unravelling.

Since the plot represents the "world of action" in its ordered form by means of events, the focus now falls on the "kernel" events. According to McFarlane (1996:113-115) the major cardinal functions in *Great Expectations* may be summarised as follows:

Volume One
(researcher's own divisions into volumes in order to trace the development in every volume for the sake of comparing the volumes with one another)

- Pip meets Magwitch in village churchyard.
- Pip steals food and file for Magwitch.
- Soldiers capture Magwitch and second convict, Compeyson.
- Pip visits Satis House, meets Miss Havisham and Estella.
- Stranger at inn gives Pip a shilling wrapped in two pound notes, and stirs grog with Joe's file.
- Pip returns to Satis House, meets Mr Jaggers, and fights Herbert Pocket.
- Pip visits Satis House again.
- Miss Havisham gives Joe £25 for Pip's indentureship as a blacksmith's apprentice.
- Joe takes on Orlick as journeyman worker in forge.
- Pip revisits Satis House. Estella has gone abroad.
- Mrs Joe is brutally attacked (apparently with convict's leg iron).
- Biddy comes to live at the Gargery house.
- Pip tells Biddy he wants to become a gentleman.
- Jaggers brings news of Pip's 'great expectations'.

Volume Two
- Pip goes to London.
- He sets up house with Herbert Pocket at Barnard's Inn.
- Herbert tells story of Miss Havisham's jilting.
- Pip goes to Hammersmith, to be educated by Mr Pocket.
- Pip gets money from Jaggers to set himself up.
- Pip dines with Jaggers (along with Herbert and Bentley Drummle).
- Joe visits Pip at Barnard's Inn.
- Pip visits Miss Havisham at her request (via Joe).
- Pip re-meets Estella.
- Pip secures Orlick's dismissal as gatekeeper at Satis House.
- Pip and Herbert exchange their romantic secrets.
- Pip meets and escorts Estella in London.
- Pip and Herbert fall into debt.
- Mrs Joe dies.
- Pip returns to village for funeral.

- Pip's income is fixed at £500 p.a. when he comes of age.
- Pip takes Estella to Satis House.
- She and Miss Havisham quarrel.
- At Assembly Ball, Estella leads on Bentlev Drummle.
- Magwitch returns to reveal himself as Pip's benefactor.

Volume Three

- Pip verifies Magwitch's story with Jaggers.
- Pip and Herbert make plans for Magwitch's escape.
- Magwitch tells story of his past (involving Miss Havisham and Compeyson).
- Pip goes to farewell of Miss Havisham and Estella.
- Estella tells him she is to marry Drummle.
- Wemmick warns Pip of being watched.
- Pip, with help of Herbert and Wemmick, makes further plans for Magwitch's escape.
- Pip visits Satis House to ask Miss Havisham to finance Herbert.
- Pip tries to save Miss Havisham from burning.
- Jaggers (reluctantly) tells Pip Estella's true story.
- Pip goes to deserted sluice house.
- Pip is saved from death at Orlick's hand by arrival of Herbert and others at sluice house.
- The escape plan for Magwitch fails.
- Pip loses fortune.
- Magwitch is tried.
- Magwitch dies in prison.
- Pip becomes ill.
- Joe looks after Pip.
- Biddy and Joe get married.
- Pip re-meets Estella in the ruins of Satis House.

McFarlane (1996:115) claims that these major cardinal functions were chosen because each is capable of alternative outcomes that can be applied consequentially as well as sequentially to other events and actions in the narrative. All the events in the novel, *Great Expectations*, are very dramatic (because of Dickens' theatrical background) and centred round the idea of an orphan boy who feels displaced and tries to find his place in life – his identity. In his search for identity, certain events and his reaction to them assume significance because they influence the development of the plot and ultimately Pip's perception of his identity. Thus his encounters with Magwitch, Miss Havisham and Estella are cardinal components in the plot of *Great Expectations* and affect the rest of the major cardinal functions. It is quite self-explanatory that Pip's encounters with these people affected his life in a certain way. If he had not met with Magwitch, he would not have been the recipient of "great expectations". His encounter with the convict turned his life upside down, because his "great expectations" changed the course of his life.

These "great expectations" changed him from an "aspiring" apprentice to a blacksmith to an "aspiring" gentleman.

Pip's realisation that Magwitch is his benefactor also changes him from a "spoilt" young gentleman into a man of integrity. When Pip finds out that Estella is Magwitch's daughter it changes his self-loathing to that of self-worth. Magwitch's physical death alludes to Pip's rebirth in becoming a "true gentleman". If Pip had never met Miss Havisham, he would not have been manipulated to believe that he was meant for Estella (partially through his own misinterpretation of the identity of his benefactor) and he would not have had an obsession with Estella. Both Miss Havisham and Estella fuel Pip's concept of self as inadequate and motivate his actions and desires to better himself by becoming a gentleman. It is clear that the interaction of these memorable moments and Pip's interpretation thereof influence the chronological sequence of events on a world time level. Therefore world time also implies the cause and effect aspect that is brought about by the progress of time. The influence of the events in time experienced by Pip gives time the role of a teacher or instructor. Through the progress of time, Pip realises his mistakes. The mature Pip can then look back at his life and see what role the progression of time has played in his "growth" (*Bildungsroman*) and in the creation or "discovery" of his identity: "in the progress of time I too had come to be part of the wrecked fortunes of that house" (Dickens, 1981:408).

Other manifestations of time, except experienced time and chronological time, are "Textzeit" and time references to the cultural aspects of the historical period. According to Rimmon-Kenan (1983: 44) "Textzeit" is more a spatial than a temporal dimension and it "derives from the process of reading." Thus, in the novel "Textzeit" has to do with the actual time spent on reading the text, which is not fixed and depends entirely on the reader. Cultural time, or social dynamics, refers to time as a cultural expression that implies that a certain culture's views and perspectives on social and political as well as cultural issues are embedded in its cultural artefacts or constructs. In *Great Expectations* the Victorian way of life intersects with the world of action in the narrative text (the text within its social environment is featured later in the study).

Although the time order in *Great Expectations* ischronologicaly, the whole *story* or the construction of the plot can be seen as an analepse (flashback). The narrator, Pip, relates the events after they have happened. The reason for this is that the adult Pip

relates the quest and the experiences of his younger self or selves, which entails the retrospective narration of events. Crowley (1994: par. 3) sees memory and understanding at work to allow Pip to first recall and then comprehend the significance of the events of his life. Therefore, by looking back the narrator, adult Pip ponders the life lessons he has learnt after his particular life experiences. This sense of awareness is characteristic of the *Bildungsroman*.

In addition to the impact of identity formation, the investigation into the temporal relations in the novel (*Great Expectations)* shows that a certain memorable moment, experienced as suspended (frozen) in time, can "bound" or confine or exclude other possibilities or chains of events. This moment can set in motion a chain of events in time that are interconnected and linked. These events form a chain that functions as an instructor that brings an understanding of self or identity "that would never have bound you, but for the formation of the first link on one memorable day" (Dickens, 1981:101).

2.4.2.2 Character

The agents or characters in the narrative space and time are the next important aspect of plot. Characters can be seen as confined or bound entities because they are bound by their function in the novel, as well as through their characterisation. However, characters also have a developmental aspect within the confines of characterisation, since characters are interconnected. In *Great Expectations*, characters develop through their interaction with other characters and may or may not develop with the progression of time.

Propp (1968:79-80) sees characters in relation to and confined by the functions they perform and this will be used as point of departure. Propp's seven basic character types or roles of the *dramatis personae*, such as the hero, princess, donor, villain, helper, dispatcher and false hero, can be identified in the novel. In *Great Expectations* Pip can be seen as the hero who inherits good fortune, loses it, and finds more modest satisfaction in the end. In this process he longs to win the heroine, Estella, he loses her and is finally reconciled with her. All these events help Pip form his identity. Estella functions as the princess and love interest of the hero. In a sense Estella is also a

reflection of Pip, as a person being manipulated. In contrast with Pip, Estella sees her identify as fixed, part of her nature.

In *Great Expectations* there are two types of donor associated with Pip, his true donor, Magwitch, and his false donor, Miss Havisham. Miss Havisham functions as the financial donor, but not as the emotional donor with regard to Estella. Miss Havisham is problematic, for she could be seen as a villain who makes Pip believe that she is helping him so that he can marry Estella in the end. There are a few characters functioning as helpers, namely Joe, Biddy, Herbert, Wemmick, Mr Pocket, Wopsle and even Jaggers, in a perverse sense. In spite of the fact that Miss Havisham can be seen as the true villain, there are other characters who also function as villains, such as Mrs Joe, Uncle Pumblechook (who could also function as a helper by being responsible for introducing Pip to Miss Havisham), Orlick, Drummle and Compeyson. Jaggers also functions as the dispatcher who delivers the message of Pip's "great expectations".

2.4.2.2.1 Character in *Great Expectations*

The first indication of character in relation to its function seems to be alluded to in the names chosen for the characters in Dickens's works. The following derivations of character names were made particularly for this study, except where indicated differently. For instance, the hero Pip's name alludes to the pip of a fruit from which a fruit tree grows, but it is also an abbreviation of his surname, Pirrip (Brooks, 1984:141). Brooks (1984:142) sees the name Pip as "an infinitely repeatable palindrome", compelled to reinterpret the meaning of his name and identity. Therefore it seems that the idea of growth from innocence to maturity, as well as a search for identity, is alluded to in the name of the hero.

Secondly, according to Lucas (1992:126) Estella alludes to a star, which creates the perception that she is unattainable and estranged from love. Miss Havisham uses Estella to punish all men for the hurt she suffered as a jilted bride and to protect Estella from the same fate (Estella also inspires false hope in Pip's heart). Miss Havisham then condemns Estella to live the life she is living – one without love. According to Lucas (1992:127) the name Magwitch can be divided into magic and witch, thereby alluding to the fact that Magwitch is Pip's "magic witch" or "fairy godfather" who gives him his fortune – his "great expectations".

Next, the name of Miss Havisham, the false donor and the real villain in *Great Expectations*, alludes to having (havish) things for herself (am), which indicates her selfish nature. She does not really care for Estella or Pip, they are only pawns in her game of manipulation. Joe, alludes to joy and in a sense suggests the joy that the ordinary man feels who has accepted who he is, as well as his station in life. Joe is also an abbreviation of Joseph, which could be a Biblical allusion correlating the forge with purification. Finally, the name Jaggers comes from the word jag that is a sharp projection of a rock and this describes Jaggers well, for he is a hard person who "cuts" or hurts people in his life due to his occupation. He is constantly employed in washing his hands, like Pontius Pilate, which implies that he has to clean his hands in order to distance himself from his actions (Morgentaler, 1998: par. 27).

The way in which characters are delineated or shaped in the novel is part of characterisation. Although various theories and opinions exist about the nature of narrative, and characters in particular, the focus here falls on characters as agents of the narrative. According to Close (as indicated by Lothe, 2000:81-84), characterisation focuses on two ways of presenting characters: direct definition and indirect presentation, which will be traced in the novel. Pip, the narrator, describes the characters through direct definition. Holden (1991:x-xi) refers to this type of characterisation as "snapshots" that conjure up strong visual images. Pip's description is a biased perspective, because the "definition" or interpretation of the characters is given through his eyes (focalisation). Pip, the hero and narrator of Great *Expectations*, cannot directly describe himself, but can only describe himself in relation to others (his deceased family) and to the landscape (the marshlands), as the following quote will show:

> My father's family name being Pirrip, and my Christian name Pillip, my infant tongue could make of both names nothing longer or more explicit than Pip. So, I called myself Pip, and came to be called Pip. I give Pirrip as my father's family name, on the authority of his tombstone and my sister – Mrs Joe Gargery, who married the blacksmith. As I never saw my father or my mother, and never saw any likeness of either of them (for their days were long before the days of photographs), my first fancies regarding what they were like, were unreasonably derived from their tombstones. The shape of the letters on my father's, gave me an odd idea that he was a square, stout, dark man, with curly black hair. From the character and turn of the inscription, *'Also Georgiana Wife of the Above,'* I drew a childish conclusion that my mother was freckled and sickly. To five little stone lozenges, each about a foot and a half long, which were arranged in a neat row beside their grave, and were sacred to the memory of five little brothers of

> mine – who gave up trying to get a living, exceedingly early in that universal struggle – I am indebted for a belief I religiously entertained that they had all been born on their backs with their hands in their trousers-pockets, and had never taken them out in this state of existence (Dickens, 1981:35-36).

The first description of Estella, Pip's love interest, is done concisely, but the apparent class distinction between them is made quite clear, as well as her superiority and coldness (not showing love), as the following quote illustrates:

> Though she called me 'boy' so often, and with a carelessness that was far from complimentary, she was of about my own age. She seemed much older than I, of course, being a girl, and beautiful and self-possessed; and she was as scornful of me as if she had been one-and-twenty, and a queen (Dickens, 1981:86).

The first description of Magwitch, that of a man who instils fear in the heart of a child, is not the usual way a fairy godmother (godfather) is projected:

> A fearful man, all in coarse grey, with a great iron on his leg. A man with no hat, and with broken shoes, and with an old rag tied round his head. A man who had been soaked in water, and smothered in mud, and lamed by stones, and cut by flints, and stung by nettles, and torn by briars; who limped, and shivered, and glared and growled; and whose teeth chattered in his head as he seized me by the chin (Dickens, 1981:36).

Miss Havisham is also described as a figure who inspires fear through appearance (the faded wedding gown and accessories) and her resemblance to death:

> But, I saw that everything within my view which ought to be white, had been white long ago, and had lost its lustre, and was faded and yellow. I saw that the bride within the bridal dress had withered like the dress, and like the flowers, and had no brightness left but the brightness of her sunken eyes. I saw that the dress had been put upon the rounded figure of a young woman, and that the figure upon which it now hung loose, had shrunk to skin and bone. Once, I had been taken to see some ghastly waxwork at the Fair, representing I know not what impossible personage lying in state. Once, I had been taken to one of our old marsh churches to see a skeleton in the ashes of a rich dress, that had been dug out of a vault under the church pavement. Now, waxwork and skeleton seemed to have dark eyes that moved and looked at me. I should have cried out, if I could (Dickens, 1981:87).

Joe, the helper, is described as being physically strong as well as kind and foolish – a "big child" – a companion of the child Pip as the following quote indicates:

> Joe was a fair man, with curls of flaxen hair on each side of his smooth face, and with eyes of such a very undecided blue that they seemed to have somehow got mixed with their own whites. He was a mild, good-natured, sweet-tempered,

> easy-going, foolish, dear fellow — a sort of Hercules in strength, and also in weakness (Dickens, 1981:39-40).

Jaggers, the dispatcher of Pip's "great expectations" is described as a man with a head (he works with his head) and hands (his actions may hurt other people) as Pip perceives him in the Jolly Bargemen:

> The stranger did not recognize me, but I recognized him as the gentleman I had met on the stairs, on the occasion of my second visit to Miss Havisham. I had known him the moment I saw him looking over the settle, and now that I stood confronting him with his hand upon my shoulder, I checked off again in detail, his large head, his dark complexion, his deep-set eyes, his bushy black eyebrows, his large watch-chain, his strong black dots of beard and whisker, and even the smell of scented soap on his great hand (Dickens, 1981:163).

There are many variants of indirect presentation, the second aspect of Close's (as indicated by Lothe, 2000:81-84) theory on characterisation (where certain features of a character are demonstrated, dramatised or exemplified) in the novel. Firstly, presentation can be done either by a single action or by repetitive actions. It is not the aim of the study to analyse all the possible actions and their meanings, but rather to focus on "major" actions that have an impact on the characters' lives and reveal noteworthy aspects of their character.

Pip, as a child, shows compassion in helping the convict, Magwitch by "stealing" food for him from his sister's pantry (Chapter 2). In his first encounter with Miss Havisham he shows courage by not crying out in horror when he sees the skeleton that represents Miss Havisham (Chapter 8). Although Estella treats him badly, he never does anything to hurt her in retaliation – he treats her as if she were on a pedestal, there to admire but not to touch, like a star. In London, new "gentleman" Pip treats Joe badly when Joe comes to visit him (Chapter 27). Although Pip also treats his true benefactor with disgust at first, later he treats him with the respect he deserves. Pip tells Miss Havisham that he knows how she feels because he too now has a broken heart, indirectly because of her (Chapter 44). Pip tries to help the burning Miss Havisham and forgives her for what she has done to him (Chapter 49). His action to return to the forge, to Joe, to apologise for treating him badly is also revealing about his character.

Estella shows her cold nature at the beginning of the novel in the cold and calculated way she treats Pip when he visits Satis House (Chapter 8). The way she enjoys it when Pip and Herbert fight as well as the manner she rewards Pip for winning indicates her own manipulative nature: "You may kiss me, if you like' " (Dickens, 1981:121). A very important aspect is that she does not want to entrap Pip, the way she entraps other men (Chapter 38). Although she cannot show love or affection the way Pip wants her to show him, this one act shows us that she loves Pip and does not want him to be ensnared in the trap Miss Havisham has set for him. This act also foreshadows that she will one day be able to love, despite Miss Havisham's indoctrination.

Magwitch, the hungry convict, at first terrifies Pip by shouting at him and turning him upside down (Chapter 1), but the fact that he looks out for Pip by warning him about the other more vicious criminal and by taking the blame for stealing the pie reveals another side to him (Chapter 5). The fact that he later arranges to help Pip financially, that he works hard so that Pip may become a gentleman and that he risks his life to see the gentleman he has made, shows a kinder more loving side of the convict that almost resembles the love of a father (Chapter 39). Magwitch then literally and figuratively inverts Pip's world, which is only rectified at the conclusion when Pip realises his true potential as a "gentleman".

Miss Havisham shows that she is selfish and uncaring. She brings Estella up as a loveless woman who is conditioned to break men's hearts (Chapter 8). She plays with both Estella's and Pip's lives when she does nothing to dispel his firm belief that she is his mysterious benefactor and that she wants him to marry Estella. In the end she realises her mistake when she sees herself reflected in the heart-broken Pip. This upsets her tremendously and leads to her death.

Joe, on the other hand, shows his kindness and selflessness in the fact that he tries to protect Pip from Mrs Joe (Chapter 2). He does not demand any compensation when Pip breaks off his internship at the forge and he is the one who comes to London to pay Pip's debts and to look after him when he has the fever (Chapter 57). Joe, by forgiving Pip, sets the example for Pip to forgive Miss Havisham for what she has done to him.

Jaggers's actions are only related in regard to criminal and financial matters. He is the one who acts on behalf of the criminal, Magwitch, by making Pip aware of his "great expectations" (Chapter18). He is also the one who arranges Miss Havisham's financial affairs and who has brought Estella, the convict Magwitch's daughter, to be adopted by Miss Havisham (Chapter 51). Jaggers also employs Estella's mother, a fact that not only relates him to Miss Havisham as an arch manipulator, but also makes him complicit in the turn of events as the instigator of Pip's false belief in "expectations".

The second aspect of indirect presentation is what a character says or thinks and what other characters say about him or her can reveal much about a character. In *Great Expectations* the focus is on what characters say and not what they think, because Pip, a character, is the narrator of the novel. The way Pip speaks and the vocabulary he uses give away his low social station. However, Pip's thoughts (loftier than his social station might indicate) are revealed, for example when he reflects on the memorable meeting with Miss Havisham and Estella that changed the direction of his whole life, as the following quote indicates:

> That was a memorable day to me, for it made great changes in me. But, it is the same with any life. Imagine one selected day struck out of it, and think how different its course would have been. (Dickens, 1981:101).

The most influential comment that characterises Pip's social standing is when Estella calls him a "common labouring-boy" (Dickens,1981:89). This comment fuels his aspirations to become a gentleman.

The way Estella speaks to Pip shows that she thinks she is superior to him when she addresses him as "boy" (Dickens,1981:86). The most significant comment on Estella regarding her character is when Miss Havisham says, "'You can break his heart.'" (Dickens,1981:89). Estella's character description of herself and her unloving nature is illustrated by the following quotes:

> 'that I have no heart ... I have no softness there, no – sympathy – sentiment – nonsense' (Dickens, 1981: 259).

> 'If you had brought up your adopted daughter wholly in the dark confinement of these rooms, and had never let her know that there was such a thing as the daylight by which she has never once seen your face – if you had done that, and then for a purpose had wanted her to understand the daylight and know all about

> it, you would have been disappointed and angry? ...if you had taught her, from the dawn of her intelligence, with your utmost energy and might, that there was such a thing as daylight, but that it was made to be her enemy and destroyer, and she must turn against it, for it had blighted you and would else blight her; – if you had done this, and then, for a purpose, had wanted her to take naturally to the daylight and she could not do it, you would have been disappointed and angry?' (Dickens, 1981:324)

> When you say you love me, I know what you mean, as a form of words; but nothing more ... It is in *my* nature ... It is in the nature formed within me (Dickens, 1981:376).

Magwitch's speech register and tone of voice also indicate that he is a member of the lower classes when he says: " 'Tell us your name!' said the man. 'Quick!' ";" 'Give it mouth!'; " ' Show us where you live,' said the man. 'Pint out the place!' " (Dickens, 1981:36). When Magwitch admits that he had spurred Pip into stealing the pie from the pantry for him, he reveals his true character as a caring man who finds himself in difficult circumstances.

Pip correctly describes Miss Havisham's character when he says:

> 'It would have been cruel in Miss Havisham, horribly cruel, to practise on the susceptibility of a poor boy, and to torture me through all these years with a vain hope and an idle pursuit, if she had reflected on the gravity of what she did. But I think she did not. I think that in the endurance of her own trial, she forgot mine, Estella'
>
> (Dickens, 1981:376).

Joe's character is also summed up by Pip, the narrator, in direct definition when he says or thinks that Joe is "...a mild, good-natured, sweet-tempered, easy-going, foolish, dear fellow — a sort of Hercules in strength, and also in weakness" (Dickens, 1981:39-40).

Jaggers is not so much characterised by what he says, for he usually only dispatches information in the novel. He is seen as powerful, because even the coachman who brings Pip to his offices has the following to say, " 'I don't want to get into trouble. *I* know *him!*' " (Dickens, 1981:187-188).

Again as manifested in the temporal relations of the plot, aspects of identity formation related to character can be found within the symbolic construction. The functions of the

characters in the novel are directly or indirectly linked to the role they play in Pip's identity formation. The most predominant of these is the interrelationship between Pip, the central character and Estella, his love interest. Pip represents the view that identity can be formed or changed as he tries to change himself to become a gentleman so as to be able to marry Estella. Estella represents the opposite view on identity formation, she believes that she has a certain nature that cannot be changed (Dickens, 1981:376). Pip summarises Estella's influence on his identity and its formation as follows:

> 'You are part of my existence, part of myself. You have been in every line I have ever read, since I first came here, the rough common boy whose poor heart you wounded even then... Estella, to the last hour of my life, you cannot choose but remain part of my character, part of the little good in me, part of the evil.' (Dickens, 1981:378).

Magwitch, the true benefactor, and Miss Havisham, the false benefactor or villain, also shape Pip's identity. Magwitch provides Pip with the "great expectations" to make his dream of marrying Estella come true. Although his intentions are good, his manipulation affects the course of Pip's life. Pip's coming into contact with Miss Havisham and her world makes him despise and loathe his own and creates a desire in him to change his identity. The manipulation of Estella and Pip is summed up by Estella as follows: " 'We are not free to follow our own devices, you and I'" (Dickens, 1981: 285).

Although Joe does not consciously manipulate Pip's identity, he and Biddy, who are examples of people who are contented with themselves, indirectly influence Pip's identity. It is these characters' contentment that Pip strives to obtain in his pursuit of identity. Jaggers, Wemmick, the Pockets and the other characters influence Pip indirectly. The different identities of the characters in the novel also form a tableau of a wide range of possible forms of identities and layers of society that are in contrast to Pip, the main or central character of the novel. Herbert Pocket's contribution to the debate on identity formation is that each identity has a certain "essence" that remains constant no matter what changes are made along the way. He states: "no varnish can hide the grain of the wood; and... the more varnish you put on, the more the grain will express itself" (Dickens, 1981:204).

Although Pip is the central character and all characters are linked or connected to him in some way, other characters are also "connected, one with another, in surprising ways"

(Holden, 1991:vi). Pip's benefactor, Magwitch, is Estella's biological father. Magwitch has an archenemy who has been his accomplice or the master brain in their criminal activities, Compeyson. Compeyson is connected to Arthur Havisham. Arthur Havisham is the half-brother of Miss Havisham, who masterminded Miss Havisham's jilting by Compeyson. Estella is linked to Jaggers, who took her away from her mother, Molly, who is his housekeeper and who gave her to Miss Havisham to adopt. Jaggers is both Miss Havisham's and Magwitch's lawyer. Wemmick is Jaggers' assistant and married Miss Skiffins, whose brother helped Pip provide for Herbert. Herbert Pocket is the son of Mathew Pocket, a relative of Miss Havisham.

This section has shown that the creation of certain characters contributes to the idea of "identity as a textual reality" in *Great Expectations*. The function of the characters in the novel determines their selection and the techniques of direct definition and indirect presentation of these personalities. In the novel characters are mostly described as if they are observed only through the senses. However, characters such as Joe, of whom the narrator shows more "intimate knowledge", are also described in terms of abstract qualities. Indirect presentations of actions or what characters say are realistically presented. It seems that the influence of the theatre and the focus on observation as well as the other senses are reflected in the way the characters are described in the novel.

Furthermore, the investigation of characters in the plot shows that characters are restricted or confined entities with certain functions in the novel. They are interconnected and linked to one another. The characters impact on, influence and project or reflect one another. The way in which they are connected can be likened to that of insects caught in a spider's web for it is difficult for the characters to extract themselves from the influence they have on one another. The interaction with one another and the passage of time may or may not change the identities of these restricted entities within certain confined matrices of stereotypical representation.

In *Great Expectations* the third aspect of characterisation, that of external appearances and behaviour as described by the narrator and/or other characters, is confined to the narrator as such. This aspect has already been addressed under direct definition and will be elaborated on further when analysing narration and focalisation. The fourth

aspect of characterisation, the influence of the milieu or external surroundings, will be addressed in the next section.

2.4.2.3 Space

Brooks (1984:11) claims that the plot functions in a demarcated area of the narrative text or in a meaningful space – a place where events occur. The distinction between space and place is based on the premise that an individual, within his or her own context, influences or shapes that context or environment. The description of place or physical location in *Great Expectations* is especially relevant since it creates the demarcated area where the plot unfolds. In the novel the demarcated areas focus on places/spaces acting as beacons in the representation of Pip's inner states of awareness, social development and as a form of characterisation tool linking place to the identity of the characters.

2.4.2.3.1 Space in *Great Expectations*

In the first volume of *Great Expectations*, there are three important places where the main events occur: the first place is the marshes where Pip meets the convict; the second is the forge, where he lives with Joe and his sister, and the third is Satis House, where he meets Miss Havisham and Estella. Volume two also features three demarcated areas that play a role: London, Satis House and the forge. In the demarcated area of volume three there is an interaction between the places in both volume one and two, in an order similar to that of volume two, but coming full circle to revisit the first setting, namely the marshes.

In order to explore the significance of these places, Bachelard's (1964: xxxii) concept of place as the reflection of the "intimate space of being" to which meaning has been ascribed, will be used as frame of reference for purposes of analysis. This concept also correlates with Bal's (1985:93) idea of space as places in relation to their perception. Dickens's (1981:35) vivid description of the marshland can serve as example:

> Ours was the marsh country, down by the river, within, as the river wound, twenty miles of the sea. My first most vivid and broad impression of the identity of things, seems to me to have been on a memorable raw afternoon towards evening. At such a time I found out for certain, that this bleak place overgrown with nettles was the churchyard; and that Philip Pirrip, late of this parish, and also

> Georgiana wife of the above, were dead and buried; and that Alexander, Bartholomew, Abraham, Tobias, and Roger, infant children of the aforesaid, were also dead and buried; and that the dark flat wilderness beyond the churchyard, intersected with dykes and mounds and gates, with scattered cattle feeding on it, was the marshes; and that the low leaden line beyond, was the river; and that the distant savage lair from which the wind was rushing, was the sea; and that the small bundle of shivers growing afraid of it all and beginning to cry, was Pip.

This description of the marshes ties in with Bachelard's (1964: xxxv, 211, 215) idea that the size of the exterior world is not related to an object, but more to our perception of it, and highlights the dialectics of within and without. In *Great Expectations*, Pip's outside world is a reflection of his inner world. In the first instance the immensity or vastness of the marshes is indicated by juxtaposing the marshes with the river and the sea in order to reflect Pip's perception of his relationship with the cruel, unfriendly world as the quote indicates. Pip sees himself as a tiny speck in relation to the immensity of his surroundings. It also indicates the vastness and immensity of the potential that is Pip. The chaotic overgrown element of the churchyard, his outer world, also reflects Pip's inner world of confusion and fear about who he is and where he belongs. Pip's perception of the "identity of things" is coloured by the fear and apprehension of a small child who becomes aware of the vast world outside his ken.

The second place of importance, Pip's first home, is the house adjoining the forge described as:

> Joe's forge adjoined our house, which was a wooden house, as many of the dwellings in our country were – most of them, at that time. When I ran home from the churchyard, the forge was shut up, and Joe was sitting alone in the kitchen. Joe and I being fellow-sufferers, and having confidences as such, Joe imparted a confidence to me, the moment I raised the latch of the door and peeped in at him opposite to it, sitting in the chimney corner (Dickens, 1981:40).

According to Bachelard's (1964: xxxiii) perception of intimate space, the wooden dwelling of Pip's childhood would be the first intimate space that reflects his identity. The fact that the house is made of wood and not of bricks, indicates that this is not such a safe haven that it would function as a shell to protect Pip well. This assumption is proven right when Joe informs Pip that Mrs Joe is on the rampage and that she has Tickler with her. Joe can protect Pip only partially in the chimney corner – literally the warmest place in the kitchen – a space that Bachelard (1964:136) associates with negative behaviour, usually silence. Pip and Joe do not speak out against the abuse but hide in silence. The fact that Joe is the first friendly person that Pip finds in the

intimate space or world of his childhood also reflects the important role that Joe plays in Pip's life. In fact, Joe becomes the norm against which Pip measures the false values of a hypocritical society. The forge is a place of contrasts: Joe, the warm blacksmith working with fire every day, and Mrs Joe, the cold woman who raises Pip "by hand" (Dickens, 1981:39).

The next important place is Satis House, described in the following two extracts:

> It was paved and clean, but grass was growing in every crevice. The brewery buildings had a little lane of communication with it; and the wooden gates of that lane stood open, and all the brewery beyond, stood open, away to the high enclosing wall; and all was empty and disused. The cold wind seemed to blow colder there, than outside the gate; and it made a shrill noise in howling in and out at the open sides of the brewery, like the noise of wind in the rigging of a ship at sea. (Dickens, 1981:85)

> I entered, therefore, and found myself in a pretty large room, well lighted with wax candles. No glimpse of daylight was to be seen in it. It was a dressing-room, as I supposed from the furniture, though much of it was of forms and uses quite unknown to me. But prominent in it was a draped table with a gilded looking-glass, and that I made out at first sight to be a fine lady's dressing-table. (Dickens, 1981: 86 – 87)

Pip's first impression of Satis House is that it is a place of decay because grass is growing in the crevices of the paving. He also finds it a cold place, enclosed by walls, keeping warmth out. The name of the house, meaning "enough house", is also a constricting factor, since it suggests that whoever has this house, could want nothing else (Dickens, 1981: 86). His meeting with Miss Havisham and Estella represents his first introduction to money and the outside world; it convinces him that he wants to become a gentleman and nothing else, as he admits when he reminisces about a memorable day that changed his life (Dickens, 1981:101).

Satis House is a house without sunlight; it is only lighted by wax candles – artificial light, which might imply that Pip's great expectations are only artificial and will never be real. The world of Satis House is a negative world of decay. The last quote encapsulates the whole idea of the gothic depicted by eerie darkness and decay. It reflects or foreshadows what will happen to Pip if he pursues his dream of becoming a gentleman in London. He will become dark and depressed and morally decayed, as his encounter with Joe in London illustrates.

Pip's journey to London shows the contrast between "the immensity and flat expanse of the marshes" and the "immensity of London" which he perceives as narrow and crooked, ugly and dirty. This impression also predicts Pip's future inner world that will be based on false expectations. He will become judgmental, proud and disparaging towards his old and valued companions.

> We Britons had at that time particularly settled that it was treasonable to doubt our having and our being the best of everything: otherwise, while I was scared by the immensity of London, I think I might have had some faint doubts whether it was not rather ugly, crooked, narrow, and dirty (Dickens, 1981:187).

In London certain places are of importance. The first is Newgate, which is described as "a grim stone building which a bystander said was Newgate Prison." (Dickens, 1981:189). The prison represents Pip's imprisonment by his obsession with Estella and with becoming a gentleman. It also highlights his own guilt towards the people he has shunned in his attempt to win the unobtainable, Estella. The next place is his first "home" in London, Barnard's Inn:

> We entered this haven through a wicket-gate, and were disgorged by an introductory passage into a melancholy little square that looked to me like a flat burying-ground. I thought it had the most dismal trees in it, and the most dismal sparrows, and the most dismal cats, and the most dismal houses (in number half a dozen or so), that I had ever seen. I thought the windows of the sets of chambers into which those houses were divided, were in every stage of dilapidated blind and curtain, crippled flower-pot, cracked glass, dusty decay, and miserable makeshift; while To Let To Let To Let, glared at me from empty rooms, as if no new wretches ever came there, and the vengeance of the soul of Barnard were being slowly appeased by the gradual suicide of the present occupants and their unholy interment under the gravel. (Dickens, 1981:196-197).

The words "disembodied spirit" and the inherent decay of Barnard's Inn, reflect Pip's decaying moral values based on materialism brought about by his "great expectations" and also recollect his description of Satis House. The next place in London, however, implies a change for the better. It is a place near the river and the reference to a garden in the area Garden-court also suggests a closer connection with nature. It also links up with the marshes, which are saturated with water and closely linked to nature and represents Pip's identity before his encounters with Magwitch and Miss Havisham. Pip's new lodgings are described in only a few words in comparison with the lengthy description of Barnard's Inn: "We had left Barnard's Inn more than a year, and lived in

the Temple. Our chambers were in Garden-court, down by the river (Dickens, 1981:330).

The demarcated areas in *Great Expectations* such as the marshes, the forge, Satis House and London, focus on places acting as beacons in the representation of his inner states of awareness and social development. There is movement from open country spaces (the marshes) to enclosed urban spaces, such as the forge, Satis House and London (the city). There is also a movement from outer to inner spaces in the choice of places in the novel. The four places referred to above can also be related to certain social environments of status and class. The desolate marshland is the place created for meeting the convict, the lowest of the class structure; the forge is the place created for representing the poor working class; Satis House represents the rich middle class; and London represents the place for the evolution or progress into a gentleman of the rich middle class (the concept of imprisonment features here as well because the convict also has the wrong values and plays God in shaping Pip's identity). Pip describes these places that have played an important role in his development and growth from an objective or outside point of view, in order to test his being/self in the way that Bachelard (1964:215) implies when he states "sometimes it is being outside itself that being tests consistencies."

However, these places that have played an important role in Pip's development are also linked to certain other characters and in a sense shed light on their identity. Morgentaler (1998, par. 30) points out that the characters dominate places or the landscape by imposing a subjective dimension. Satis House is likened to Miss Havisham and in a sense reflects her inner state of brokenness, decay and utter darkness of despair. Her consciousness is stuck and frozen in time, focused on the unhappy event of her jilting. The forge where Joe works with fire reflects his warm and caring nature. Newgate prison reflects Jaggers as a character that is grim, cold and practical with his eerie office where he tries to rid himself of the stench of prison and convicts with scented soap. Walworth reflects Wemmick's "home" identity and the values he feels should be protected. This little haven is important for his sanity, in contrast with the values of Little Briton and Newgate (portable property), his work identity. According to Holden (1991:vi) Dickens has a striking ability to observe human beings closely and represent them, and the places and spaces affecting or representing them.

At the end of *Great Expectations* there is an allusion to roundness or circularity in the structure of the novel that conveys the idea that events have come full circle. The first reference to roundness is associated with the moon, when Dickens (1981:492) states that the "moon began to rise" The next reference to roundness and completeness is when Pip takes Estella's hand (Dickens, 1981:493), emphasising that they have come full circle with their hands encircled – creating the idea of roundness once again. These references or images of roundness and completeness indicate that Pip and Estella have found themselves apart from each other to become "complete" in order to relate to each other on a positive level of maturity and insight. This correlates with Bachelard's (1964:234) idea of roundness as completeness:

> Images of full roundness help us to collect ourselves, permit us to confer an initial constitution on ourselves, and to confirm our being intimately, inside. For when it is experienced from the inside, devoid of all exterior features, being cannot be otherwise than round.

Pip, the main character of the novel, reiterates the importance of places or spaces (places perceived through characters) in the novel *Great Expectations* as follows:

> 'What could I become with these surroundings? How could my character fail to be influenced by them? Is it to be wondered at if my thoughts were dazed, as my eyes were, when I came out into the natural light from the misty yellow rooms?' (Dickens, 1981:124).

Brooks' (1984:11) comprehensive concept of plot implies that the plot is synonymous with the space where a change of fortune occurs, the forward-moving aspects that include causality. In *Great Expectations* place or physical location effects change. Pip, with his endless potential roves the marshes, and is moved into a certain direction by Joe's forge, for he will become an apprentice blacksmith – brought up by hand. His contact with Satis House moves and fuels his desire to become a gentleman, which moves or leads him to go to London. After his traumatic experiences in London, he leaves for Europe. From Europe he then returns to the marshes, the forge and Satis House. As mentioned before, these physical locations also represent certain classes in society, and therefore also indicate Pip's evolution or progress through the social environment of the class system.

The movement from one class to the other is the result of causality where one action follows the other out of necessity. Causality implies change and therefore change is seen as one of the most important aspects of the plot, which effects intentional and

forward movement in the plot. There are predominantly two different changes that can affect progress: reversal of fortune, which is a change from one state of affairs to its opposite, and discovery, which is a change from ignorance to knowledge. Pip undergoes both these changes. First of all, he undergoes the reversal of fortune when his mysterious benefactor changes his financial status by providing "great expectations". When his true benefactor is revealed and caught, he again goes through a reversal of fortune, because his "great expectations" (financial means) have been crushed. These reversals of fortune then lead Pip to self-discovery, when he becomes mature and his ignorance and naïveté are changed into knowledge and insight.

Brooks (1984:37) expresses another view on this forward-moving aspect when he links plot to desire as the intention for linking together certain events or incidents. In *Great Expectations* the developmental or organisational aspects of the novel shed some light on intention, as it would seem that the choice of certain events to follow one another indicates the factors that might influence the coming-of-age of young people. Friedman (in Stevick, 1968:161) claims that the intention of this type of plot is to focus on the choices a character makes, called a maturing plot. Although things happen to Pip, for instance, the fact that he has no control over coming into contact with Miss Havisham, Estella and Magwitch, he still has to make the choice – the radical decision – whether he will give in to their influence or ignore their influence.

