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A CRITICAL INQUIRY INTO THE METHODOLOGY OF FILM SOUND
ANALYSIS

by

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B.A., Simon Fraser University, 1988

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Abstract

Traditional theoretical inquiries into Hollywood-style film sound tracks are divided along the lines of examining either ideological or aesthetic meaning-structures. Two methodologies characterize this theoretical bifurcation: a Marxist-psychoanalytic approach and a phenomenological approach. Sound track analysis, however, seems to require a methodology which must take into account both ideological and aesthetic concerns. The thesis critically examines the key ideological and aesthetic issues that are applicable to sound track analysis which have arisen from these two methodologies. An alternative approach to sound track analysis is proposed and examined for its ability to delineate the sound track of the film *Dr. No* (1962).

Drawing from the work of Paul Ricoeur, the thesis introduces a methodology which combines the Marxist-psychoanalytic and phenomenological attitudes into a single hermeneutic strategy. This approach treats both ideological and aesthetic concerns as two poles of the same interpretive enterprise.

The critique of the traditional methodologies illuminates two problems. The first is a tendency in the Marxist-psychoanalytic model to neglect stylistic concerns in sound track design and instead focus exclusively on ideological representations within the sound track. This results in the sound track being reduced to a device which

exclusively promotes ideology. The second problem is the phenomenological model's neglect of ideological issues. Here a problematic transcendental account of human subjectivity is proposed with which the sound track helps construct.

Both the Marxist-psychoanalytic and phenomenological approaches allow only limited access to film sound meaning structures, thus failing to account for the complexity of sound-image tropes and ideology. When subjected to the phenomenological hermeneutic approach the complexity of the sound track in *Dr. No* becomes manifest. The sound track is observed to be an intricate structure which plays a fundamental role in articulating a film-world and structuring that world with ideological representations.

Table of Contents

vi

Appendix

Chapter 1

Introduction

Early theoretical inquiries into Hollywood-style film sound tracks were largely concerned with outlining the structure and meaning of various aspects of the sound track (dialogue, music, and sound effects) and with offering filmmakers suggestions on how to properly apply these insights during the creation of a film. These aesthetic critiques (cf. Clair, 1985, Balazs, 1985, Kracauer, 1968) developed parallel to a critical inquiry into sound track design which, following Brecht, saw sound as potentially problematic because of the illusionary and naturalizing propensity with which its use would entail. This position was initiated in a joint statement by Eisenstein, Pudovkin, and Alexandrov in 1929 (Eisenstein, 1977) and developed by Eisler and Adorno (1948). While the aesthetic aspect of sound track theory has waned in recent years, the political critique has continued in full force. Historically, a theoretical consideration of the sound track gives rise to an either/or phenomenon: either the sound track is explained from a perspective which maps its role in articulating ideological representations, or the sound track is interpreted in terms of a film's overall aesthetic style. Two methodologies are illustrative of this tendency: the Marxist-psychoanalytic model which is primarily concerned with critically explaining the mechanism of ideological

1

meaning-structures and a phenomenological model which focuses on interpreting aesthetic meaning-structures. This theoretical bifurcation is unfortunate and unnecessary since both the aesthetic and ideological approaches to understanding sound in cinema can be carried out using a single strategy. Indeed, an adequate theoretical account of sound track ideology cannot be made without consideration of the sound track's aesthetic form and an adequate account of sound track aesthetics cannot be made without analysis of the sound track's ideological profile. Moreover, previous strategies of analysis have tended to theorize about the discrete components of the sound track (music, dialogue, and effects). While there is a certain economy in this approach, it should not be considered a theoretical necessity. The sound track can also be considered in its totality with music, dialogue, and effects often operating in tandem to articulate a given meaning-structure. This thesis, therefore, will be concerned with recombining both the critical and aesthetic approaches into a single methodological strategy for analyzing both the component parts of the sound track and the sound track as an acoustic whole.

The first half of the thesis will examine some of the key ideological and aesthetic issues that are applicable to the sound track which have arisen from these two attitudes. Because theoretical accounts of the sound track in each of these methodologies is an element of a larger concern with

articulating a general film theory, it is necessary to outline the theories in terms of their overall strategy and the role sound plays within them. Drawing from a critical investigation of these methodologies it will become evident that they fall short of an adequate account of the sound track's role in the articulation of either ideological or aesthetic meaning-structures within Hollywood-style films. Briefly, the problem may be defined as the tendency in the Marxist-psychoanalytic model to obliterate stylistic concerns in sound track design, erecting instead a problematic concept of ideology and the sound track's role in promoting that ideology; on the other hand, the phenomenological mode ignores ideology entirely, erecting instead a problematic transcendental account of human subjectivity with which the sound track helps construct. Instead of this bifurcated theoretical view, which separates explanatory ideological and interpretive aesthetic issues in the sound track, a competing model will be introduced which seeks to dialectically subtend these two approaches within a single field-of-view. Here the work of Paul Ricoeur will form the methodological background for a film sound theory which combines the critical and phenomenological attitudes into a single hermeneutic which treats both ideological and aesthetic concerns as two poles of the same interpretive enterprise. To "test" the appropriateness of this approach the film *Dr. No* (1962) will be examined in terms of the

sound track's ability to communicate both aesthetic and ideological meaning-structures.

Because concern with method is paramount in this study it is desirable to briefly step back and examine the connection between film theory proper and the philosophical issues that serve as its foundation. When this is accomplished a relationship emerges between the programme of film theory and the epistemological projects of Western philosophy, notably positivism, humanism, and materialism.

Method and epistemology

Since cinema is a social product any inquiry into the methodology of narrative film theory must come to terms with at least two considerations of method as it applies to the social. One consideration is philosophical and the other practical. Benton (1977) has outlined the philosophical consideration in terms of epistemological problems that arose from the social milieu of the Enlightenment. Here the establishment of the "knowing subject" and the corresponding technical successes of the scientific method provided a background for social scientists of the 18th and 19th centuries (Montesquieu, Comte) to propose that the principles and procedures used to derive scientific knowledge be transferred to knowledge concerning human affairs. In contrast to this positivist perspective, a different epistemology developed which Benton characterizes as humanist. This philosophical position held that the

4

unique character of the social sphere, its indeterminacy
etc., required an epistemology and corresponding methodology
that refrained from general law-like pronouncements of the
positivists. Indeed, the strategy offered by the positivists
is not compatible with the social because our interests in
the two realms are different. As Rickert maintained:

> Methodology has to observe that the one treats its
> subject matter, nature, as devoid of value and
> without meaning and brings it under general
> concepts, whereas the other represents its subject
> matter, culture, as meaningful and relevant to
> values and therefore does not content itself with
> the generalizing method of the natural sciences.
> (quoted in Benton, 1977: 107)

In reaction to both these perspectives, an epistemology
developed out of the recognition that knowledge, both
scientific and social, is mediated by the mind (Kant) and,
with Hegel's additions, history. This recognition of the
importance of the subject in knowledge acquisition, however,
does not imply that this social object of knowledge is
completely divorced from scientific methods of inquiry as
the humanists maintain. Rather, social knowledge must be
obtained in a rigorous way through the application of
theoretical concepts within the dialectic of the immanent
critique. This epistemology underlies the materialist theory
of Marx and later, with Althusser's additions, a critique of
ideology.

In general, each of these different epistemological
positions embrace a unique methodology. With the positivist
perspective method becomes the pronouncement of law-like

statements concerning the relations between social phenomena
carried out within the boundaries of the scientific method.
The humanists see method as the identification of essential
human properties acting on the social world through the
reflexivity of the hermeneutic circle. From the critical
perspective, method is the strategy of knowledge acquisition
concerning material and ideological features of capitalist
society with an emphasis on effecting change in that society
carried out within the framework of a Hegelian immanent
critique. And finally, each of these methodologies place
different emphasis on the importance of "empirical"
observations. Indeed, Althusser (1969) views the
introduction of theory-neutral empirical observations into
knowledge claims as an ideological endeavour.

The epistemology of positivist empiricism, humanism,
and dialectical materialism have a corresponding counterpart
in film theory and, since epistemology fundamentally
structures the principles and procedures of investigation,
the methods of film theory are very similar to those of the
traditional philosophies. Although Carroll (1988a, 1988b)
maintains that classical and contemporary film theory tend
to borrow in a piecemeal fashion the principles developed in
these philosophies and thus are poor philosophies in and of
themselves, there is nonetheless a high degree of
correspondence between the traditional methods and their
appropriated counterparts in film theory. The
epistemological structure of Bazin's (1967, 1971) film