According to Brooks (1984:11) the spatial nature of the plot includes the indication of its complot or hidden design (*the implied author)* that is its hidden place or space. The hidden and secretive plan in *Great Expectations* functions on two levels. First of all, there is the actual complot or secretive plan in the novel itself, and then there is the secretive plan as manifested by the *implied author.* The secret plan or complot in *Great Expectations* is to experiment with children belonging to the lower classes and to manipulate their evolution or progress so that they move up into the middle classes. Pip and Estella find themselves in the same boat. As the novel comes to a close, it becomes apparent that outside forces have manipulated both Pip and Estella. Pip is manipulated by Magwitch to become a gentleman and Estella is manipulated by Miss Havisham to break men's hearts. Both Magwitch and Miss Havisham succeed in their secret plan, although Miss Havisham's plan was not so secretive. Magwitch and Miss Havisham are also linked. Compeyson, for whom Magwitch worked, was the groom who did not show up for Miss Havisham's wedding. Another interesting secret is that

Miss Havisham raises Estella, Magwitch's real daughter. This brings us to the second level of the secretive plan of the novel, the concept of the *implied author* who focuses on how the design of the text reveals the author. Lothe's (2000:16) model in a sense helps unravel the construction or formation of identity in texts as the secretive design of the *implied author*, based on utilising aspects such as the plot (events in space, place and time), characters, narrator and focalisation in a certain way. Therefore by looking at the arrangement of the aspects above, one is led to uncover the secret design of the *implied author*.

In *Great Expectations* places featuring as purely locality are a misnomer, since the places have meaning. Holden (1991:x) supports this idea by pointing out that Dickens uses places as symbols. The idea of space as place in relation to certain perceptions as well as the spatial nature of the plot itself have been the focus of this section in analysing the influence of space on the symbolic construction of *Great Expectations* (Bal, 1985:93). In the first instance, places or spaces represent or reflect the identity formation or identity of characters. The most important realisation in this study is how places are "contaminated" by Pip's consciousness and become spaces that influence his identity formation. The analysis shows how the identities of Pip and other characters are embodied in the places in the novel.

The narrative structure shows that places are used to represent the identities of characters through inner states and class distinction. Places are also used as a characterisation tool by linking place to the identity of the characters (Bal, 1985:93). Not only physical place constitutes the "textual identity" of the plot, but causality also contributes to the spatial nature of the plot in *Great Expectations*. In addition to the impact of identity formation, the interconnectedness of places is illustrated. These places become spaces when there is a movement away from locality to that of experienced place. Certain places associated with certain inner states or social class, or which are linked to characters' identity, create a confined space that virtually "imprisons" the characters. For example, Joe is confined to the forge, representing the lower class and his joy and contentment with his own identity. The forge represents Pip's inner state and connection to Joe, not his sister, before his encounter with Miss Havisham and Estella. Another aspect of growth is visible in the hidden complot of the

novel that is based on the manipulation of the evolution or progress of children of the lower classes.

2.4.2.4 Narrator

Narration is the focus of this section. The narrator interprets and reinterprets the story to give the plot its particular character. In the novel the adult Pip relates the "story" of his life experiences in the form of a *Bildungsroman.*

Firstly, the emphasis is on the teller of the tale who, through the way he tells the story, creates the "world of action" – the place where events occur – as well as the perception of space and time (context). According to Parker (1984:28) the "narrative form of the novel is that of someone looking back on his past and telling his own story: what is known as a first-person narrative." The narrator as the teller of the tale can also be an active character in the plot itself as in the case of Pip in *Great Expectations* (the first-person narrator). Bruner (in Brockmeier & Carbaugh, 2001:27) also calls this form of narration autobiographical, as "a narrator in the here and now, takes upon himself or herself, the task of describing the progress of a protagonist in the there and then, one who happens to share his name." *Great Expectations* provides an example of ulterior narration, in which the narrator narrates or communicates events that occur in his world only after they have happened (Rimmon-Kenan, 1983:89-90). In *Great Expectations* the narration starts with the adult Pip referring to the child he has been and tells us about events in his life after they have actually happened (Dickens, 1981: 71-72).

2.4.2.4.1 The narrator in *Great Expectations*

Pip conforms to the narrative levels within the typology of narrators. Pip relates to the highest level of narration, the extradiegetic level, in that the adult Pip tells us about his childhood. On the immediately subordinate level, the diegetic level, an account of the actual events is given, for example, how Pip falls in love with Estella. Furthermore, as a character in the novel who participates in the story, Pip also relates to the homodiegetic level. Therefore, Pip could be seen in Genette's terms as an extra-homodiegetic narrator, a hybrid form of narrator (in Rimmon Kenan, 1983:91).

Pip, the narrator, is very noticeable throughout the novel. He is even noticeable in the description of setting, because the only way he can define himself is to put himself in relation to his environment. Pip is also noticeable through other characters, in particular his strong identification with Estella, which he expresses in the words: "You are part of my existence, part of myself" (Dickens, 1981:378). Newman (1975:87) also identifies parallels between Pip and Estella. In a sense he sees them as two sides of the same coin. Pip, the narrator, is also noticeable in his definition of other characters, for instance, when he reflects about the day he met Miss Havisham and Estella and how it affected the rest of his life. Pip as narrator is also evident in the fact that he does not judge Miss Havisham in the end and gives no consideration to class with regard to Magwitch.

The question of the reliability or unreliability of the narrator comes to the fore in *Great Expectations*, because Pip in a sense resembles a postmodernist narrator who purposely misleads the reader. The adult Pip knows his expectations have been crushed and that he has been misled by Miss Havisham, but he keeps this information from the reader on purpose. However, the narrator's apparent unreliability can also be ascribed to the relation of his life story as it happened, with the narrator's limited knowledge (as the boy Pip) at the specific time when he experienced the event. His personal involvement at that time, also made it difficult to see what he knows now.

The novel adheres to the three types of narrative distance that Lothe (2000:35-36) distinguishes. The first type is temporal and implies the distance between the act of narration and the events being narrated. In *Great Expectations* the adult Pip is removed in time from the child he was when he encountered the convict, but closer in time to the young man of London. In the second instance, spatial distance entails the distance between the narrative situation and the place where the events unfold. In *Great Expectations* the physical place is also in a sense removed from the act of telling, because the physical place where Satis House had been, is a ruin at the end of the novel and there are plans to build another house on this physical location. The last type of distance is attitudinal distance, which involves interpretation and insight, introducing the concept of focalisation.

Therefore, the narrator's role is important in lending the text its specific identity, because the choice of narrator determines the way in which the plot is related. On the level of identity formation manifested within the text, the mature Pip, the narrator, traces the stages of his development from boyhood (innocence) to maturity (experience). The narration unfolds to show Pip's development (*Bildungsroman*). On the structural level of identity formation certain choices pertaining to the act of telling influence the character of the text. The type of narrator, such as the mature Pip, who relates his personal history and functions on almost all levels of narration, as well being unreliable in misleading the reader as he has been misled by Miss Havisham, gives the text its "identity". Any deviations in narration will change the "identity" of the novel. Furthermore, the act of narration connects the other narrative components, because narration is the way in which temporal relations, characters, space and focalisation are presented.

2.4.2.5 Focaliser

Mieke Bal (1985:120) makes a distinction between *who speaks* (narrator) and *who sees* (focalisor/focaliser), which introduces the concept of focalisation. Focalisation entails mediation by means of a sort of prism through which the story is presented or mediated in the text. It entails the perspective of the "entities" through whose eyes this "world of action" is experienced. The events are presented from within a certain "vision" where a certain point of view is chosen in order to present a certain way of seeing things. This suggests that focalisation also influences or manipulates the way the "world of action" or its space and time (context) are seen or perceived. The term focalisation is Gerard Genette's (1980:189) term adapted from the idea of the "focus of narration", which was further developed by Bal, in particular. She defends her use of this term by pointing out that the other terms are unclear about their distinction between, on the one hand vision and on the other hand, the identity of the voice that is verbalising the vision (Bal, 1985:100-101). Terms such as point of view, perspective, narrative manner and orientation are also used to describe this.

Bal (1985:100) defines focalisation as "the relations between the elements presented and the vision through which they are presented." Thus, focalisation is the relationship between the vision and that which is perceived. Focalisation could also point to Barthes' semic code, which focuses on the connotations or associations of phenomena. This brings the idea of vision as perception into play, since perception as a psychological process is strongly dependent on the position (place) of the perceived object. Another influencing aspect is the extent to which the object is familiar to the perceiver. Bal (1985:100) sums up and lists other factors that influence perception as follows: "one's position with respect to the perceived object, the fall of the light, the distance, previous knowledge, psychological attitude towards the object; all this and more affect the picture one forms and passes on to others." Rimmon-Kenan (1983:79 & 81) adds additional facets like the cognitive and emotive orientation of the focaliser towards the focalised, and the ideological system that governs the viewing of events and characters in the story. Emotive focalisation is important for this study because it suggests that focalisation can be subjective, coloured and involved.

It becomes clear that the relation between the sign, the relief, and its contents, the *story*, can "only be established by [the] mediation of [an] interjacent layer, the view *of* events" (Bal, 1985:104). Focalisation belongs in the "world of action" (the plot) as the layer between the text and the story. On the other hand, the subject of focalisation, the focalisor/focaliser[3] can either be in the "world of action" (the plot) as in a character or outside it as the focaliser who watches. Internal focalisation is when focalisation lies with one character who participates in the *story* as an actor. External focalisation occurs where the focalisation is from a position outside the story and can also be retrospective in the case of a character focalising his own past as in the case of *Great Expectations*. A very important aspect to keep in mind is that the way in which the "subject is presented gives information about that object itself and about the focalizor" (Bal: 1985:109). The subjects being focalised can be all the elements found in narratology for example objects, landscapes and events.

[3] Spelling discrepancy in research material – Bal uses the term focalizor (1985) and focalizer (2001) therefore the more recent spelling will be used, except when quoting from the 1985 version

2.4.2.5.1 The focaliser in *Great Expectations*

In *Great Expectations* there is a focaliser for every volume of the novel. In volume one, events are seen through the eyes of Pip, the child. In volume two, events are seen through the eyes of Pip, the young adult, and in volume three the events are seen through the eyes of the mature Pip. These three points of focalisation have an effect on the perception, because focalisation is "the relations between the elements presented and the vision through which they are presented" (Bal, 1985:100). In the first instance the child experiences his world as a frightening place due to his encounter with the convict, as well as with the eccentric Miss Havisham. Therefore, from a child's perspective and with limited experience of the world, these two characters might appear "bigger" (exaggerated) and more "grotesque". The young adult Pip sees the world differently from the child Pip, but he is again limited by his lack of experience. He is also hampered in his perception of the world (such as the influence of materialism) for he wishes to blame others and does not take responsibility for the choices he has made. The mature adult of volume three who has gained experience and insight is able to see more clearly and does not blame Miss Havisham for his predicament, because he realises that she was blinded by her own hurts. Therefore, focalisation is not just centred on the idea of who sees, but also takes into consideration the relationship between the vision and that which is perceived. The idea of vision as perception is strongly dependent on the position (place) of the perceived object(s), for the position of or relationship to another object(s) also has meaning.

The description of Miss Havisham's dining or "wedding" room illustrates this, as the place or position of the objects in relation to one another and the narrator colours how they are perceived. The relationship between the table at the centre of the room in relation to the tablecloth on the table and the "wedding cake" in the middle of the table reveal that Miss Havisham's obsession and hurt occupy a central position in her life. The relationship between the "wedding cake" and the spiders, and the relationship between the spiders and the blackbeetles, allude to the relationship between Miss Havisham and Pip, who is reminiscent of a blackbeetle caught in the web of Miss Havisham, as the spider.

Another aspect of focalisation concerns the familiarity of the object to the perceiver. Again the description of Miss Havisham's "wedding" room illustrates Pip's fascination

with a room the likes of which he has never seen before or will ever see again. The room illustrates beautifully how other factors such as one's position with respect to the perceived object, the fall of the light, the distance, previous knowledge and the psychological attitude towards the object can influence perceptions. Pip is close enough to see the fungus on the cake, but his perception is hampered by the prevailing darkness (sunlight has been banished from the room) for he can only see by the light of some candles. His lack of knowledge and reference also influences his perception and colours it negatively. Pip's fear of Miss Havisham and her deathlike appearance is coloured by his first meeting with her. Pip's lack of "decent" education as a child and his predominantly fearful experience of the world therefore colour his perception of Satis House.

Focalisation, as is the case with narration, is concerned with "manipulation" in the sense that the techniques chosen affect the way in which the novel is presented. Therefore the choice of manipulation techniques in focalisation determines the "identity" of a text, in this case the novel *Great Expectations*. The interpretative and manipulative aspects of focalisation play an important part in identity formation on both the thematic and structural levels. On the thematic level, Pip's perception and his position influence his view and identity. The child, the young adult and the mature Pip perceive events and surroundings differently, which then influence their perceptions of identity. On a structural level, the three different focalisers give the novel its "identity" or character. In focalisation the three focalisers are linked because they represent Pip's different developmental stages and the order in which the focalisation is presented, shows the movement from an immature to a mature perspective or point of view.

2.5 Interpretation: Socio-historical context and literary conventions

As Bal (2001:2) and Ricoeur (1984:71) claim, the space and time (context) outside the text also have an effect on the interpretation of narrative fiction. Bal (2001:5) argues that the "meaning of a work of art does not ... lie in the work by itself but rather in the specific performances that take place in the work's 'field'". She sees this field as social, a social frame that does not surround the work of art, but is part of it by working inside it. Ricoeur (1985:101) agrees with Bal as the following quote indicates:

> On the first level, our interest is concentrated on the work's configuration. On the second level, our interest lies in the worldview and temporal experience that this configuration projects outside of itself.

Bakhtin's work on dialogism also sheds light on the interaction of texts with the social environment or context. In his essay *Dialogue and Carnival*, Ivanov (in Shepherd, 1993:4) explains how cultural artefacts or constructs (symbolic constructs), such as literature (the novel), represent their society, as well as how literature influences and affects the society it represents. This implies the ongoing dialogue between the text and the "world" (socio-cultural contexts), and with other texts and their specific "worlds". Tudor (1999:23) describes the first half of the process, that is, the manner or way artefacts represent their culture, as follows: "humanity's most significant beliefs and achievements are articulated and 'stored' in culture." Then Mills (as quoted by Tudor, 1999:22) describes the other half of the process, the influence that cultural artefacts or constructs have on their society and identity, in particular:

> (1) The media tell the man in the mass who he is – they give him identity; (2) they tell him what he wants to be – they give him aspirations; (3) they tell him how to get that way – they give him technique; and (4) they tell him how to feel that way even when he is not – they give him escape.

Ricoeur (1984:71) emphasises that the intersection of the text with the world of the reader or viewer unfolds its specific space-time context (Ricoeur, 1984:71). However, Bakhtin sees the context of space-time as never fixed, always becoming, incomplete and in an infinite dialogue without a first or last word. The dialogical relationship of importance for this section is "a dialogue of a particular kind – the complex correlation of the *text* ...and the *context* that frames it and which is being created" (Bakhtin as quoted by Todorov, 1984:23). This aspect of Bakhtin's work is referred to by Jurij Lotman as extratextuality. In *The Structure of the Artistic Text* Lotman (1977:50) highlights this notion by stating that the "extra-textual bonds of a work can be described as the relations between the set of elements fixed in the text and the set of elements from which any given element of the text is selected." He develops this idea further in *Universe of the Mind: A Semiotic Theory of Culture* (2000:125) when he likens his term semiosphere to the biosphere which implies the "totality and organic whole of living matter and also the condition of the continuation of life." He associates context with social interaction, and ultimately with culture, for he interprets culture as a collection of social functions (Lepik, 2002:561). His definition of culture can be described as "a 'bundle' of semiotic systems". Schönle (2002:432) maintains that he has the following idea about identity and culture and how texts influence group identities:

> Lotman's concept of the semioshere emphasizes the ad hoc foundation of group identities, their emergence out of an intrinsic recoding of extrinsic codes, and the circulation of texts and values among groups.

Therefore, Lotman focuses on how social/cultural contexts, such as in the case of this study of the Victorian age, are in dialogue with the narrative text, *Great Expectations*. Bakhtin's (in Todorov, 1984:31) contribution can be summed up as follows: "Human personality becomes historically real and culturally productive only insofar as it is part of a social whole, in its class and through its class."

This correlates with Brockmeier's (2001:par. 1) model, which argues that the continuous process of interpretation and reinterpretation constitutes identity as a "textual reality". The reason for exploring the social dynamics within the text and literary conventions is that the social environment of the narrative fiction constitutes the second layer of "textual identity". The actual social environment in which a text is created also influences the choice of literary conventions. Analysing the social dynamics working within the text as well as the literary conventions shaping a text is a means of interpreting and reinterpreting the text.

2.5.1 Interaction of individual and context

This brings us to investigate the interaction or relationship between the novel *Great Expectations* and the Victorian period, which is the main context in which the novel was written. The most important levels of Jameson's (1981:20) structure in *The Political Unconscious,* which has been identified as ideology (reflected in other texts), the economic and the political levels (with the juridical being seen as part of the political and economic level), are used and adapted to expose the interaction or dialogue between the social environment of the Victorian context (space and time) and the text of *Great Expectations.*

The Industrial Revolution exerted important social and economic influences on the Victorians and their period. Potter (1987:222) and Fleming (1986:397) agree that the growth of factories employing machines as the new method of production created unemployment and caused the migration of large numbers of people from the country to the cities. In *Great Expectations*, Pip's migration from the country to London is a reflection of one of the main occurrences in the 19th century. The "machine age"

brought about the use of certain machines that made people redundant and changed society in a rather dramatic way for example, the invention of the printing press, which made mass distribution of inter alia novels possible and therefore led to their popularity (Fleming, 1986:399; Potter, 1987:231).

The key aspect of this period was change. One of the first inventions that changed the face of society was photography (1839, by Daguerre and Niépce). Research on observation in *Physiological Optics* in 1856 focused on the eye as tool of observation, a device that is used liberally in the descriptions given by Dickens in *Great Expectations*, where he seems to indicate that it is not only the eye that plays a role, but experiencing reality with all five the senses. The observation by means of the senses creates a natural, rational explanation of evidence and experience. The importance of the eye and observation of *reality* (realism) explains the focus on the philosophy of positivism, which explores observation by seeing events in relation to cause and effect (Fleming, 1986:398).

In *Great Expectations*, cause and effect constitute the cornerstones of the story. As Pip points out, if he had never met Miss Havisham and Estella on a memorable day his life would have been different. The "moral" or lesson for Pip is that everybody is equal and that social standing or "great expectations" do not make you better than other people. This lesson is foregrounded when he realises that his love, Estella, is not of a higher social standing than he is for she is the biological daughter of a convict. The whole idea is that experience causes and leads to certain effects. Darwin's *Origin of the Species* underlines the idea of evolution, which implies change in a positive way – progression. It strengthens the theory of human progress that has made the idea of individual and collective improvement possible, as reflected in the *Bildungsroman.*

Great Expectations is an example of how children, Pip and Estella, from so-called low-class backgrounds and lineage respectively, can improve to become part of the middle classes. The theory also has an effect on the way the Victorians view the indigenous peoples of their colonies. Nietzsche's *On Truth and Lying in an Extra-Moral Sense* in 1866, propagates the idea that reality is a concept that changes according to the truth of a culture. In *Great Expectations* Pip changes his reality to the "truth" he holds at specific times in the novel. First of all, his reality is coloured by the "truth" that he is a common-labouring boy (his station in life). Then his "truth" changes when he

thinks Miss Havisham is his benefactor who wants him to marry Estella. This changes when he finds out that Magwitch is his true benefactor. Freud's contribution to psychoanalysis in 1905, which emphasised the unconscious desires of sex controlling a person, seems to be reflected in Pip's obsessive love for Estella, which dominated his whole life. The predominant Victorian ideas (ideology) of observation, progress and social problems seem to be embedded, reflected and represented in *Great Expectations* (Fleming, 1986:398).

The economic development in the Victorian context is linked to the Industrial Revolution, which created a middle class who benefited from the new inventions in a financial way. The new middle class represented materialist ideals, which became an important feature of this time. In *Great Expectations* materialism features predominantly as the title suggests, because it traces the effect of materialism on the protagonist, Pip. Pip believes that his material standing makes him worthy of respect; and respectability, which entails the idea of proper and correct behaviour, is one of the key aspirations of Victorian society. In *Great Expectations,* respectability is tied up with Pip's obsession to become a gentleman. Herbert and Mr Pocket play an important role in making Pip respectable or acceptable as a member of the middle class.

Another Victorian concept is that of self-reliance, which fuels the Victorians' desire for self-improvement. At the end of *Great Expectations*, Pip realises that he can only rely on himself to make his dreams come true. Miss Havisham and Magwitch cannot give him what he wants. The Victorians' economic influence stretched as far as their colonies. In *Great Expectations* the colonisation and exploitation of Australia as a penal colony create the possibility for Pip's "great expectations". At the time *Great Expectations* was written women could not vote. Middle-class women were seen as delicate and helpless – so-called "angel-dolls" (Wynne-Davies, 1989:96). Both Miss Havisham and Estella are depicted as dolls. Miss Havisham is a wax-like figure dressed in rich materials, while Estella's doll-like beauty is appreciated by Pip, who admires her as a porcelain doll on a pedestal that must not be touched. On the other hand, Estella's biological mother and Mrs Joe, working class women, are seen as 'slaves' having to work long and hard hours or act as prostitutes to satisfy men's basic and carnal needs and desires.

Fleming (1986:418) points out that certain beliefs about time influenced the Victorian context. The most prominent philosopher concerned with time was the Frenchman, Henri Bergson (Fleming, 1986:418), who believed that time was more real than space and that a person could not step into the same river twice, because time would have changed it. Pip finds that he cannot undo the effects of time. Although he comes back to the forge and Biddy, he cannot be the person he has been before his departure. After all his experiences he cannot be a blacksmith's apprentice or a blacksmith as such for he and the context have changed. Pip can go back to the physical location or place but due to the change in and wrought by time, he cannot have the same experiences. Bergson (Fleming, 1986:418) believed that experience was made up of "a series of qualitative changes, which melt into and permeate one another, without precise outlines". This is what Pip refers to as a long chain of events (Dickens, 1981:101). Bergson sees time as the continuous progress of the past that moves into the future as the points on a clock past which the hands move. In Satis House, this clock analogy is also found, for instead of the past moving into the future Miss Havisham is stuck in the past – the clocks have been stopped which makes her situation impossible to change.

The Victorian identity is linked to progress and evolution, but it is situated within the traditional paradigm, where identity is essentialised as a definite perception of self, of being, that people have to experience through self-discovery (progress) in order to find their *true* identity (Graybill, 2002:par. 15). In *Great Expectations,* Pip has to go on a quest to discover his true identity. The Pip of the marshland with all his untapped or "chaotic" potential must discover his true identity through experience. Pip has to find out that recognisable traits related to country, nation, class, race and gender do not limit who he discovers he is at the end of the novel – his identity.

2.6 Conclusion: The novel as a narrative account of experience

Identity, a sense of self, cannot exist outside a certain context, because context influences identity and identity influences context. Bal (2001:33) underlines this idea by stating that the "self can only know where it stands in space if it acquires a sense of boundary, of where the self ends and the world begins". One cannot exist without the other. The same is applicable to the novel, because a text has meaning within a certain context. It consists of the narratological, socio-cultural and historical contexts that interact with one another.

The five narrative components (temporal relations, characters, space, the narrator and focalisation) represent identity through their interconnectedness and interaction with one another. On the thematic level, it is found that textual references to identity formation, confinement and interconnectedness add a thematic layer of meaning to the narrative text. Furthermore, the analysis shows that the identity of characters reflect individuals in society - stereotypes.

The reinterpretation of *Great Expectations* as a reflection of the Victorian social environment illustrates that the novel comments on the most noteworthy ideas of its time, such as observation, progress, evolution, social problems, materialism and cause and effect, as well as the idea that the passage of time makes an experience in time obsolete. The social environment of the Victorian Age is mirrored in the novel, because it has been created within this context.

Furthermore, the social context influences the selection of conventions and narrative strategies. Narrative strategies, such as the fairy tale, the Gothic, the mystery and the *Bildungsroman* are strategies in *Great Expectations* that reflect the prevalent literature in the Victorian context. The conventions used indicate different perceptions of identity representation in the various literary contexts. The fairy tale supports the idea that identity can be magically transformed, the Gothic focuses on death and obscurity, the mystery emphasises the unravelling of life histories like detective stories, while the *Bildungsroman* underlines the idea of a quest for identity.

The concept of interconnectedness provides a layer of meaning that links the narrative components and social reality (literary conventions) in the novel. This interconnectedness in Dickens's work is described by Holden (1991:vi) as "the relation of his finer threads to the whole pattern which is always before the eyes of the storyteller at his loom". The pattern reveals the perception that the novel suggests an underlying criticism of Victorian materialism and false values that are manifested overtly or covertly by several characters and in the ironic title of "great expectations". For instance, Joe's innate goodness, which represents the true measure of a "gentleman", is contrasted with society's perception, which depends on status and money, while Estella's hard-heartedness is offset by her demeanour at the conclusion. Thus, Dickens emphasises that essential goodness, humanity and compassion are meant to triumph

over pretence and materialism. Dickens had the ability "to fancy or perceive relations in things which are not apparent generally" (Holden, 1991:vi).

In the next chapter, this study traces the transformation of the narrative components identified as constants in the novel, *Great Expectations*, into the film. The focus is on semiotic mediation that also includes visual narratology.

3 SEMIOTICS AND FILM

3.1 Introduction

This chapter addresses the transformation of Charles Dickens's novel *Great Expectations* into a film text. The transposition of the novelistic components into another medium depends on a thorough interpretation of the novel and requires a substantial adaptation of the original text as well as the implementation of different modes of representation. The main focus of interpretation remains on the process of identity formation – similar to the analysis of the novel – but due to the differences in contexts and time periods, as well as the concentration of visual images (which includes visual, kinesic and auditory elements), technical devices and shortened time span that are characteristic of film, the emphasis will be placed on visual interpretation as formulated by Mieke Bal. Apart from Mieke Bal's (2001:53) visual narratology, which will serve as guideline in the interpretation, the analysis will also focus on the semiotic interpretation of the visual signs and techniques used in film.

Visual narratology implies that linguistic and visual texts, in this instance the novel and the film, can both be seen as narrative fiction. Lothe (2000:vii) explains that the novel and the film tell stories or are made up of narratives, therefore they must be seen as different forms (mediums/genres) of narrative fiction.

Fiction implies the invented, the imaginative, the fanciful, which are the opposite of fact. If narrative texts, novels as well as films, are regarded as representations of narrative material, the issue of fictionality and the relation between text and reality must be addressed. Ricoeur (1984:64) explores and emphasises the fictional nature of narrative fiction, and not the narrative aspect, when he focuses on his second moment of *mimesis*. According to him, a text is fictional although it imitates *reality* because it represents a text or discourse "as if" it were true. Jacob Lothe also (2000:4) refers to the Latin term, *fingere*, from which he concludes that the meaning of the word derives from the act of inventing such things that might happen. However, he indicates that this view is culturally dependent and that the borderlines between fiction and non-fiction can be blurred. As it is not the focus of this study to debate this question in detail, it will be accepted that the text or

discourse is not equal to actual *reality* but only *represents* reality. Therefore it can be seen as a distorted mirror image, not as the image itself. In this mirror image or fictional space and time, certain types of people act in a way that is similar to the way they would have acted when confronted with the same context and from a certain perspective in *reality*. Toolan (2001:206) describes narrative fiction as never being "without contexts which both shape and come to be shaped by the story that is told or heard."

A narratological analysis of the film will show that the narrative elements, which create identity and identity formation in the novel, appear in the film text as well but in a transformed form. A semiotic analysis of filmic elements will indicate how visual signs in the film constitute meanings that correlate with meanings in the novel.

Another fact that Bal (1985:7) points out is that the novel and film simulate *reality*, because they share elements of story that are founded on *reality*. Since the novel and film are based on *reality* and can both be regarded as representations of *reality* through linguistic and filmic (visual, auditory and linguistic) signs, a semiotic study will make it possible to investigate the socio-cultural codes that underlie both texts. In this way the adaptation of thematic material from novel to film can be analysed. The impact of the postmodernist socio-cultural context of the film is explored as an interpretation, adaptation, transformation and eventual re-presentation of themes and issues that appear in the novel as typical of the Victorian context. Although the film shares similar narratological aspects it also comments on or enhances the meaning of the novel by adding another layer of meaning embedded in the interaction (dialogue) between the novel and the film.

Thus, as in the previous chapter, Lerner's (1991:335) three concepts that govern context are the guidelines for the film analysis: ideology, social reality and strategies of writing. They illustrate that the constant interaction of an individual with a physical location as well as with cultural and social contexts creates or influences identity.

3.2 Approaches

As a transformation of the novel text, the film is analysed according to five basic narratological components that are based on Mieke Bal's (1985:13-150) analysis of narrative texts: temporal relations, character, space, narrator and focalisation (temporal relations, character, space and focalisation are aspects of the plot, while the narrator is linked to the text). However, her elaboration of visual narratology will be the main point of discussion.

Focalisation is the central concept that lies at the heart of Bal's (2001:53) visual narratology in which she analyses and interprets images in paintings and film in terms of who sees (focaliser) and what is seen (focalised object). Bal's (2001:2) particular contribution to this study is her view on context:

> the work of art is recognised as not only reflecting its context but mediating it, reflecting *upon* it; and the work is understood as not simply passive with regard to the cultural forces that have shaped it, but active – it produces its own range of social effects, it acts upon its surrounding world.

She sees a work of art as an occasion for repeated performances, depending on its specific context(s). It is due to her efforts of examining and redefining the concept of focalisation (which gave rise to her perspective on context) that she arrives at the cross-disciplinary move she makes to visual narratology. This also led Bal (2001:41-42) to believe that narrative should be considered as a discursive mode that affects all semiotic objects to varying degrees. Bal's (2001:4, 63) visual narratology is in opposition to the more "traditional" way of looking at images in painting and attempts to destabilise or to disperse Mulvey's *gaze*, which she explains in the following way: "Focalization helps to disperse the encompassing gaze of the viewer/reader, who, 'distracted' by what happens, vision-wise, within the story, can no longer pretend to take it in, as in one *Augenblick*." She highlights the manipulative effect entailed in this concept and therefore prefers to use focalisation as the more technical term. Bal (2001:47-48) underlines the importance of focalisation in terms of space and time with regard to memory, which she sees as an act of 'vision' of the past, but which is an act situated in the memory's present as well. Bal (2001:54) sees the act or event of focalisation as the first interpretation of the "world of

action" because focalisation makes the content subjective when seen through the eyes of the focaliser.

Based on Bal's (2001) ideas in *Looking in: the Art of Viewing*, this study will analyse the film images or stills in *Great Expectations* in eight steps. In step one the elements (characters, objects and milieu) in the visual image or film still are identified. The second step focuses on identifying the focaliser. In step three the focalised object is identified. Step four determines how attention is focused, while step five shows what the focalised object reveals or tells about the focaliser. In step six the relationship that is suggested between the focaliser and focalised object is revealed. Step seven determines the kind of seeing that is at stake in the image or still. The last step determines what event of the story is being mediated by the image or still.

Within visual narratology as point of departure and frame of reference, the main discussion will evolve around the visual representations of time and plot indicators (temporal relations), character representation, space (context), narration and focalisation techniques. A semiotic approach is used for a more detailed analysis of the visual aspects of narrative, that is, the visual representations of narrative material and their significance in the representation of a social system. This approach also provides mediation between the sign systems and codes of the novel and film of *Great Expectations*, which makes a comparison between the novel and film possible.

3.2.1 Definition and Discussion

Various scholars define semiotics within their respective spheres of expertise. Kindem (1979:65) sees semiotics as a descriptive science that "can describe the probable sources of meaning in general, but it cannot predict what meaning will be conveyed in a specific context by a specific sign for a specific individual". According to Eco (1984:226) "the semiotic universe is a virtuality which can give the impression of reality" while Scholes (1982:x) perceives semiotics as "the study of codes and media, [therefore] semiotics must take an interest in ideology, in socio-economic structures, in psychoanalysis, in poetics, and in the theory of discourse."

According to Robey (in Jefferson & Robey, 1995: 46) "all forms of social and cultural life are seen as to be governed by systems of signs which are either linguistic or analogous to those of language." This perception is a realisation of Saussure's dream of a general science of signs that influences life on all levels, which he called semiology. He based his ideas on language and developed a new linguistics. A linguistic sign is perceived to consist of a sound image or a written substitute and a concept. The sound image or written substitute is termed a signifier (*signifiant*) and the concept is called the signified (*signifié*). He explains the process of generating meaning as hearing a sound image and connecting it to a concept, which is then recognised as a word or a sign (Saussure, 1960: 114). The system that governs this process is called *langue* and the individual act of communication is called *parole.* Saussure believed language should be studied as a synchronic system by focusing on how it functions at a given moment in time. The sequential relationship that a system permits is termed *syntagmatic*. This entails a semantic structure as in the construction of sentences. The *paradigmatic* point is the point of intersection of a bundle of different strings of associations. This implies a choice of words, as in the construction of sentences (Du Plooy, 1986:123).

Saussure was not the only scholar interested in the ways in which signs operate and function. Peirce – an American philosopher – also devised his own system which he called semiotics. According to Tomaselli (1980:10), this system is based on the triadic and not the dyadic (that of Saussure) nature of the sign, which entails the relationship between the signifier and the signified, as well as the mind of the interpreter. The three aspects that cooperate in his signification are the sign, its object and its *interpretant.* Peirce (as quoted by Fitzgerald, 1966:40) describes this interaction as follows:

> A sign stands for something to the idea which it produces or modifies ... for that which it stands for is called its object; that which it conveys, its meaning; and the idea to which it gives rise, its interpretant.

Therefore, it seems that Peirce and Saussure had similar notions concerning the signifier (that which a sign stands for) and the signified (the idea that the sign produces or modifies). However, Peirce also emphasises the idea of the *interpretant* of the sign, which is taken for granted in Saussures' approach. He identifies three kinds of *interpretants* in his work, namely, the immediate, the dynamical and the final. According to Tomaselli (1980:17-19), the immediate *interpretant* can be seen as the logical potential or possibility

of a sign to be interpreted; the dynamic *interpretant* refers to the actual effect produced by a sign on its interpreter; while the final *interpretant* refers to a community's (in this instance the scientific community's) interpretation that agrees on the laws which regulate the effects of the sign. In addition, Peirce also developed a taxonomy of different classes of signs. He based this on his notion of phaneroscopy, which included three sections – phenomenology, logic and metaphysics. The taxonomy has been developed from phenomenology, that which is directly perceived by the senses, in particular the concept of the phaneron. Peirce (1955:74) defines these concepts as follows:

> Phaneroscopy is the description of the phaneron, and by the phaneron I mean the collective total of all that is in any way or in any sense present to the mind, quite regardless of whether it corresponds to any real thing or not.

Peirce sees the phaneron as a collection or bundle of signs. This bundle of signs then forms the context. The phaneron can, to some extent, be likened to Saussure's idea of the syntagmatic and paradigmatic nature of the sign. Although these concepts do not entail the same means of constructing context, both underline the idea that context is formed by a combination of certain "chosen" signs. In order to understand the taxonomy of different classes of signs better, Peirce's ideas of firstness, secondness and thirdness as categories of the phaneron should be looked at in more detail.

Firstness refers to the central idea, which holds its reality and needs not be compared to anything else. Secondness implies a relative autonomy, which exists in relation to something else and is manifested in the opposition thereof. Thirdness is seen as a medium of connection between firstness and secondness, which is a method of combining various elements that include social conventions. The first trichotomy of signs focuses on the sign in itself, the sign as related to its object and the sign as interpreted to represent an object. This brings us to the taxonomy of different classes of signs, which is called the second trichotomy of signs (Peirce, 1955:104-115; Tomaselli, 1980:13 -14). Peirce brings a different perspective to that of Saussure by classifying and dividing signs into iconical, indexical and symbolical signs, with which this study will be concerned. An icon is a sign that refers to and resembles the object, whether such object exists or not, and that which it denotes, merely since it has some physical quality or configuration of qualities that it shares with the object. The index has a causal relationship or existential bond with its object, so the sign can be seen as the effect of the object, which draws the attention to the

particular object without describing it. Lastly, the symbol as the third category can be seen as arbitrary, where there is no natural connection to the object, since the link is made by association of ideas or habitual connection; it is conventional and culture bound. A film scholar, Peter Wollen, in *Signs and Meaning in the Cinema* (1998:83), notes the importance of Peirce's trichotomy for film semiotics, in particular (Easthope, 1994:2-3; Lapsley & Westlake, 1991:35 –36; Tomaselli, 1980:14 -15).

The importance of looking at both these scholars lies in the fact that Saussure's "semiotics" has primarily been used in literary studies, while Peirce's semiotics has primarily served the domain of film studies. It is important for this study dealing with both the novel and the film texts of *Great Expectations* to marry these different points of departure in order to examine the formation and transformation of identity. A similar basis or view on the semiotics of the novel and film is therefore required. Mihhail Lotman (2002: 513) offers a way to marry these two approaches of semiotics by referring to Saussure's approach as holistic, as it is based on a sign system, while Peirce's approach is more atomistic by nature in focusing on the sign and its different categories. For the purpose of this study, these so-called incompatible approaches will be made compatible by placing the atomistic view of the sign within the holistic framework. Such a combination will provide a broader or more encompassing theoretical "space" to work with that will also allow scope for expanding the latter. Saussure's concept of a system of signs (*langue), parole*, the sign as signifier (*signifiant*) and signified (*signifié*), and the concepts of *syntagmatic* and *paradigmatic* relationships will be used in this study. Peirce's concept of the phaneron will then be linked to Saussure's notion of the *syntagmatic* and *paradigmatic*, while also developing Saussure's sign as signifier (*signifiant*) and signified (*signifié*) to incorporate the interpretant as well as adding Peirce's trichotomy of signs.

An important aspect that must be mentioned here is that both Saussure's and Peirce's work were published posthumously, which emphasises the role of interpretation and reinterpretation and in a sense supports the notion that knowledge, just like identity, is in constant flux – that of becoming. In this thesis the definition of context, influenced by Saussure's and Peirce's semiotics at this point of becoming, can be defined as follows: Context can be described as a bundle of signs (phaneron) formed by the various combinations of the syntagmatic (temporal time) and paradigmatic (spatial space)

relationships of signs. This "semiotic" definition correlates with the definition of context in this study – the relationship between space and time.