6

criticism, for example, is similar to the transcendental principles of subjectivity articulated in humanism. Here, the meaning of a film (Knowledge) can be achieved by noting the manifestation of fundamental truths of humanity within a film. Thus, Bazin offers an account of cinema that parallels a humanist quest for understanding universal characteristics of Being. Bazin's ontological approach, therefore, is not concerned with ideological articulations, only with the manifestation of universal truths. In contrast, contemporary film theorists (Heath, 1981; Doane, 1985a, 1985b; Wood, 1985 et al.) employ a materialist and anti-humanist conception of the audience, functionally identical to the Althusserian conception of the subject predominant in a materialist methodology. In this methodology the identification of universal truths is considered a strategy wrought with bourgeois ideology. To counteract this the film researcher must adopt a scientific theoretical conception of knowledge independent of the researcher. This theoretical structure is then used to determine how ideology (non-knowledge) is at work in the film. From this knowledge the film researcher might offer ways in which films could be made to inhibit bourgeois ideology. Finally, both the humanist and materialist principles and procedures are challenged by a more positive methodology which affirms the priority of the empirical object, the film, and the audience's cognitive ability to rationally understand it (cf. Carroll, 1982, 1988a).

The second concern in an inquiry into methodology is more practical in nature. Since cinema, as an object of study, is clearly not a unified field practical considerations of the effectivity of a given method must be addressed. Some methods will be more inclined to deal with the sociocultural issues reflected in film or the psychological impact of film viewing on audience members. Alternatively, other methods will be more concerned with the analysis of the economic sphere of cinema or the examination of the aesthetics of a film's formal construction. Obviously certain methods of analysis will lend themselves, more or less, to these different features of cinema and since no single procedure is equipped to tackle all these questions it is not surprising then that film theory has generated a great many approaches. Any investigation into method must, therefore, engage in a consideration of the instrumental value of a given procedure towards its object. In other words, does a given method approach its object in a way that will help to reveal answers to questions asked. This is not to suggest, however, that a synthesis of different approaches should not be contemplated, as this might provide an overall theoretical account of cinema. It is to suggest, though, that providing box office receipt data to account for a film's aesthetic "success" is misguided.

Another aspect of the practical consideration of methodology takes the form of a critique of the principles of the method. Although it is important to be aware of the

concerns raised by the critical theorists in their debate with positivism, there are still important lessons to be learned from the rigour of the methodology of the natural sciences, especially the consistency of the terms used in a given theoretical structure and the ability of that structure to stimulate research. This plays an important role in any inquiry into film theory and recent interventions by Carroll (1982, 1988a) suggest that much of contemporary film theory is plagued by equivocation.

One note regarding the "practical" aspect of methodology. Many of the questions that can be asked of a methodology are similar in form to those of Carroll's (1982, 1988a) criticisms of classical and contemporary film theory. Much of Carroll's critique is substantive and is levelled against the value of these theories for understanding film. However, Carroll's criticisms are also levelled at the core epistemologies of humanism and materialism which are systematically dismantled from an inherently hostile epistemological perspective, that of analytic philosophy. With respect to the contemporary theoretical scene, Carroll's program has been criticized by Buckland (1989) and Heath (1983) on the grounds that materialist projects cannot be challenged through "positivist" schemas:

> Because Analytic philosophy presents itself to be relatively autonomous, it is open to the charge of scientific imperialism, for its own norms and values are presented as the absolute standard against which to interpret the norms and values of other paradigms. (Buckland, 1989: 81)

Ricoeur (1980) has also pointed out that the social does not articulate itself in a univocal way. Thus equivocation may be a necessary feature of any investigation into the social, of which film theory is one. The intention here is not to deconstruct these epistemologies, but merely to analyze method in terms of its adequacy for understanding film within a "realist" perspective; that is, by recognizing the value of logical argument and at the same time realizing that questions of logic and rigour come from actual experiences of human beings in the real world. Methodologically this is a scientific position, but one that is not positivist. As Habermas maintains:

> positivism could forget that the methodology of the sciences was intertwined with the objective self-formative process of the human species and erect the absolutism of pure methodology on the basis of the forgotten and repressed. (Habermas, 1971: 3-4)

This skeletal philosophical background is meant to set up some of the problems that are associated with an inquiry that seeks to understand how one can approach an object, "sound in cinema," and present meaningful statements about that object. This material is useful in addressing three problematics:

1. Since it is not immediately evident how one can approach "sound in cinema," questions of method become paramount and should not be considered as given. After all, the object is ill-defined, when placed in relation to scientific inquiries, as are many questions in film theory. The

complexity of the problem of isolating a specific feature of Hollywood-style cinema and analyzing that feature should not be underestimated. As an element within a larger signifying system, questions regarding the sound track, especially questions concerning the articulation of ideological meaning-structures, must be placed in a context that includes other features of cinema, such as economic and technical considerations; in addition the object is part of a signifying system and so the receiver of the sign must also be considered. All these elements bring into question method and each method, in turn, begets epistemological and ontological problems that, although might not be immediately resolved, should be kept in the foreground for consideration.