However, Saussure and Peirce are not the only scholars who have made an impact on the semiotics of literature (the novel) and film. Other scholars, who have also made major contributions to the study of sign systems and whose work affects this thesis, will also be discussed. Yet, before discussing the various contributions in more detail, it must be pointed out that this study deviates conceptually from a very influential film scholar, Christian Metz (in Mast & Cohen, 1985:164), with regard to the concept of *langue*. He believes that a film can consist of a language without a *langue* (language system/system of signs). Metz (1979:288) contends that: "A cinema is not *a* system, but contains several of them". This thesis propounds the view that the film does consist of a *langue* or system of signs, although this particular system is complex. In principle, there is some agreement with Metz that film does not consist of only one system, but of a system of signs that incorporates many other systems that can be identified in themselves, but it is perceived to be part of the system of signs which governs the film. This view is motivated by Chaudhuri (1986:18-22), a theatre scholar concerned with the semiotics of theatre who sees the theatre system as a "system of systems":

> The theatre presents a whole universe of signs, signs belonging, in other social contexts, to separate semiotic systems. Thus the theatrical semiotic system appears to be a composite, heterogeneous system, made up of several homogeneous subsystems. Theatre semiotics, consequently, must draw on other fields of semiotics (such as linguistics, paralinguistics, kinesics, proxemics, iconology and musicology) and, furthermore, it must study the rules governing the *interaction* of these subsystems in the theatre.

The reason for linking film to theatre is that both mediums share a great many similar characteristics. The film only surpasses theatre in complexity with the addition of the camera and its effects. Therefore, for this thesis the assumption is made that the novel and the film are seen to be organised at every level like a language – that is, a system of signs. The process of transformation with regard to the adaptation of a novel into a film "translates" the written substitute back into the sound image and recreates the visual image of *parole* as well in the mind of the reader. Thus, when looking at the novel and film, the attention will first be drawn to the systems of signs, how they are similar and how they differ.

Jakobson's communication model (Lodge 1988:35) remains a useful point of departure in the analysis of semiotic systems and has influenced many other thinkers. In the first instance an addresser is identified who sends or encodes a message conveying an idea to an addressee who decodes the message. This act of communication requires a certain context, which indicates the relevant circumstances (reference) needed to understand the connotative (subtext) meaning and not only the denotative (dictionary) meaning of the words being used. This code *(langue* or *system of signs)* is familiar or at least partially familiar to both parties. A physical channel and a physiological connection make this contact possible.

These six aspects of communication correspond to the six functions of language, namely the referential, emotive, conative, phatic, metalingual and poetic. The context has a referential function that influences the whole *parole*; the emotive function expresses the addresser's attitude towards his subject matter; the conative function is linked to the addressee and implies his interpretation and decoding of the message; while contact implies the phatic function, which entails checking whether the channel operates well. The metalingual function is determined by the code when the addresser or the addressee checks the code in which they are communicating. The message is associated with the poetic function that focuses on the creation of meaning (Lodge, 1988:38).

To substantiate the notion of context used in this study as well as the communication process that takes place in the novel and film, Jakobson's communication model can be modified by adding Saussure's and Peirce's contributions for both these texts. In the case of the novel, the addresser will change into the author (which includes the narrator and/or implied author and real author) and the addressee into the implied readers. The message will be an interpretation of a text or the novel itself (this implies a real reader). The context refers to the relevant circumstances as a bundle of signs in various combinations of space (paradigmatic level) and time (syntagmatic level) that provides connotative subtext meaning instead of denotative meaning. The code implies the particular system(s) of signs governing the understanding of a novel. The physical channel is the book, which is the connection between the author and the readers.

In the case of the film, the addresser becomes or changes into the film team (including the director and scriptwriter), which includes the author of the novel. The addressee will change into an implied audience. The message will be an interpretation of the visual text or the film itself, while the context will refer to the relevant circumstances as a bundle of signs in various combinations of space and time, providing connotative subtext meaning instead of denotative meaning. The code implies the particular system(s) of signs governing the understanding of a film. The physical channel is the film, which is the connection between the film team under leadership of the director and the film audience.

It becomes clear that the main difference between the novel and the film can be found in the "texts" and that there are more than one code or *langue* present in this communication act. Eco is one of the scholars who recognises that signifiers are subject to the cultural codes through which they are read as signifieds. This correlates with Peirce's idea of the symbol that is culturally bound. According to Trifonas (2003:par. 8) Eco is essentially concerned with sign functions when a certain expression is correlated with a particular context that is culturally created. Eco (1976:297-278) indicates how sign production releases social forces and how these forces as a system of signs become culture, with extra-referential independence.

Roland Barthes's work is of important to this study because of the five major codes he identifies that underscore or mask a complex political and semiotic ideology in "texts". The narrative codes (the first two codes) are the proaieretic (code of actions) and the hermeneutic code. According to him the proaieretic code functions on the syntagmatic level, while the hermeneutic code functions on the paradigmatic level. Whereas the proaieretic code amounts to what is referred to as the story, the interaction of both codes accounts for the plot The other three codes relate to the "contents" which are the cultural code (the way of thinking and talking of cultures to be taken as natural), the semic code of connotations (which deals with the overtones and associations of phenomena) and the symbolic code (the basic assumptions underlying a text) (Barthes, 1990: 19–20).

Tomaselli (1980:8) defines a code as follows: "A basic system of signs employed in a particular medium is called a code". The familiar terms used in film studies to describe the different ways in which a message can be related are codes and sub-codes. Therefore

langue or a system of signs and the term code more or less have the same signification and they will be used interchangeably – with the only distinction that a system must exist in order to have a code (langue is the sign system and parole is a specific manifestation of elements or aspects of that system). Thus, both Eco and Barthes recognise that sign systems relate to and are influenced by culture. Since the novel and the film in a sense represent a story in a culture in a certain system or systems of signs or codes that are familiar or at least partially familiar to both parties, these sign systems must be explored. The novel and the film utilise Barthes's five codes in various ways.

The development of the idea of codes, in particular spatial codes, has led Tchertov (2002:441) to distinguish another form of semiotics called spatial semiosis. Spatial semiosis is based on Lotman's conception of the semiosphere and is seen as different from the temporal semiosis of Saussure. In an attempt to marry theories in connection with film and literature, as well as to find a "semiotic" definition for context that supports this study's overarching idea of context, the concept of spatio-temporal semiotics was created. The temporal aspects of Saussure (the novel) and the spatial aspects of Peirce (the film) are the cornerstones of this spatio-temporal semiotics that will be incorporated in this study. As texts, the novel and the film are concerned with the systems of signs that govern all forms of social and cultural life. Saussure and Peirce shared this commitment in the quest to discover meaning-generating systems. By incorporating both these approaches, Saussure's approach – which is more literature-orientated – and Peirce's approach – which is mostly utilised by film – a better understanding can be obtained when exploring the identity formation and transformation of the novel into the film. Exploring the different systems as well as the codes utilised in the communication processes of the novel and the film, respectively, will help this endeavour.

3.3 Application and Interpretation: The film of *Great Expectations*

As in the novel, the film transformation is analysed according to the same narrative components, but in inverted order. The study will show that economy in the choice of events in the plot as well as being true to the other narrative components constituted the main points of departure in the 1998 film transformation. In addition, it will show that the

thematic concepts identified in the novel are transformed into visual signs in the filmic representation.

The analysis of focalisation and narration in the film transformation stresses the importance of the focalisers and the narrator in the creation of textual identity. The film retains the child, young adult and mature focalisers. The narrator connects the other narrative components, while the interaction between the focalisers confine or bound the perspective or "identity" of the film. The film transformation retains the same narrator as the novel. The mature Finn traces the stages of his development (identity) from innocence to experience. The use of this type of narrator gives the film its "identity" as text on a structural and thematic level. In retaining these structural and thematic choices, the film transformation is closely linked with the novel.

In addition, as a film version of the novel, *Great Expectations* has to represent the main themes by using filmic devices such as camera (perspective – shots, editing), lighting and décor design as well as the groundplan and blocking (theatrical conventions used in film) in order to portray places, situations and characters and indicate reductions in time. These aspects all combine to re-create and emphasise the essential components necessary in the process of the representation of identity formation.

3.3.1 Narrative fiction

The focus in this analysis is on focalisation/visual narratology, as well as on the application and interpretation of narratological components to the visual images (film stills).

The main changes that occur in the transformation process with regard to the story is that it takes place in another time frame, the settings are different, as are the names of some of the characters. The film version is based on Finnegan Bell's life story (see the discussion of the *Bildungsroman*). Finn, as he is called, is a poor boy who lives in a quiet Florida fishing village with his older sister and her boyfriend, Joe. Finn is neglected by his sister and left to his own devices (a different kind of abuse from the novel). However, Joe tries to give Finn love and attention to make up for the "emotional abuse" of his sister.

One day, while he is drawing the sea creatures of the Florida Gulf Coast, an escaped convict, Arthur Lustig, emerges from the water and grabs Finn. He scares Finn into aiding him to escape. Finn wants to tell Joe what has happened to him, but is unable to tell him. Finn brings Lustig food, medicine and a bolt cutter. When a police boat spots Finn's rowboat, they part ways. Although this is an important occurrence in Finn's life that impacts on his identity formation in the film, it is not the only event that makes an impact. When Finn accompanies Joe to do some gardening work at Paradiso Perduto, a crumbling and overgrown mansion, he has his first encounter with Estella, Miss Nora Dinsmoor's niece. This encounter enables Finn to make many regular visits to Paradiso Perduto possible in order to first draw a portrait of Estella and later to serve as a dance partner. Miss Dinsmoor uses Finn as a teaching tool in moulding Estella into an ice princess who breaks men's hearts, a vengeful act which resulted from Miss Dinsmoor's own abandonment at the altar many years ago. His interaction with Miss Dinsmoor and Estella fuels his ambition to change his identity. Estella leaves for Europe and Finn is forced to work on fish charters and to give up his dream.

However, Finn finds out he has a benefactor. He goes to New York to exhibit his work at a gallery. While in New York he meets Estella again. He does nude sketches of her, but she break's his heart by marrying Walter Plane. In the end Miss Dinsmoor comprehends what she has done to Finn and Estella. Finn's encounter with Lustig and the latter's subsequent death make Finn realise that his success is a tragedy for although he has cut himself off from poverty and changed his identity, he has also cut himself off from the love of the people who really matter, people like Joe. His "great expectations" resulted from his compassionate act as a child in helping a convict and not as part of a plan to "uplift" him or make him equal with Estella. At the end of the film, he is reunited with Estella in the ruins of Paradiso Perduto.

3.3.1.1 Focalisation as an aspect of visual narratology

As in the novel, there are three focalisers in the film *Great Expectations.* At first the events are seen through the eyes of Finn, the child. Then the events are seen through the eyes of Finn, the young adult, and lastly the events are seen through the eyes of the more mature Finn. These three points of focalisation have an effect on their perception. In the first instance, the child experiences his world as a frightening place due to his encounter with the convict as well as Miss Dinsmoor. Therefore, from a child's perspective these two characters might appear "bigger" (exaggerated) and more "grotesque" because of the child's limited experience of the world. The young adult sees the world differently from how a child sees it, but the young adult is also limited by his lack of experience. He is also hampered in his perception of the world for he wants to blame others and does not take responsibility for the choices he has made. The mature adult is able to see more clearly and does not blame Miss Dinsmoor for his predicament, but sees that she was blinded by her own misfortunes.

Therefore, focalisation is not just centred around the idea of who sees, but also takes into consideration the relationship between the vision and that which is perceived. Thus, connotations or associations of phenomena come into play. This idea of vision as perception is strongly dependent on the position (place) of the perceived object. A closer examination of the film stills (MOVIEWEB, 1998) of *Great Expectations* becomes necessary in order to utilise Bal's visual narratology, because focalisation is the central concept and lies at the heart of her visual narratology, in which she analyses and interprets images in paintings and in film in terms of who sees (focaliser) and what is seen (focalised object).

The eight-step plan based on Bal's (2001) ideas in *Looking in: the Art of Viewing* is used to illustrate this. These steps will be utilised to analyse and interpret the same encouncter – that of Finn and Lustig – but it will be from two different focalisers, the child Finn (still one) and the adult Finn (still three).

Film still 1: The boy, Finn, and Lustig (MOVIEWEB, 1998).

The elements in this still are first of all, the characters of a boy (Finn) and a man (Lustig) dressed like a convict. In this still, nature is the milieu – the Florida Gulf Coast - and the sea, beach and trees in the background are the material objects. The child, Finn, and Lustig are very close together. According to theatrical convention eye contact is the way that the attention is focused in this still, because Finn looks up at the daunting figure bearing down on him threateningly. In addition, Lustig is in a negative (against the reading convention) and powerful position (higher than Finn), while Finn is in the position of the suppressed. The event of the story mediated here is Finn's first meeting with Lustig, which had a far-reaching effect on/in his life. The fear on the child's face represents his view of the convict so that one could say that in the still the child focalises on the man. But just as important is the rendering of the scene or the communication between film text and audience in which the camera focalises on the child's face to give a clear view of the child's suggested emotion. The film therefore reflects what the novel suggests by trying to represent the novel's information, which is presented as and through the focalisation of the young boy, Pip. Finn's attitude here represents Pip's emotion as explained in his retrospective interpretation in the novel. The only indication that this is Finn's recollection is on account of the voice-over but it is not in the still itself. This type of argument reflects something of the complexity of the attitudes and emotions represented by the visual signs in the film, the more so if, as in this case, these are then interpreted as transformations of the novel or with the novel in mind.

Film still 2: Finn as an adult and an older Lustig (MOVIEWEB, 1998).

In still two an older Lustig and the adult Finn (characters) are identified. They find themselves in Finn's private space – his "home" in New York (milieu). Ironically Lustig provides this place for Finn. So both of them in a sense "own" the space or place they occupy. The idea of lights in darkness in the background may suggest that Finn will not be in the dark anymore about who his benefactor is, but will move into the light of knowledge. Finn, the young adult is the focaliser of this still, while the focalised object is the old man, Lustig. Attention in this still (image) is focused again by the use of eye contact. This time Finn looks Lustig in the eye. Finn is a little taller than Lustig. The contact in this instance is less threatening because their arms link them together. The older Lustig with the beard is presented as a grandfather and therefore shows that Finn does not see him as a physical threat to him anymore. The relationship that is portrayed here shows that Finn is physically stronger than Lustig. It also shows that Finn and Lustig's relationship is on a more equal footing and seems to portray the interaction of a father and a son. The act of seeing revealed in this still depicts an adult's revised vision of a man he once feared. Lustig's face is more clearly visible here than Finn's on account of the play of light on his face. Finn looks at Lustig, revealing happiness and love towards Finn.

Therefore, stills one and two show the essence of the two encounters between Finn and Lustig. Finn "remembers" these events, through the voice-over technique as well as the sound effects, where the music or sound effects mimic the gulls of the gulf. In this instance other filmic devices work together to set up Finn as the focaliser. It seems that the left side of the frame represents the negative or more powerful side in the encounters between Finn and Lustig. In still two the positions are reversed as Finn, the adult focaliser, is in the more

dominant position. However, Finn's childhood fear is still relevant because he does not look down at Lustig as an oppressor would do, but faces him eye to eye. Finn does not take on the role of oppressor, but can stand up for himself by facing his fears. In the first still it is day (light) and in the third still it is night (dark). This also highlights the play between light and darkness in Finn"s life that may allude to the emotional roller coaster that is Finn's life – ecstasy and depression. Although the place (New York instead of the Florida Gulf) and the social environment (Finn is now a "famous artist" – social class) are different, Finn and Lustig in the roles of father and son have not changed. In the first encounter Lustig protects Finn by jumping out of the boat so that Finn would not be caught aiding and abetting a fugitive, while Finn tries to help Lustig escape. In the second encounter it is revealed that Lustig is Finn's benefactor and Finn again tries to help Lustig escape. Although the context, the space and time, have changed, the inner qualities and the father-son relationship remain constant.

These stills then illustrate how Bal's (2001:2) idea about the visual text as mediation can be used: the film is recognised as not only reflecting its context but mediating it, reflecting upon it. The film or stills are understood as not simply passive with regard to the cultural forces that have shaped it/them, but as active – the film produces its own range of social effects, it acts upon its surrounding world, as the interpretation of the stills illustrates. The repeated performances of the interaction between Finn and Lustig change due to the different contexts, but also inherently stays the same. Bal (2001:54) sees the act or event of focalisation as the first interpretation of the "world of action" because focalisation makes the content subjective, as seen through the eyes of the focaliser. Finn as focaliser memorises the way things have been through his subjective eyes and therefore interprets and manipulates the focalised objects in the film. An analysis of these particular film images or stills according to Bal's idea of visual narratology shows that the film analysis supports, correlates, enhances and underlines the aspects highlighted in the formal narratological analysis of the text of *Great Expectations.* The mediated focalisation occurs through the eye of the camera, which represents Finn's interpretation – the way he remembers certain events in his life, as the voice-over technique relates at the beginning of the film.

Although Dickens is the original author of the two texts, the film "author" deviates from that of the novel by including interpretations made by the producer, director, screenwriter and technical teams, which include the set and lighting designers, as well as the actors and those concerned with the "camera" and its effects. It is accepted that a novel involves a single reader at a time, although this is not always the case because books can be read aloud while others may follow by means of silent reading. In essence, words create "images" in the mind that have "inner meaning", whereas film images create "inner meaning" in the mind. Thus, the role of perception plays an important role in the interpretation made by a film audience. Again, a film audience implies more than one viewer, but yet again a film can also be viewed by only one person at a specific time (think of the home video or DVD - in particular).

3.3.1.2 Narration

According to Seymour Chatman's (1990:134) view, the film narrator is a "composite of a large and complex variety of communicating devices" that constitute the notion of the *implied author.* Chatman's (1990:135) complex cinematic narrator narrates through both the auditory and visual *channels.* He identifies the three kinds of auditory channels as voice, noise and music. He also takes into consideration the point of origin of sounds, whether on-screen or off-screen. When looking at the visual channel, two aspects are of importance – the nature (1) and the treatment (2) of the image. Firstly, the nature of the image depends on whether it is an actor, a location or a prop. The actor's contribution to the image depends on his appearance and his performance (this is explored under characterisation). The performance aspect also brings the kinesic channel into play. Secondly, the treatment of the image depends on cinematography that includes lighting, colour, camera and mise-en-scène and editing, while the contribution of the camera consists of aspects such as distance, angle and movement. Editing includes type (fade, straight, etc.) and rhythm. All these aspects or elements tell the story in film on various levels. This form of narration will be illustrated in the discussion of the visual, kinesic and auditory systems. In *Great Expectations*, Finn's memory of his life story is the film itself. The fact that the colour green predominates in the film also highlights the idea that this is Finn's story of personal growth.

Bordwell and Thompson (1993:79) also underline that film narration may also utilise a narrator who is some specific agent purporting to be telling the story. As the film *Great Expectations* is based on a novel, the actual voice-over aspect in the film links the film with the literary narrator, which makes the human agent of narration important in this particular film. Another interesting aspect is the fact that the narrator is also a character who inhabits or is active in the plot itself and who is usually referred to as the first-person narrator. Bruner (in Brockmeier & Carbaugh, 2001:27) calls this form of narration autobiographical, while Johnson (2005:66) sees Finn's drawings as a form of autobiographical narration. As in the novel of *Great Expectations*, the film also adheres to the order of narrating the events that occur in the film text by narrating them only after they have happened (Rimmon-Kenan, 1983:89-90). This type of narration is called ulterior narration. In the film version, the narration starts with the adult Finn referring to the child he has been in the following quotes:

> There either is or is not a way things are. The colour of the day, the way it felt to be a child, the feeling of saltwater on your sunburned legs. Sometimes the water is yellow. Sometimes it is red. What colour it may be in memory depends on the day. I'm not going to tell the story the way that it happened. I'm going to tell it the way I remember it (*researcher's own transcription*: 1998).

> Perhaps you had an experience like that in childhood and told no one. Perhaps you had a touch with the world so large that you seldom or never saw it again (*researcher's own transcription*: 1998).

The next task is to see how the narrator, Finn, adheres to the typology of narrators, which includes the aspects of narrative levels, the extent of participation in the story, the degree of perceptibility and reliability as well as the narrative distance. The highest level of narration is the extradiegetic level. In the film the extradiegetic level constitutes the adult Finn telling us about his childhood. The immediately subordinate level is the diegetic level in terms of the film, just as in the novel *Great Expectations*, which represents Finn's telling through the camera of actual events that lead to his falling in love with Estella. Furthermore, Finn is also a character in the film who participates in the story. This type of narrator is called homodiegetic.

The film text represents Finn: the use of green is emphasised by the rest of the aesthetic representation of the filmic elements. A link is established and maintained by the suggestion that the film is Finn's memory that is supported by the rest of the filmic strategies that are used. He is also perceptible in the representation of setting because the only way he can define himself is to put himself in relation to his environment. The question of the unreliability of the narrator comes to the fore in *Great Expectations*. Finn in a sense resembles a postmodernist narrator who purposely misleads the audience as he has been misled by Miss Dinsmoor. The adult Finn knows that his expectations have been crushed, but does not make this information available to the viewer. However, it can be ascribed to relating his life story as it happened, which reflects the narrator's limited knowledge at that specific time when he experienced the event, and is explained by his personal involvement at the time in the story, which made it difficult to see what he knows now.

This brings us to three types of narrative distance, which are also found in the novel (Lothe, 2000:35-36). The first type is temporal and implies the distance between the act of narration and the events being narrated. In the film the adult Finn is removed in time from the child he was when he encountered the convict, but closer in time to the young man of New York. In the second instance, spatial distance entails the distance between the narrative situation and the place where the events unfold. In the film the physical place is also in a sense removed from the act of telling, because the physical place where Paradiso Perduto used to be, is a ruin at the end of the film and there are plans to develop this site. The last type is attitudinal distance, which involves interpretation and insight link allude to focalisation: The person who sees (Finn the child, young adult and mature adult) and his insight or interpretation of events at a particular time create the distance.

3.3.1.3 Space

Although the places named in the film differ from those in the novel, the discussion below will indicate that the "intimate spaces" (Bachelard, 1964:xxxii), that is, spaces that have meaning ascribed to them, are the same in the film transformation. In the film four places are important. The first is the Florida Gulf Coast, where Finn meets the convict. The

second is the house where he lives with Joe and his sister, the third is Paradiso Perduto, where he meets Estella and Miss Dinsmoor, and the fourth is the city of New York.

The panoramic view of this section of the coastline underlines the immensity and vastness of the ocean. The seagulls and other creatures of the sea feature prominently in this place or space. The greyish clouds are reflected in the clear seawater. Finn, the gulls and the white breakers in the background are apparently the only creatures disturbing its stillness. It seems to be low tide, while the predominant colour seems to be a greyish sea green. This presentation of the Florida Gulf Coast correlates with Bachelard's (1964: xxxv, 211, 215) second section of dimensions that claim that the size of our external world is not related to an object but more to our perception of it, as well as the third section of dimensions that highlight the dialectic between within and without.

Finn's outside world is a reflection of his inner world. In the first instance the immensity or vastness of the ocean is indicated in order to reflect Finn's perception of his relationship with nature as awe-inspiring. It also indicates the vastness and immensity of the potential that is Finn. Finn's perception of the "identity of things" is coloured by the perception and interpretation of a child who is physically smaller than the vastness of his environment. The first important place in the film is the part of the Florida Gulf Coast that Finn frequents with his boat in order to find objects to draw. A closer analysis of the presentation and representation of this place and Finn's relationship to it, provides important information about the character. According to Johnson (2005:66 &67), Finn's drawings "provide a tangible and visible representation of Finn's interiority and a means of communicating his emotional life, which reinforces the illusion that we share his consciousness".

The second place of importance is Finn's first home, the dilapidated house in the fishing village. The exterior of the house is a combination of grey and dark green. The railings of the stairs that lead to the kitchen door as well as the windowpanes are a dark shade of green. "Joe Coleman – Handyman" is written in green on one side of the house. The kitchen door is dark green, while a chair in the background is a more brilliant green. The cupboards in the kitchen are also green – a lighter olive green. The sitting room has a greenish rug, green chairs and a television set. Joe and Maggie's bedcover as well as Finn's bedcover are green or predominantly green. In the dining room there is a green

tablecloth on the table and dilapidated blinds with a wind chime in the window. The interior of the house reflects poverty. This house is the first intimate space that reflects Finn's identity (Bachelard, 1964: xxxiii). The indication that the house is made of wood and not of bricks shows that it is not a safe haven that will function as a shell to protect Finn. There is also an indication of conflict in this house between Joe and Maggie due to her aspirations for a better life. Ironically, Finn blames her for leaving Joe for a better life, but he also leaves Joe for a better life and then becomes ashamed of Joe. The poverty reflected by the house shows the inner challenges Finn will face to make his dream of loving Estella come true.

The next important place is Paradiso Perduto. It is an overgrown, dilapidated, decaying and crumbling mansion with remnants of a wedding reception in the garden. Green again dominates the scene – green plants, green weeds and greyish statues. There is a capital N on the doorbell. Here again the interior of the house is also mostly painted in green, for there are green walls (dark green wall panels), green floors and rugs, a light olive green chair, green curtains, green wallpaper, a green lamp, a green bird (parrot) and a greenish water fountain. Various shades of green then constitute the interior of the faded mansion. Paradiso Perduto is a place that is decaying because it is overgrown with weeds and plants. The child Finn finds the garden a magical (lost) paradise to which the name of the mansion ironically alludes. It is an enchanted place full of wonderful creatures. In contrast to the garden, the mansion itself is imposing, in particular Miss Dinsmoor's room that smells like "dead flowers and cat piss" (*researcher's own transcription*: 1998). Her room is without sunlight; it is only lit by a lamp – an artificial light, which might denote that Finn's great expectations are only artificial and never real. Miss Dinsmoor's room creates the whole idea of gothic, eerie darkness and decay. It reflects or foreshadows what will happen to Finn if he pursues his dream. He becomes dark and depressed and morally decayed, as his encounter with Joe in New York illustrates.

The next place of importance is New York. Finn arrives in New York on a dark, rainy night after travelling on the subway – the underground train with artificial light. New York is bathed in artificial light. As Finn steps into the New York streets for the first time, a man swearing at him captures the dirtiness/harshness of New York. His hotel room is claustrophobic and small. Central Park is his only escape from the city to reconnect with

nature and life. Finn experiences the negative side of New York at night with rain and the positive side of New York (the park) during the day with the sun shining. His new spacious apartment/studio is also mostly green with half-moon shaped windows. New York, in contrast with the immensity and horizontal aspect of the Florida Gulf Coast, is seen as narrow and crooked. New York is also seen as ugly and dirty, except for the park – his sanctuary and escape. This indicates how Finn's outside world reflects his inner world that is becoming narrow, crooked, ugly and dirty. His pride and judgment of others, by looking down on people of lesser class (his previous class) in his attempt to evolve or to progress, comes to the fore in his encounter with Joe.

The idea that events have come full circle is entertained at the end of *Great Expectations*, because there is an allusion to roundness. The reference to roundness and completeness occurs when Finn takes Estella's hand. It indicates that Finn and Estella have found themselves away from one another and have found or have become "complete" in order to relate to one another on a positive level of being. This correlates with Bachelard's (1964:234) idea of roundness as completeness, as has been pointed out both in chapter two and here in chapter three. Another image underlining this assumption is the fact that Finn and Estella are mainly dressed in white or beige and not green any more. The image of the blinding sunlight that is reflected on the water also underlines this idea that they have come into the light of understanding and becoming.

The film also illustrates how external contexts and conditions as reflected in the Florida Gulf Coast, Joe's house, Paradiso Perduto and New York, can represent internal moods or ideas. The movement from open (the gulf coast) to enclosed spaces, such as in Joe's house, Paradiso Perduto and New York (the city) emphasises the interconnectedness of places and/or spaces. It seems that these four specific places are related or confined to certain social environments of status and class. The Florida Gulf Coast is the place selected for meeting the convict, the lowest of the class structure (and also relates to water, an important image in the novel); Joe's house is the place representing the poor working class; while Paradiso Perduto represents the rich middle classes; and New York represents the place of evolving or progressing into an artist and becoming part of the social elite. These places play an important role in representing Finn's growth from the "outside" point of view of a child to the self-awareness and inner conviction of the mature

Finn. Consequently, there is a definite movement from outer to inner spaces in the choice of places. The symbolic meanings of roundness and completeness are thus exploited in numerous ways in the representation of space in the film *Great Expectations*.

Although these places, as intimate spaces, play an important role in Finn's development and identity formation, they can also be linked to the identity formation of other characters. As in the novel, certain places highlight the identity of certain characters. It is most obvious how Paradiso Perduto reflects Miss Dinsmoor's broken chaotic state, in the same way that Satis House reflects the mental, emotional and psychological state of her novel counterpart, Miss Havisham.

In the film, transformation, place and physical locations effect change. Finn, with his endless potential on the Florida Gulf Coast, is moved into a certain direction by the poverty of Joe's house and his sister's dream of finding a better life. His contact with Paradiso Perduto moves and fuels his desire to scale the social ladder to be able to move in Estella's social circle, and motivates him to go to New York to become an artist. After his traumatic experiences in New York, he is propelled to Europe – to Paris, the city of light. Paris (where he is enlightened) then allows him to return to the Florida Gulf Coast, Joe's house and Paradiso Perduto. The physical locations in the film, although indicated by different places in the novel, also represent certain classes in society and therefore trace Finn's evolution or progress through the social environment of the class system. As stated in chapter three, the movement from one class to the other is the result of causality, where one action follows the other out of necessity. Therefore causality implies change, which is seen as one of the most important aspects of the plot, effecting intentional and forward movement.

Finn undergoes a reversal of fortune, which is a change from one state of affairs to its opposite, and discovery, which is a change from ignorance to knowledge. This happens when his mysterious benefactor changes his financial status by providing him with "great expectations". When his true benefactor is revealed, he again goes through a reversal of fortune, because his "great expectations" have been crushed. These reversals of fortune then lead Finn to become mature when his ignorance and naïveté are changed into knowledge and insight.

As in the novel, this type of plot that focuses on the choices a character makes is called a maturing plot. Although things happen to Finn - he has no control over such things as coming into contact with Miss Dinsmoor, Estella and the Lustig – he still has to make the choice, the radical decision, whether he will give in to their influence, or ignore it.

The hidden and secretive plan (Brooks, 1984:11) in the film functions the same way as in the novel, that is, on two levels. First of all, there is the actual complot, the secretive plan in the film itself, and then there is the secretive plan as manifested by the *implied author.* The secret plan or complot in *Great Expectations*, the idea that is the driving force behind the plot, is the experiment to take a child belonging to the lower classes and to manipulate evolution or progress so that he moves up into the middle classes. As the film comes to a close, it becomes apparent that outside forces have manipulated Finn. Finn is manipulated by Lustig to become a gentleman. Estella is also manipulated, namely by Miss Dinsmoor, to break men's hearts. Both Lustig and Miss Dinsmoor succeeded in their secret plan, although Miss Dinsmoor's plan was somewhat less secretive and more overt.

The second level of the secretive plan of the film is the aesthetic design as the mechanism that determines the representation of meaning. This can be seen as the silent role of the so-called implied author, the invisible hand/mind that structures and makes choices in the text.

The analysis shows that although the film transformation uses different physical locations, the meanings assigned to spaces, that is, the perception of the places and what these places represent, are exactly the same. The places in the film fulfil the same role as the places in the novel in the identity formation of the characters.

3.3.1.4 Characters

This section discusses the agents or characters present in the film's narrative space and time. As in the novel, characters in the film are restricted/bound entities that develop within a certain matrix. Economy is again the key word in transforming the characters of the novel into the film.

As this study highlights the importance of actions in the world of action, as pointed out in the previous chapter, Propp (1968 (originally published in Russian in 1928)) is used as point of departure. He sees characters in relation to and confined by the functions they perform. The film transformation retains the seven basic character types or roles of the *dramatis personae* as follows: the hero (seeker or victim), princess (and father), donor/provider, helper, villain, false hero and dispatcher (Propp, 1968:79-80). In *Great Expectations*, Finn can be seen as the hero who receives good fortune, which changes his life, he is misled to believe that his fortune comes from a certain source, and in the end finds out who his real benefactor is. In this process, he longs to win the heroine, Estella, but he loses her, only to be reconciled with her in the end. These events influence his identity.

As in the novel, Finn represents mutable identity, as the following quote from the film illustrates: "I invented myself" (*researcher's own transcription*: 1998). Estella functions as the princess and love interest of the hero. In a sense, Estella is also a reflection of Finn, as a manipulated person. She also functions as an opposite pole in identity formation, in that her identity is fixed as the following quotation reveals: "We are who we are. People don't change (*researcher's own transcription*: 1998)." In *Great Expectations* there are two types of donors in connection with Finn, his true donor, Lustig, and his false donor, Miss Dinsmoor. Miss Dinsmoor is problematic, because she could also be perceived to function as a villain who deceives Finn into believing that she is helping him so that he can marry Estella in the end. There are a few characters who function as helpers: Joe, the gallery owner, the journalist, some of Estella's friends and the lawyer, Jerry Ragno (spider). In spite of the fact that Miss Dinsmoor can be seen as the true villain, Walter also functions as a villain from Finn's perspective. Jerry Ragno, whose surname means spider in Italian, also functions as the dispatcher who delivers the message of Finn's "great expectations". The film transformation keeps the functions of the characters the same as in the novel.

However, the film changes the names of some of the characters. This brings us to the names or surnames of the characters and the possible meanings alluded to in the names chosen for the characters. Due to the fact that some of the names have been changed, it is important to see whether these names correlate in some way with the names in the novel. Firstly, the hero Finn's name alludes to the part of a fish that propels it forward.

Therefore it seems that the idea of movement from innocence to maturity is alluded to in the name of the hero. Secondly, the name of Finn's love interest is the same as in the novel and alludes to the idea that she is estranged from love by Miss Dinsmoor in an effort to punish the man who had hurt the latter. To protect Estella from the same fate, she inevitably leads Estella to live the life she is living – one without love. As in the novel, Estella's name alludes to a star that is out of Finn's reach. Thirdly, the name Lustig can allude to lustre, which gives Finn a shining surface of a life by being his benefactor. His name can also allude to lust, hinting at his desire to reward the young boy who helped him. The German association of Lustig alludes to the dynamic role he plays in Finn's life (the person responsible for Finn's great expectations).

The name of Miss Dinsmoor, the false donor and the real villain in *Great Expectations*, associates her with meaningless, loud and confused noise (as a noun), while as a verb it alludes to the idea of forcing knowledge into a person by repetition, such as her repetitive drumming into Estella that she must break men's hearts. The next name, Joe, is the same as in the novel because it alludes to joy, a feeling of contentment, and in a sense suggests the inner peace of the ordinary man who has accepted who he is as well as his station in life. Finally, the surname of Jerry Ragno means spider in Italian. Despite the fact that his true nature is not exploited in the film, Finn alludes to it when he points out that his surname means spider (this bit of information he got from Miss Dinsmoor). This is in contrast with the novel, for in the novel Jaggers is the one who gives Drummle the name spider. So the idea that Finn will be trapped by a spider is also intimated.

By manipulating information in the text, characters become complex textual constructs conveying meaning (Lothe: 2000:81-84). The two kinds of character representations are direct definition and indirect presentation.

Direct definition entails that a direct summary or description of the character is given in the text. It should be noted that Finn as character is relating the description of the characters, which makes his description biased because the "definition" of the characters is given through his eyes (focalisation). Finn, the hero, like Pip, can also not describe himself directly, but can only do so in relation to others and to the physical place or space he occupies. The only direct definitions that are found in the film *Great Expectations* are those

of Miss Dinsmoor, Joe and Estella. Miss Dinsmoor's description is given as follows: "Old Miss Dinsmoor had not been seen in years. I'd heard that she was crazy, but nobody knew how crazy. Her room smelt of dead flowers and cat piss (*researcher's own transcription*: 1998)." Estella's description is given as follows: "I think she's a snob, I think she is real pretty, I think she doesn't like me", while Joe's description is given as follows: "Joe was Maggie's man – Joe raised me" (*researcher's own transcription*: 1998). Although the words that describe the characters are not exactly the same as in the novel, the more contemporary language boils down to the same meaning. The appearance of characters which, in the film, definitely can be part of direct characterisation will be discussed as part of direct presentation.

Indirect presentation occurs when a certain character feature is demonstrated, dramatised or exemplified. This is mainly how characters are presented in film. There are many variants in which indirect presentation can be found in the film. Firstly, presentation can be given either by a single action or by repetitive actions. It is not the aim of the study to analyse all the possible actions and their meanings, but rather to focus on "major" actions that impact on the characters' lives and reveal noteworthy aspects of their personalities/character. The actions of Finn, the hero of the film of *Great Expectations,* will first come under scrutiny. As a child Finn shows compassion by helping the convict, Lustig, by "stealing" food and medicine for him and providing him with a bolt cutter. In his first encounter with Miss Dinsmoor he shows courage by not crying out in horror when he meets her. Although Estella treats him badly, he never does anything to hurt her in retaliation – he treats her as if she is on a pedestal, there for him to admire. In New York, the new "gentleman" Finn treats Joe badly when Joe comes to visit him on the night of his art "show". Although Finn also treats his true benefactor with fear and disgust at first, later he treats him with the respect he deserves. Finn tells Miss Dinsmoor that he knows how she feels because he too now has a broken heart indirectly because of her. His action of returning to Joe and the Florida Gulf shows that he has accepted who he is and where he has come from.

Estella shows her cold nature at the beginning of the novel in the cold and calculated way she treats Finn when he visits Paradiso Perduto. The way she enjoys manipulating Finn is

shown when she kisses him at various water fountains. A very important aspect is that she does not want to entrap Finn the way she entraps other men. Although she cannot show love or affection the way Finn wants her to show him, this one act shows us that she loves Finn and does not want him to be ensnared in the trap Miss Dinsmoor has trained her to become. This act also foreshadows that she will one day be able to love, despite Miss Dinsmoor's indoctrination.

Lustig, the hungry convict, at first acts fiercely by shouting at Finn, but the fact that he looks after Finn financially reveals another side of him. His money enables Finn to become a gentleman and shows a kinder, more loving side of the convict. The fact that he will risk his life to see the gentleman he has "made" resembles the love of a father.

Miss Dinsmoor shows that she is selfish and uncaring in an obsessive way because she only focuses on her grief, forgetting the grief she will cause Finn. She later realises her mistake after Finn tells her that his heart is broken and she cries out: "What have I done?" (*researcher's own transcription*: 1998). She brings up Estella not to love anyone and to break all men's hearts. She plays with Estella's life as well as with Finn's when she does nothing to dispel his belief that she is his mysterious benefactor and that she wants him to marry Estella.

Joe, on the other hand, shows his kindness and selflessness by the fact that he tries to protect Finn. By forgiving Finn, Joe sets the example for Finn to forgive Miss Dinsmoor for what she has done to him. Jerry's actions are only related with regard to relaying messages and providing the financial support for his client by making Finn aware of his "great expectations". The examples above illustrate that the film transformation retains the actions of the characters in the novel as part of their characterisation.