2. A lack of attention to method itself has been a serious problem in classical and contemporary film theory. It is important to illustrate where methodological biases and propensities lie before embarking on a critique of method or an elaboration of a competing method for film sound analysis.

3. Even though the "practical" aspects of method would seem to indicate otherwise, there is a striking similarity in all of the methodologies encountered: in various ways they all seek to interpret phenomena. To *understand* is the telos of the Enlightenment and from this common position the reconciliation of seemingly disparate methodological enterprises is possible.

The sound track, although a new and relatively unexplored cultural system, really is not so different in essence as to preclude the methods of other disciplines for its comprehension. The sound track is a signifying system and so the methodologies of semiotics and structuralism can be used to understand it. The sound track is a cultural product and so the critique of ideology offered by Marx and contemporary Marxist scholarship can be employed to tease out representations of dominance and false consciousness in sound track design. And the sound track is also a work of art and so its aesthetic parameters can be explored, and for this phenomenology offers promising potential. The sound track is all of these things and at the same time all of these strategies that can be used to explore the sound track have their roots in the Enlightenment and in many respects that common ground can be used as a basis to ask a single question: how can one *understand* the sound track?

Chapter 2

The Contemporary Scene: Psychoanalysis and Ideology

The theory which currently dominates film analysis revolves around the notion that the structure of narrative film, the way it disseminates meaning, and the pleasurable effect it has on audiences can be understood by applying concepts developed from the fields of linguistics, psychoanalysis, and political philosophy. While Hollywood-style narrative film has historically been thought to be similar to language (the development of this view going back to the accounts of meaning production through montage developed by Eisenstein and culminating in the structural linguistic theories of Umberto Eco (cf. Eco, 1976) and the early work of Christian Metz, (cf. Metz, 1974)) contemporary film theorists believe imagist and structural linguistic models, while valuable, do not adequately address questions concerning how film operates on the spectator in emotive terms. This problem is addressed psychoanalytically by incorporating Lacan's semiotic reading of Freud's unconscious. In addition, these imagist and structuralist accounts have difficulties in satisfactorily addressing the problem of how cinema might be ideological, in terms of reflecting the norms and values of bourgeois society and transferring these to its members, since the concern is with syntactic description rather than semantic explanation. It is an attempt to correct this shortcoming of formal analysis that initiates a political

element in the approach. Here the work of Louis Althusser and Jacques Lacan provide the framework for a filmic ideology critique.

This ideological critique is based upon the core concepts of psychoanalyst Jacques Lacan whose map of the psychosexual development of the child provides a model from which film theorists explore relationships between filmic text and spectator. According to Lacan, the pre-Oedipal child is unequipped to distinguish itself as unconnected from the rest of the world. Lacan describes the new-born child as a broken egg, severed from its mothers protection and anatomical containment, spreading itself out as an *hommelette*. During the child's sixth month and lasting to approximately its eighteenth month the child begins to differentiate between subject and object. Lacan refers to this metaphorically and actually as the "Mirror stage" of infant development since a child, upon seeing its reflection in a mirror, begins to develop a notion of "self" through contemplation and identification of its reflection. Moreover, the mirror presents the child with a whole and unified image of itself in contrast with its actual uncoordinated physical nature:

> What I have called the mirror stage is interesting
> in that it manifests the affective dynamism by
> which the subject originally identifies himself
> with a visual Gestalt of his own body: in relation
> to the still very profound lack of coordination of
> his own motility, it represents an ideal unity, a
> salutary imago ... (Lacan, 1977: 19)

However, this pleasing image of unity is a misrecognition of the child's true self. This inability to maintain a clear distinction between subject and object is described by Lacan as the "Imaginary order." A mechanism has been set in motion, now, where throughout Mirror stage development the child will have its ego constituted by this continuous Imaginary narcissistic misrecognition of the true self in images external to the child. In semiotic terminology the Imaginary can be thought of as the unification of signifier and signified into what the child perceives of as the sign. There exists here a sense of plenitude (as there was when the child was in its mother's womb). However, the child still does not fundamentally understand the difference between subject and object.

What follows is the "Oedipal stage" where the child not only begins to understand the triadic familial relationship as outlined by Freud (through resolution of the Oedipus complex), but also emerges from the misrecognition of self during the Mirror stage. The child now recognizes the image in the mirror as a reflection of self rather than the "true" self. This comes about through the child's understanding of the concept of "difference" and is based on the child's newly formed ability to differentiate between female and male sexuality. This is Lacan's "Symbolic order" and marks the beginning of the child's utilization of language, entrance into culture, and ability to distinguish the realm of the Imaginary from what Lacan refers to as "the Real."

Christian Metz (1982) has proposed that the experience of film images are not unlike the child's experience during the Mirror stage. That is, like the child's reflection, the filmic experience is at once positioned as "real" yet at the same time is no more than a "mirror" image of reality. An important difference from the psychoanalytic Mirror stage and the filmic Mirror stage, however, is that the perceiver of a film continually oscillates between accepting and rejecting the images as real, or in Lacan's terms the perceiver moves in and out of the Imaginary and the Real. During the Imaginary phase of film perception, filmgoers accept the film as real and do not perceive the artificial construction of the film. In semiotic terms, the filmic signifiers are considered by the audience to be truly representative of the objects they signify. The characters, actions, and *mise-en-scène* are all given as real and physically present. Signifier and signified exist in unity as Lacan believes they do during the Imaginary order. When, however, the Symbolic order intervenes, the artificiality of the signifiers is brought to the foreground. When this occurs perceivers become aware of the fictional nature of the film and are returned to "the Real." This similarity between film and the child's experience accounts for why film affects us positively. The filmgoer seeks to recover the *jouissance* of Imaginary plenitude through cinema.

Metz (1985a) has expanded this theory to account for cinematic narration. Drawing from the work of Emile

16

Benveniste's analysis of mode of address in linguistics, Metz proposes that there are two forms of enunciation in Hollywood-style film: *histoire* and *discours*. *Histoire* refers to an impersonal mode of address where actions and events are unfolding before the spectator in an objective manner as in real life. *Discours*, in Metz's context, is the specific material practice of making meaning or of the direct overt narration of the story as in a documentary film. Hollywood-style film, according to Metz, operates primarily within *histoire*, since narrative films generally present themselves to viewers as always already present worlds that exist independently of the audience's wish. The true origin of enunciation (production) is hidden. Audience members, lacking the narrator which would introduce *discours* into the film, themselves become the narrators or, in Lacan's terms, engage in an Imaginary misrecognition of themselves as being the narrators of the film in a similar way to the child's misrecognition of itself:

> Insofar as it abolishes all traces of the subject
> of enunciation, the traditional film succeeds in
> giving the spectator the impression that he is
> himself that subject ... since story, in Emile
> Benviniste's sense of the term, is always (by
> definition) a story from nowhere, that nobody
> tells, but which, nevertheless, somebody receives
> (otherwise it would not exist): so, in a sense, it
> is the "receiver" (or rather the receptacle) who
> tells it and, at the same time, it is not told at
> all, since the receptacle is required only to be a
> place of absence, in which the purity of the
> disembodied utterance will resonate more clearly.
> (Metz, 1985a: 548)

The Mirror stage is thus a part of not only the images but also of the narrative form, and, as will become evident, this allows for the unconscious transference of ideology disguised as the filmgoer's own ideas.

These Lacanian concepts are also applied to the succession of cinematic images through the concept of "suture." According to Oudart (1977), when spectators view a film there is an initial sense of Imaginary plenitude which, however, soon gives way to a sense of absence. Oudart evokes the classical form of the cinematic shot-reverse-shot to demonstrate his point. When a character addresses another who is off-screen, the filmgoer is confronted not only with the cinematic space of the speaking character, but also with the absent space of the character who is addressed. This ghost of "the absent-one" Oudart identifies with the narrator of the film. Since Hollywood-style cinema seeks to avoid *discours* a resulting reverse shot is included to reveal this absent space and efface the mechanical nature of the narration. Kuhn (1982) has also proposed that "the absent one" is mentally replaced by the spectator so that now not only does this fictional world seem objective and given but the spectator unconsciously becomes part of the film's enunciation in a similar way to Metz's narrative misrecognition. In this way the unity of the Imaginary is continuously being established between text and spectator.