The second aspect of indirect presentation is what a character says or thinks. What other characters say about a character can also reveal much about such a character. However, in the film what characters say and what they think are either revealed in facial expression, actions (as shown above) or in voice-over. As a character and the narrator of the novel,

Finn in particular reveals a lot about himself in the narration (voice-over). The way Finn speaks and his vocabulary give away his social station in life. This point is exploited when Miss Dinsmoor imitates his accent when she says, "I can't, sorry mam" (*researcher's own transcription*: 1998). Finn's thoughts are revealed when he reflects on the memorable meeting with Miss Dinsmoor and Estella that changed the direction of his whole life when he reminisces:

> The ways of the rich and all my longing, which began that day – to paint for the rich, to have their freedom, to love Estella. The things we cannot have (*researcher's own transcription*: 1998).

The most influential comment that characterises Finn's social standing is when Estella, with her intonation, refers to the fact that she does not think a garden boy can paint her portrait. This comment makes him determined to show her that his talent is real and to reinvent himself. Miss Dinsmoor also underlines his fatal love for Estella by saying,

> She'll only break your heart, it's a fact. And even though I warn you, even though I guarantee you that the girl will only hurt you terribly, you'll still pursue her. Ain't love grand? (*researcher's own transcription*: 1998).

Miss Dinsmoor likens the frightened child, Finn, to a mouse when she says later before Finn goes to New York, "Another door opens. What will our mouse do?" (*researcher's own transcription*: 1998). In contrast with the mouse image of Finn, Lustig says that Finn is "a good hearted little kid" (*researcher's own transcription*: 1998). The way Estella speaks to Finn when she shows him the house indicates that she thinks she is superior to him. The most influential comment indicating Miss Dinsmoor's influence on Estella's character is when Miss Dinsmoor says, "Estella will make men weep" (*researcher's own transcription*: 1998). Estella gives a striking characterisation of herself as follows:

> Let's say there was a little girl, and from the time she could understand, she was taught to fear... let's say she was taught to fear daylight. She was taught that it was her enemy, that it would hurt her. And then one sunny day you ask her to go outside to play and she won't. You can't be angry at her, can you? .... We are who we are. People don't change (*researcher's own transcription*: 1998).

Lustig's speech and tone of voice also indicate that he is of the lower classes. His true character is revealed at the end of the film when he says "One good thing... I set you up...I bought that show...you are a great artist" (*researcher's own transcription*: 1998).

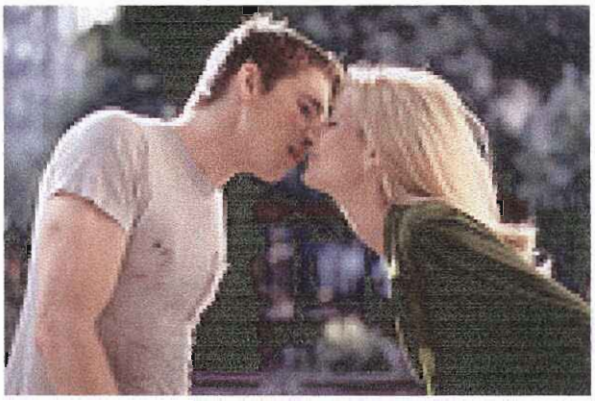
Joe's character is shown in the way he talks, his accent indicates that he is of the lower classes. Joe's caring nature is indicated when Finn says "Joe raised me" (*researcher's own transcription*: 1998).

Jerry Ragno, the spider, is not so much characterised by what he says for he usually only dispatches information in the film. His accent in a sense gives away his mob connection. Although the film transformation uses more contemporary language, the words that the characters say about themselves and others correlate with the words in the novel.

In the film the third aspect of characterisation is that of external appearances. Characterisation of characters and their physical appearances in film are usually seen in relation to other characters, that is, how the character differs from other characters (the way their identities are revealed). In order to analyse this aspect, film stills (MOVIEWEB, 1998) must be studied closely.

Film still 3: The boy, Finn, and Miss Dinsmoor (MOVIEWEB, 1998).

Here the young Finn is scrubbed clean and smells of soap as his sister tells him before he enters Paradiso Perduto. Again he looks up at a scary adult, this time the crazy Miss Dinsmoor. His shoulders are hunched forward to indicate that he is subconsciously protecting his own heart. It also shows that he is shy and not over-confident. This time his hair is combed, which shows that he tries to be presentable to the rich.



Film still 4: Estella and Finn (MOVIEWEB, 1998)

Finn's love interest, Estella, is pictured here where they meet again in the park in New York. She is again the dominant partner, surprising Finn with a kiss when he drinks from the water fountain. She has long blond hair and wears a green outfit. Her teasing and flirting nature is revealed in her actions after this still, when she walks away with swaying hips and also reveals her belly.

Film still 5: Miss Dinsmoor (MOVIEWEB, 1998).

Miss Dinsmoor's external appearance resembles her inner predicament. She wants time to stand still and wears the makeup and clothes of a bygone era. The cigarette in the long

cigarette holder is an example of this. Her make-up belongs to the past as do her clothes. It seems that she uses the make-up as a mask to protect herself from the outside world and men in particular. It is as if she subconsciously wants to scare men away so that they cannot come too close to hurt her again. She lives in her own fantasy world, where she dances and relives her youth. In still two she introduces Finn into her world as a teaching tool so that Estella can avenge Miss Dinsmoor by breaking men's hearts.

Film still 6: Joe and Finn (MOVIEWEB, 1998).

In this still the "reinvented" Finn makes Joe feel out of place. Finn sees himself as better than Joe. This is visually emphasised by placing Finn on the stairs (higher than Joe) and Joe on the pavement (lower than Finn). The clothes these two men wear also emphasise the social class differences. Joe's clothes are out of place in relation to the other characters and make him stand out as belonging to the lower classes. The suit is old and the bright bottle green frills on his shirt and the tie show the lack of fashion sense of which the upper classes are conscious. The fact that Joe would wear these uncomfortable clothes to try and fit in underlines/emphasises his love for Finn. When he realises that he is embarrassing Finn, he leaves the party, which again underlines his love for Finn.

Lustig's physical appearance in still one is dramatically different from still three. In still one, he is young and physically strong, while in still three he is old and physically weak. He even fumbles and lets his gun fall on the ground in this scene when he meets the gentleman he has created with the money he provided for Finn. In still one, his hair is very short and he has no beard and looks like a convict. In still three, he has long hair and a

beard resembling a grandfather, or rather, "Father Christmas". This physical characterisation emphasises the character function of donor that Lustig has in the film.

Jerry the lawyer's physical appearance is not very revealing. However, the faint hint of flamboyance in his attire, suggests his connection to the mob. The film transformation once again aims at making the physical appearance of the characters correlate with the novel, and again the correlation is not literal, but more on a figurative level. For example, Miss Dinsmoor and Lustig terrify Finn in the same way that Miss Havisham and Magwith terrify Pip.

Although the film transformation changes the names of the characters, the characters remain true to the novel's original conception of them. One of the reasons could be that the characters have the same functions in the novel as they have in the film. The different names used in the film "imply" the same associations that the names have in the novel, but they often have some added meaning here and there to clarify their meaning, owing to the film's use of "theatrical economy". Another reason is that the characters are represented in much the same way through direct definition and indirect presentation, as illustrated in this section. In the transformation process, the film uses equivalent ways to bring the same basic ideas of the characters to the fore.

On a different level, focusing on the idea of identity formation within the text, the functions of the characters in the film are directly or indirectly linked to the role they play in Finn's identity formation. The most predominant of these functions refers to the interrelationship between Finn, the central character and Estella. Finn represents the view that identity can be formed or changed as he tries to change himself to be able to marry Estella. Estella represents the opposite view of identity formation: she believes that identity cannot be changed. Finn summarises Estella's influence on his identity and its formation as follows:

> Don't you understand, that everything I do, I do it for you? Anything, that might be special in me, is you (*researcher's own transcription*: 1998).

All the other characters in the film as elaborated on in the analysis of the novel, contribute to Finn's identity formation. The different identities of the characters in the film are used, as in the novel, to form a tableau of wide-ranging possible forms of identities that contrast with

Finn, the main or central character. Thus, the characterisation techniques of direct definition and indirect presentation as well as character functions give the film its identity.

Although all other characters are linked or connected to Finn in some way, they are also connected to one another. However, due to economy, the intricate and surprising connections that are found in the novel are omitted. Instead, the focus is placed on the interconnections between Finn, Estella, Lustig, Miss Dinsmoor and Joe.

Furthermore, the investigation of the characters in the plot shows that characters are confined entities with certain functions in the film. The film transformation places more emphasis on the interconnectedness of the main characters. The characters in the film impact, influence and project or reflect one another. The interaction of the characters with one another may or may not change the identities of these bound entities within certain confined matrices.

The aspect of characterisation that focuses on the influence of the milieu or external surroundings is addressed later in the chapter under space. However, the stills illustrate some of these important points. For instance, the play between darkness and light represents Finn's inner states: Finn's fear is represented by darkness when he meets Miss Dinsmoor for the first time, when Estella announces her marriage and on seeing Lustig again, and is projected in his fear that Joe will destroy the new image he has created for himself in New York.

3.3.1.5 Temporal relations

Time in film narrative constitutes an important aspect in the plot of the film. In order to trace the transformation of time in this study, aspects pointed out in the analysis of the novel in regard to Augustine's (experienced or lived time) and Aristotle's (chronological time) ideas of time will be used as point of departure (Ricoeur, 1990:17). As in the novel, there is an interplay between experienced or lived time and chronological time, because a certain memorable moment sets in motion certain interconnected events that are bound together. In the film, Finn's encounters with Lustig, Estella and Miss Dinsmoor are

interconnected and influence the rest of his life and identity, while excluding other options or chains of events.

Although a chain of events flows from certain memorable moment(s), the focus of the film is primarily on lived time. Augustine's idea of lived time has also been explored by film scholars such as Zettl (1973:257) who emphasises the idea that memory constitutes a person's experience of time – the now, the now past and the now to come. In the film, lived time comes to the fore when Finn states the following at the beginning of the film:

> I'm not going to tell the story the way that it happened. I'm going to tell it the way I remember it (*researcher's own transcription*: 1998).

In contrast with the novel that focuses on memorable moments that set in motion chains of gold or thorns, the whole film is seen as a memory where recollection "depends on the day" (*researcher's own transcription*: 1998). As in the novel with Pip as protagonist, there are two memorable moments in his childhood that impact on Finn's life. The first is his encounter with Lustig and the second his encounter with Estella and Miss Dinsmoor. According to Johnson (2005:67) Lustig first appears "underwater as a blur of colour that slowly takes form as he rises to the surface of the ocean – and bursts violently into view and into Finn's life." The sound of screeching seagulls animates this encounter that is intensified by the fact that Finn is grabbed and Lustig places his hand on Finn's mouth, demanding from him to whisper his name, his identity. Lustig invades Finn's interpersonal space. He demands from the frightened Finn to state his identity. Lustig also confines Finn's freedom of movement by grabbing him. This encounter is Finn's first link or connection with someone who will have an effect on his life – a convict. (It evokes a similar feeling to the exposition of the novel, when Magwitch erupts into Pip's world and literally turns him upside down.)

Finn's first encounter with Estella when she appears as if by magic in the garden as well as his first encounter with the "cocktail-swilling, dancing and wise-cracking" Miss Dinsmoor, echoes his first encounter with Lustig, where he has to state his identity again (Johnson, 2005:68). His encounters with Lustig and Miss Dinsmoor are similar for he is frightened in both instances and has to look up at them. In both incidents the experience is intensified by the use of camera angles to depict the grown-ups as frightening and even grotesque. Miss

Dinsmoor also invades his personal space and confines his movement when she grabs him to dance with her to the tune of "Besame Mucho". This physical embrace/confinement foreshadows the restrictive influence she and Lustig are going to have on his life. The similarities between Lustig, Estella and Miss Dinsmoor in these memorable moments emphasise the interconnectedness and entanglement these characters experience in the film. The film recognises the tremendous influence of both these events on Finn in putting in place the first links of the chain of events to follow. That is why, just after Finn's encounter with Lustig and just before his encounter with Estella and Miss Dinsmoor, the film connects these memorable moments with the following voice-over narration:

> Perhaps you had an experience like that in childhood and told no one. Perhaps you had a touch with the world so large that you seldom or never saw it again (*researcher's own transcription*: 1998).

Although the film as a whole can be seen as a memory, there are moments in the film when it seems as if time stops for Finn. A memorable moment when time seems to stop is a descriptive pause, because it comes down to the fact that film space is elaborated without keeping up the tempo of narration. In the film as well as in the novel, the most memorable descriptive pause is Finn's observation of the remnants of Miss Dinsmoor's wedding reception in the garden. It seems as if time is of no importance in this magical and enchanted world. Finn's encounter with this place appears to have a magical reality for him, making it possible for him to believe that by the magic of this place and the beings who inhabit this space he can change his identity. Here Finn zooms in on or observes his environment intensely. The film transforms the "wedding" room of the novel and moves the remnants of the wedding reception to the garden. In doing this, the film focuses on the idea of paradise lost – a fallen Eden.

This correlates with what Fischler (1997:par. 1) says when he connects the garden to the sacred space in Christian mythology where "the birth of the race into innocence and the fall of the race into sin – are located in the garden." Paradiso Perduto is where decay and growth occur at the same time. In contrast with the novel, which only focuses on decay when describing the wedding room, the overgrown plants in the film also suggests growth. The film alludes to the idea that there is a connection between opposites and that identity is mutable. The climax in the visual clues occurs when Finn faces the audience, looking down at the figurines of bride and groom. He then relates the fact that this overgrown garden is

the result of Miss Dinsmoor's being jilted at the altar. This event has changed Eden into a paradise lost (Johnson, 2005: 67). It is a confined world that also reflects the chaotic inner state of Miss Dinsmoor. However, this magical world or paradise mesmerises Finn and leads him to think that Miss Dinsmoor is his magic witch who provides him with his "great expectations" and has plans for him to marry Estella. His contact with the strange world of Miss Dinsmoor, as represented by the remnants of the wedding reception in the garden, creates in Finn the obsession to paint for the rich and to change his identity in order to be acceptable to them.

In the film (*Great Expectations)* the technique of ellipsis and summary are used specifically to indicate that Finn visited Paradiso Perduto every Saturday for years. The dancing young adults, Finn and Estella, replace the dancing children, Finn and Estella. This transition is accomplished through a dissolve (Johnson, 2005:69). The space or place is exactly the same, it is only Finn and Estella who have changed. This is done to indicate that time has elapsed for them. It also focuses the attention on the film's emphasis – the growth or identity formation of the two. In addition, this dance scene highlights the interconnectedness between Finn and Estella in the development of their identities within the confinement of Paradiso Perduto.

Frequency indicates the repetition of the telling of a single story incident. In the film frequency is found in the telling of the single story incident that Miss Dinsmoor was jilted years ago. The adult Finn firstly relates this during a voice-over when he stands in front of the figurines of the bride and groom in the garden at Paradiso Perduto: "Nora Driggers Dinsmoor, the richest lady in the Gulf, who lost her mind thirty years ago when her fiancé left her standing at the altar" (*researcher's own transcription*: 1998). This is repeated when Finn goes to see Estella and she has gone abroad, when Miss Dinsmoor again recounts that she was jilted:

> Twenty-six years ago I trusted, I saved myself, I was a virgin. It's funny. Uh...those were the times – that's how I was raised. Uh... What kind of creature takes such a gift, a trust? Who does this? Takes advantage of a forty-two year old woman? What kind of creature leaves this women waiting like a fool? A man, a man does this – so man must pay... Estella will make men weep (*researcher's own transcription*: 1998).

The repetition of Miss Dinsmoor's tragedy shows that this event or memorable moment in her life has set in motion a chain of events that influenced not only herself and her identity, but also the identity of the people she has come into contact with such as Finn and Estella. This event of the past compels Miss Dinsmoor to behave in a certain manner and also confines Finn and Estella's actions. Miss Dinsmoor, Finn and Estella are interconnected, as Miss Dinsmoor is rejected by her fiancé, so Estella rejects Finn due to Miss Dinsmoor's indoctrination of Estella to break men's hearts.

The repetition of the reference to a broken heart is also found in the film. It is first mentioned when Miss Dinsmoor puts Finn's hand on her heart and tells him that her heart is broken:

> Give me your hand. What is this?
> Your, your boob?
> My heart, it's my heart ... it is broken. Can you tell?
> (*researcher's own transcription*: 1998).

The next is when Finn asks Miss Dinsmoor the same question and indicates that his heart has been broken too.

> Give me your hand. What is this? It is my heart and it is broken. Do you feel that?
> (*researcher's own transcription*: 1998).

The repetition of the action associated with the heart is a dramatic way to convey that Finn finds himself in the same position as Miss Dinsmoor. This action makes her comprehend the consequences of her actions. It is ironic that Miss Dinsmoor and Finn share the same fate/identity; being heart-broken after having been rejected by a person that they loved. They are interconnected and bound by the same pain and suffering.

There is also the exact repetition of adult Finn sitting where the child Finn sat with the beetle on his finger. This repetition of actions at the beginning and end of the film is to indicate the differences and similarities in the identity of the child and the adult Finn. Finn has matured and developed, but the same things such as the beetle and Estella interest him. He is still bound to his personal history and the events that transpired at Paradiso Perduto. Once again, the interconnectedness between Finn and Estella is highlighted by this repetition.

Another repetition occurs with the kiss that Estella gives Finn. As a child she kisses him when he drinks water from the water fountain in Miss Dinsmoor's house. This exact action is repeated in New York in the park when Finn drinks from a water fountain. The repetition of the kiss highlights the manipulative power Estella has over Finn and on his identity formation. Once again, although in an altered space such as New York, she captivates Finn and mesmerises him, as in the confined space of Paradiso Perduto. The kiss physically demonstrates Finn and Estella's connection. In film, where economy is of paramount importance, the repetition of certain actions or references is given additional relevance. These actions or references may indicate focus, show irony, reveal a "hidden" meaning or show development.

Another example of Finn who experiences time in relation to events that have made a tremendous impact on him, his identity and his memory of them, is found in the scene where the story and the film duration are considered identical. This usually happens when characters are in dialogue with one another. Although the mimetic nature of the film is emphasised by this portrayal of time, the ending of the film serves as an example of this. The film parallels the novel's second (accepted/published) ending but in slightly different language:

ESTELLA: So you're doing great. I hear all about you.

FINN: I'm doing all right.

ESTELLA: Yeah. Things have been different. For me. For a long time I kept –

FINN: What?

ESTELLA: I think about you. A lot lately.

FINN: I'm glad.

ESTELLA: Can you ever forgive me?

FINN: Don't you know me at all? (*researcher's own transcription*: 1998).

Although the film keeps the dialogue nearly the same, there are other deviations from the novel's second (accepted) ending. In the film, the adult Finn returns to Paradiso Perduto, where he repeats the act of looking at the beetle and then re-experiences his initial

encounter with Estella, when he sees Estella's little girl stepping out of the overgrowth and leading him to her mother. Estella is silhouetted against the sun and when she moves her head, the screen goes almost completely white and her image momentarily disappears. The film inverts the first ending of the novel by introducing a little Estella instead of a little Pip (as in the novel) or Finn. Despite the fact that the film also concludes by showing Finn and Estella holding hands while watching the sunset (not the moon), Finn's words again allude to the idea that the whole film represents his memory, as the following voice-over indicates:

> She did know me. And I knew her. I always had. From the first instant. The rest of it, it didn't matter. It was past. It was as if it had never been. There was just my memory of it (*researcher's own transcription*: 1998).

The film ending alludes to both the first and the second or accepted "fairytale ending" of the novel. In the first instance, the initial dialogue is similar to the second or accepted ending. Both Finn and Estella have been purged by the progression of time. Finn's final words are ambiguous since they imply forgiveness, but do not guarantee that they will live happily ever after. However, a mutual understanding of each other and each other's identity is implied. This enlightenment is physically demonstrated in the movement from green to white in the use of lighting and costume (Finn and Estella are now predominantly clad in white with hints of green, in contrast to the predominantly green outfits in the rest of the film). The possibility of another chain of events that will be set in motion by this meeting, is also alluded to in the film.

The first or original ending is alluded to in the film by the addition of Estella's little girl to suggest hope, as little Pip suggested hope in the novel's original ending. This is done to imply that Estella's daughter (dressed in green) just as little Pip, the son of Joe and Biddy, has a chance to be brought up in a different manner so that time does not stand still and history does not repeat itself. The fact that Finn and Estella are now mainly dressed in white, underlines the idea that due to their enlightenment, little Estella will have a different upbringing. As in the novel, time (including events) is an instructor because it effects change. The combination of endings in the film to create a new ending is done in the tradition of Shaw, who supplied his own "perfect ending" as a solution to the debate on which ending is best (Meckier, 1993:par. 1).

The focus now shifts to world or chronological time, which is the result of the memorable moments that set in motion the course of Finn's life – his encounters with Lustig, Estella and Miss Dinsmoor. As determined in the previous chapters, Aristotle's idea of time is related to the organisation of events, what he terms emplotment. For tracing the transformation, Aristotle's (Ricoeur, 1983:37) view of time connected to the concept of plot and termed world time, as well as Brook's (1984:11) second aspect of plot (which also focuses on development or organisation of events) is the focus.

The plot development of the film is the following:

- Exposition: Finn meets the convict (Florida Gulf Coast).
- Development: Finn meets Estella and Miss Dinsmoor.
- Complication: Mysterious benefactor.
- Crisis: Estella is going to marry Walter.
- Climax: Real benefactor is revealed and dies.
- Denouement: Years later he visits Paradiso Perduto and is reunited with Estella/Rebirth.
- Crisis: Real benefactor is revealed (Chapter 39).
- Climax: Benefactor dies (Chapter 56).

The film seems to be organised according to the development of events, in the same way that the plot in a play is organised, which also correlates with the analysis of the novel. However, in contrast with the novel, economy is incorporated in the film version by only focusing and elaborating on the key events, elements or diagrammatical aspects of plot. The film transformation negates sub-plots, events not directly linked to the main plot and the different developmental stages of the various volumes. It concentrates on the summary of the events in the novel as a whole and changes the crisis. The change to the crisis as such can be ascribed to the fact that the film is described as a romance, where the focus is on the influence of the "lovers" on one another's identity formation. Although this is the focus, the influence of Miss Dinsmoor on Estella and Finn, as well as Lustig's influence on Finn, is not ignored. In the film, it is the direct influence of Dinsmoor and Lustig that create the opposite poles, with Finn representing mutable identity and Estella representing static identity. As in the novel, the events or sequences of events themselves happen during a certain period of time and they occur in a certain order. The major cardinal functions (Lothe, 2000:75-76) of these events in the film of *Great Expectations* may be summarised as follows:

- Finn meets Lustig (the convict) while drawing sea creatures (Florida Gulf Coast).
- Finn steals food and bolt cutter for Lustig.
- Finn visits Paradiso Perduto, meets Estella.
- Finn sees on the television that the police have captured Lustig.
- Finn returns to Paradiso Perduto and meets Miss Dinsmoor (she rewards him).
- Maggie leaves.
- Finn visits Paradiso Perduto again – time passes/elapses.
- Finn revisits Paradiso Perduto. Estella has gone abroad.
- A lawyer, Jerry Ragno (Spider), brings news of Finn's 'great expectations'.
- Finn visits Miss Dinsmoor and hears how she was jilted.
- Finn goes to New York.
- He sets up "house" in a hotel (poor part of town).
- Finn re-meets Estella in a park in New York.
- Finn paints Estella (their relationship in New York).
- Estella leads on Walter.
- Finn gets money from Jerry Ragno (Spider) to set himself up.
- Estella tells him she is to marry Walter.
- Joe visits Finn at the gallery.
- Finn visits Miss Dinsmoor looking for Estella.
- Lustig returns.
- Finn helps Lustig escape
- Lustig is knived and reveals self as Finn's benefactor.
- Lustig dies.
- Finn re-meets Estella in the ruins of Paradiso Perduto.

There are fewer major cardinal events in the film than in the novel. According to Mukherjee (2005: 111), the "bare bones of the Dickensian masterplot are retained" in the film. The reasons can once again be attributed to the use of economy as well to as the film's focus on romance. The events in the film transformation are centred round the influence the other people, in particular opposite poles, have on identity formation. As in the novel, the chosen events are very dramatic. Finn's process of becoming, his search for or transformation of identity, is influenced by certain events that could be regarded as more important due to the fact that they influence or restrict the plot, and ultimately Finn's perception of his identity.

The major role players in the film are Estella, Miss Dinsmoor and Lustig. These role players are interconnected and closely linked to one another, while the events or major role players correlate with those in the novel. The film transformation has identified certain key events and Finn's reaction to these events as constituting the film plot of *Great Expectations*. As in the novel, the choice of events is quite self-explanatory and highlight the idea that they

(Finn's encounters with Lustig, Estella and Miss Dinsmoor) set in motion a chain of events that impacts on Finn's identity. The idea of time as a teacher is emphasised in the film as well as in the novel. Through the progression of time, Finn comes to realise his mistakes. The mature Finn, as Pip in the novel, can then look back on his life and see what role the progression of time has played in his "growth" (*Bildungsroman*) and in the creation or the becoming or "discovery" of his identity.

However, lived or experienced and chronological time do not only play a role in narrative fiction. Three types of time also occur, namely "Textzeit", cultural "zeit" and "Aktzeit" (Ricoeur, 1985:70). "Textzeit" in film is the time it takes to watch the film. Cohen (1979:63) in his work *Film and Fiction* calls this time "... the time involved in experiencing the work". The time it takes to watch *Great Expectations* is 106.41 minutes. Cultural "zeit" refers to time as a cultural expression that implies a certain culture's views and perspectives on social and political as well as cultural issues embedded in its cultural artefacts or texts. Cultural "zeit" shows or represents the postmodernist way of life that intersects with the world of action in the narrative film.

In "Aktzeit" the order of events can be either chronological or anachronous, the latter referring to analepses (flashbacks) and prolepses (flashforwards). Although the time order in the film is given in a chronological manner, the whole story or the construction of the plot is an analepse (flashback). This is because the adult Finn relates the experiences of his younger self mostly through the voice-over technique. Therefore, a retrospective narration is given of events in a story, which means they are told after they have happened. The film transformation differs from the novel in that the film underlines the idea of the film as memory. This fact is underlined in the beginning and again at the end of the film.

An investigation of the temporal relations of the film shows that a memorable moment in time can affect a person or character's identity by setting in motion a chain of events that restricts, confines or excludes other possibilities. These events are interconnected and linked to one another. The film highlights the idea that the process of identity formation is subjective, since the entire process is dependent on a person or character's "memory of it" (*researcher's own transcription*: 1998).

3.4 Semiotic Interpretation

Semiotics provides a mediating tool to analyse how the novel, a predominantly linguistic medium that is seen as a conceptual and discursive form made up of a set of fluid but relatively homogeneous conventions, has been transformed into the film. The film, a predominantly visual medium that is seen as a perceptual and representational form of *reality* or context has also in common with the novel that it can be interpreted by a set of fluid but relatively homogeneous conventions operating in a certain manner. This comparison is done to determine whether the novel and film share any other "traits", except narratological components.

The novel functions as follows: the linguistic signs on paper are interpreted conceptually as suggested by Saussure (1960:112), which then creates a perceptual interpretation by invoking a mental image or picture in the imagination, to be utilised by the mind *(interpretant)* of the reader, as suggested by Peirce (Fitzgerald, 1966: 40). This then leads to signification – the "making of meaning" – on the part of the reader. Therefore it can be deduced that the novel functions as a concept of the mental image. The film on the other hand functions as follows: The visual signs on the screen are perceived by the viewer and are then interpreted by the mind (conceptual interpretation), which then leads to signification – the "making of meaning". This idea correlates with Naaman's (2002:131) perspective on film interpretation in regard to the story as high-order cognitive activities that are different from purely low-order perceptual processes alone. The low-order perceptual processes thus lead to high-order cognitive activities that Peirce has identified as the *interpretant.* Therefore it can be deduced that the film functions as a concept of the visual image, with sound and movement included. Thus, the novel and film work in exactly opposite ways: where the one starts with images, the other ends with them.

The novel *Great Expectations* is created in the Realist mode, which in particular aims at mimicking *reality* through the observation of the five senses. According to Conrad (1966:6), in his preface to *Nigger of the Narcissus,* the main aim of the novelist is the following: "My task which I am trying to achieve is, by the power of the written word, to make you hear, to make you feel – it is before all, to make you *see.*" As with the novel, the aim of the film is also to make the reader or audience see, as is emphasised by Bluestone (1957:1), who

points out that Griffith is reported to have said in an interview, "The task I'm trying to achieve is above all to make you see."

3.4.1 The socio-cultural code

The purpose of this section is to explore the subsystems or codes working within the sign system of the novel and film in order to determine what aspects make transformation possible. The interaction of the syntagmatic and paradigmatic levels (Saussure) or the "bundle of signs" (Peirce) is the emphasis. In addition, the focus is on the code (Jakobson) and its metalingual function to analyse the code in which they are communicating with each other (novel and film). In order to analyse the subsystems at work, Barthes' codes are the point of departure. In the first instance, the narrative codes which constitute the plot were addressed earlier. The focus of this section is on the cultural code. The system of signs in the novel and film forms part of the systems of signs governing *reality*. This assumption is based on Ricoeur's (1985:54) theory, derived from Aristotle's idea of *mimesis*. This concept views *reality* as the representation of action in a fictional reality that is a possible but not real *reality*. Due to the fact that *reality* is made up of or governed by many different sign systems, these different sign systems could be grouped under the term social or cultural sign systems, which constitute the physical space or social environment created in the novel as text.

The concept of cultural code as part of the novel and film as systems is based on Barthes's (1990:19–20) concept of cultural code as one of the five major codes governing literature/texts. In adapting Elam's (1987:57 – 62) model, a model created for theatre, the cultural codes are represented by the visual, kinesic and auditory sign systems. These sign systems function predominantly on the level of Peirce's icon, which is interpreted in terms of index and symbol depending on interpretation. The interaction of these systems with one another and with time is of prime concern in this study, focusing on context as the culmination of a bundle of signs in space (paradigmatic level) and time (syntagmatic level) that creates meaning in the formation of identity. This interaction between space and time also emphasises the idea of a spatio-temporal semiotics.

The interaction between the visual, kinesic and auditory systems is important since they constitute the physical space and social environment of both the novel and the film. In the

novel, description is employed to communicate these cultural signs. As Lothe (2000:50-51) points out, description is a spatial presentation in time which, in terms of the novel, is the setting and imagery that are symbolic of physical location or place.

Taine (in Regan, 2001:23-24) describes Dickens's vivid imagination that created the setting and imagery of *Great Expectations*, as follows:

> The imagination of Dickens is like that of monomaniacs. To plunge oneself into an idea, to be absorbed by it, to see nothing else, to repeat it under a hundred forms, to enlarge it, to carry it, thus enlarged, to the eye of the spectator, to dazzle and overwhelm him with it, to stamp it upon him so firmly and deeply that he can never again tear it from his memory – these are the great features of this imagination and style...Never did objects remain more visible and present to the memory of the reader than those which he describes...Dickens has the passion and patience of the painters of this nation; he reckons his details one by one...We feel ourselves beset by extravagant visions...He will be lost, like the painters of his country, in the minute and impassioned observation of small things.

Wynne-Davies (1989:106) underlines the idea that imagery and symbolism in Dickens's work are the reason for critics' praise:

> His world is so richly animated, his descriptive powers so invigoratingly original, as to invest the inanimate objects of his world with a vitality and significance.

An excellent example of Dickens's (1981:113) use of description is that of Miss Havisham's home, Satis House, in particular the "wedding reception" room which superbly illustrates the interaction of the sign systems in the creation of description in the novel (the narrative analysis of the novel illustrates and underlines the importance of this description).

3.4.1.1 The visual sign system

The visual sign system contains the proxemic, pictorial, colour or lighting, architectural and vestimenary codes that are important in the description of spatial conventions in the text, for example, the arrangements of the interrelationships of characters and décor as in the case of furniture or the use of props (objects handled by characters in the film). The scenic sub-code, based on the pictorial cultural code, entails the description of settings, while the description of colours and light is based on the colour and lighting cultural codes. The description of architectural structures, such as buildings, resorts under the architectural cultural code. The description of dress and the clothing that characters wear, is based on

the vestimenary cultural code (for instance Dickens 1981:113), and it is clear that imagery relating to the visual aspect is foregrounded by the repetitive use of visual description. Physical place is therefore mostly created by visual description. The spatial relationships implied in the passage acquire additional meaning in the description, acting as codes as the following quotation illustrates:

> 'I crossed the staircase landing, and entered the room...Certain wintry branches of candles on the high chimneypiece...was spacious...The most prominent object was a long table with a tablecloth spread on it, as if a feast had been in preparation when the house and the clocks all stopped together...An épergne or centerpiece of some kind was in the middle of this cloth; it was so heavily overhung with cobwebs that its form was quite undistinguishable; and as I looked along the yellow expanse out of which I remember its seeming to grow, like a black fungus, I saw speckled-legged spiders with blotchy bodies running home to it, and running out from it, ...watching them from a distance...pointing with her stick; 'that, where those cobwebs are...to walk Miss Havisham round and round the room...she leaned upon my shoulder' Dickens, 1981:113).

The proxemic codes focus mainly on the arrangement of physical space or place (physical location). The relationship between décor arrangements is illustrated by the staircase in relation to the room. The idea of crossing into another world is highlighted by this description. The relationship between objects or décor such as the candles in relation to the fireplace focus the attention on the lack of warmth in this room. The relationship between furniture and objects such as the table at the centre of the room in relation to the table cloth and the "wedding cake" illustrate that this is the focus of the room and the focal point of Miss Havisham's existence. The relationship between the objects and insects and between insects (such as the wedding cake in relation to the spiders as well as the spiders in relation to the blackbeetles) alludes to the interrelationships between characters. These interrelationships emulate or depict the relationship between Miss Havisham and Pip as she leans on him, walking her round and round the room. Miss Havisham acts as the spider who has caught Pip, the blackbeetle, in her web and makes forward movement impossible. The visual description of the interrelationships within the physical space, creates a visual perception of what is implied in the narrative description.

The pictorial images and metaphors or symbols (scenic sub-codes) are captured in the following quotations that indicate their frequency and occurrence:

> 'reluctant smoke which hung in the room seemed colder than the clearer air – like our own marsh mist...had once been handsome, but every discernible thing in it was covered with dust and mould...But, the blackbeetles took no notice of the agitation, and groped about the hearth in a ponderous elderly way, as if they were short-sighted and hard of hearing, and not on terms with one another...she looked like the Witch of the place...ghastly waxwork...a great cake. A bride-cake...a pace that might have been an imitation (founded on my first impulse under that roof) of Mr Pumblechook's chaise-cart' (Dickens, 1981:113).

The focus of the pictorial codes (scenic sub-codes) is on the essential objects that are obscured by neglect, for example "every discernible thing in it was covered with dust and mould". The idea of coldness is contrasted with reference to a fire. The idea of the grotesque and the hideous is also reinforced, for example with reference to Miss Havisham as the "Witch of the place" and the "ghastly waxwork". The reference to Mr Pumblechook's chaise-cart (Dickens, 1981: 113) also works to this effect.

The following colour/lighting codes have been identified in this selected passage:

> 'the daylight was completely excluded...A fire had been lately kindled...candles on the high chimneypiece faintly lighted the chamber...troubled its darkness' (Dickens, 1981:113).

Colour/lighting codes focus on the idea of darkness, a place without light or a place where light has been displaced and where fire or warmth is excluded. The references to darkness and mists also reinforce the idea of obscurity and secrets about the wedding that never took place.

Architectural codes are neglected in this passage. The only mention of an aspect of the architectural code is the reference to the "old-fashioned grate". The reason for this is that the outer appearance of Satis House has been described earlier and that the focus of the description is on Pip's inner state, reflected in the outward description of the scene. The architectural codes can be identified in the following description:

> It was paved and clean, but grass was growing in every crevice. The brewery buildings had a little lane of communication with it; and the wooden gates of that lane stood open, and all the brewery beyond, stood open, away to the high enclosing wall; and all was empty and disused. The cold wind seemed to blow colder there, than outside the gate (Dickens, 1981:85).

This description highlights the neglect, isolation and cold that are alluded to in the description of the "wedding" room. Other cultural codes that are neglected in this passage are the vestimenary codes. The reason is that the focus of the description in this passage is on how Pip experiences the strange inner sanctum of Miss Havisham. However, there are many examples of the vestimenary codes in the rest of the novel, as the following quotation indicates:

> She was dressed in rich materials – satins, and lace, and silks – all of white. Her shoes were white. And she had a long white veil dependent from her hair, and she had bridal flowers in her hair, but her hair was white. Some bright jewels sparkled on her neck and on her hands, and some other jewels lay sparkling on the table (Dickens, 1981:87).

Miss Havisham is dressed in the rich materials of her decaying bridal dress and is decorated with jewels. Her attire is a visual manifestation of her being trapped in time. The description starts with her body, goes down to her feet, moves to her head and ends with her neck and hands. The significance of ending with her hands alludes to the manipulation of Estella and Pip and also recalls the imagery of hands that features in the novel. This section shows the spatial interrelationship through the visual sign system or code.

In adapting Elam's (1987:57 – 62) model for film, the visual sign system is made up of the same codes as the novel. However, an explanation of the following terms (McGaw and Clark, 1987:4-13) pertaining to theatrical conventions that have been incorporated into the film need to be mentioned: The *groundplan* is the arrangement of the doors, windows, steps, furniture and so forth in space or place; *blocking* is the director's arrangement of the actors' movements in place or space with respect to one another and the space or place they occupy (some of the purposes of blocking are to tell the story, develop characterisation, set mood and atmosphere, and create suspense); an *open position* is one in which the actor is facing toward the "audience"; a *closed position* is one in which the actor is turned away from the "audience"; two actors *share* a scene when they are both open to an equal degree; actors *give and take a scene* when they are not equally open; one actor *upstages* another actor when he or she takes a position that forces the second actor to face upstage or away from the audience; there are certain body positions such as

full front, one quarter right, profile right, three quarters right, full back, three quarters left and *one quarter left.*

In addition, Dick (1998:36-37) highlights the following types of shots that are important for this study because they determine the visual perception (perspective) and focus: A *close-up* is a shot in terms of the human anatomy for example, the shot of a head; a *close shot* is a head-and-shoulder shot; a specific part of the body, an eye or mouth, is called an *extreme close-up*; a *full shot* or a *long shot* shows the complete human figure with some background visible; an *extreme long shot* shows a panoramic view; a *medium shot* shows a subject head to waist or waist to knees; an *establishing shot* defines a place; a *straight cut* is when one image instantaneously replaces another.

Utilising the vocabulary above, the filmic presentation or representation of Miss Dinsmoor's home, Paradiso Perduto, in particular the remnants of the "wedding reception" in the garden, is to be illustrated. Spatial conventions of physical space or place as the arrangement of the interrelationships of "objects" (décor and props) occupying space (the filmic representation of proxemic codes of a culture) will be explored first. According to Hodge (1988:79) a *groundplan* is "at once a representation of the given circumstances and a tension device for discovering and illustrating the dramatic action ... *in specific terms of space and of the necessary obstacles that break up that space.*" For the purpose of this study, two *groundplans* will be used as points of reference.