From a psychoanalytic perspective, then, the "success" of a classical (Hollywood-style) narrative film lies in its

ability to forestall entry into the Symbolic order by continuously hiding the artificiality of the film's signification. In so doing the film addresses the audience as individuals who have a stake in the action and at the same time psychologically emulates the happy state of unity that exists in the realm of the Imaginary.

So far this model of the interrelation of viewer and film has been purely descriptive. Within this description, however, there are "hints" at possible similarities between the way film functions and that of the Marxist conception of bourgeois society. The view here is that the Hollywood style form of cinematic address effaces the "work" that goes into signification and positions a film as a "natural" object, as the way things are, when in fact the film is a construction which "produces" meaning through an active process of signification. It is important to note that it is not *fundamentally* important whether the film is a science fiction adventure or a "realistic" drama, only that the effacement of the process of signification is present on a formal level, i.e. within the visual and acoustic cinematic elements. It is this formal effacement of production and the corresponding incorporation of the audience into a film narrative, via the mechanism of suture, which is similar to the mechanism of ideology described by Althusser.

Althusser (1969) has adopted key elements of Lacan's outline of a child's psychosexual development to account for the role of ideology in contemporary Western society. However, the transference of the theoretical terms of Lacan's developmental psychology to an outline of society and its subjects introduces involved philosophical issues. Althusser begins clearly enough with a useful definition:

> ideology is a system (with its own logic and rigour) of representations (images, myths, ideas or concepts, depending on the case) endowed with a historical existence and role within a given society. (Althusser, 1969: 231)

Moreover, since this is a psychoanalytically derived conception of ideology, the mechanism operates on an unconscious level:

> They are perceived-accepted-suffered cultural objects and they function on men via a process that escapes them. (Ibid: 233)

The epistemological component of Althusser's conception of ideology, however, makes this definition more complex than it might seem. Althusser believes that Ideology can be defined in terms of a demarcation from "Science" which is considered as "knowledge." Indeed, everything that is not Science is considered as ideological. This knowledge, furthermore, can only be achieved through the application of materialist "Theory" to empirical or common sense (both of which Althusser considers ideological) data. Ultimately, however, this process will not engender knowledge about the

world in itself but will instead correspond to a "concrete in-thought" which sufficiently approximates actual material reality which Althusser calls "the real-concrete" (Ibid: 184-86). This epistemological foundation serves as the cornerstone for Althusser's subsequent political theory which is the focal point for the political critique in the Marxist-psychoanalytic model.

The bourgeois State, according to Althusser (1971), must create a consensus in society at least to the extent that the legitimacy of the State is upheld. This may be accomplished through force by using what Althusser refers to as Repressive State Apparatuses, such as the police or army, or, following Gramsci, through non-repressive ways using the educational, legal, and cultural systems. These latter Ideological State Apparatuses reproduce the roles and values of bourgeois society through a discursive process called "interpellation." For Althusser the individual or "subject" is a product of economic, historical, and other societal determinants without any inherent or essential qualities. This extreme *tabula rasa* view of humans would likely lead members of a society along the path of existential angst if it were not for the ability of Ideological State Apparatuses to speak to or, in Althusser's terminology, interpellate the subject so that the impression of a significant relation to society is maintained. That is, it is necessary to treat subjects in society as if they were meaningful individuals. Interpellation can thus be thought of as a process whereby

society addresses its members in ways that makes them think they are more than vacuous entities whose sole function is to uphold the State. For example, we are given names in society and our names appear before us on bills and other documents and these, in their humble way, help to affirm our belief that we are indeed individuals since they clearly address us as individuals. However, this impression is no more than an Imaginary misrecognition, similar to what the child experiences during the Mirror stage. That is, individuals have a misrecognition of themselves as having a significant relation to society much the same way the child perceives (and is constituted by) a misrecognition of itself. Within Althusser's epistemological terms, access to the "concrete-in-thought" is, unfortunately, hindered by the interpellative workings of Ideological State Apparatuses. These cultural systems, of which cinema is one, effectively misrepresent the "real-concrete" providing the subject with false knowledge and, in Lacanian terms, ultimately situates the subject in front of a cultural mirror where a misrecognition of their place and importance in society occurs.