The first *groundplan* concerns the relationship between the different "objects" (icons) defining the space of the garden. The garden starts with the gate from where the path leads to end at the door to the house. Here is a garden tile depicting two fish crossing each other, either indicating that something is amiss or that entry to the wedding reception tent is prohibited. In the garden, there is a tent and beyond the tent a pond, indicating the demarcated area of the garden. The fact that the wedding tent is placed on the "audience's" and Finn's right side is significant since the audience reads from left to right and have a natural inclination towards the left side. This emphasis in composition works subliminally to create a "negative" or upsetting connotation (Hodge, 1988:94).

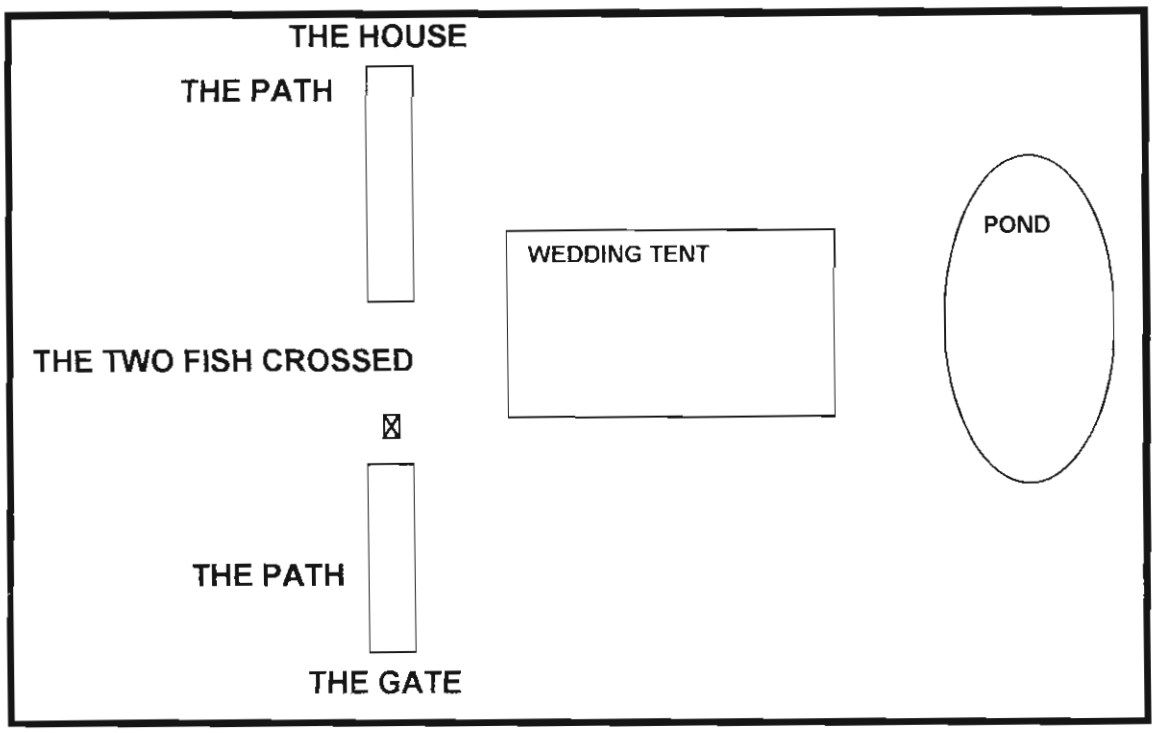


Figure 3.4.1.1.1 A diagrammatic representation of the groundplan of the garden

The second *groundplan* shows the actual wedding table as part of the wedding tent. The table is "decorated" with weeds and green plants. The table is littered with remnants: bowls, muddy glasses, a candle holder, a wedding dish that now doubles as a bird bath, figurines of a bride and groom, as well as insects, especially beetles, on the figurines themselves. An important point to consider is that specific visual clues are given to enable the "audience" to share Finn's experience and recognise the remnants of a wedding reception. The visual clues build up and reach a climax with the figurines of the bride and groom. The idea that insects, in particular beetles, inhabit this table repeats the visual clue of the fish that are crossed – that something is wrong.

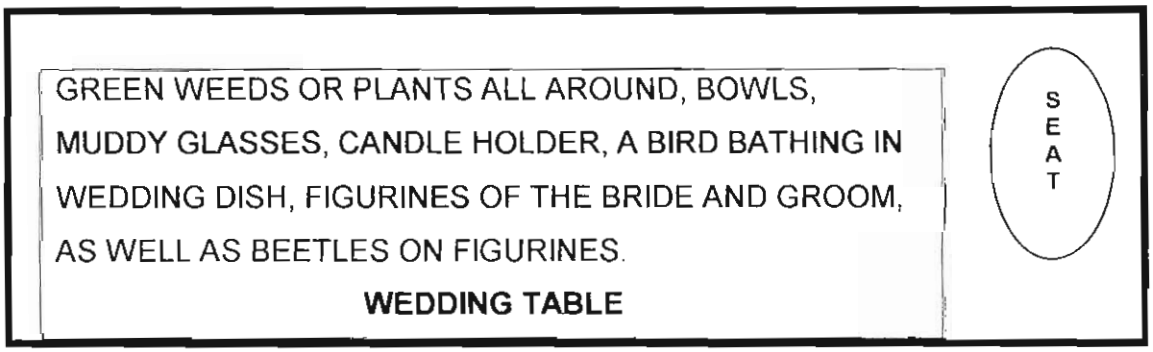


Figure 3.4.1.1.2 A diagrammatic representation of the groundplan of the scene where Finn first sees the remnants of the "wedding reception" on the wedding table

This *groundplan* then leads us to the interrelationship between the actors/characters and their space or place (symbols). The director's arrangement or construction of the actors' movements in place or space with respect to one another and the space or place they occupy is called *blocking*. In this example, there are no other actors/characters, but there are insects and objects. Finn's movement is *blocked* as he uncovers the cross that has been made by the fish with his foot and then moves toward the wedding tent. Finn executes/performs this movement in the *three quarters left* position (character's/actor's left) that is, a *closed* position away from the "audience". In a sense, Finn is in the same position as the "audience", looking at the garden of Paradiso Perduto.

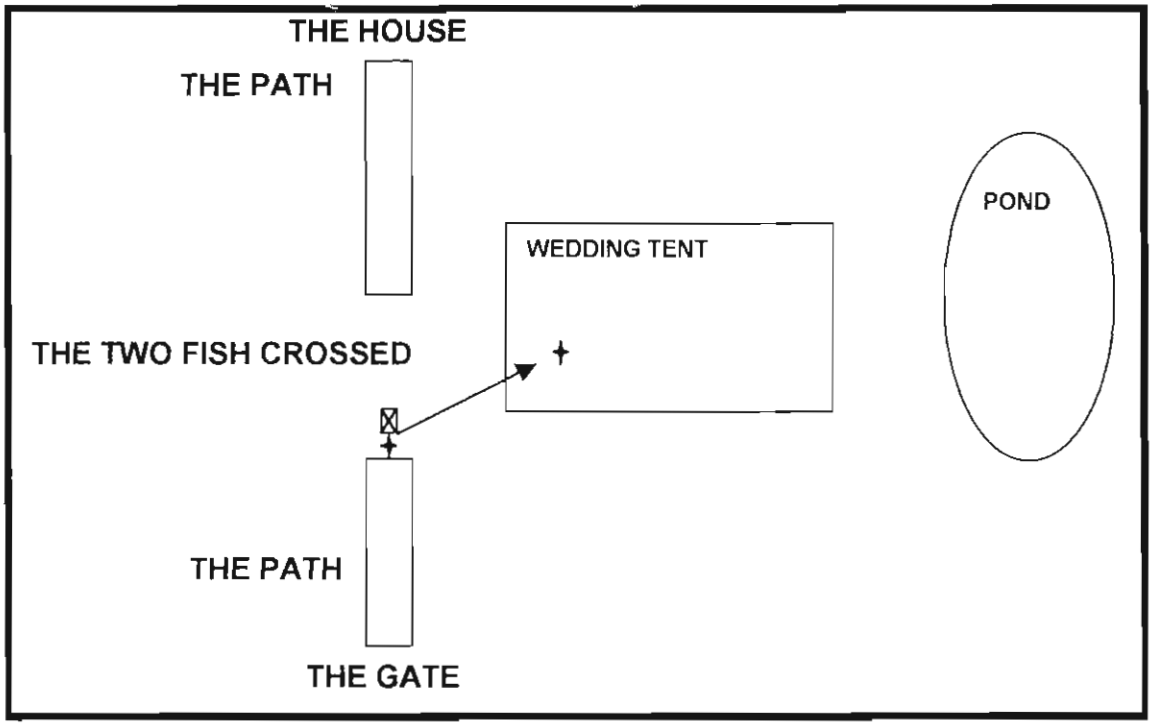


Figure 3.4.1.1.3 This graphic representation shows Finn's movement (the director's blocking of the movement) and Finn's interrelationship with structures in his environment or place (the space he occupies)

The director *blocks* Finn's movements precisely in relation to the objects or props on the table to show simultaneously what Finn is seeing and how it affects him (his experience thereof). There is a subtle play between subjectivity and objectivity. Finn mainly moves in the *left profile* position looking at the objects on the table. When he is startled by the sound of the bird bathing (a give and take between Finn and the bird) he turns to the *one quarter left* position, a more *open* position almost directly facing the audience. Finn turns full front (totally open to the "audience") when he looks at the figurines of the bride and groom. His body position emphasises the importance of the figurines with regard to the plot and story. He is still in the *full front* position when he takes the beetle from one of the figurines, but then moves to the *profile right* position when he sits down to look at the beetle (in a sense a prop). He then turns his head to look at his surroundings, focusing on a frog as well as the head of a child- or angel-like statue and then concentrates on the beetle again before the beetle on his finger (in his hand) flies away. The child Finn is amused by the creatures of nature which he sees as a magical and mesmerising experience. In a sense, Finn's position to "the audience" is now more in the traditional-theatrical relationship of actor versus "audience" and not as part of the "audience" any more.

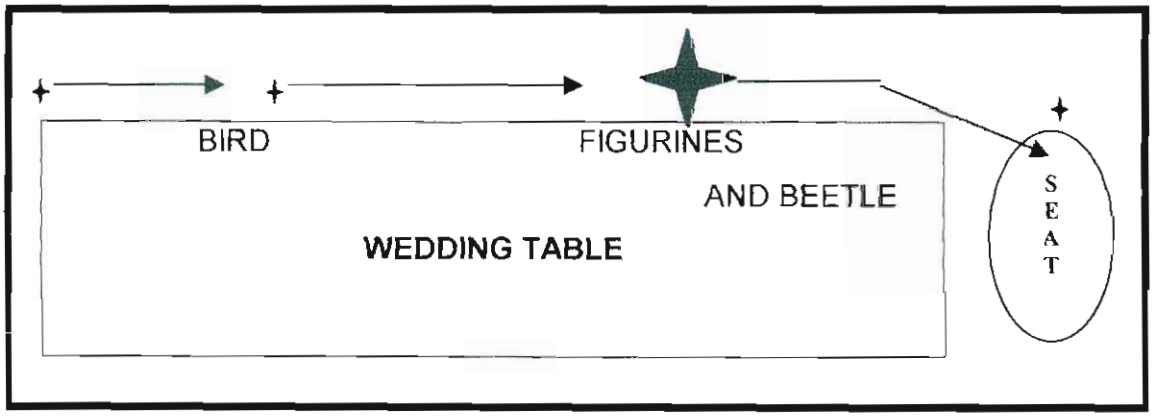


Figure 3.4.1.1.4 A representation of the blocking of Finn's movements in relation to the creatures or objects he encounters

Next, the pictorial codes of culture, the scenic sub-codes in relation to film, will be looked at closely in this section. In order to do an analysis of the film the same "scene" will be used to show how the shots (the movement of the camera) substantiate or underline the blocking (the movement of the characters) to make the meaning visually potent due to the fact that it is extremely difficult to combine blocking and shots. Firstly, what and how much

is seen by the "audience" is important. The selection of *shots* helps to analyse the scene or moving picture that is being created. The sequence of *shots* starts by focusing on Finn's foot (in sneakers) brushing away dead leaves or weeds – a close-up. This is followed by a *establishing high angle shot* showing the Paradiso Perduto's front garden, while Finn walks towards the wedding tent. Then there is a *straight cut* to a *medium shot* of Finn looking at the contents of the table. This is followed by an *over-the-shoulder shot* of what Finn sees and then contrasted to a *full shot* of Finn looking at the table. Next follows a *cut* to a bird bathing, contrasted with a *close shot* of Finn's enjoyment of this moment. This is followed by a *medium shot* of Finn walking along looking at the table, which culminates in a *close-up* of the bride and groom figurines. Then there is a *medium shot* of Finn picking up a beetle that is followed by an *extreme close-up* of Finn's finger with the beetle on it. A *full shot* showing Finn sitting down follows. The camera *zooms* in closer and past Finn to give an *establishing shot* or an *extreme long shot* of the pond, then a *close shot* of a frog in the pond, and then *close-ups* of the head of a child- or angel-like statue and the rafters with the sun streaming in. A *straight cut* then brings us to a medium shot of Finn looking at the beetle and then a *close-up* of Finn's finger and the beetle that starts to fly away.

The setting that is created by the representation of the objects and the presentation of the certain *shots* is that of a place that is overgrown and decaying. The presentation of the *shots* plays between a subjective and an objective point of view or focalisation. However, the child, Finn, sees the garden as a magical or enchanted world that mesmerises him. His reaction to the creatures and objects of this strange world reflects this assumption of the atmosphere being created.

According to Izod (1991: 46), colour plays an important role in affecting the way the audience reacts to what it sees. Reynertson (1970:106) also indicates this when he claims that colour has emotional effects and that all human beings form associations with colours. Although they are not all identical, the most common associations are the following:

> In Western society for instance, red tends to be associated with life, blood, vigour, love, violence; blue with coolness, placidity, valour, honesty, strength. Yellow is associated with sunshine, gaiety and cowardice; *green* with growing things, life, fertility; and purple with nobility and sacrifice.

A fascinating aspect of the scene described above and the film as a whole is the focus on the colour green and its different shades. In the above-mentioned scene Finn is dressed in green, the overgrown garden is predominantly green, the wedding table has green weeds growing on it, the pond and the frog are also predominantly green. The idea of sunlight filtering through the rafters also creates this fantasy world of the garden (although this scene can be described as light – the emphasis on dark green suggests a darker side of the film that is explored in the use of light later in the study). The wedding tent as a makeshift building or structure is overgrown with green weeds. In this scene, architectural structures do not feature as much as the "objects" or props.

As mentioned before, Finn is dressed in green. His shirt is a lighter shade of green, with darker green blocks (cheques/squares) on the front. He is wearing dark green shorts, white socks with bright green stripes and dark green sneakers. It seems that the last three codes of the visual sign system in a sense intermingle due to the fact that green plays such an important role in the scene, and in the film as a whole. An explanation for this could be that green represents growth as well as decay – the paradox of the "old" self dying in order to create a "new" self in the continuous process of becoming. The play on the colour green can also be brought into relation with the *Bildungsroman*. In Eastern philosophies, green is associated with the fourth chakra, which represents the heart. Therefore, from that perspective, it could be deduced that Finn's heart is revealed in this film.

3.4.1.2 The kinesic sign system

The kinesic and behavioural codes govern the conventions of movement and expression that reveal attitude through body language, mannerisms or gestures. In the novel, the general kinesic code creates the idea of movement in a demarcated space or place, for example, the "oppressive movement" of the smell (presence) in contrast to being part of an olfactory sign system, as well as the "oppressive movement" suggested by dust and mould. In this instance the smell and the mould are "heavy" and suggest "oppressive movement" (metaphoric aspect of smell). The lack of movement or the "passive aspect of oppressive movement in this demarcated space or physical location is also alluded to above, as well as to the clocks frozen in time. The "crawling things" moving to and fro without reaching a

goal imply the idea of futile movement. The following quotations from the novel highlight the general kinesic code:

> 'it had an airless smell that was oppressive...reluctant smoke which hung in the room...covered with dust and mould...clocks all stopped together...spiders with blotchy bodies running home to it, and running out from it...mice too, rattling behind the panels...groped about the hearth in a ponderous elderly way...crawling things' (Dickens, 1981:113).

The following quotations emphasise the use of the behavioural codes:

> 'I crossed the staircase landing, and entered the room ...fascinated my attention...Miss Havisham laid a hand upon my shoulder...a crutch-headed stick on which she leaned...she might get upon the table...I shrank under her touch...pointing with her stick...looked all round the room in a glaring manner...leaning on me while her hand twitched my shoulder...to walk Miss Havisham round and round the room...I started at once, and she leaned upon my shoulder, and we went away at a pace' (Dickens, 1981:113).

The behavioural codes are also related to characters in particular. Pip crosses into Miss Havisham's crooked world and is manipulated by her, as the following quotations show: "Miss Havisham laid a hand upon my shoulder"; "...leaning on me while her hand twitched my shoulder"; and "walk Miss Havisham round and round the room." Pip shows his fear and subordinate social position with regard to Miss Havisham when he becomes smaller (shrinks) when she touches him. Although Pip is physically stronger than Miss Havisham, her social position keeps him in place.

In the film, the first cultural code refers to the filmic sub-code that governs the conventions of movement and expression. The latter refers to the filmic sub-code with regard to acting or doing in order to reveal thoughts through body language, mannerisms or gestures. The second sign system – the kinesic sign system – goes hand in hand with the visual sign system. Finn moves along the wedding table and he observes the objects on the table. He stops when he is startled by the sound of the bird bathing. Finn then walks on and stops when he looks at the figurines of the bride and groom. He takes the beetle from the figurines and sits down looking at the beetle. He then turns his head to look at his surroundings, focusing on a frog as well as on the head of a child- or angel-like statue and then concentrates on the beetle on his finger again before it flies away.

In the garden scene, the purpose of blocking the movement is to create a moment to tell the story of Miss Dinsmoor's jilting which caused her to behave abnormally, to develop Finn's characterisation, to set the mood and atmosphere that this strange place creates, as well as to create suspense by focusing on a marriage that never took place. Finn's amazement at the objects on the table and the gentle manner in which he treats the insects show that he is a caring and gentle person. He does not crush the beetle, but handles it carefully and then lets it go. This gesture as well as his cautious forward-bending walk indicates that although he is curious, he respects all forms of life.

3.4.1.3 The auditory sign system

Dialogue, dialectal use of language, sound effects and background music all form part of the auditory code in the film. Dialogue is found in register and intonation that are implied in description or representation. Register and intonation in dialogue are important indicators of character, social conduct and social hierarchies, as well as factors to be considered in gauging the atmosphere or levels of tension. The dialectal code refers to geographical and class constraints in the description or the representation of speech. Sound effects contribute to the overall impression made by the filmic text because even though they are not the main elements in a specific scene, they help to establish an atmosphere or create a convincing illusion of reality (for instance sounds like a dog barking or traffic). Background music is mainly used to strengthen the atmosphere of a specific scene or the film as a whole, but can also be used to manipulate the audience as some melodies or types of music are sometimes associated with certain conflicts or specific characters. The use of specific music then serves as a warning that something is going to happen or that a certain character will appear.

When comparing passages from the novel with scenes from the film with regard to sound, the following deductions are made: The register and tone of the dialogue in the passage (Dickens, 1981:113) taken from the novel show evidence of at least two different social classes represented in the speech and dialectical code. Pip shows respect by adding the word "ma'a," while Miss Havisham shows disrespect by not using a form of address when speaking to Pip. It seems that the dialogue codes with reference to register and intonation as well as the dialectal codes are linked in this passage of *Great Expectations*. However, in

the passage there is only one reference to "sound effects", as can be deduced from description: "I heard the mice too, rattling behind the panels". Yet, a novel does not concern itself with sound effects or mention music codes in the description (Dickens, 1981:113).

The predominant feature of the correlating scene in the film is that the child, Finn, does not actually speak. The adult Finn's voice is heard in this voice-over section in which the emphasis on fiancé is important. The tone and register belong to and befit a person relating a story to another. Geographical or class distinctions, such as accent or pronunciation, are not really obvious in his voice. The music in this scene starts softly towards the end of the scene and slowly grows louder, emphasising the magical aspect of the strange garden. The choice of music evokes a magical chord in the "audience". The sound effects experienced in nature provide an important aspect of this scene, for example, the sound of feet walking, birds chirping, a bird washing itself, a frog and insect sounds.

The passage (Dickens, 1981:113) and the scene, illustrate the way in which all three systems – visual, kinesic and auditory, enhance the meaning of the texts on both the paradigmatic and syntagmatic levels. It seems as if certain systems focus on certain aspects: the visual imagery that focuses on the spatial aspects (spatial interrelationships, buildings, settings, clothing and colour or lighting), while the kinesic and auditory (linguistic *mimesis*) imagery focus on the either spatial or temporal aspects. In a linguistic text such as the novel, the temporal aspects (temporal semiotics) are more important and determine the nature of the text, while the film is basically a spatial medium which is determined by spatial aspects (spatial semiotics). The description or representation of physical location or place, the connotations and the symbolic meaning implied by the imagery in the creation of setting (novel) or images (film) within a particular social environment, imply or create context.

The cultural codes demonstrate the identity of things that are linked to the description or representation of place and social environment that appear similar to *reality*. The mimetic nature of the novel and film is explored in the passage and scene describing the "wedding" room in Satis House and the garden of Paradiso Perduto, which illustrate the interaction of the cultural codes.

3.5 Socio-historical context

The importance of the socio-historical context on literature has been explored in the previous chapter. The film as a work of art and a visual text is also influenced by the socio-historical context outside the text. Therefore, the discussion in the previous chapter is also relevant to this section (Bal, 2001; Lotman, 2000; Ricoeur, 1984; Todorov, 1984). The focus here is on the film and its interaction with the predominant social environment (context) of its time, which is the postmodern era.

3.5.1 Interaction of individual and context (20th century America/postmodernist America)

This brings us to explore the dialogue between the film *Great Expectations* and the postmodernist context. Jameson's (1981:20) levels are once again used and adapted for this study to unmask the social environment of the postmodernist context (space and time), that of ideology (as reflected in texts), and the economic and the political levels or spaces (the juridical will be seen as part of the political and economic level). The postmodernist context can also be described as a revolution – the Information Technology Revolution. Once again this leads to unemployment, because computers take over some of the work that has been done by people. This telecommunications revolution has a profound influence on social and cultural organisation in the postmodernist context (Francese, 1997:2).

Even in the film of *Great Expectations* evidence of this revolution and its social and cultural influence can be found. In the film the television plays an important role, showing Finn that his attempt to save Lustig has been in vain for Lustig's apprehension is shown on the television news. The record player in Miss Dinsmoor's house playing music of a bygone era also underlines the idea that through the easy access provided by the internet, television, books and recordings (as in this instance), art, literature and music of the past and present are within the reach of everyone. One of the influences of the telecommunications revolution is globalisation, which results in making the world seem

small – like one big city. Therefore, this has influenced the postmodernist perception of time and space, because all reaches of space over the ages are now contemporary. Time is seen as an extended present incorporating all past and present times and spaces. The character of Miss Dinsmoor in a sense embodies this idea for she brings the past and present times and spaces into present reality to use Estella to avenge men, the cause of her pain in the past. The whole idea of fusing the spaces and times of both the present and the past comes to the fore.

Postmodernist views of time and space are compressed. The intermingling of time and space is expressed by the artists of this time as a cumulative creative synthesis. Therefore, it seems that postmodern artists, writers and composers have expanded their horizons to encompass the past as well as the present as they set their future course. Finn, the artist, has paintings of the child Estella as well as the adult Estella. He brings the past into the present with the pictures of Estella and of Lustig.

Postmodernist fiction is seen as a labyrinth of interlacing and intersecting paths, which are constructed so that every path can be connected with every other, or it may also be seen as a game. This whole idea is underlined in the film when it is revealed that Lustig is Finn's benefactor and not Miss Dinsmoor. Miss Dinsmoor did not plan for Finn to marry Estella, but due to the labyrinth of interlacing and intersecting paths Finn and Estella find themselves connected once again in New York. The whole idea that Miss Dinsmoor plays with her "mouse" also comes to the fore – the idea that life is a game for her where she uses Estella to avenge herself on men.

Multimedia infiltration is seen in *Great Expectation* through the inclusion of the television set and record player, as mentioned before. The idea of metanarratives, as the defining feature of postmodern modes of knowledge, comes to the fore in the dialogue between narration and focalisation in *Great Expectations*. Metanarratives are narratives that also refer to the narrative act and the narration within a text itself. Master narratives are the grand narratives, which are stories that explain reality to people according to specific ideological or religious systems. Postmodernism rebels against these master narratives and tell the little narratives – the stories of ordinary unknown people, which they regard as equally important to any other story. Postmodern knowledge is characterised by scepticism

about grand narratives and to illustrate this they use metanarrative techniques, which undermine the truth claims of history or narrative while these are being told or written. Although the film seems to be told from Finn's narrative perspective, the film's "objective nature" makes provision for all the major characters to tell their own stories – in contrast to Finn's perspective is of them, and this gives the film an added layer of meaning (the interaction of Finn's narrative perspective in contrast with the other characters' actual narrative perspectives given through action).

The economic development of the postmodernist context is primarily based on capitalism (Potter, 1987:267). The western society of the postmodernist context is highly materialistic and reference to this is found constantly in the film. Finn refers to himself and his family as poor. His sister, Maggie, does not want to be poor and stay in these poor circumstances. Finn indicates that his contact with Miss Dinsmoor and Estella, in particular, has started his obsession to paint for the rich and to have their kind of freedom. He also emphasises that he realises Estella is ashamed of him because he is poor. Urbanisation, the migration to cities, is also found in the film because Finn moves from a fishermen's village to New York. The economy is one that moved or is moving away from the assembly line to a more flexible mode, that of information technology, which involves the accumulation, the disarticulation and displacement of capital and production to points all over the world. The idea of moving capital around the world is also how Lustig has provided Finn with capital from Europe to make his dreams come true.

On the postmodernist political front the emphasis is on being a superpower, the most powerful force in the global village. Currently the most influential power is the United States of America. The promotion of the American culture as the role model culture for the world is promoted through the production of popular music, television series depicting American life, and the predominance of Hollywood as the film Mecca of the world. However, the motivation behind this cultural infiltration is predominantly to make money and not to change the world into America. Although America's predominance can be felt in this postmodernist context, it is mostly seen as a pluralistic society of social relativity (many voices). This could also be the motivation for placing the film in this time and space (context).

After looking at the ideology (texts), the economic and the political spaces of the postmodernist context, Fleming (1986:495) underlines that in the postmodernist context the demarcations of past, present and future have become blurred because everything exists in the expanded present. All art past and present becomes contemporary by virtue of its living presence in the here and now. In modern literature, music and film, time is experienced in a flowing continuum, as in dreams, with flashes backward and forward.

In the film the past dissolves into the future when the children, Finn and Estella, dance and then are replaced by the dancing young adults, Finn and Estella. In contrast to postmodernist ideas of time, Lefebvre (1991:33) focuses on the three ways postmodernist space is perceived. The first form of postmodernist space is called *spatial practice*, which entails that a society is perceived through the deciphering of that society's material organisation of space (place) through sites such as home, work, leisure, shopping and travel – the so-called social space. An example of the social space in the film is created by methods of travel – the aeroplane and the subway train. The second form is the *representations of space,* which entails the conceptualised spaces of planners, architects and scientists that dominate and impose themselves on the lived space or social space. Joe's home, Miss Dinsmoor's mansions and Finn's hotel room are examples of this. The third spatial form is seen as *representational spaces,* which are the symbolic and metaphorical mental maps by which we experience physical space, such as the film. These spaces are seen as interconnected for space and place are the focus of experience and exist across and through time.

Jameson's levels of what constitutes a social environment, as well as the perception of time as that of an expanded present, and Lefebvre's ideas about space have given us some ideas of the postmodernist context. The postmodern perspective of identity is a fluid process of formation – that of becoming (Kinnane, 1998:par 10), or it can be seen a journey of self-transition. Raban (1974: 9-10) describes identity as a "soft, fluid, endlessly open" concept that allows you to "decide who you are". Finn represents this idea of identity as follows:

> The night all of my dreams came true, and like all happy endings, it was a tragedy, of my device, for I succeeded. I had cut myself loose from Joe, from the past, from the Gulf, from poverty. I had invented myself. I'd done it cruelly, but I had done it. I was free! (*researcher's own transcription:* 1998).

The postmodernist world is a world of the extended present that incorporates past and present spaces and times. This is illustrated wonderfully in the film because Estella represents the traditional view of identity, while Finn represents the postmodernist view of identity. Estella says, "We are who we are. People don't change" (*researcher's own transcription*: 1998). Finn on the other hand reinvented himself and cut himself loose from his old life.

3.5.1.1 Parallels in contexts between novel and film

Both social environments are characterised by times of tremendous change, which have a profound impact on identity formation of individuals inhabiting these social environments. In addition, it highlights the idea that individuals' interpretation of their social environments also impact on the social environment itself.

These social environments, furthermore, give rise to questions about social inequalities connected to materialism/capitalism and power relations. In the novel the Industrial Revolution is partly responsible for Pip's migration to the city, since machines can replace blacksmithing. In the film the telecommunications revolution makes communication easy so that big fishing rigs can take over the work done by small fisherman such as Joe, and it also indirectly leads to Finn's migration to the city. The workings of materialism and/or capitalism are demonstrated in Pip's belief that material standing makes him worthy of respect, while Finn's obsession is fuelled by his obsession to paint for the rich and to have their type of freedom.

In addition, the social environments reflect issues pertaining to *reality.* The Victorian context's focus is on observation, the eye in particular, as is demonstrated by Dickens' very visual descriptions, such as the description of the "wedding" room. The film with its visual images and action represents the mostly visual world of the postmodern context. This also explains the interposing of the television broadcast within the film. The Victorian concept of

the cause and effect nature of time is demonstrated in Pip's example of the chain of gold or thorns that occurs because of one memorable moment in time. The Victorian idea that a person cannot step into same river twice is illustrated in the novel in the fact that Pip can return to certain places, but they have changed, and Pip cannot go back in time to change events. In contrast, Finn experiences the postmodernist conceptualisation of the cause and effect nature of time as interlacing and intersecting paths that are connected. This is illustrated when Finn meets Estella in New York and realises that Miss Dinsmoor is not responsible for bringing him to New York. The postmodernist idea of time as an expanded present therefore, in a sense, makes Pip and Finn's worlds intersect in the film. The Victorian idea is that *reality* changes according to the truth of culture as Pip's reality changes according to whom he believes is his benefactor. In the film the relativity of *reality* and truth as dependent on an individual's perceptions come to the fore, as is illustrated when Finn's *reality* depends on his understanding of who his benefactor is.

Issues on identity formation are present in both the social contexts, of the novel and the film. The novel reflects this concept by showing that Pip had to go on a quest to discover his true identity. The Pip of the marshland with all his chaotic potentiality has to discover his true identity through experience and he has to find out that recognisable traits related to country, nation, class, race and gender do not limit whom he discovers he is at the end of the novel (*Bildungsroman)*. Progress or self-improvement is also connected to the Darwinian and Victorian context, while the postmodernist perspective focuses on identity as becoming. In the novel Pip realises that he alone can make his dreams come true, while Finn reinvents himself to be acceptable to the rich. In both the novel and film the environment impacts on characters, for outward action and environment reflect inner workings, such as are reflected in Pip and Finn as well as Miss Havisham and Miss Dinsmoor.

Thus issues such as change, social inequality, *reality* and identity feature in both the Victorian and the postmodern social environments. These issues then link up with the thematic concepts as expressed in the novel and film, such as identity formation, confinement and interconnectedness (see the discussion of narrative analysis and semiotic mediation). Identity formation is related to change and identity, while confinement is related to social inequalities and *reality.* Interconnectedness by its nature is related to all the

issues. The correlations or parallels between the Victorian context and the postmodern context in the novel and film, respectively, indicate that certain historical or cultural contexts have specific issues in common that overcome or deny the significance of contextual factors.

3.6 Conclusion: the film as narrative account of experience

Film seems to be a reflection of *reality* in a photographic sense because all the systems, such as visual, kinesic and auditory, can be identified in the film as representation. In a film a tree looks like a tree in real life; actors behave and act like people would do in real life. This creates the illusion that the narrative film is *reality*. However, a narrative film is a fictional account of events presented by the camera.

The camera provides an interpretation of *reality*. The film *Great Expectations* illustrates this function of film when Finn says at the beginning that he is not going to tell the story the way it happened, but the way he remembers it – his interpretation thereof. This brings us to focalisation, because Bal (2001:54) sees focalisation as making the content subjective when seen through the eyes of the focaliser. Thus, the narrative account of experience in film is always mediated through the focalisation of the camera. However, the use of the camera does not only imply the shots, it implies all that the "audience" are allowed to see, which includes planning techniques such as blocking, editing, lighting design, set design, costume design etc. Focalisation creates boundaries – therefore the narrative account of experience in film is restricted.

Furthermore, a film text creates meaning within a certain context. In *Great Expectations* the social context in which the film is situated is that of the postmodernist age. However, the fact that the film is an adaptation of a 19th century novel impacts on the film on a "subconscious" level, since the film then not only a commentary on its own time, but also on that of the novel.

As adaptation, the film also demonstrates the interconnectedness of narratological components. Elements based on *reality* are identified and transformed in the film version of the novel. Although mimetic elements or aspects of *reality* are prevalent in the film, it

must be emphasised that this is an illusion because a film's "...intangible reality consists of lights and shadows beamed through the air and caught on the surface of a silver screen..." (Deren, 1985:57).

The next chapter will explore the question of intertextuality.

4 INTERTEXTUALITY AND INTERPRETATION

4.1 Introduction

This chapter is based on Brockmeier's (2001:par. 1) supposition that the continuous interpretation and reinterpretation of texts contribute to the formation of textual identity, which is part of the broader argument that also includes the contribution of the structure of the narrative text, as well as semiotic mediation. The process of reinterpretation would then conform to, or comply with, the concept of intertextuality which posits that individual texts become 'spaces' within which other texts intersect, and where the axis of time tends to disappear altogether (Kristeva, 1980:15).

This idea that time disappears implies that 'all time' is really represented in any text in an ongoing dialogue without first or last word. Kristeva does not limit intertextuality to only literary texts, but extends it to the realm of other sign systems and texts. Kristeva's focus is on how a text is composed of other texts, consciously or unconsciously. In *Desire in Language: A Semiotic Approach to Literature and Art (1980:15)* the following definition of intertextuality is given: "the transposition of one or more *systems* of signs into another, accompanied by a new articulation of the enunciative and denotative position." This concept as part of intertextuality creates the idea of the interweaving of different texts in the establishment of a new text. Hoffer Gosselin (in Plottle, 1978:29) highlights this idea by describing intertextuality as the "multiplicity of sources" that provides the stimuli for the "host text". Another perspective centring on the text as focus is held by Britton (in O'Toole, 1974:56) who sees intertextuality in general terms as "a collection of quotations, or echoes, imported from various external sources."

4.2 Approach: intertextuality

The term intertextuality is used in contemporary literary studies to indicate that any text is situated amongst other texts and contexts, to which it also refers in numerous ways. Language as such, as well as textual strategies such as genre and style, generates meaning on account of the way in which words and textual practices are used repeatedly in texts (Hawthorn, 1994: 99). This section will not be a "historical" or theoretical overview of intertextuality, but will rather focus on theory that supports the idea or concept of intertextuality for the study. A brief background is given to show the

development of Kristeva's term intertextuality from its origins in Dialogism (Todorov, 1984) and then illustrates through Landwehr (2002), how other like-minded researchers see intertextuality. Durey (1991) gives an interpretation of intertextuality that correlates with the idea or concept of intertextuality for this thesis.

Intertextuality is an encompassing concept that includes the interaction or dialogue of texts such as novel and film with the social environment (context), and with different texts themselves. The term intertextuality was coined by Julia Kristeva, but the concept developed from Mikhail Bakhtin's work on dialogism (Landwehr, 2002: 2). According to Todorov (1984:x), the dialogical principle of Bakhtin's studies focuses on the sign systems' interaction with its social situation. Bakhtin (in Todorov, 1984:97) explains the concept as follows: "Life is dialogical by its very nature. To live means to engage in dialogue". This concept of dialogism has its origin in the utterance (*parole*), which implies the dialogue between the sender and receiver in Jakobson's terms, and the speaker and listener in Bakhtin's terms (Todorov, 1984:97). Lodge (1988:124) points out the effects of such an act when he claims that "every speech act springing from previous utterances and being structured in expectation of a future response, has implications that are spread far beyond the field of literary studies." The speaker/sender and receiver/listener in the communication process are also seen as socially organised persons who represent certain social groups. From this idea, it is concluded that texts are in dialogue with one another as well as with society, and vice versa. The importance of this concept is highlighted by Mikhail Bakhtin (in Pearce, 1994: 10) as follows:

> I can mean what I say, but only indirectly, at a second remove, in words I give and take back to the community according to the protocols it observes. My voice can mean, but only with others at times in chorus, at best of times in dialogue.

Durey (1991: par. 6) proposes that Bakhtin's theory can be divided into three main strands, or as she terms them, constituents. These constituents are the writers, the texts and the intertexts. She feels that the various schools of thought focusing on either one or two of these aspects invite "monologic dogmas". As this study's main concern relates to literary transformation, the focus will be placed on the interaction between the novel and film texts and allusions to intertexts, for instance genre and the fairy tale. Consequently, mainly two dialogical relationships from Bakhtin's work will be used in the discussion of intertextuality in this chapter. The first relates to the dialogue between the

texts and their social environment and the second concerns the dialogue between the two different texts, the novel and the film of *Great Expectations.*

As this chapter is devoted to the dialogue between different texts, it seems apposite to consider Voloshinov's claim that "a verbal performance of this kind [in print] also inevitably orients itself with respect to previous performances in the same sphere, both those by the same author and those by other authors" (Bakhtin/Medvedev, 1985: xvii-xviii). Kristeva (Durey, 1991:par. 1) developed and broadened this specific dialogue between different texts by referring to it as the theory of intertextuality through which the authors or creators of the texts communicate with one another. The importance of texts is pointed out by Voloshinov, a member of the Bakhtin circle (in Pearce, 1984:1) as follows:

> A word is a bridge thrown between myself and another. If one end of the bridge belongs to me, then the other depends on my addressee. A word is a territory shared by both addresser and addressee, by the speaker and his interlocutor.

Intertextuality has become an umbrella term for creative practice involving relationships between two or more texts. Other scholars with similar perspectives are, firstly, Culler (1981:118), who developed two aspects of importance, which are the pre-texts and intertextual space. Pre-texts are seen as texts suggested or fabricated by texts and intertextual space is seen as concerned with "rhetorical or pragmatic presupposition with the codes and conventions of culture". Secondly, Jenny (1982:34) calls these two aspects of intertextuality implicit and explicit intertextuality, where the active force is culture and the passive force is the text. Although these approaches allude to dialogism, they cannot be termed dialogism.

The focus of this study is thus on the dialogue or interplay between the novel and film of *Great Expectations.* The emphasis is on how a text is made up of other texts, consciously and unconsciously, as well as on the infinite play of a text in relation with other texts. According to Landwehr (2002: 2) Kristeva substitutes the term text for Bakthin's utterance or word and points out that the 'horizontal' axis of subject or addressee and the 'vertical' axis of texts and contexts bring to light the important discovery that each utterance/word/text is an intersection of utterances/words/texts, where at least one other utterance/word/text can be read.

4.3 The novel and intertextuality

The novel, in particular the realist novel, illustrates its mimetic nature based on the observation of *reality*. The novel *Great Expectations* is based on the premise that a person is relating his autobiographical details by writing the story of his (Pip's) life.

Barthes' narrative codes come into play in creating a narrative context or narrative system. This narrative system includes the narratological components, such as temporal relations, character, space, narration and focalisation, which presents the story in a particular manner. In the process of translating *reality,* the visual, kinesic and auditory systems have to be transformed into descriptive language. This means that the visual images, action and sounds of *reality* must be translated into language that describes the physical place. However, the physical place also alludes to its meaning in the context of the novel, which refers to space. In the novel *Great Expectations* the interaction between the visual, kinesic and auditory systems is important since they constitute the physical space and social environment of the novel.

The semic system concerns the use of narrative strategies, such as the fairy tale, Gothic, mystery and *Bildungroman* in this novel. The study will show that many aspects of the fairy tale, but in particular that of *Cinderella,* are present in *Great Expectations.* The similarities between *Great Expectations* and Cinderella are discussed below in the relevant sections of this chapter. The fairy tale elements underline the idea of magical escape or transformation to form identity. The investigation into how *Great Expectations* adheres to Gothic elements or properties has shown that settings or places highlight the social injustices of Victorian society. These injustices are linked to the class system as well as to materialism. Dickens alludes to graveyards, haunted houses, ruins and labyrinthine cities to comment critically on the social horrors of his time. In the mystery novel, vice is usually revealed, and Pip reveals the vices of Magwitch, Miss Havisham and Jaggers. *Great Expectations* also explores the *Bildungsroman* because it focuses on Pip's growth, formation and education in his quest to be a gentleman and win Estella.

Furthermore, the novel's dialogue with its social environment is also present in the text. Therefore the social environment "system" is reflected in the novel, which includes the historical time frame that alludes to issues such as the effects of change, social inequalities, *reality* and identity. The thematic concepts expressed in the novel, such as identity formation, confinement and interconnectedness, are also linked to the predominant issues of the Victorian age.

4.4 The film and intertextuality

Although the film is not a literary text as such, it is based on the novel of *Great Expectations,* which provides the platform for discussion as the "primary" text and therefore dominates the 'space' where the texts intersect. The main idea of this study is to explore how the film "'transforms, modifies, elaborates or extends" the novel, which is its hypertextuality (Johnson, 2005:63). Any relationship uniting a text B to an earlier text A that is not of commentary is referred to as hypertextuality or palimpsests (Landwehr, 2002:8). However, as Morgan (1985:22) points out "no intertextual citation is ever innocent or direct, but always transformed, distorted, displaced, condensed or edited in some way in order to suit the speaking subjects' value system."

The film retains the main plot of the novel. This gives the film a strong focal point, in contrast to the elaborate plots and subplots of the Victorian novel. The emphasis is placed on the interaction between Finn and Estella and their creators, Lustig and Miss Dinsmoor. Ironically, the film characters are created in accordance with one of the criteria for characters of Realist drama, that of focusing on two characters, male and female, who form the centre of gravity. The importance of economy in choosing to focus on certain characters for the film transformation is also important in order to keep the audience's attention focused.

Due to the time constraints of the film medium or genre, the most daunting task of the transformation into film is to identify which aspects of the plot, characters, contexts, narration and focalisation are of crucial importance to the interpretation of this new text and acknowledge the primary text as basis.

The aim of Realist drama and fiction is to portray inner states of characters through actions. This specific aspect of the novel provides the basis for the film transformation, which focuses on visual images, actions and sound. The way the central characters are presented extend or "comment" on the novel by focusing the attention on how two characters, although from different circumstances and manipulated differently (Finn and Estella), represent opposite ideas on identity. The film highlights Finn and Estella's interaction and illustrates how the passage of time leads to enlightenment and insight. Estella is Finn's star that helps him navigate the darkness of his self. She also represents "the other" who influences his identity formation. Finn is not comparable to a seed like Pip, but his name Finn (alluding to the part of a fish that moves it forward) illustrates that his drawing talent is partially responsible for his climb up the social ladder.

Estella's sensuality and sexuality are exploited more in the film because it is situated in a more permissive sexual environment than in the novel. Miss Dinsmoor appears to be more deluded than Miss Havisham, for she represents a crazy noise (din). She is also more cynical about love, which causes her to transform Estella into an ice princess. Lustig is more than a fairy godmother, he represent the force of passion. He is a person who lives life passionately – stealing from the mob, and "creating" his own artist. Thus, the film transformation places more emphasis on the interconnectedness of the main characters, since there are fewer characters in the film and this makes their interaction more intense. The characters in the film impact on, influence and project or reflect one another. The interaction of the characters with one another may or may not change the identities of these restricted entities (characters) within certain confined matrices (social environments).

Narration in the film is done by means of the voice-over technique: Finn presents his ideas and perspectives in a similar fashion to the narration in the novel, but an additional dimension of meaning is generated by the visual images or actions of characters that either support or weaken the narration. The film shows that a memorable moment in time can affect a person or character's identity by setting in motion a chain of events that restricts, confines or excludes other possibilities, as they are interconnected and linked to one another. The film highlights the idea that the process of identity formation is subjective, since the entire process is dependent on a person or character's "memory of it" (*researcher's own transcription*: 1998). The most

profound aspect in the film is the transformation through focalisation, because the film captures the visual, subjective account of Finn's life story. The use of various shades of the colour green helps establish this on a visual level in the décor, costumes, etc. (see chapter 3).

As visual medium, the film translates the language back into images, actions and sound so that it seems to reverse the novel back into the events of the real world. This visual process that uses filmic techniques such as the blocking of movements, different shots, angles and editing makes the audience feel part of Finn's world. The mimetic nature of the film, the visual images, actions and sounds, blur the boundaries between fiction and real life. The analysis shows that although the film transformation uses different physical locations, the spaces are exactly the same as in the novel, which implies that the perception of the places and what these places represent are the same in both the novel and film.

The film not only employs narrative strategies (the semic system), but also transforms these narrative strategies into filmic equivalents. The fairy tale and Gothic narrative techniques are heightened and represented by visual techniques such as lighting and colour, for example the lighting aspects of *film noir*. On the other hand, action techniques are used to heighten the mystery and *Bildungsroman* narrative strategies. Even symbols and motifs are made visual in the film. Re-enacting certain scenes in slightly different ways gives the film transformation an edge on the novel. The re-enactment of the broken-heart sequence between Miss Dinsmoor and Finn, Estella kissing Finn at the water fountain and the re-enactment of Finn's meeting with Lustig intensify the meanings relayed to the audience. These re-enactments make the film stand out as a work of art, because of the impact these images have on creating a subtext or subliminal meaning.

Furthermore, the film's dialogue with its social environment is also important. Although the film uses the idea that the same story can be relived or experienced again in another time and place, it also shows that, due to the constant flux of circumstances, all social environments are subject to change in some form or other. If individuals are unable to adapt to the changing times by learning new skills (in the novel, those relating to industrialism and in the film, those relating to telecommunications and information technology advances), they are unable to provide for their own needs, which results in

poverty. The changes in the social environments also bring alternative ways of making money (the factories in the novel are replaced in the film by telecommunications and information technologies). Archaic social structures change and in order to survive in a world that is constantly changing, individuals must adapt and change. The fact that change is inescapable leads to the crossing of boundaries with regard to class and social position as a result of money gained through individual talent (in Finn's case, his drawing talent). The film therefore illustrates that class distinctions can be bridged with talent and affluence, while in the novel own talent is negated.

4.5 The novel and film in dialogue

The main focus in this study concerns the interaction or reciprocal relationship between the novel and film texts of *Great Expectations*, which includes the different dialogues with regard to the social environments or contexts that influence these cultural texts. Bakhtin's (in Pearce, 1994: 10) idea of the "choir" of utterances will be the guiding principle in this endeavour, offering a multiplicity of ways of perceiving *reality*.

In order to investigate the dialogue in more detail, certain constants or similarities related to cultural contexts in the novel and film need to be determined. In this instance, the texts as cultural products will serve as points of departure and their interaction with the relevant contexts or social environments will be explored.

4.5.1 Text and ideology

Great Expectations, the novel and film, both take on the form of a fictional autobiography, because this form of narrative fiction consists of a narrator in the present who takes upon himself the task of describing the evolution and development of his youthful self in the past. Bruner (in Brockmeier & Carbaugh, 2001:35) sees autobiography not only as the construction of self, but also as the construction of one's culture. Therefore in this thesis on the formation and transformation of identity in the novel and film of *Great Expectations*, there are many levels of identity formation and the transformation thereof.

Although both the novel and film texts explore the processes of the formation and transformation of identity in different media, they still retain the same objective: to make the reader or audience experience and see different perceptions of *reality*. The fictional world of both film and novel is constituted by using narrative techniques such as the manipulation of temporal relations, specific representations of characters and space, and by using types of narration and focalisation, which can be seen as the building blocks of the plot and consequently of the story. The novel and film provide a means of exploring representations of identity over time, because they represent important features of their respective periods of production and modes of "translation" or representation.

4.5.1.1 Temporal relations

Narratology is the shared domain of both the novel and the film, because both noveland film can be approached as narrative texts. Although the plot development of the novel seems to replicate the volume divisions of its time, it will provide the blueprint for the discussion as it enables a comparison with the film. Essentially, the plot development in the novel is the same as in the film, except for the crisis. In the exposition of the novel Pip meets the convict Magwitch on the marshes (Chapter 1), whereas in the film, Finn meets the convict on the Florida Gulf Coast. The development of the plot entails Pip's meeting Miss Havisham and Estella (Chapter 8), while Finn meets Estella and Miss Dinsmoor. The complication entails Pip and Finn both having a mysterious benefactor. The crisis in the novel is when the real benefactor is revealed (Chapter 39). The crisis in the film is when Estella says she is going to marry Walter. The reason for this deviation is that the novel is centred more around the idea of Pip's progress and education, while the film is centred more around identity formation and the role of the other in becoming. The climax in the novel is when the real benefactor dies. In the film the revelation and death of the benefactor are almost simultaneous (while dying Lustig reveals himself as Finn's benefactor). The denouement is the same because years later Pip/Finn visits Satis House/Paradiso Perduto and is reunited with Estella. This represents rebirth after enlightenment.

Brooks (1984:11) also sees plot as synonymous with the space where a change of fortune, the forward-moving aspects that include causality, occurs. In the novel and film of *Great Expectations*, place or physical location effects change. First of all, Pip/Finn

undergoes the reversal of fortune when his mysterious benefactor changes his financial status by providing "great expectations". When his true benefactor is revealed, he again goes through a reversal of fortune, because his "great expectations" (to marry Estella) have been crushed. These reversals of fortune then lead Pip/Finn to discovery, when he becomes mature and his ignorance and naïveté are changed into knowledge and insight. The last aspect of the plot, according to Brooks (1984:11), is the complot or hidden design (devised by *the implied author* which in *Great Expectations* is the experiment to take a child belonging to the lower class and manipulate evolution or progress so that he moves up the social ladder to the middle class. As the secretive design of the *implied author*, the formation and transformation of identity in the novel and film share the plot (events in space, place and time), characters, narrator and focalisation.

In essence, the plot consists of kernel events that are more detailed in the novel due to the descriptive conventions governing it, while the film uses the drama convention of economy. The major cardinal functions in the plot are the events that determine *Great Expectations* as novel and film, such as: Pip/Finn meets the convict; Pip/Finn helps the convict; Pip/Finn visits meets Estella and her guardian. The convict is apprehended; Pip/Finn returns several times to visit Estella and her guardian; Pip/Finn's sister is of no importance (leaves/dies); Estella goes abroad; Pip/Finn gets news of 'great expectations'; Pip/Finn goes to London/New York; Pip/Finn in London/New York; Estella leads on another suitor; Estella tells him she is marrying the other suitor; Joe visits Pip/Finn in London/New York; Pip/Finn tells Estella of his love and confronts her guardian; The convict returns, reveals that he is the benefactor and dies; Pip/Finn re-meets Estella in the ruins of the old mansion.

In *Great Expectations,* chronological time is given with reference to the developmental organisation of the plot (emplotment) and kernel events. Experienced or lived time comes to the fore where Pip/Finn experiences or recollects events that have made an impact on him. In the film it is conveyed using voice-over technique as follows:

> I'm not going to tell the story the way that it happened. I'm going to tell it the way I remember it (*researcher's own transcription*: 1998).

"Textzeit" in the novel relates to the actual time spent on reading the text, while "Textzeit" in film refers to the time it takes to view the film. Cultural "zeit" shows or represents the Victorian and the postmodernist way of life intersecting with the world of

action in the novel and film respectively. Another aspect of cultural "zeit' is also highlighted by the dialogue between the novel and the film and the difference between their respective time frames. Although the time order in the novel and film of *Great Expectations* is given chronologically, the whole story or the construction of the plot can be seen as an analepse (flashback). In the novel the technique of ellipsis or summary is usually used in relation to helping readers remember where the one volume ends and the next begins as well as to shorten the text time of a journey. The film uses the technique of replacing the dancing children with the dancing young adults, Finn and Estella, to indicate that Finn visited Paradiso Perduto every Saturday for years.

The most memorable descriptive pause is Pip's/Finn's observation of the remnants of Miss Havisham's/Dinsmoor's wedding reception. The *mimetic* nature of the novel and film is emphasised where the story and the novel or film duration are considered identical when dialogue between characters simulate verbal dialogue in real life. Although frequency does not feature often in the novel, it is found in the film in the accounts of Miss Dinsmoor's rejection at the altar. These examples show that temporal relations in the novel and film are quite similar, which suggest that temporal relations as narratological component transcend the boundaries of historical time.

4.5.1.2 Character

The characters in the novel and film can be described in terms of Propp's definition of functions in *Morphology of the folktale* (1968 (originally published in Russian in 1928)). Pip/Finn can be seen as the hero who inherits good fortune, loses it, and finds more modest satisfaction in the end. In this process he longs to win the heroine, Estella, he loses her and is finally reconciled with her in the end. Estella functions as the princess and love interest of the hero. In a sense, Estella is also a reflection of Pip/Finn. The true donor is Magwitch/Lustig and the false donor is Miss Havisham/Dinsmoor. Miss Havisham/Dinsmoor is problematic for she could be seen to function as a villain who makes Pip/Finn believe that she is helping him so that he can marry Estella in the end. The predominant helper in the novel and the film is Joe, while the predominant villain, other than Miss Havisham/Dinsmoor, is Drummle/Walter (Estella's suitor). Jaggers/Jerry Ragno also functions as the dispatcher who delivers the message of Pip/Finn's "great expectations".

In the film some names are changed and some names stay the same as in the novel. The dialogue between the names of the characters in the novel and film shows that the meaning ascribed to the names is more or less the same. An enhancing aspect is that certain names differ to complement and broaden understanding of the characters.

According to Lothe (2000:81-84), the dialogue between the novel and the film indicates that the novel incorporates both direct definition and indirect presentation , while the film focuses more on indirect presentation. These distinctions are made in accordance with similar distinctions in the novel; however, the film can also be seen as direct definition because everything is visualised. One can see what the characters look like, they do not have to be described as in the novel. The same goes for their actions – these are shown directly. Indirect characterisation in the film would be showing the reaction of one person to what another has done, i.e. Joe goes away when he realises that Finn is embarrassed by his presence, which is an indication of Joe's higher sensitivity despite his perceived lower social position. An alternative view could be that *direct presentation* suggests visual presentation of images and characters' actions, while *indirect definition* refers to voice-over technique. Pip/Finn's description of the characters is not unbiased for the description is given through his subjective eyes (focalisation).

Actions representing indirect presentation as a form of characterisation in the novel and the film correlate in most cases. The actions and roles enacted by the different characters in the novel and film are predominantly the same with regard to their functions. What a character says or thinks and what other characters say (indirect presentation) can reveal much about the character. In the novel and film Pip/Finn, a character and the narrator, reveals much about himself in narration. His speech as a child reveals his social class. Therefore the most influential comments in both mediums or genres are those concerned with his social standing, as expressed by Estella and Miss Hamvisham/Dinsmoor in particular. Contemporary language which differs from Victorian language may be found in the film, but the subtext of the words is the same so that the image of the film correlates with the picture in the mind of the reader.

4.5.1.3 Space

Both texts represent *reality* as place or space from which inferences are made about social environment and culture. The novel operates from the linguistic signs (words) on paper that are interpreted conceptually and then perceptually (the imagination) by the reader, which leads to signification (a reader's interpretation). The film, on the other hand, operates from the visual signs (images) on the screen that are interpreted perceptually and then conceptually by the viewer or audience, which then also leads to signification (a viewer's interpretation).

Although novels are widely considered as symbolic representations, the Realist novel *Great Expectations* has *mimetic* aspects embedded in the description, which is based on the observation of the real world. This characteristic of the Realist novel makes it possible to assume that *mimetic* aspects can be identified in the symbolic sign system of the Realist novel. It would also seem that these texts use different strategies in effecting *mimetic* representation in the recreation of place: while description features in the novel, perceptual representation is invoked by the film. The predominant places in the novel have been identified as the marshes, the forge, Satis House, London and Europe. The corresponding places in the film are the Florida Gulf Coast, Joe's house, Paradiso Perduto, New York and Paris. Although these particular places are found in two different countries, descriptions and perceptions of their significance are similar.

Nature and the infinite possibilities of human existence are linked to the marshes and the Florida Gulf Coast. The forge and Joe's house represent the lives of working class people as well as the existence of poverty. Satis House and Paradiso Perduto represent the illusion or dream that Pip/Finn strives to make a *reality*. London and New York offer Pip/Finn the opportunity to realise his dream. Europe and Paris give Pip/Finn the necessary distance to come to insight. The demarcated areas in the novel and film of *Great Expectations* also represent inner states of mind. The marshes and the Gulf Coast are seen as reflections of Pip's/Finn's inner world and his potential, which vastly exceed the expectations of the child who is physically smaller than his environment. Pip/Finn's first home, the wooden dwelling and the dilapidated house in the fishing village are the first intimate spaces that reflect Pip/Finn's identity. The poverty that these houses reflect shows the inner challenges Pip/Finn will have to face to make his dream

of loving Estella come true. Satis House and Paradiso Perduto are overgrown, dilapidated, decaying and crumbling mansions.

Artificial light implies that Pip/Finn's great expectations are artificial. The Gothic-like lighting of the houses in the novel and film foreshadow the dark, depressed and morally decayed man that Pip/Finn will become in London/New York. The narrowness and ugliness of London and New York are also reflected in Pip/Finn's inner world, based on false values, which is becoming narrow, crooked, ugly and dirty. His inner world or personality reflects pride and bias, which are examples of his false values that come to the fore in his encounter with Joe. In the novel and film these specific places are also related to certain social environments of status. The marshes and the Florida Gulf Coast are the places created for meeting the convict, the lowest of the class structure; the forge and Joe's house represent the poor working class; while Satis House and Paradiso Perduto represent the rich middle classes; and London and New York represent the places for the evolution or progress into a gentleman (middle classes or artistic elite).

4.5.1.4 Narrator

According to Chatman (1990:134), the film narrator differs from the literary narrator because film narration is devised by a complex variety of communication devices based on the *implied author*. This view on film narration was explored and illustrated in the discussion in chapter 3. Although narration (and focalisation) can be described in this way in most films, *Great Expectations,* also offers a kind of literary perspective on narration that is created by using voice-over technique (Bordwell & Thompson, 1993:79). In the novel as well as the film, the narrator is active in the plot and is referred to as a first-person narrator who recalls events in retrospect. The narrator Pip/Finn is evident throughout the novel and film, and the fact that he is a first-person narrator, makes him unreliable, because he is subjective and biased. However, this unreliability can refer to the narrator's limited knowledge at the time when he experiences the event. The child Pip cannot interpret the events; it is only when he reverts back to being an adult that he can gain a clear picture of their significance in shaping his life.

4.5.1.5 Focalisation

In the two texts of *Great Expectations* there are three focalisers: the child, the young adult and the mature Pip/Finn. In the novel, the description of Miss Havisham's wedding reception room illustrates how the narrator's (and/or reader's) perception of the place or position of objects in relation to one another can affect the reader's interpretation. In the analysis of focalisation in the film, Bal's (2001) theory on visual narratology has shown that visual narratology supports, correlates with and enhances the aspects discussed in the traditional narratological analysis of the film.

4.5.2 Social environment

The dialogue between the novel and film also concerns the social environment. Bakhtin's (Todorov, 1984:97) dialogic principle is concerned with the dialogue between cultural texts and their social environment, as well as with each other. According to Van Zyl (in Ryan & Van Zyl, 1982:73 –77) Jurji Lotman developed the aspect of Bakhtin's work referring to the dialogue between a cultural product and its social environment, into the concept of extratextuality. Lotman also later developed the concept of the semiosphere to designate the semiotic system governing the social environment of a culture.

There are two different contexts or semiospheres that influence the novel and film texts. The first semiosphere relates to the Victorian context and the origins of the novel as a social phenomenon, while the second semiosphere is the postmodern context and its interaction with the film. As indicated, these contexts represent two different historical periods and different world views and ideologies, but they also show certain correlations with regard to society, development and progress. The most important aspect that the Victorian and postmodern contexts have in common is that of change. In the Victorian context this change was brought about by the Industrial Revolution, while in the postmodern context change has been brought about by the increasing development in communications and information technology. These events, or processes brought about tremendous social upheaval, which resulted in job losses, migration to the cities and poverty.

Class and materialist concerns form the driving forces behind both dominants (social environments). In both the Victorian and postmodern contexts political power belong to those with money. The social environments created in the novel and film are based on communities representing the most dominant political power of the time: Britain as a superpower in the Victorian context and America as a superpower in the postmodern context.

The respective social contexts also play a role in the perceptions of identity and identity formation. Victorian identity was linked to progress and evolution, but within the traditional paradigm, where identity was essentialised as a definite perception of self, of being, which people had to experience through self-discovery (progress) in order to find their *true* identity (Graybill, 2002: par. 15). In the novel *Great Expectations* Pip has to go on a quest to discover his true identity. The Pip of the marshland with all his chaotic potential must discover his true identity through experience. Pip has to find out that recognisable traits related to country, nation, class, race and gender do not limit whom he discovers he is at the end of the novel. The postmodern perspective of identity is a fluid process of formation – that of becoming (Kinane, 1998:par 10).

The notion that history repeats itself is emphasised in the dialogue between the novel and film. It also shows that social environments may transcend their own historical boundaries because the social environment tends to evolve and transform with the passage of time to represent different but recognisable realisations of or adaptations to these distinctive periods. Interaction between the texts of the novel and film sheds some light on the issue of identity, as it becomes clear that they share the same *mimetic* aspects (visual, kinesic and auditory) and narratological components that transcend the significance of contextual factors.

Realist novels, due to the embedded mimetic system in description, lend themselves better to adaptation in comparison with say, for example, postmodernist novels. The novel is not a mimetic system as such, but the Realist novel with its particular characteristics makes it possible to identify the mimetic system in the descriptions within the novel as symbolic system. This correlates with the ideal of the Realist novel to be mimetic or to evoke a response from the reader that calls forth a mimetic picture in the mind of the reader. The narrative differences between the novel and film are negligible. The novel is a linguistic medium in a conceptual and discursive form, while the film is

essentially a visual medium in a perceptual and presentational form. Another difference is that these texts seem to use different strategies in effecting *mimetic* representation in the recreation of place, where description is the novelistic manner, while perceptual representation is the way the film functions.

4.5.3 Role of genre/conventions

In this section the emphasis is placed on how the novel uses certain narrative strategies (Barthes' semic code), conventions, codes or subsystems (intertexts), such as the fairy tale, Gothic, mystery and *Bildungsroman*, and how the film transforms and represents them.

Although the narratological components and the social environment play an important part in constructing identity, they are presented or represented from a specific historical perspective. This affects the type of narrative conventions that are chosen for a specific text. For example, the predominant ideas of the Victorian era, such as observation, progress and social problems, lead to certain conventions that writers of the 19th century were supposed to have observed. The first was that they had to observe their environment through their five senses so that characters were based on real-life observation of three-dimensional human beings (Crawford, 1991:249-252). The following quote describing Miss Havisham indicates the emphasis on the visual, which may also allude to the other senses (rich materials – touch/tactile sense) in *Great Expectations*:

> In an arm-chair, with an elbow resting on the table and her head leaning on that hand, sat the strangest lady I have ever seen,' or shall ever see.
>
> She was dressed in rich materials - satins, and lace, and silks — all of white. Her shoes were white. And she had a long white veil dependent from her hair, and she had bridal flowers in her hair, but her hair was white. Some bright jewels sparkled on her neck and on her hands, and some other jewels lay sparkling on the table. Dresses less splendid than the dress she wore, and half-packed trunks, were scattered about. She had not quite finished dressing, she had but one shoe on — the other was on the table near her hand -her veil was but half arranged, her watch and chain were not put on, and some lace for her bosom lay with those trinkets, and with her handkerchief, and gloves, and some flowers, and a prayer-book, all confusedly heaped about the looking-glass. It was not in the first few moments that I saw all these things, though I saw more of them in the first moments than might be supposed. But, I saw that everything within my view which ought to be white, had been white long ago, and had lost its lustre, and was faded and yellow. I saw that the bride within the bridal dress had withered like the dress, and like the flowers, and had no brightness left but the brightness of her sunken eyes. I saw that the dress had been put upon the

> rounded figure of a young woman, and that the figure upon which it now hung loose, had shrunk to skin and bone. Once, I had been taken to see some ghastly waxwork at the Fair, representing I know not what impossible personage lying in state. Once, I had been taken to one of our old marsh churches to see a skeleton in the ashes of a rich dress, that had been dug out of a vault under the church pavement. Now, waxwork and skeleton seemed to have dark eyes that moved and looked at me. I should have cried out, if I could (Dickens, 1981:87).

The emphasis of Victorian Realist writing was on the outward action as a reflection of the inner workings of a character (Crawford, 1991: 249-252). The following quote illustrates how outer action reflects the inner mind of Miss Havisham:

> 'Do you know what I touch here?' she said, laying her hands one upon the other, on her left side.
> 'Yes, ma'am.' (It made me think of the young man.)
> 'What do I touch?'
> 'Your heart.'
> 'Broken!' (Dickens, 1981:88).

In Victorian literature, plots show environmental and social forces that encroach on or oppress (influenced) man (Crawford, 1991:249-252). In *Great Expectations* the decay evident in Satis House represents the encroaching social forces that made Miss Havisham the person she is and also foreshadows her influence on Estella and Pip. Pip is also an example of how social forces, such as the changes that have been brought about by his "expectations" affect his life. In addition to these conventions, certain narrative strategies, such as the fairy tale, Gothic, mystery and *Bildungsroman* in the novel of *Great Expectations* reflect the Victorian context.

The film, on the other hand, is an example of the post-modernist idea that individuals live in the expanded present where the notion of time disappears. This idea makes it possible to transform a novel of the 19th century into a different medium, the film, which presents the same story and plot, but is situated in the late 20th century. However, the film uses visual techniques of lighting, colour and *film noir* to visualise the narrative strategies. The element of mystery permeating the novel is transformed into filmic action techniques. The *Bildungsroman* is transformed into the filmic genre, (melo)drama. If the novel were to have been written in drama format, it could have been described as a melodrama, because it has a happy ending after a serious representation of Pip's endeavours. In a melodramatic sense, Pip can be seen as an underprivileged, underrated, oversensitive character who becomes unhappy due to his station in life and love for Estella. However, this reversal can also be made applicable to the film, because

it also shows Finn's growth and reinvention of the self (progress) as suggested by the *Bildungsroman*.

4.5.3.1 The fairy tale

Features of the fairy tale can be found in both the novel and film. This section explores the fairy tale as manifested in the novel and film.

4.5.3.1.1 Novel

Calder (1981:17) points out that "part of the strength of *Great Expectations* lies in the elements that Dickens takes over from the fairy-tales which he never forgot." Hence the associations and conventions that the novel shares or has in common with fairy tales are to be investigated. The purpose of the investigation is to see how fairy tale elements and associations impact on the novel *Great Expectations.* Bausinger's (1987:77-81) views on the conventions regarding the fairy tale are used as reference point.

In the first instance, he sees a fairy tale as a children's tale about magical and imaginary beings and lands placed in the non-binding timelessness of "once upon a time" (Bausinger, 1987:77). In *Great Expectations* Estella, Miss Havisham and Magwitch are "magical beings" to Pip. Estella is the unobtainable princes, Miss Havisham his magic witch and Magwitch the monster from the marshes. However, in the end he finds that his magical witch is Magwitch and the monster is Miss Havisham. The "magical and imaginary land" for Pip is Satis House, which represents the magical world of Estella and Miss Havisham that is beyond Pip's imagination and far outreaches the limited experience of his life at the forge. The aspect of timelessness comes to the fore in that these "magical beings" are timeless representations of good and evil. Pip can be likened to Cinderella, a person who is portrayed as possessing unrecognisable merit such as the residue after a fire. Miss Havisham and Estella dismiss him as insignificant, especially at the beginning of the novel. Magwitch, his "fairy godmother", and Joe are the only ones who recognise his merit. Joe makes him his apprentice, while Magwitch provides him with his "great expectations".

Another aspect of the fairly tale is that fear is an important aspect. The characters in the fairy tale find themselves in the presence of cruelty, hunger, privation, homelessness and abandonment (Bausinger, 1987:77). Pip, "the small bundle of shivers growing afraid of it all", is in a sense homeless and abandoned by his dead parents who have left him in the cruel care of his sister, Mrs Joe (Dickens, 1981:35). As Cinderella is subjected to the cruelty of her stepmother, so Pip is subjected to his sister's rampages.

Hand in hand with fear and cruelty is the conflict between parents and children in fairy tales (Bausinger, 1987:77). When Pip seeks to find the " identity of things" at the churchyard, his sister (Mrs Joe) is out rampaging and looking for him with Tickler (Dickens, 1981:35). Tickler is the physical manifestation of the conflict between Pip and his sister. Pip is also in conflict with Joe, the man who raised him, when Joe visits him in London. When Magwitch returns Pip is into conflict with the "father" who has provided his "expectations". Pip, like Cinderella, comes in conflict with parent figures when he tries to seek independence. Cinderella sneaks off to the ball in order to become independent by possibly marrying a prince, while Pip goes to London to become independent by becoming a gentleman so that he can possibly marry his princess, Estella.

According to Bausinger (1987:78) the characters in a fairy tale are on a quest to overcome a series of obstacles before reaching the desired state. *Cinderella* has to overcome obstacles to be able to go to the ball. She has to find a pumpkin, mice, a rat, lizards and her clothes to become a coach, horses, a coachman and a beautiful ball gown. Pip has to overcome obstacles to become a gentleman. In the first instance he must find a benefactor, then Herbert and Mr Pocket must teach him the respectable way to act in society. The desired state is usually the idealised fairy tale romance. The way Pip puts Estella on a pedestal is an idealised and romantic view of love. This correlates with the way the prince in *Cinderella* also places her on a pedestal. The fact that Cinderella seems to be unobtainable (the prince has to search for the girl whom the magic slipper fits) reflects the apparently unobtainable Estella.

This links up with the magical, split-second transformation that usually occurs in fairy tales (Bausinger, 1987:78). In a fairy tale the heroine or hero is changed in a moment. Sleeping Beauty changes instantly when kissed by her prince. The frog immediately changes into a prince after being kissed. The beast changes into a prince when Beauty

returns to his palace. Cinderella's clothes change into the magic attire of the ball the moment her foot fits into the slipper. In *Great Expectations* Pip and Estella are changed as if "by magic", albeit after the passage of time, in contrast to Miss Havisham, who is frozen in time.

A fairy tale has a happy ending where good triumphs over evil. Bausinger (1987:81) in his discussion about the fairy tale talks about luck ("Gluck") and that the beginning is ruled by its ending. Cinderella, by luck, is given an opportunity to fit on the slipper. There is an idealised ending implied in the fact that it is a fairy tale. The allusion to the fairy tale in *Great Expectations* in a sense foreshadows that Pip and Estella who are united at the end of the novel by holding hands will live happily ever after, in contrast with the rest of the novel that is based on Realism.

A fairy tale is an untrue account yet it conveys in a condensed symbolic way something about reality (Bausinger, 1987: 80). According to Opie and Opie (1992: 16) "the magic in them almost heightens the realism". Although *Great Expectations* is told in a "realistic" mode or fashion focusing on observation (the eye), the events are very unlikely to be a true account. The reason is that it is highly unlikely that a child of the lower classes will come into contact with a child being brought up by the middle or higher classes. Thus, the realistic telling of the untrue tales heightens the condensed and symbolic lesson that comes to the fore in *Great Expectations* and *Cinderella.* It underlines the idea that people's true potential should not be underestimated and that all people are of value.

The investigation shows that many aspects of the fairy tale, but in particular that of *Cinderella,* are present in *Great Expectations.* The allusion to the *Cinderella* fairly tale in the novel functions as a false hope that a prince on a white horse, or princess of high society in this instance, will magically "save" the heroine or hero, in this instance Pip, from the "horrific situation" in which the heroine or hero finds him- or herself. The association of the novel with the fairy tale of *Cinderella* has an ironic ring to it, as Calder (1981:17) suggests:

> It is a kind of inverted Cinderella, where the ugly sisters, Joe and Magwitch, are in the right, the fairy godmother, Miss Havisham, is a witch after all, and the princess, Estella, is a gleaming fake.

4.5.3.1.2 Film

In transforming the novel into the film Cuarón, Lubezki and Burrough give the film "a fairy tale-like look, painting scenes – literally and figuratively – in broad strokes" (Groen, 1998:par 9). The use of colour, lighting, décor, shots and camera angles (visual techniques) create the fairy tale picture. An arresting example of this is the enchanted and lavishly green garden with angel-like statues and strange creatures with the sun streaming through rafters. In contrast with Zipes' (1997:2) view that filmmakers do not "realise how rich and compelling fairy-tale material" is, the film of *Great Expectations* exploits and transforms the fairy tale elements evident in the novel.

The imaginary and magical beings in this timeless once-upon-a-time is grotesquely pictured, exaggerated and larger than life. An excellent example is Miss Dinsmoor, who looks like a monstrous walking cadaver in her garish makeup. Other characters in the film also mimic characters from fairy tales, such as Lustig, the fairy godmother and mysterious source behind Finn's "great expectations". As in the novel, there are constant allusions to characters in the fairy tale of *Cinderella.*

Fear and cruelty in the novel are also found in the film transformation. In the film the actions of characters or actors illustrate this. Out of fear Finn helps the convict. Finn fears rejection from Estella and fears that Joe will destroy his success in New York, to mention only a few occurrences. The manifestation of cruelty is highlighted in Miss Dinsmoor's act of being untruthful with Finn by not telling him that she is not his secret benefactor. In the film, Finn is not physically abused by his evil sister, he is merely abandoned, which is a kind of emotional abuse that is also apparent in *Cinderella.*

The film exploits various kinds of conflict: between parents and children by focusing on Finn's and Joes' conflict in New York, between Finn and Miss Dinsmoor when he confronts her for causing his suffering from a broken heart and Finn's conflict with Lustig in New York. These conflicts occur when Finn tries to reinvent himself and seek independence. This correlates with the novel and its allusion to the fairy tale, *Cinderella.*

As in the novel, Finn/Pip as "Cinderella" has to overcome a series of obstacles before reaching a certain desired state, which is "to have it all". He wants to paint for the rich and marry Estella. Finn is thus aiming for a fairy tale ending. The obstacles that Finn

has to overcome are daunting. He has to create an art collection from nothing for an exhibition; he has to generate enough publicity so that he can sell his paintings and he has to win Estella, who has a boyfriend.

In addition, fairy tales go hand in hand with magical transformation. Cinderella's magical transformation into a princess is an example of this transformation. In the film Finn changes from a frog into a prince every time Estella kisses him at the two water fountains in the film. The kiss at Miss Dinsmoor's water fountain changes the direction of his life; he starts to become obsessed with painting for the rich. The kiss at the water fountain in New York transforms his world and it seems that his dream of marrying Estella may be an obtainable goal, not just a dream. As in the novel, the passage of time is the "magic" element that makes transformation possible. This magical transformation leads to the happy ending that is a feature of all fairy tales. The film suggests this happy ending by letting Finn and Estella hold hands at the end of the film. However, the film does not stop here for the predominantly white clothes worn by Finn and Estella indicate that time has brought enlightenment for both of them. It is because of this enlightenment that a future is possible for Finn and Estella.

As in the novel, there are many allusions to the fairy tale, particularly to *Cinderella.* Although the film creates a romantic and fairy tale-like atmosphere, the fairy tale aspects are parodied, as in the novel. The film transformation also adds the visual techniques of colour, lighting, makeup, décor, props, shots and camera angles to emphasise this.

4.5.3.2 The Gothic

This section explores the Gothic as manifested in the novel and film.

4.5.3.2.1 Novel

The Gothic elements in *Great Expectations* highlight the "horrors" in the world of the 19th century that Pip wants to escape. The "horrors" of Victorian life are centred round issues relating to the class system, which go hand in hand with materialism. According to Botting (1996:20) the main focus of the Gothic novel is the "particular loci" and

"particular images" that "Gothic excesses and transgressions repeatedly return to". Therefore this section explores the places and imagery that resemble Gothic loci.

Darkness and shadows pervade the Gothic landscape. Graveyards are places that are found in Gothic novels. The gloomy, shadowy and scary graveyards direct the attention towards the realisation that life is only a temporary experience. Graveyards function as reminders of the transience of physical existence and things. At the beginning of *Great Expectations*, Pip finds himself in the shadow land of the graveyard – the bridge between the world of the living and the dead. Pip as an orphan is in the dark about his role in the greater scheme of things. He tries to fathom his identity from the tombstones of his dead parents and siblings. It is here in this shadow land that he meets the convict, Magwitch. Ironically, Pip meets his substitute father (the one who provides him with "great expectations") in the graveyard where his biological father is buried.

Pip represents a Gothic hero who is a wanderer, a rebel and an outcast. Due to his lack of identity he seems to be wandering aimlessly through his life before he meets Estella and Miss Havisham. This makes him rebel against his life at the forge and makes him accept his "great expectations". As a result he is a social outcast, belonging to neither the working class nor the middle class.