There is also another formal alignment between bourgeois ideology and film that can be understood by reflecting on the history of Western art and specifically the period of the Quattrocento. According to Oudart (1990), the representational system developed by early Renaissance artisans, such as Brunelleschi, departed significantly from

previous pictorial systems because it included the viewer within the work's signifying system. That is, for "proper" appreciation of a painting or etching this method of representation requires one to be in alignment with the work's vanishing point. The ideological effect of Quattrocento perspective is realized when one appropriates aspects of Althusser's reworked concept of ideology. Because the formal characteristics of this mode of representation incorporate the viewer within the work (i.e. we become part of the picture), the work, in a sense, "speaks" to the viewer. Furthermore, this interpellative process is also helped along through the effacement of the actual material signifiers (lines, shading, etc.) involved in the construction of the work since Quattrocento perspectival systems of representation strove towards realistic representation which avoided such things as heavy brush strokes (in the manner of Manet) or skewed perspective (such as in the works of Cézanne) which would disrupt the effect of "being in the picture." This process of representation is thought to be ideological simply because it ultimately results in the viewer's misrecognition of the work's "real concrete." According to Oudart, since Hollywood-style cinema also incorporates a representational system based on Quattrocento perspective, the very form of pictorial representation in film can be seen to be ideologically charged.

The structural similarity between the mechanics of
ideology within bourgeois society, as outlined by this
Althusser-Lacan schema, and Hollywood-style film is clear:
in both cases there are individuals who perceive themselves
to be in a significant relation to an event, when in fact
they are not, and in both cases there is the effacement of
the processes of signification. In Hollywood-style cinema
this is accomplished through suture and the Quattrocento
perspectival system and in bourgeois culture through the
interpellative process of ideology. Hollywood-style film
thus reflects the fundamental tenets of bourgeois ideology
and in this way it strengthens the hegemony of that society
and, moreover, the transference of actual "ideological"
notions through Hollywood-style films is assured by
incorporating the various Lacanian mechanisms of
misrecognition.

The Marxist-psychoanalytic model and the sound track

The film sound track may be seen to play a role in these
interpellative and effacing processes by presenting a whole
and unified acoustic diegesis that does not disrupt and make
apparent the movie watching experience as an experience. In
"Ideology and the Practice of Sound Editing and Mixing"
Doane (1985a) maintains that:

> The effacement of work which characterizes
> bourgeois ideology is highly successful with
> respect to the sound track. The invisibility of
> the practices of sound editing and mixing is
> ensured by the seemingly "natural" laws of

construction which the sound track obeys. (Doane,
1985a: 54)

Doane Continues:

> Symptomatic of this repression of the material
> heterogeneity of the sound film are the practices
> which ensure effacement of the work involved in
> the construction of the sound track. (Ibid: 57)

Which ultimately gives rise to the finished "natural"

product:

> Sound and image, "married" together, propose a
> drama of the individual, of psychological
> realism. ... The rhetoric of sound is the result
> of a technique whose ideological aim is to conceal
> the tremendous amount of work necessary to convey
> an effect of spontaneity and naturalness. (Ibid:
> 61)

The emphasis here on the repression of acoustic

signification links Doane's thesis with Metz and his

assertion that Hollywood-style cinema must hide its mode of

signification in order to forestall the audience's

perception of enunciation. Clearly this is also in

accordance with Oudart's contention that, in general,

Hollywood-style cinema represses the mechanisms of

signification because of its adherence to the "laws" of

Quattrocento perspective. Once again, all of these formal

aspects of Hollywood-style cinema are tied into the

epistemological component of Althusser's ideological

paradigm; the Hollywood-style sound track creates the

necessary conditions whereby the audience member fails to

apprehend the "real-concrete."

The Marxist-psychoanalytic model has also been applied

to music in the sound track. Although it would seem that

non-diegetic music would be a source of potential narrative rupture in Hollywood-style cinema, since "music from nowhere" would likely disrupt narrative flow, this is not necessarily the case. Rosen (1980), based on the work of Eisler and Adorno (1948), suggests that the use of music instead helps to suture the audience member into the narrative structure by allowing the film to take on a three dimensional corporeal structure as opposed to just the two-dimensional visual structure offered by the image track. Hence the audience becomes enveloped in a "virtual reality" of narrative.