This brings us to evil in the Gothic novel: "the locus of evil vacillates between outcast individuals and social conventions that produced or constricted them" (Botting, 1996:90). Pip is the product of both social interference and constriction. His contact with Miss Havisham and Estella and Magwitch's interference has made him a product, while social restraints and Miss Havisham's obsession have made his love for Estella impossible. However, the novel undermines Pip's materialistic obsession, which is caused by social influences, because the graveyard stands for the futility of striving for the materialistic.

Haunted houses are another feature in Gothic novels. Ghosts are the inhabitants of these abodes. Satis House is the haunted house in *Great Expectations*. Botting (1996:123) highlights that characters are haunted by their pasts which are founded on family transgression and guilty concealment. Miss Havisham is haunted by her past, a past that is caused by her father's transgression of having an illegitimate son who orchestrated Miss Havisham's jilting. She moves through the house as a ghost trapped

in time. It is as if Miss Havisham's jilting has frozen time for her. Like a ghost who is trapped in the earthly sphere, is Miss Havisham is trapped in her own hurt. The horror of her betrayal freezes her human faculties, rendering her mind passive and immobilising her body (Botting, 1996:75). Even Miss Havisham's physical description suggests that she is a ghost-like figure. She is compared to a "ghastly waxwork" and "skeleton" (Dickens, 1981:87).

Not only does Miss Havisham resemble a ghost, she also resembles a vampire and a zombie. Vampires and zombies are the "Undead". Vampires suck the blood of other people to survive, while zombies are the victims of the vampires. Zombies are clinically dead but not at rest (Markman, 2000:206). Miss Havisham's life has been sucked from her after being jilted. This made her a zombie, emotionally dead and not at rest. In order to live in this 'dead-and-alive' state (a living corpse), she sucks the life from Estella. This makes Estella her zombie, who like a 'beast of burden' must do the bidding of her mistress. In this case it is to break men's hearts to avenge Miss Havisham's own "emotional death".

Botting (1996:32) views ruins in the Gothic novel as testifying to "a temporality that exceeded rational understanding and human finitude." *Great Expectations* ends with Pip and Estella reuniting in the ruins of Satis House. Pip and Estella can be seen as "creations of distorted imaginings" since "both are fabricated like Frankenstein's monster." They are mirrors or doubles of each other. However, they also represent the two sides of the coin of identity. The ending of the novel again emphasises the futility of materialism and that our existence on this earthly plane is only temporary. The ruins show that materialistically valued constructions such as mansions easily deteriorate, decay and are destroyed by time. In the same way that time destroys mansions, so Pip and Estella's issues with regard to materialistic and class concerns deteriorate over time. In opposition to Miss Havisham, who is frozen by the horror of her jilting, Pip and Estella move forward. The terror Estella experiences at the hand of Drummle, as well as Pip's terror in connection with his identity, makes escape possible. According to Botting (1996:75) terror "allows one to delimit its effects, to distinguish and overcome the threat it manifests." The use of ruins at the end of the novel thus alludes to a possible future for Pip and Estella.

In the middle of the 19th century, the "modern city, industrial, gloomy and labyrinthine, is the locus of horror, violence and corruption" (Botting, 1996:114). In the city the contrasts between light and dark, good and evil, are predominant. Cities are described as evil places that are inhabited by criminals who are the new villains – human but extremely cunning and corrupt. Pip's first experience of London is connected to the criminal life of the city. Arriving in the city, Pip has to meet his guardian, Mr Jaggers. Jaggers is a devil-like lawyer who manipulates everyone around him with satanic glee. An illustration of this is when Pip and his friends attend dinner at Jaggers's house, which is served by Estella's mother, Molly. Even his office with the two "dreadful casts" of human faces on the shelf alludes to him being a devil (Dickens, 1981:188). Wein (2002:165) suggests that Dickens uses portraits of devils and devil-worshippers to describe characters who are devotees of an "infernal legal system" in his work.

Another image that can be connected to Jaggers is that of a vampire, because the chair in his office resembles a coffin: "Mr Jaggers's own high-backed chair was of deadly black horse-hair, with rows of brass nails round it, like a coffin" (Dickens, 1981:188). Newgate prison is an ominous presence in the novel. Pip describes the inside of the prison as a horrific place: "a frouzy, ugly, disorderly, depressing scene" (Dickens, 1981:280). Mighall (1999:69) points out that Dickens transfers the traditional Gothic properties of monsters and mysteries to the legal districts. Newgate prison carries with it the idea of imprisonment, while imprisonment is linked to the idea of the labyrinth or maze. A labyrinth is "associated with fear, confusion and alienation: it was a site of darkness, horror and desire" (Botting, 1996:81). Escaping the labyrinth is a daunting task for there are wrong or even fatal paths. The labyrinth can be compared to a web of deceit. Pip experiences the labyrinth on a personal or inner level. Pip is caught up in deceit when he makes the false assumption and is led to believe that Miss Havisham is his benefactor. This places him on a path that makes escape difficult.

The investigation into how *Great Expectations* adheres to Gothic elements or properties has shown that settings or places resemble Gothic images in order to highlight the atrocities in Victorian society. These atrocities are linked to the class system as well as to materialism. Dickens uses the Gothic allusions to graveyards, haunted houses, ruins and labyrinthine cities to comment critically on the social horrors of his time. Gothic elements are used to situate *Great Expectations* at the limits of normal worlds and mores.

4.5.3.2.2 Film

The Gothic elements are transformed by incorporating visual techniques and aspects of *film noir*. It is interesting to note is that another name for the Gothic novel is *roman noir* (Hawthorn, 1992:34). The "horrors" in the 20th century that Finn wants to escape are the same that Pip wants to escape, namely the class system that is based on materialism or capitalism. Although the film touches on Gothic elements in the rural landscape of the Gulf Coast and Paradiso Perduto such as the monster-like Lustig and the cadaver-like Miss Dinsmoor, the urban environment resembles Gothic elements in the guise of visual techniques associated with *film noir*.

Film noir as well as the Gothic narrative strategy focus on darkness and shadows. Cook (1985:94) describes *film noir* visual techniques as follows:

> 'low-key lighting' which eschews softening filters and gauzes and 'opposes light and darkness, hiding faces, rooms, urban landscapes – and by extension, motivations and true character – in shadow and darkness'. The night scenes integral to film noir... the high contrast image and jet black

In the film, the city is seen as the gloomy locus of corruption. When Finn emerges from the artificially lit labyrinthine subway system, he is confronted with the dark, rainy city. The first person he meets on the streets of New York swears at him for no reason. Finn and Estella run soaking wet in the rain-drenched streets of New York to escape from the class system represented by her "evil" boyfriend. According to Cook (1985:93), this is "the recurring visual marks of *noir* – the majority of the scenes lit for night, rain-drenched streets... a fondness for oblique lines and fractured light." Another example of this is Finn's studio, where fractured light through the window creates this gothic atmosphere.

Film noir, the same as Gothic fiction of the middle 19th century, focuses on recurrent themes of crime and violence with a psychological emphasis (Cook, 1985:93). In the film Finn's "great expectations" are based on crime, because Lustig uses the money he has stolen from the mob to set Finn up. The most striking example of violence is when Finn and Lustig find themselves in the underworld of the subway system trying to escape Lustig's pursuers and the latter (Lustig) is knifed to death.

Another important aspect of *film noir* is "sadistic villains and heroines tormented with deeply rooted diseases of the mind flashed across the screen" (Cook, 1985:93). In the

film Miss Dinsmoor is a villain who is tormented by the horror and shame of being jilted at the altar. Finn is influenced by Miss Dinsmoor and becomes a mirror of her diseased mind. Miss Dinsmoor also transfers her pain onto Estella, who then becomes an ice princess and develops her own psychosis. Cook sees women as central to the intrigue of the *film noir world*. They are defined "by their sexuality, which is presented as desirable but dangerous, the women function as an obstacle to the male quest" (Cook, 1985:96). Both Miss Dinsmoor and Estella are dangerous women who are placed outside the familiar roles of women. In the film Estella is defined by her sexuality and she stands in Finn's way for he cannot accept himself and tries to reinvent himself to be acceptable to her. By marrying another man and fulfilling the task Miss Dinsmoor has placed on her shoulders, Estella helps Finn free himself from Miss Dinsmoor's manipulation. Cook (1985:96) sees the degree to which the hero "can extricate himself from the women's manipulations" as the measure of his success.

Despite the fact that *noir* elements dominate the urban landscape, the film cannot be seen as a purely morbid drama. As the novel uses Gothic loci and images, so the film transforms these Gothic elements that focus on darkness and shadow into *film noir* visual techniques that focus on darkness and shadow as well. The film mostly restricts the darkness and shadow aspects of *noir* to the urban environment. This is done to show the contrast between the enchanted forest of the fairy tale, Paradiso Perduto, and the harshness of the materialistic and class system of the real world, New York.

4.5.3.3 The Mystery

This section explores the mystery element manifested in the novel and film.

4.5.3.3.1 Novel

Although the mystery element is also found in the Gothic novel, it is discussed separately in this section on mystery. The labyrinthine 'web of deceit' links the mystery novel with the Gothic plot. The mystery element comes to the fore in *Great Expectations*, because unravelling mystery is a way of escaping the Gothic horrors. This section explores the manifestation of the elements of mystery in the novel *Great Expectations*.

Gavin and Routledge (2001:1) define mystery as follows:

> Mystery lies in both the knowable but as yet unknown and in the unknowable. Mystery provokes questions: who? how? why? Mystery demands answers: solution, in the form of those questions being answered, or resolution, in the form of acceptance of mystery as an insoluble but integral element of life.

A question mark hangs over the opening of *Great Expectations*. Pip questions his origin and his identity by attempting to make sense of the writing on the tombstones of his deceased parents. Then a strange man is introduced who literally and figuratively turns his world upside down. The question of his identity arises, as well as the role he is to play in Pip's future. In addition, questions about Miss Havisham's motives for inviting Pip to play with Estella come to the fore. A very important question is the one in connection with the identity of Pip's benefactor. The fact that the identity of the benefactor is a secret influences Pip's actions, because he makes the false assumption that Miss Havisham is his benefactor. Another important question in the novel centres round Estella's parentage. The question whether Pip and Estella will live happily ever after, is a recurring question throughout the novel.

Pip has the daunting task to unravel the mystery of his identity. Pip is like a detective in crime fiction. Puzzling out each of the questions referred to above either gives clues to his identity or forms his identity. The fact that Magwitch is his mysterious benefactor once again turns his world upside down. Magwitch, whose identity or nature is puzzling or unknown at the beginning of the novel, commits the "crime" of taking a child from the lower classes and bringing him in contact through the "dirty money" of a convict with the lives of people of the higher classes. The "dirty great expectations" also addresses the manner in which money and its source can change the perception of self in a materialistic society. For Pip to overcome the horror of his situation, he has to puzzle out the mystery surrounding his and Estella's identity. In solving the question of Estella's parentage, he discovers the secret that Magwitch and Molly, Jaggers's housekeeper, are her parents. He also discovers Jaggers's crime in taking Estella from her mother and passing her off as an orphan. Estella's biological parentage supports the formation of his identity.

Great Expectations inverts the plot of the mystery novel where the "orphaned heroines with all the virtues of middle-class domestic values discover their aristocratic birthright after a series of terrors, persecutions and imprisonments" (Botting, 1996:71). Although

Pip is an orphan, he is from the working class. His benefactor is not from aristocratic or middle class background, but is a convict. Estella is not an orphan in the true sense of the word, because both her parents are alive for most of the novel. Despite the fact that she is reared as a middle-class lady, she is discovered to be the daughter of criminals. Estella's true identity (parentage) and Jaggers's criminal act of taking Estella away from her mother to grow up in Miss Havisham's house are concealed for most of the story.

In the mystery novel "vice is revealed for what it is" (Botting, 1996:71). In answering the burning questions posed in the novel, Pip reveals the vices of Magwitch, Miss Havisham and Jaggers. Interestingly, Jaggers is involved in both Magwitch's and Miss Havisham's transgressions.

4.5.3.3.2 Film

As in the novel, unravelling the mystery of his mysterious benefactor is the key that will help Finn escape his current predicament. The mystery is centred round unravelling the 'web of deceit' that surrounds the protagonist. In contrast with the novel that has to rely on the narrator, the film provides additional visual and auditory clues about the identity of the benefactor.

Contrary to the novel, one question overrules everything in the film, namely finding out the identity of Finn's benefactor. In a sense the identity of the benefactor reflects Finn's own identity. By assuming that Miss Dinsmoor is his secret benefactor, his self-worth improves because he assumes that the rich Miss Dinsmoor thinks he is good enough to help him become an artist as she plans for him to marry Estella. When he finds out that Lustig is his benefactor, he is able to move on with his life and let go of his obsession. Ironically, it is his act of letting go that makes a future with Estella possible.

Although Finn's narration in voice-over predominates and manipulates the film, the film provides additional visual and auditory clues about the identity of Finn's mysterious benefactor. In the first instance, the mob accent of the convict shows his connection with the mob. This is later verified by the TV News broadcast of his arrest. The lawyer who approaches Finn also shows his mob connection in his dress and accent. The fact that he deals in cash when he hands Finn an envelope full of money indicates that he

may be working with "dirty" money. Miss Dinsmoor refers to another door that opens for Finn, implying that she is not responsible for the door opening.

Finn is mistaken about the identity of his secret benefactor, because he wants to believe that it is Miss Dinsmoor, as she is the only person he knows who has the means to help him. He thinks that she is opening another door for him and the fact that she translates the surname of the lawyer, Ragno, as meaning spider makes Finn think that she is the one who has sent him. Lustig is no longer his concern since he thinks that Lustig is in prison and can no longer affect his life anymore when he sees the TV news broadcast of Lustig's arrest.

Another question that recurs is whether Finn and Estella will end up together, as suggested by the fairy tale elements referred to above. After a series of terrors (mishaps and unfortunate incidents) as well as mental and emotional imprisonment, Finn and Estella reunite in the garden of Paradiso Perduto after discovering their true identities. In contrast with the novel, the film does not focus on the subplot surrounding the mystery of Estella's parentage. The film only focuses on the main plot, the 'web of deceit' directly connected to Finn due to the film's time constraints. The transformation of mystery elements in the film, as in the novel, focuses on the 'web of deceit' spun around Finn by Dinsmoor, Lustig and Ragno as well as on revealing their vices.

4.5.3.3 The *Bildungsroman* and melodrama

This section explores the *Bildungsroman* and melodrama as manifested in the novel and film.

4.5.3.4.1 Novel

The *Bildungsroman* offers or alludes to the solution to the "horrors" of the 19th century that have been pointed out in the section dealing with the Gothic elements. It provides a different solution to problems than to wait for a "fairy tale" intervention and rather focuses on the idea that "salvation" lies in developing oneself.

In order to contextualise the *Bildungsroman*, it is necessary to look at the novel as genre. Hernadi's (see Fowler, 1985:245) model is used. He distinguishes (see Fowler,

1985:245) four modes (thematic, narrative, dramatic and lyrical) characterise the novel as a genre that reflects envisioned action. The first important aspect is that it is linked to action, which in a sense relates to the dramatic. On the other hand, the narrative mode is also related to the thematic, because it also embodies vision. The fact that the novel as narrative mode is linked to the dramatic may then in a sense explain the occurrence of visual, kinestic and auditory systems in the novel. The idea that vision is practically transformed into action can also be seen as an important aspect of the narrative form.

Shroder (1968:13-17) identifies certain general novelistic conventions with regard to the novel as genre. The first is the notion that the novel is "a fictional narrative in prose, of substantial length". The second is the idea that the novel is all about action in relation to thematic value, where the action takes the form of a "quest". The third records the journey or passage from a state of innocence to a state of experience, usually from a narrow environment to a broader one. The fourth or final notion perceives the reality of middle class life in the modern city as the focus of the traditional novel. In addition, the hero must fulfil his "heroic potentiality" by discovering the futility of being a hero; realising his potential as a perfectly ordinary man; and the protagonist's illusions and pride must come to a fall.

Great Expectations, as a novel of the Victorian era, adheres to all the general novelistic conventions. It could be deemed narrative prose of substantial length; Henry James (quoted by David, 2001:2-3) called Victorian novels "baggy monsters". The novel deals with Pip's "quest" to become a gentleman. However, this motivation is based on the false, but socially accepted, norms that affluence is synonymous with respectability and "gentlemanliness". In his journey, or passage, Pip moves from childhood and a state of innocence to maturity and a state of experience. He physically enacts this metaphysical journey when he moves from the marshes and the forge to Satis House and then to London and Europe. It is interesting to note that Pip returns to his roots at the end of the novel – the forge and Satis House – thereby completing a full circle.

Great Expectations also highlights the importance of the modern city, spelling materialism and corruption in contrast to the relative innocence of country life, through

Pip's migration to London in order to evolve into a middle class gentleman. The idea that the hero, Pip, must fulfil his "heroic potentiality" by discovering that there is no future in being a hero and that he is a perfectly ordinary man, is also highlighted in *Great Expectations.* In this instance, Pip's illusions about his "great expectations" and his false sense of pride come to a fall when he realises that his benefactor is Magwitch and not Miss Havisham.

The transformation of Pip's reality is illustrated by his contact with Miss Havisham, the false assumption that Miss Havisham is his benefactor and then the realisation when he finds out that Magwitch is his benefactor. His journey to insight alludes to formation and education, which brings us to a special category of the novel, the *Bildungsroman* or novel of education, which Selby (1989: 31) defines as follows:

> Broadly speaking, the education novel tells the story of the personal and moral development of its central character. By the end of the novel this central character has learnt something about himself or herself, and has become a very different person from the one we first met in the novel's opening.

Regan (2001:1) points out that "the novel [*Bildungsroman*] is a picture of real life and manners; and of the time in which it is written". The *Bildungsroman* is a German word constructed from two nouns the one *Bildung* and the other *Roman.* It implies that through experience, usually in the form of a quest, the true identity of a person or character comes to the fore. Experience and suffering are seen as educational, as catalysts that help reveal the true identity of a person or character. However, in a sense the whole idea of experience as a formative element of identity foreshadows the postmodernist idea of identity as a continuous process of formation. The *Bildungsroman* infers a dialogue between the chivalric hero and his love interest and the lessons implied from this, as well as the chivalric hero's dialogue with the difficulties he faces and what he learns from these difficulties in his quest (Milligan, 1983: 15). *Great Expectations* can be seen as a *Bildungsroman* because it focuses on Pip's growth, formation and education in his quest to be a gentleman. The "dialogue" with his love interest, Estella, and the difficulties he has to face in his quest educate him and forms his identity.

4.5.3.4.2 Film

Dick (1998:90) claims that film genres are just as complex as literary genres and points out that the major difference between film and literary genres is that film genres represent the studios' response to the market place, while the literary genres represent a hierarchy created by critics. Altman (1999:169) reiterates the idea voiced by Cranny-Francis (1990:17) that genre is dependent on the social environment:

> A genre's strength depends far more heavily on the vigour of the generic community, which in turn depends on the way in which a genre is represented and reinforced in the society at large (or in a specific subset of that society).

The most prevailing film genres are the western, the melodrama, the gangster or crime film, *film noir*, the horror film and the musical (Cook, 1985: 58-106). Altman (1999:149) adds tragedies, science fiction and war films to the list. He also indicates how Hollywood genre connections rely on certain actors and actions defined by their eccentricity with respect to some cultural circle:

> The Western depends on outlaws, science fiction needs aliens, war films thrive on foreigners, adventure films require wild men and beasts, horror films count on mad scientists, strange beings or the uncanny. Tragedies belong to the flawed... Melodrama characters are systematically either *under-* (underfed, underhanded, underpaid, underprivileged, underrated), over- (overbearing, overconfident, overdue, overextended, overpowering, oversensitive, oversexed, overwhelming), or just plain *un-* (unappreciated, unashamed, unbalanced, uncooperative, ungrateful, unhappy, unjust, unnatural, unrelenting, unrepentant, unruly, unspeakable) (Altman, 1999: 149).

Dickens' connection with the theatre as pointed out previously, also gives the film a historical link to the Victorian melodrama as such. According to Combrink and De Lange (1987:32) the literary version of the melodrama is a serious drama with a "happy ending" in contrast to the unhappy ending of tragedy. Another aspect of importance is that the plot is manipulated towards escape, reprieve and rescue. The characters of melodrama are motivated by conventional morality based on wish fulfilment. The film, *Great Expectations*, adheres to the wish-fulfilment and "happy ending" idea due to the fact that Finn and Estella are reunited at the end of the film when they are holding hands and wearing predominantly white and not green. The novel *Great Expectations* differs in the sense that a happy ending is not achieved as such, but merely suggested. The fact that Dickens changed the ending of the novel on which the film is based by manipulating the plot towards a happy ending also reaffirms that the film can be seen as

a melodrama. Although the film is not predominantly dark or morbid, there are some scenes that reflect characteristics of the *film noir.*

4.6 Transcending Boundaries: Motifs and Leitmotifs

The symbols, motifs or themes that are evident in the texts transcend the boundaries of historical and social contexts. In both the novel and film of *Great Expectations*, symbols representing freedom and imprisonment, guilt and justice as well as materialism and spirituality are present. In addition, the symbolic function of hands, clothes and colour recurs in the novel. Furthermore, the contrast between and interaction with the rural and urban environment also function on a symbolic level.

This section explores the intertextuality between the novel and the film versions of *Great Expectations.* It is concerned with the symbolic meaning of signs, which entails investigating culturally bound signs (see chapter 3), symbols, motifs or themes that can be traced in both the novel and film.

A film scholar, Peter Wollen, in *Signs and Meaning in the Cinema* (1998:83) highlights the importance of Peirce's trichotomy for film semiotics in particular. Peirce's (1955:104-155) terms icon, index and symbol are used as points of reference, since the relationship between the icon and index and their potential meanings function within a culturally bound interpretation concerned with social conventions. These distinctions are important, particularly when analysing the film, because the icons and indices are analysed to suggest what they symbolise in their particular contexts in the film and are then compared to what they mean in the novel. Peirce calls these distinctions the second trichotomy of signs, which forms part of the taxonomy of different classes of signs.

In order to understand the taxonomy of different classes of signs better, Peirce's ideas of firstness, secondness and thirdness as categories of the phaneron should be looked at in more detail. Firstness refers to the central idea of a sign, which holds its reality and need not be compared to anything else. Secondness implies a relative autonomy, which exists in relation to something else and is manifested in the opposition thereof. Thirdness is seen as a medium of connection between firstness and secondness, which is a method of combining various elements that include social conventions. The first

trichotomy of signs focuses on the sign in itself, the sign as related to its object and the sign as interpreted to represent an object.

This brings us to the taxonomy of different classes of signs, which is called the second trichotomy of signs (Peirce, 1955:104-115 and Tomaselli, 1980:13 -14). Here Peirce classifies and divides signs into iconical, indexical and symbolical signs, with which this study will be mainly concerned. An icon is a sign that refers to and resembles the object, whether such object exists or not, that which it denotes, merely since it has some physical quality or configuration of qualities that it shares with the object. The index has a causal relationship or existential bond with its object, so the sign can be seen as the effect of the object, which forces the attention to the particular object without describing it. Lastly, the symbol as the third category can be seen as arbitrary where there is no natural connection to the object, since the link is made by association of ideas or habitual connection. It is conventional and culture bound (Easthope, 1994:2-3; Lapsley & Westlake, 1991:35 –36; Tomaselli, 1980:14 -15).

4.6.1 Freedom and imprisonment

As the themes of freedom and imprisonment are manifest in both texts, their significance will be discussed in order to reveal the different interpretations and levels of application in the texts. In addition, their relevance to the "conversation" (see 4.7) between the novel and film texts will be pointed out.

4.6.1.1 Novel

In *Great Expectations* imprisonment is used to highlight the confining and restricting influence of the social environment in the Victorian era, characterised by the class system, materialism and ostensibly strict sexual morality. The question of freedom within this social environment, where class and money determine a person's worth, is scrutinised.

Pip, a member of the working class, is introduced to the class system that dominates his social environment when he meets the convict, Magwitch, for the first time. This encounter with the convict turns his world upside down. It makes him realise that not all people are the same or treated equally. Although Pip decides to help the convict, he is

troubled by a deep sense of guilt for stealing from his sister and keeping his transgression from Joe. Mrs Joe reinforces his guilt and low self-esteem by always finding fault and punishing him by using Tickler.

In *Great Expectations,* Pip, whose name alludes to a seed, implying the possibility of growth and development, can subliminally be associated with the seeds imprisoned in Mr Pumblechook's shop (Dickens, 1981:83). In the same manner as Pumblechook's seeds and bulbs cannot grow where they are in "the tied-up brown paper packets", so Pip cannot grow within the confining social environment in which he finds himself. He is trapped in the class system and he, like the seeds and bulbs, wants "a fine day to break out of those jails, and bloom" (Dickens, 1981:83). However, Pip is not the only one trapped by the restrictive conventions of his class. Estella is also trapped in a social environment that makes her growth difficult, for she has to avenge Miss Havisham. Miss Havisham also imprisons herself and Estella in Satis House in order to retain some form of social power or dignity within a middle class society that attaches shame to a woman who has been left standing at the altar.

Pip is not the only character that embodies the ideas of imprisonment and the lack of freedom to develop an individual identity. Wemmick refers to convicts as plants who need fellowship like plants need water to grow as he walks through his "greenhouse" (Dickens, 1981:281). In *Great Expectations* convicts, therefore, are seen as people who need fellowship in order to change and grow which Wemmick exploits to get "portable property". They are in a state of stagnation but such fellowship, and ultimately freedom, could allow them the possibility of growth. This allusion can be seen as Dickens' critique on his society for he alludes to the idea that fellowship is an opportunity for growth and identity formation for those who have been imprisoned by the state.

Prisons, Newgate in particular, are described as places of hardship and despair, as the following quotes indicate:

> jails were much neglected...felons were not lodged and fed better than soldiers (to say nothing of paupers)... (Dickens, 1981:280).

> a grim stone building which a bystander said was Newgate Prison (Dickens, 1981:189).

The class system is not the only prison that confines Pip. He is also imprisoned by his obsession with Estella and the conviction that money is the answer to his problems. His obsession to marry Estella becomes stronger after he tries to become a gentleman in London. Here he undergoes a name change that illustrates how he is manipulated by his obsession. Herbert Pocket calls him Handel after the musician, but on another level Handel alludes to a handle of a door that is opened by a hand. The hand or hands allude to the people who manipulate Pip, including his own obsession with Estella. The quote below illustrates the ironic difference and interconnectedness between the real prison and the prison created by his obsession with Estella. Although Estella's proud and refined nature is in contrast with the grim jail, his obsession with her puts him in an emotional and spiritual jail that is far worse than the grimness of the real prison:

> While my mind was thus engaged, I thought of the beautiful Estella proud and refined, coming towards me, and I thought with absolute abhorrence of the contrast between the jail and her. I wished that Wemmick had not met me, or that I had not yielded to him and gone with him, so that, of all days in the year on this day, I might not have had Newgate in my breath and on my clothes (Dickens, 1981:284).

Both Pip and Estella are imprisoned by obsessions that have been instigated by Miss Havisham. Freedom is a misnomer for them for most of the duration of the novel, as Estella points out: " `We are not free to follow our own devices, you and I'" (Dickens, 1981:285). Freedom is only achieved after they have been chastised by time and experience, which makes a future for them possible.

4.6.1.2 Film

As in the novel, the film uses imprisonment to highlight the confining and restricting influence of the social environment. The film also underlines the factors that influence and confine inner states of mind. The emphasis is on self-imposed imprisonment in contrast with freedom.

The class system and materialism also feature in the film as inhibiting forces in social development. In the 20th century, the only way Finn can move up the social ladder is by materialistic means, in other words money. In the film, Finn's own talent is partly responsible for his social success. However, without financial assistance he cannot be successful in the art world.

In the film there are no seeds that are prevented from growing or references to convicts who are imprisoned like plants in a greenhouse. On the contrary, plants are not imprisoned as in the novel, but grow freely in the overgrown garden of Paradiso Perduto. The garden in the film resembles an enchanted forest for Finn, full of mesmerising objects, in particular Estella. It is as if nature, especially untamed nature, functions as an escape from the difficulties of Finn's life. Even in the city, Central Park functions as an abode of safety in the cruel and corrupt city. In this garden his dream to be with Estella seems possible, as the visual image of the kiss at the water fountain testifies to (see Chapter 3).

In the film there are no actual prisons, only images alluding to being imprisoned. The visual image of Lustig in his orange prison suit and the iron round his leg reeks of prison. This visual image of imprisonment reflects the inner states and mental prisons of most of the other characters in the film. Miss Dinsmoor is in a self-imposed prison that she has created after her jilting. She is frozen in time, frozen by the moment of rejection, as is reflected in her dress belonging to a bygone era. Estella is imprisoned in the task of fulfilling Miss Dinsmoor's revenge on men by breaking their hearts. Finn's obsession to marry Estella is his prison. Ironically, this obsession that imprisons him is also the driving force behind his development and identity formation. Thus, the film shifts the emphasis from outer imprisonment to inner imprisonment.

Although Finn describes himself as free after cutting himself off from his past and reinventing himself, he is not free from guilt (see the discussion of guilt and justice). In the film, freedom is associated with nature. At the end of the film, Finn and Estella are free at last after being changed by the passage of time. Therefore, time frees Estella and Finn from their self-imposed prisons of obsession, in contrast with Miss Dinsmoor, who is trapped in time.

4.6.1.3 Interaction

The idea that an individual can be imprisoned by social forces or "others" is foregrounded when the film and the novel are compared. The interplay between the manipulation of nature and nature as freedom is the main motif or theme. The film underlines the idea that if an individual is left without the manipulation of other human beings his or her true beauty and potential will be revealed in time, which is also the

focus of the novel's alluding to seeds in packets manipulated by man. However, the novel stresses that individuals in dire straights, such as prisoners, need intervention, for example water, which stands for fellowship, in order to be able to change for the best.

The novel and film stress that although materialism is a means to move up the social ladder, money does not automatically imply respect from society. The concept that money cannot buy breeding is emphasised, which implies an individual should educate him- or herself in the ways of the upper classes and the rich, as illustrated in Herbert's and Mr Pocket's training Pip to become a gentleman. The film only illustrates this concept of the gentleman when Finn and Joe meet in the city and the contrast in their clothes is evident. Finn wears a dinner jacket at the prestigious club and Joe's attire seems inappropriate for the city – from Finn's perspective – and marks him as someone from the lower classes.

In the novel and film, obsession is a self-imposed imprisonment that is destructive, while manipulation reflects the destructive imprisonment by others. Both texts comment critically on these forms of destructive behaviour. Pip and Finn must break with their obsessions in order to be with Estella, while Miss Havisham, Miss Dinsmoor, Magwitch and Lustig are exposed as manipulative and negative characters.

4.6.2 Guilt and justice

This section explores how the themes of guilt and justice are symbolised in various situations and characters, and how they manifest in the respective texts.

4.6.2.1 Novel

The theme of guilt and justice permeates the novel of *Great Expectations.* The motif of guilt is used as a tool in the formation of Pip's identity. His childhood is tainted with guilt, because of his contact with the convict, Magwitch. Pip's encounter with Magwitch transports his childhood into a world of guilt that is perpetuated by Mrs Joe. According to Calder (1981:22), the theme of guilt in the novel is based on Dickens' recognition "that guilt and not innocence, is the moral element of a child as soon as he becomes self-aware". This perception is illustrated in the mature Pip's/Finn's recollection of core events and characters that contributed towards his identity formation.

Mrs Joe's rages about Pip's natural wickedness increases his feelings of guilt about stealing food from her pantry for the convict. His guilt extends to and involves Joe, because Pip gets him into trouble with Mrs Joe when Joe is flabbergasted by the speed with which Pip "consumes" his slice of bread. In fact, Pip conceals the slice of bread in his trousers to be able to give it to Magwitch. In addition, Pip feels guilty for keeping secrets from Joe. Ironically, he also feels guilty when Magwitch is recaptured: "Would he believe I was both imp and hound in treacherous earnest, and had betrayed him?" (Dickens, 1981:65).

Later on in his childhood, he encounters other bouts of guilt. The first is the guilt he experiences when a strange man in The Jolly Bargemen who is in possession of Joe's file, reminds him of his "criminal" actions in helping Magwitch (Dickens, 1981:106). After brawling with Herbert (the boy) at Miss Havisham's house, he experiences guilt (Dickens, 1981:121). He also feels guilty for making Joe uncomfortable when Miss Havisham provides money to pay Joe for Pip's apprenticeship (Dickens, 1981: 125). After his encounter with Miss Havisham and Estella, his childhood is filled with being "ashamed of home" (Dickens, 1981:136). Pip feels guilty about his sister's accident, because he feels responsible for providing "the weapon, however undesignedly" (Dickens, 1981:148). This feeling highlights the interconnectedness and consequences of actions, because in helping the convict, he provides the weapon that hurts his sister.

As young adult his "criminal past" haunts him and heightens his shame. He feels guilty for leaving Joe and Biddy behind. In London he treats Joe abominably, for which he feels guilty afterwards. Pip realises the negative effect that his "great expectations" have on him in London, but purposely suppresses his feelings in this regard.

According to Rawlins (1983:667), two interpretations on the theme of guilt in *Great Expectations* dominate literary criticism. The first is that "Pip's sense of guilt is then awareness of his own sin, and moves him to reformation." The other interpretation sees Pip's guilt as "an awareness within himself of society's universal error." He argues further that both interpretations focus on Pip's guilt as "a vehicle to growth and self-awareness". This argument supports the idea that guilt plays an important part in Pip's identity formation. His experience with Magwitch confines or colours his perspective on life, but at the same time it is the driving force behind his identity formation. It is through

the interconnected links with experiences that reinforce his guilt that he experiences growth:

> I consumed the whole time in thinking how strange it was that I should be encompassed by all this taint of prison and crime; that, in my childhood out on our lonely marshes on a winter evening I should have first encountered it; that, it should have reappeared on two occasions, starting out like a stain that was faded but not gone; that, it should in this new way pervade my fortune and advancement (Dickens, 1981:284).

The stain of guilt that is Pip's constant companion is connected to the idea of justice. Only the poor are made to feel guilty, but there is no justice for them. Pip is made to feel guilty when he transgresses the boundaries of class – there is no justice in that. Calder (1981:24) points out that one of the social messages of *Great Expectations* is that "in a class society there is justice for the rich, but not for the poor; so in the absolute sense... there is no 'justice' at all."

Jaggers epitomises the corruption or perversion of justice. He manipulates the law so that the rich benefit. A striking example is how Estella's poor parents are marginalised in favour of rich Miss Havisham. Jaggers takes the little child Estella from her mother and keeps this quiet from her father, Magwitch. Pip discovers this secret, but he is unable to reveal it because he wishes to protect Estella. So in a sense his actions are confined and justice is not done.

Although there is no justice in society for the poor and the rich are above the law, Miss Havisham is brought to "justice" at the end of the novel. She accidentally sets alight and burns herself, a physical manifestation of her spiritual purification when she comes to realise what the repercussions and consequences are of her actions. Seeing her own pain reflected in Pip as in a mirror, she is able to move on to death.

Ironically, the lack of justice and the acceptance thereof promotes identity formation, because the characters must accept the injustices and must decide to rise above them. Injustice also confines the actions of the characters, because the characters are not free to seek justice. However, the interconnectedness of people, which leads to justice, is also explored in *Great Expectations* in relation to cause and effect. A sense of guilt and a lack of justice are the motivational powers that propel Pip's identity formation and development.

4.6.2.2 Film

The themes of guilt and justice do not prefigure in the film in the same way they do in the novel. In the film, the issue of guilt is centred round Finn's actions in cutting himself off from Joe and his love (Estella) in order to reinvent himself, as the following quote from the film indicates:

> The night all of my dreams came true, and like all happy endings it was a tragedy of my device, for I succeeded. I had cut myself loose from Joe, from the past, from the gulf, from poverty. I had invented myself. I'd done it cruelly, but I had done it. I was free! (*researcher's own transcription*: 1998).

Although he states that he is free, he is not because he is haunted by the guilt that is associated with cutting himself loose from Joe. His guilt is illustrated when he runs after Joe to apologise for treating him badly at the gallery showing. However, there is no justice because Finn does not "get the girl" even after everything that he has sacrificed. He still believes that money can make a difference: "I did it! I did it! I am a wild success! I sold 'em all, all my paintings. You don't have to be embarrassed by me anymore. I'm rich!" (*researcher's own transcription*: 1998).

It is only when he accepts himself and his origins, as represented by Joe, that he is reunited with Estella at the end of the film. In the film guilt comes to the fore in Finn's adult life and not in his childhood, where the focus is placed in the novel. Finn is seen as natural and innocent at the beginning, only to be corrupted later on by other influences, such as Miss Dinsmoor and Lustig. Justice comes into play in Finn's adulthood in the film. Only when Finn re-enacts the heart sequence to illustrate that his heart is broken, just as Miss Dismoor's, does she realise what she has done to Finn and Estella.

As in the novel, a sense of guilt and the lack of justice promote identity formation. After sacrificing everything in order to win Estella, he loses her. It is this loss that propels his identity formation and development to accept himself and his origins. The interconnection between Miss Dinsmoor, Finn and Estella with regard to justice also influences identity formation.

4.6.2.3 Interaction

The interaction between the novel and film shows that guilt leads to introspection. It makes an individual examine him or herself more closely. Being critical of self then leads to growth, because it induces the formation of identity. The idea that the guilt of the past impacts on the present and the future is a motif that can be traced in both novel and film. Guilt is formed by an individual's encounter with others as well as his or her environment; it occurs, in the case of Pip/Finn and Estella, when the misinterpretation of, or the meaning ascribed to, certain events creates guilt in the mind of the individual (characters). Although it seems that justice is only for the rich, it comes into play when an individual accepts him- or herself. This act of acceptance empowers an individual and leads to inner growth.

4.6.3 Materialism (realism) and spirituality: head and heart

This section explores how symbols of materialism (realism) and spirituality, the head and heart opposition, function as motifs or themes in the novel and film. In addition, the interaction of motifs or themes is also analysed and interpreted.

4.6.3.1 Novel

Materialism and false aspirations are implied in the title of the novel, suggesting that it is a strong presence influencing people and society. The title, therefore, acts as a constant reminder that materialism informs the novel. Calder (1981:24) underlines this concept when he claims that "class divisions sustained by wealth destroy the bonds of fellowship which should exist between man and man, and can condition even a morally sensitive person such as Pip to act badly."

In London, Pip's great expectations and "his 'poor dreams' which have, at one time or another, been in the heads of more men than you think likely" (Dickens, 1981:426) of Estella corrupt Pip. The most striking example of the corruptive nature of materialism is to be found in his treatment of Joe when he exposes his newfound concern about manners and learning. Due to the influence of snobbish perceptions, Pip does not recognise Joe's true worth on a spiritual level, but judges him instead for his lack of manners and education, which are outer manifestations of materialism. The dreams in

his head represent intellectual ramblings, which are manifestations of realism, in connection with marriage to Estella. He sees marriage to a middle class girl as a symbol of being accepted by the middle class, which is dominated by materialism.

Jaggers is a perfect example of materialism, as the following description highlights: "He was a burly man of an exceedingly dark complexion, with an exceedingly large head and a corresponding large hand" (Dickens, 1981:111). He is a man dominated by his head or intellect which influences his dark or corrupt actions, symbolised by his hand.

In contrast with the ever-present reminder of the realistic and materialistic backdrop of the novel, constant references are found to spirituality, passion and love in the form of the heart motif. The first reference to a heart is Magwitch's threat: "'Or I'll have your heart and liver out'" (Dickens, 1981:37). Ironically, this threat foreshadows what Magwitch does to Pip by providing "great expectations", for he robs him of his spirituality and corrupts his morals. Miss Havisham shows Pip that her spirit is broken when she tells him her heart is broken. In order to avenge her broken spirit, she instructs Estella: "'Break their hearts my pride and joy, break their hearts and have no mercy!'" (Dickens, 1981:123). After Estella rejects Pip, he declares "for my heart was gone" (Dickens, 1981:267). It is only when Miss Havisham recognises her broken spirit in Pip that she realises what she has done: "Miss Havisham, her hand still covering her heart, seemed all resolved into a ghastly stare of pity and remorse" (Dickens, 1981:378). She later tries to show Pip that she is not "all stone" by helping him in providing for Herbert Pocket. However, she expresses her doubt that this action will change his perspective "that there is anything human" in her heart (Dickens, 1981:408).

Joe, in contrast with Miss Havisham, is described as "a gentle heart" (Dickens, 1981:303). After Joe has nursed Pip in London and paid his debts, Pip says that his "heart was deeply and most deservedly humbled" (Dickens, 1981: 432). Herbert teaches Pip "no man who was not a true gentleman at heart, ever was, since the world began, a true gentleman in manner" (Dickens, 1981:204).

At long last Pip gives up his obsession with Estella when he states, "I had no claim, and I finally resolved, and ever afterwards abided by the resolution, that my heart should never be sickened with the hopeless task of attempting to establish one" (Dickens, 1981:458). It is only when he releases his obsession that his life can move forward. In

giving up his obsession, he truly demonstrates his love for Estella. He does not want to turn her world upside down by revealing her parentage, but states, "'You have always held your place in *my* heart" (Dickens, 1981:492). This is a total deviation from Miss Havisham's view of love, which she describes as follows:

> 'I'll tell you,' said she, in the same hurried passionate whisper, 'what real love is. It is blind devotion, unquestioning self-humiliation, utter submission, trust and belief against yourself and against the whole world, giving up your whole heart and soul to the smiter – as I did!' (Dickens, 1981:261).

The head-heart opposition demonstrates the swing of the pendulum between realism and spirituality throughout history. The interconnectedness that exists between realism and spirituality is demonstrated in *Great Expectations*, which shows that certain elements of spirituality are present within a social environment that is dominated by Realism, in this instance.

4.6.3.2 Film

As in the novel, materialism forms the backdrop of the film. It shares the same title, which is a constant reminder of the social environment of the film. The 20th century world is also a world that is based on materialism.

After Finn's first encounter with the rich in the form of Miss Dinsmoor and Estella, it fuels his obsession with materialistic ideals. His first act of drawing Estella to entertain the rich Miss Dinsmoor provides a means of obtaining wealth by painting for the rich. In New York, his obsession with materialism intensifies, because he regards it as a means to being acceptable to Estella. He is even willing to lie about Joe and to humiliate Joe in his quest to win Estella. As Pip in the novel does not recognise Joe's true worth, Finn in the film also does not recognise Joe's true worth. Joe is judged for his lack of money and the refinement that goes with material wealth.

As in the novel, constant references to the heart in contrast with the ever-present reminder of the materialistic background are also found in the film. The film too uses the heart images to refer to issues pertaining to spirituality, passion and love. One of the two most important heart references is when Miss Dinsmoor puts Finn's hand on her heart and indicates to him that her heart is broken. This act shows Finn that her spirit is broken. Later on in the film the same actions are repeated, but this time it is Finn who

puts Miss Dinsmoor's hand on his heart to indicate that his heart and spirit are broken in the same way her heart and spirit are broken. The repetition of exactly the same action in the film gives the second enactment an intensified emotional impact and meaning. Another heart reference occurs when Miss Dinsmoor warns Finn about Estella:

> She'll only break your heart, it's a fact. And even though I warn you, even though I guarantee you that the girl will only hurt you terribly, you'll still pursue her. Ain't love grand? (*researcher's own transcription*: 1998)

Miss Dinsmoor is more sarcastic than Miss Havisham who still believes in obsessive, all-sacrificing love that is based on blind devotion because Miss Dinsmoor is more "realistic" than Miss Havisham. She is also true to contemporary ways of postmodern thinking, which is unsentimental and ironic, even cynical. The film also emphasises that the other side of the coin will always be present, even in a social environment that is dominated by materialism.

Film still 3: An example of the hand and heart reference

4.6.3.3 Interaction

The head and heart opposition is linguistically and visually reinforced to form a major theme in both narratives. It illustrates the idea that even though a particular historical context is dominated by one extreme, the other or opposite extreme, although repressed, is also present. It emphasises that what an individual or society tries to resist persists in their lives due to the fact that they oppose or fight against it. An individual can only achieve his or her full potential if head and heart (rationalism and

spirituality) are in balance; it is a prerequisite for identity formation. Both texts emphasise that an individual is not merely mind, body or spirit, but all three at once.

4.6.4 The symbolic function of hands, clothes and colour

This section explores the symbolic function of hands, clothes and colour as manifested in the novel and film.

4.6.4.1 Novel

The symbolic function of hands is the most frequently used symbol in the novel. The idea of hands as "instruments" of manipulation and capable of inflicting hurt recurs. All the characters that have an influence on Pip's identity formation, such as Magwitch, Miss Havisham, Mrs Joe, Joe, Jaggers, even Molly and Herbert, are linked to the manipulative nature that hands imply in *Great Expectations*.

Magwitch's hands are alluded to when he turns Pip "upside down" (Dickens, 1981:36). This physical action suggests that Pip's whole understanding and perception of the world have been changed due to this encounter. After Magwitch returns to London to "claim" his gentleman, he acknowledges the manipulative role that he as well as Jaggers have played in Pip's identity formation by means of the following hand imagery: "' Well, you see it wos me, and single-handed. Never a soul in it but my own self and Mr Jaggers'" (Dickens, 1981:338). Not only do hands imply manipulation, but they also imply the act of transferring burdens, as is implied when Magwitch lays his "hand" on Pip's "shoulder" (Dickens, 1981:339). Pip now has the responsibility to keep him out of harm's way.

Magwitch is not the only one who transfers his burden onto Pip, Miss Havisham does exactly the same by putting her "hand" on his "shoulder" to transfer her burden or obsession onto Pip (Dickens 1981:113). The burden she transfers onto him is that of being broken-hearted. This burden is suggested earlier in the novel when she is "laying her hands, one upon the other" on her heart (Dickens, 1981:88). The idea that Pip literally gets his fingers or hands burnt when he tries to save Miss Havisham, implies that Pip gets himself into trouble without realising the consequences that his involvement with Miss Havisham will bring into his life. As a result of her involvement

with Miss Havisham, Estella finds herself in the same predicament as Pip because "... her baby intelligence" has received "its first distortions from Miss Havisham's waiting hands" (Dickens, 1981:330).

Mrs Joe literally uses an instrument of manipulation, Tickler, to beat Pip. She brings him "up 'by hand'" (Dickens, 1981:39). Her physical as well as emotional abuse has a negative effect on Pip's self-esteem. Mrs Joe's rampages are not confined to Pip alone, she inflicts physical abuse on Joe as well. Joe, however, does not retaliate or abuse Mrs Joe in return as his father abused his mother, because his strong inner character (inner strength) is suggested when he is described as having "a strong hand" (Dickens, 1981:303). His influence on Pip's identity formation is that he represents the one constant role model in Pip's life, and serves as a point of reference.

The descriptions of Jaggers are dominated by references to his large hand or his hands in general. Calder (1981:25) likens Jaggers' manipulative abilities represented by his hands to the instruments of workmen, for his, "tools are bullying and deception, and he uses them with deft legality" (Dickens, 1981:25). Pip's subordinate position to Jaggers is implied when he, like Magwitch and Miss Havisham, burdens Pip by "putting his large hand on" Pip's "shoulder" (Dickens, 1981:234). In addition, Jaggers has a peculiar way or ritual of cleansing or purifying himself of his "evil" actions by "...washing his hands with his scented soap" (Dickens, 1981:232). Pip interprets this strange behaviour as follows:

> 'I embrace this opportunity of remarking that he washed his clients off, as if he were a surgeon or a dentist. He had a closet in his room, fitted up for the purpose, which smelt of the scented soap like a perfumer's shop. It had an unusually large jack-towel on a roller inside the door, and he would wash his hands, wipe them and dry them all over the towel, whenever he came in from a policecourt or dismissed a client from his room.' (Dickens, 1981:233)

Although Molly does not influence Pip's identity formation directly, it is the realisation that her hands looks like Estella's that leads him to discover Estella's real parents. Molly's distorted intentions and the actions that scarred her for life are reflected in the scars on the wrists of her hands that are "much disfigured – deeply scarred and across and across" (Dickens, 1981:236). Jaggers also comments on her strong grip, which suggests her strong will. This also highlights Estella's strong will, as Pip later supposes that "the child clinging to her may have scratched her hands" (Dickens, 1981:406).

Wemmick advises Pip to keep Estella's true parentage quiet, because in revealing this secret Pip would cut off his own hands. Such an action by Pip would only turn Estella's world upside down without benefit to him or anybody else.

When he first arrives in London, Herbert changes Pip's name to Handel, which alludes to a door handle that can be opened and closed at will. This image is reinforced by Pip's manipulation by the other characters. Furthermore, it illustrates the interconnectedness of the manipulation at work in Pip's life, as mentioned above.

In contrast with the manipulative and burden-laden images of hands, there is another more positive symbol that hands have at the end of the novel, where hands symbolise a coming together or union in which one hand is not dominant. Pip's and Estella's hands meet as equals, which implies that there may be a possible future for them as they seem to be on "equal ground".

The symbolic function of the clothes that the characters wear serves to reflect or comment on the characters. First of all, the clothes reveal the characters' station in life. Magwitch's clothes as well as his cast- iron "accessory" classifies him as being on the lowest possible rung of the social ladder – an outcast that is isolated from society in prison. Joe with his blacksmith's clothes is only marginally more acceptable than the convict. The fact that Joe feels uncomfortable in his best attire (Sunday clothes) indicates that he is uncomfortable with social progression. Miss Havisham's being dressed in "rich materials – satins, and lace, and silks" reflects her wealth (Dickens, 1981:87). As Pip acquires his "great expectations", his clothes change in order to reflect his new identity as a gentleman in training.

Miss Havisham is the best example in the novel of how clothes reflect the inner states of characters. The fact that she is still dressed in her bridal gown is the physical proof or manifestation that she lives as if she is suspended in time. The bridal dress, furthermore, indicates the reason for her being frozen in time. It shows that the issues keeping her in frozen time relate to a marriage that never materialised. Pip's change in clothes reflects his inner state as well. His inner state is even reflected by other characters, such as his "dressed-up" avenger who symbolises Pip's snobbish nature in London.

Clothes in *Great Expectations* are also connected to the use of colour. The predominant colour in the novel is white, or faded white, which is linked to Mrs Havisham's bridal ensemble (clothes):

> She was dressed in rich materials – satins, and lace, and silks – all white. Her shoes were white. And she had a long white veil dependent from her hair, and she had a long white veil dependent from her hair, and she had bridal flowers in her hair, but her hair was white ...But, I saw that everything within my view which ought to be white, had been white long ago, and had lost its lustre, and was faded and yellow (Dickens, 1981: 87).

White is usually associated with innocence, while faded white is linked to the loss of innocence. This implies that Miss Havisham's innocence and faith in love have been lost because of the tragic event of her jilting. Although white hair is a sign of wisdom in a person, it is used ironically in the novel because Miss Havisham is not wise in causing Pip to experience the same pain that she experienced in her youth. Significantly, the faded appearance of white or yellow is repeated in the novel. The following quote illustrates how repetitive language is used to emphasise this:

> she in her once white dress, all yellow and withered; once white cloth all yellow and withered; everything around, in a state of crumble under a touch (Dickens, 1981:117).

The faded gown that is no longer pure white suggests the interplay between darkness and light that is found in the novel, which is most striking in the description of places. Outside places or spaces in nature are seen as light, while the places or spaces in buildings are described as dark abodes. Pip shows an awareness of the effect created by outside and inside spaces when he ponders on the connection between the darkness of his actions and his enlightenment towards the end of the novel:

> How could my character fail to be influenced by them? Is it to be wondered at if my thoughts were dazed, as my eyes were, when I came out into the natural light from the misty yellow rooms? (Dickens, 1981:124).

4.6.4.2 Film

In the film, hand imagery is also used to indicate manipulation. As in the novel, certain characters are linked with hand imagery to indicate the role these characters play in the formation of Finn's identity. In the film there are fewer characters that influence the formation of Finn's identity than in the novel as the film has to take the principle of economy and time constraints into consideration. The characters who demonstrate hand imagery in the film are Lustig, Miss Dinsmoor, Finn's sister and Jerry Ragno.

At the beginning of the film, Lustig places his hand over Finn's mouth while gulls screech in the background, silencing Finn's voice and his free will. As in the novel, this foreshadows the role Lustig is going to play in manipulating the course of Finn's life. In the film, this scene is re-enacted by modifying it a little in using a mobile of paper seagulls suspended from the ceiling to allude to the earlier ocean scene, but Lustig's actions are kept the same. The reproduction of the earlier scene emphasises the important manipulative role that Lustig plays in Finn's life.

Miss Dinsmoor also influences his life by introducing him to the world of the rich by taking his hand for a dance. As in the novel, she burdens him with her own pain and obsession by placing his hand on her broken heart. This action foreshadows that she will be instrumental in manipulating his actions so that he will be left with a broken heart. The film again re-enacts this scene by changing the roles of the characters. The reproduction and re-enactment of scenes such as the one with Lustig and the one with Miss Havisham, emphasise the importance of these characters' manipulative influence on the identity formation of the protagonist, Finn.

Other characters manipulate Finn to a lesser degree. Finn's sister pushes him into Miss Dinsmoor's garden to fulfil her own longing to escape the horror of her life of hardship connected to poverty. She orders him to be well mannered and to "reinvent" himself to fit into the world of the wealthy. At the airport before leaving for New York, Joe pushes Finn into taking a chance when he says: "Nothing harder than being given your chance. At least, that's what I hear" (*researcher's own transcription*: 1998). Jerry Ragno, Lustig's agent, ensnares Finn like a spider in a web of materialism when he hands Finn an envelope with money. The image of Jaggers as the manipulative spider is then re-enacted in the film.

In contrast with the novel, Finn is less passive than Pip because he uses his hands to create pictures. His drawings reflect his impressions of the world, but also create his reality. It is as if the film links seeing and drawing with a sense of identity. According to Johnson (2005:67) Finn's drawings "provide a tangible and visible representation of Finn's interiority and a means of communicating his emotional life, which reinforces the illusion that we share his consciousness." Finn's power lies in his talent, which provides him with the means to understand the world he lives in, as well as to provide a way to escape the poverty in which he finds himself. Another more positive symbol of hands

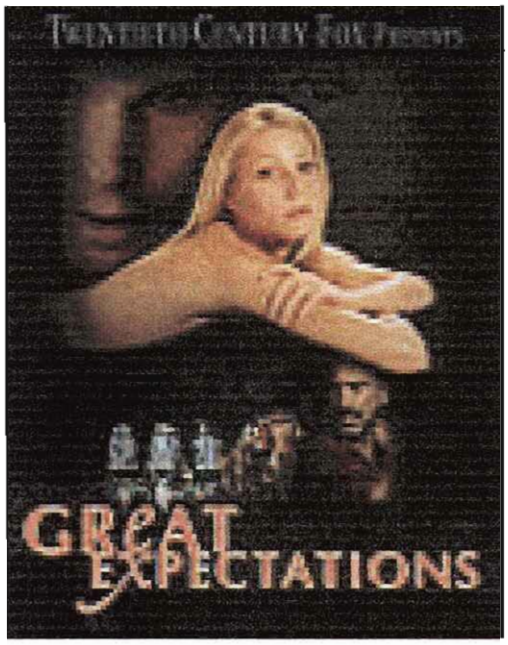
that correlates with the novel occurs when Finn and Estella hold hands at the end of the film. Similar to the novel, the interlinked hands imply a coming together on equal footing. In this final scene there is no dominance, only equality that implies the possibility of a future for Finn and Estella.

In the film, clothes or costumes are also used to great effect in symbolising the personalities of the characters. Finn's, Joe's and Maggie's clothing, which is of poor quality and has seen better days, resemble the social environment of poverty. When Finn wants to attend a party with Estella, he does not have a dinner jacket and has to use a woman's jacket, one that has been left behind by Finn's sister. On the other hand, Miss Dinsmoor's and Estella's clothes represent wealth. Although Miss Dinsmoor wears over-the-top clothes belonging to a bygone era, the materials and fabrics are rich in quality. In New York, Finn is given a jacket as a token of class, in order to be able to enter a "club" for the wealthy. After finding his feet in New York, Finn changes his clothes and he and Estella are able to joke in the park about the fact that Finn's new clothes are too expensive for him to jump in and save her if she should fall into the pond. As previously mentioned, Finn's prejudice and judgement are also evident when he is ashamed of Joe, who attends his show in his out-of-fashion formal attire.

In the film that focuses on visual images, costumes are closely related to the use of colour. It is significant that almost all the characters are dressed in predominantly green outfits. As children, Finn and Estella are predominantly clothed in green, as are Miss Havisham, Joe and Maggie (see the discussion of film stills in Chapter 3). At the end of the film when Miss Havisham comes to insight, she is dressed in a white night dress. In the same manner, when Finn and Estella come to insight or enlightenment, their clothes are predominantly white. The hint of green, however, implies that still more growth is needed if a happy ending is the aim. The costumes that the characters wear are used to comment on their identity formation and development.

The décor and props used in the film are also predominantly green. For example, Joe's house is predominantly green, from the sign indicating that he is a handyman to the colour of the kitchen and Finn's bedspread. The garden, walls, railings, carpets and even the water fountain at Paradiso Perduto are predominantly green (see chapter 3).

However, the shades of green differ to link up with the *film noir* play between darkness and light. In New York, the visual techniques of *film noir* are exploited in that even the film's promotion poster reflects Estella, as the star, basking in the only source of light, with the rest of the poster remaining in darkness. Finn emerges from the underground train into the dark city at night. He experiences moments of light in nature when he walks in the park, but even there he experiences a dark moment when he and Estella pass under a bridge where, in the dark shadow of the bridge, she tells him that she is to marry another man.



Promotion poster of the film

4.6.4.3 Interaction

Hands as "tools" of manipulation feature in both texts. By making Finn an artist, the film underlines the idea that an individual is not powerless to resist manipulation, but has a choice to realise his or her own potential. In order to realise the life of one's choice requires accepting oneself by changing the things one can and accepting the things one is powerless to change.

Clothes not only reflect an individual's identity but also reveal social class and personal choices. Moreover, colour also functions as an important device, because the interplay between faded white and green focuses the attention on the interplay between faded innocence and degrees of growth, which are dependent on moving forward from the past (innocence) to the future.

4.6.5 Rural and urban environment

This section explores the interplay between the rural and urban environment as themes in the novel and film.

4.6.5.1 Novel

The marsh country represents the rural environment and is described as "the dark flat wilderness beyond the churchyard, intersected with dykes and mounds and gates, with scattered cattle feeding on it" (Dickens, 1981:35). As seen in the narrative analysis, spaces or places reflect inner states. So the marshes as open areas represent Pip's many possibilities or choices that are implied by the gates of the cemetery. Pip's hidden or unknown self is represented in the dark flat wilderness of the marshes, which also reflect his isolation and orphaned condition when he refers to the "lonely marshes" (Dickens, 1981:284). Since water is usually associated with emotions, the marshlands that are usually waterlogged areas most of the time are associated with Pip's emotional state (submerged/repressed/unformed feelings).

Joe's forge is a beacon in Pip's rural environment as it is not only a source of fire, but also of light. It is a place where objects are forged by heating and shaping pieces of metal. In the same manner Pip's identity is formed by Joe's warmth and love. However, Joe's loving influence is not the only shaping influence in this rural environment. Mrs Joe and Miss Havisham represent a sort of transitional space between the rural and urban environments, because his encounters with these characters prepare him for the harsh urban environment. Both Mrs Joe's and Miss Havisham's abuse awaken material ambitions in a boy like Pip. Because of their negative influence, he sees the open, rural environment as restrictive and frustrating, which tends to obscure the wholesome, natural quality that could be attributed to it.

The urban environment in the novel is characterised by enclosed spaces or places. The city is described as a confined place that is narrow and dirty. This impression is emphasised further by references to Newgate prison as a dominant feature of the city environment. So the dirty, dark, cramped and labyrinth-like city is seen as a prison just like its most predominant feature – Newgate prison. The confined spaces of Barnard's

Inn, Pip's first home in this urban environment, represent the disembodied spirit of the city and Pip as representative of the people who inhabit the city that is described as "the dingiest collection of shabby buildings ever squeezed together in a rank corner as a club for Tom-cats" (Dickens, 1981:196). Interestingly, a very detailed description is given of his first home in London in order to highlight Pip's inner state of melancholy and despair, as well as to show that the urban environment covered by soot, smoke, ashes and dust is reflected in his neglected spirit:

> We entered this haven through a wicket-gate, and were disgorged by an introductory passage into a melancholy little square that looked to me like a flat burying-ground. I thought it had the most dismal trees in it, and the most dismal sparrows, and the most dismal cats, and the most dismal houses (in number half a dozen or so), that I had ever seen. I thought the windows of the sets of chambers into which those houses were divided, were in every stage of dilapidated blind and curtain, crippled flower-pot, cracked glass, dusty decay, and miserable makeshift; while To Let To Let To Let, glared at me from empty rooms, as if no new wretches ever came there, and the vengeance of the soul of Barnard were being slowly appeased by the gradual suicide of the present occupants and their unholy interment under the gravel. A frouzy mourning of soot and smoke attired this forlorn creation of Barnard, and it had strewn ashes on its head, and was undergoing penance and humiliation as a mere dust-hole. Thus far my senses of sight; while dry rot and wet rot and all the silent rots that rot in neglected roof and cellar - rot of rat and mouse and bug and coaching-stables near at had besides - addressed themselves faintly to my sense of small, and moaned, `Try Barnard's Mixture' (Dickens, 1981:196).

Here Pip's moral values will decay and rot. The owner, Barnard, is compared to a devil that is appeased by the spiritual suicide of the occupants of this urban environment who sell their souls for materialistic gain. The allusion to the graveyard implies the futility of chasing after material possessions, which is on a par with our experience on earth, which is only temporal. In contrast with the occupants of the inn, Pip experiences spiritual growth in London. His growth is reflected in his moving towards a more "rural" setting. His second home in London, Temple, alludes to a spiritual place or space within the corrupt urban environment tends to serve as a refuge in the same way that Wemmick created his castle. It is also a movement towards nature, since it is situated "in Garden-court, down by the river" (Dickens, 1981:330).

Pip's constant movement between rural and urban environments illustrates the impact his environment has on his identity formation. The fact that Pip moves back to the rural environment and in the end back to the ruins of Satis House suggests his spiritual growth. In the novel the rural environment represents spirituality, while the urban environment represents materialism.

4.6.5.2 Film

The film focuses on the magical elements (angel statues, amazing creatures) represented in nature as part of the rural environment that symbolises freedom for Finn, where he can be himself. According to Johnson (2005:67), the ocean setting teeming with life shows that Finn's experience of life and selfhood is based on a natural and innocent sensuality. The natural and innocent Finn is also mesmerised by the magical elements of over-grown Paradiso Perduto's garden. However, in contrast with the freedom that nature symbolises in the film, artificial structures such as the prison system represented by Lustig, the class system represented by Miss Dinsmoor and the inside of the mansion Paradiso Perduto, symbolise confinement. In New York, which is predominantly subservient to a materialistic system, Finn finds comfort and freedom in nature as represented by Central Park.

In the film, the urban environment is pictured as dark and foreboding, with scenes predominantly shot at night. In addition to the predominantly green décor and costumes, black is also gradually phased in. After Finn succumbs to the temptation of materialism, he starts wearing a black jacket. Corruption is also linked to the urban environment, for his first encounter with a person from the dirty city is a man who swears at him. It is also in this corrupt world where Finn is confronted with his monster from the ocean – Lustig. Here he discovers that it is Lustig's "dirty" money that brought him to the dark city. However, it is the darkness of the city and its inhabitants that make enlightenment possible. Finn has to experience the darkness of Lustig's killing to move into the light, as the train moves out of the dark underground into the light of morning when the sun rises in the east. Finn moves to Paris, the city of light, for his development, growth and identity formation to reach maturity before he returns to the Gulf Coast.

In returning to the enchanted garden of his childhood, Finn's identity formation and development come full circle to indicate his spiritual growth. In the film, nature represents spirituality, while the city and man-made structures represents materialism. Similar to the novel, Finn's physical movement in the film from nature to man-made structures illustrates his identity formation, as well as the impact his environment has on his identity formation.

4.6.5.3 Interaction

The rural environment as represented by nature in both texts symbolises spiritual freedom, where characters are free from societal influences. On the other hand, the urban environment imprisons characters with its focus on materialism. The exploitation of industrial development pollutes the environment and consequently also pollutes those who are governed and controlled by materialism. The environment itself, as well as the characters' movements through their environs, reflects their specific point of development in the broader scheme of things.

4.7 Conclusion: The novel and film in conversation

Although texts cannot have a "conversation" as such, the comparison and discussion of the relations between the two texts set up a conversation between the texts. Therefore a "conversation" develops in the process of comparing the novel and the film. This "conversation" takes place on many different interlacing levels or layers because of the novel's and the film's inherent intertextuality.

The layers or levels that constitute the basis of this "intertextual conversation" are text and ideology (narratological components), concomitant social environments, literary conventions/genres and motifs, leitmotifs or themes. Each level or layer contributes to a unique understanding of the intertextuality or conversation between the texts. In the first instance, the intertextual analysis has shown that the film shares the same narratological components. Secondly, the social environments of the texts in dialogue (extratextuality) reveal that even though the texts are from different time frames, they share certain concomitant characteristics. Thirdly, the analysis shows the texts share equivalent literary conventions or genres. Lastly, the texts also share motifs, leitmotifs and themes.

The intertextuality of the texts reveals the remarkable way the texts contribute to identity formation and transformation. The interaction of the texts creates "textual" identity, where the novel's identity is determined by the film, and vice versa. It is clear from the study that the "other" determines a text's identity.

5 CONCLUSION

5.1 Purpose and contextualisation of the study

This study has attempted to determine how the transposition of a written text from the 19th Century, the novel *Great Expectations* by Charles Dickens, into a different medium such as a film text situated within a 20th Century time frame still retains recognisable traits common to both texts. Such a question automatically raised certain issues of representation, such as the verbal and visual textual characteristics and differences of the two texts, and environmental or geographical locations and influences (that is, social and cultural differences) which, in turn, would imply the interaction and definition of historical time periods. The question of representation also affected perceptions of identity, which have become more complex within the postmodern framework of a 20th century film version. Consequently, focus had to be transferred from the traditional 19th century perception of personal identity as a fixed concept to accommodate the more fluid perception of identity in the 20th century, which regards identity as a process in constant adaptation to and interaction with social, cultural and historical contexts.

The complexity of the study therefore required the implementation of several theoretical approaches that would facilitate such an in-depth interrogation and analysis of textual, cultural and historical aspects of representation, as well as to identify and accommodate the processes of identity formation and transformation that occur over space and time. The discipline of narratology was used as the main approach to aid in the analysis of the two texts, as they both rely on narrative to convey their message. However, the aspects of culture, historical context and identity representation warranted recourse to semiotics as a secondary tool for analysis. This was done in order to gauge whether or not the meaning underlying the different systems (written and visual texts) correlated. The study demonstrated that there were certain constants in narrative structure and historical contexts that transcended boundaries in the transformation of identity.

Finally, as this study involved a comparison between two different media/texts, we were not only confronted by different cultural products and time periods, but also by the different devices encoded in these texts that evoke additional layers of meaning and convey allusions to other texts. Consequently, an awareness of intertextuality recognises and refers back to other texts and serves to enrich and expand our

parameters of knowledge. As Crang (1998:192) correctly implies, the conscious recognition of previous cultures and societies creates a palimpsest of texts that enables us to make sense of the past and to improve our future.

The main attraction of comparison lies in re-viewing traditional perceptions and particular contexts in order to assume a responsible attitude towards society.

5.2 Interpretation

The main focus of interpretation was therefore to determine the differences in identity formation represented in the novel and film texts of *Great Expectations*. The account of events relates to specific incidents and characters that influenced and affected the character formation of Pip/Finn in the respective texts. Although changes have been made to the time frame, names of the characters and spaces, in the film these changes retain the implied meaning they have in the novel. Other changes to the novel can be ascribed to the use of "theatrical economy" or "filmic economy", due to the nature of film as medium. In the film colour, in particular the colour green, is used to establish the fact that the audience perceives the story through focalisation mimicking the novel. Various shades (tints and tones) of green indicate growth and development – the process of becoming.

Space, as physical location, is dramatically changed but the meaning behind the chosen places or what they represent or reflect has been retained. As in the novel, the chosen places represent certain social classes: Satis House and Paradiso Perduto represent the middle class, while the forge and the house in the village represent the poor working class. In the film the places also represent the inner states of the characters. New York is predominantly seen in the dark, reflecting Finn's dark inner state. New York is only seen in the day when he is in nature and happy to be with Estella. The film does not emphasise physical entrapment as vividly as the novel, with its constant allusions to convicts and prisons (Newgate), but instead focuses on Finn's obsession that imprisons him.

The novel focuses on the idea that a memorable moment sets in motion a chain of events, while the film underplays this by focusing on the memory of the whole experience. However, the film transformation stays true to the novel in relating the

memorable moments that created a chain of events that impact on Finn and his identity formation.

In the transformation process the film omits sub-plots. It keeps to the developmental stages identified in the novel as a whole as crucial to stay true to the identity thereof. The only deviation is made in regard to the crisis, where the film focuses on the fact that Estella is going to get married, while the novel focuses on the identity of the true benefactor being revealed.

The film focuses more on symbols, which suggest themes that are open to interpretation by the audience. This is different from the novel, where themes are more complicated and where the interpretation of symbols is more limited to interpretation.

The title of the novel stands central to Dickens's interpretation of the society of his time. The ironic implication of "Great Expectations" is based on false values that assume *expectations* necessarily have to be associated with materialistic gain and social status. This theme of illusion and reality is substantiated by the presence of fairy tale elements in the narrative and the notion of a dual ending that echoes either reality or illusion. Illusion and reality are also personified in the different interpretations of a gentleman that cloud Pip's/Finn's perceptions of reality and cause him to mistake true values of honest labour and solid friendship – as represented by Joe – to be insignificant and below his dignity. The true grain of a gentleman is exposed by Mathew Pocket when he claims that his father perceives a gentleman as having a certain "essence" and that "no varnish can hide the grain of the wood; and... the more varnish you put on, the more the grain will express itself" (Dickens, 1981:204). In the film Finn echoes the idea of creating an illusion of self when he says, "I had invented myself ... I was free!" (*researcher's own transcription*: 1998). The last sentence is ironic because the false self is not free, as Finn realises later when he discovers the importance of true values.

The central character and focaliser, Pip/Finn, is presented with the facts of a corrupt society and of the forces of good and evil that he has to combat in his capacity as an individual and a responsible member of society. As a *Bildungsroman*, *Great Expectations* dramatises the choices between affluence and honesty, and also emphasises the question of social responsibility inherent to choice. In order to succeed morally, Pip/Finn has to realise that his actions carry consequences – this is illustrated

in the concept of a dual ending that Dickens uses and is alluded to in the film version. However, Pip's/Finn's realisation of social responsibility only comes at the end of a long process in which he examines his feelings of guilt. By attributing this characteristic to Pip/Finn, Dickens implies that he possesses a type of "core personality" of a sense of values that refuses to be repressed.

It is this aspect of Pip's/Finn's personality that needs to be assessed anew at this final stage of the study, because it suggests that personality cannot be completely ascribed to context and other influences as contemporary global society would like to believe. The essential awareness of right and wrong that Dickens implants in Pip/Finn implies that values – or a lack of values – constitute the mainstay of an individual's salvation. This idea is expressed in other Victorian and modernist novels, such as *Tess of the D'Urbervilles* by Thomas Hardy in which he represents Tess's personality to be formed by both her environment and her heritage and general make-up. *Lord Jim* by Joseph Conrad carries a similar train of thought, namely that an individual's actions and reactions seem to be programmed into a person and that one act of cowardice will certainly followed by others despite different circumstances.

5.2 Assessment

In retrospect, similar to the adult Pip's/Finn's review of his life, this study seems to have uncovered the full complexity of cultural products and their interconnectedness to place and space and heritage. Central to this debate, stands the concept of personality formation: the Victorian perception of static personality attributes, in contrast to the postmodernist impression of various forces that influence the individual's development in his or her exposure to social and contextual influences that contribute to identity formation. In the novel Pip has to go on a quest to discover his true identity. The Pip of the marshland with all his chaotic potentiality must discover his true identity through experience. Pip has to find out that recognisable traits related to country, nation, class, race and gender do not limit whom he discovers he is at the end of the novel. In the film Estella represents the traditional view of identity: "We are who we are. People don't change." Raban (1974: 9-10) describes the postmodernist view of identity as a "soft, fluid, endlessly open" concept that allows you to "decide who you are". Finn represents this idea of identity when he invents or reinvents himself. His identity shifts and

changes, in the same way Pip's identity changes, owing to the social and cultural forces that propel him to transcend boundaries.

It would only seem correct to conclude that all the aspects mentioned above have an influence on identity formation, but that an individual has an inherent trait that enables him/her to either succumb to adversity or to rally and recover his/her equilibrium. Dickens manages to illustrate this image very well in the image of Magwitch turning Pip upside down to view the "underside of the world". This element of identity formation is also present in the film version when Lustig towers over the frightened Finn.

Brockmeier and Harré (in Brockmeier, 2001:40) indicate that the recording of narrative experience is a means by which human beings make sense of their world and their identities:

> As far as human affairs are concerned, it is above all through narrative that we make sense of the wider, more differentiated, and more complex texts and contexts of our experience.

Therefore, there has long been the tradition of turning novels into films – words into pictures, exposition into action, mind into matter. According to McFarlane (1996:10-11) there are three categories of transformation or adaptation. The first category is transposition or fidelity (the modernist perspective). The second category is commentary, intersection or retaining the core structure of the narrative. The third category is analogy, borrowing or using the source as raw material for an original work. From the way the novel *Great Expectations* was transformed into the film, the form of transformation or adaptation utilised was that of commentary, intersection or retaining the core structure of the narrative (the second category).

In a similar way as Pip/Finn's identity is determined by inherent traits as well as by external cultural and environmental forces, so can identity formation be transferred to texts themselves. The interaction or tension perceived in the differences and similarities between the novel and film of *Great Expectations* create a rewriting of both, where both influence the interpretation of the motifs and themes. The novel and film texts are so similar because they have certain "traits" in common that overcome the significance of the different mediums/genres, such as narratological components, contextual aspects, similar narrative conventions and motifs, leitmotifs and themes, all of which make transformation possible, and indeed desirable. Although the film transforms and

distorts the social environment, displaces events from England to America, condenses and edits the novel for the shorter film version, it breaks the "rules" by indicating that certain narratological components, contextual aspects, similar narrative conventions and motifs, leitmotifs and themes remain the same. The postmodernist transformation of *Great Expectations* indicates that historical context is relative. Neither the time nor the physical setting has to be the same. Victorian Britain can be replaced with postmodern America. However, the time aspects should have certain similar elements, such as change, while the meaning ascribed to the places chosen should correlate.

In transposing the film into a contemporary context or setting, the film in dialogue with its own context opens up meaning that may never have come to the fore in its original context (see Intertextuality and film). Thus, it implies an "interspace" between (con)texts that is perceived as being engaged in a dialogue, with no conclusive interpretation. This is substantiated by Bal's (2001:3) view on how a cultural construct or artwork communicates: she sees a text as constructed in such a way that it transcends its original context and travels away into different times and places. Furthermore, the identity of a text expands due to the fact that it is in dialogue with its own (present) context, contexts of the past and contexts of the future. The film transformation of *Great Expectations* illustrates this particularly well. This also relates to the idea that a single performance in a certain context is not capable of actualising or totalising all of the text's semantic potential. The historical and cultural contexts will bring out certain dominant features of identity, while negating others.

Since the novel and film share certain similarities in marriage with their modes of transmission, the "textual identity" that exists between a written text and its visual adaptations or transformations can be described as that of hybridity or hybridism. It is a term that is used to describe the mixing or intermingling of different aspects. In terms of identity, two or more different forms or identities are married together to create a "new" form or identity that possesses characteristics of the original forms or "identities", in other words, a hybrid. The 'new' form is different from its 'parents' but also mimics them. Certain characteristics of one 'parent' may be more dominant, as are in this case the *mimetic* aspects, such as places with the same function and symbolic meaning (physical location), as well as the same type of social situation of radical change (social context) and narratological components, such as plot characters, narrator and focalisation. Therefore, viewing written texts and visual transformations of the same

texts as hybrid forms of "textual identity" reminds the researcher that he/she will be dealing with the interplay of tension between "core" and "relative" aspects or elements in the texts.

Apart from investigating identity formation and the moral choices that define social responsibility as well as the interplay between "core" and "relative aspects or elements in texts, this study has also opened a wealth of possibilities for comparison:

i) it has explored how textual techniques (in verbal and visual texts) enable the enrichment of interpretation and expansion of a world view that reflects on individual concerns and social variables;

ii) it has indicated how cultural differences can be understood by ignoring appearances and focusing on reality;

iii) it has illustrated graphically how individuals react to spaces and places, such as town and country, and the influence of houses, to underline the interaction between individuals and their context, whether personal or social;

iv) it has created a bridge between different time periods to contribute towards mutual understanding and tolerance;

v) it has shown that when texts are compared they mimic aspects of "personality formation" by the interplay between "core" and "relative"/"individual" characteristics;

vi) and most important of all, it has convincingly proven that basic patterns of humanity exist, but that they are camouflaged by different trappings.

As a result, one could conclude that comparison not only enables understanding the "other side of the story" but also leads to a better understanding and appreciation of one's own culture and traditions, which also emphasises that interpretation is constantly enhancing "core" meaning depending on an individual's position in time and space and that it is without first or last word.

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