The sound track also enables emotional factors to play a role in the perceiver's cinematic interpellation. For example, sound effects that appear off-screen heighten dramatic moments by not disclosing their source (intuiting possible dangers for the characters) and music is often employed to emotionally heighten certain dramatic moments. This use of sound, though, is risky since it may potentially disrupt the cinematic text by exposing the signifying system. However, Doane, drawing on the work of Roland Barthes, maintains that although the ideology predominant in bourgeois society is of an empiricist order it is possible to reconcile emotional factors as well:

> the ineffable, intangible quality of sound - its lack of concreteness which is conducive to an ideology of empiricism - requires that it be placed on the side of the emotional or the intuitive. (Doane, 1985a: 55)

Thus the "realism" of Hollywood-style narratives:

operates within an oscillation between two poles
of realism: that of the psychological (or the
interior) and that of the visible (or the
exterior). (Ibid: 59)

There are other potential problems to the unity of the
cinematic text when sound comes into play. Dialogue, for
example, is usually given predominance over all other sound
effects and music, even when the visual logic of the shot
would necessitate unintelligible dialogue as in a crowd
scene. For example, in *Dr. No* there is a sequence in which
Bond, Leiter, and Quarrel meet in crowded night club. The
scene begins with a medium shot of a performing Calypso band
and the sound track is filled with their music. The camera
pans back to find Bond and his colleagues discussing the
mission at a table no more than ten meters from the stage.
At once, the level of music is abruptly reduced and the
dialogue level abruptly increased. Whenever the camera pans
or cuts away from the group, as when Bond is photographed,
the music level increases and whenever the focus is on the
group the dialogue level increases. All these camera
movements occur within the proximity of the group's table
and in no way logically justifies an increase in the music
levels. As Silverman (1988) notes:

> Hollywood's sonic vraisemblable stresses unity and
> anthropomorphism. It subordinates the auditory to
> the visual track, nonhuman sounds to the human
> voice, and "noise" to speech. It also contains the
> human voice within the fiction or diegesis.
> Dominant cinema smoothly effects all four of these
> ideal projects through synchronization, which
> anchors sounds to an immediately visible source,
> and which focuses attention upon the human voice
> and its discursive capabilities. (Silverman, 1988:
> 45)

However, with the possible exception of dialogue, the sound track is constructed in such a way as to match the Quattrocento visual logic of the film. Long shots are matched with sound levels that attempt to mimic the spatial distance of characters or events and sound reverberation is most always in correspondence with the physical dimensions of the visual space of the action. Moreover, as Silverman points out, synchronization is absolutely essential for the Hollywood-style film and this has engendered a complex array of techniques and technologies to effect the illusion of real people speaking real words. According to Doane these devices used in recording and reproducing the sound track also play a significant part in the repression of the materiality of the signifiers. For example, in "The Voice in the Cinema" Doane (1985b) discusses the implication of the Dolby noise reduction system in light of the overall ideological programme of Hollywood-style film sound practice, and finds that:

> technological advances in sound recording (such as the Dolby system) are aimed at diminishing the noise in the system, concealing the work of the apparatus, and thus reducing the distance perceived between the object and its representation. (Doane 1985b)

And finally, Doane is not alone in this view that sound track construction generally follows the principles used in constructing the image track. Altman (1985a) notes that the effacement of signification has been a primary concern for Hollywood since the introduction of sound:

28

> Throughout the thirties, nearly every important
> technological innovation can be traced back to the
> desire to produce a persuasive illusion of real
> people speaking real words. ... This effacement of
> work, commonly recognized as a standard trait of
> bourgeois ideology, provides the technological
> counterpart to the inaudible sound editing
> practice. (Altman, 1985a: 47)

From this brief outline of the Marxist-psychoanalytic approach the method may be summarized for analysis. Although there is an empirical element present in this approach, there is no relation here to empiricism. It may very well be the case that "empirical" features of bourgeois society suggest the effacement of production. However, in film theory this effacement of production concept is accepted a *priori*. That is, the relations among cinematic phenomena do not immediately suggest the concepts which then structure the theory. Rather, the Marxist-psychoanalytic model is theory dependent on its analysis of all aspects of cinema even though it may bring visual imagery or historical document into the argument. An analysis of the practice of Hollywood-style sound editing, for example, depends on the prior development, or adoption, of a theoretical concept, such as effacement of production, which is then used to guide the investigator of film sound. This top-down procedure also requires the precise articulation of its principles in order for it to have logical coherence, since "empirical" data is a secondary concern which does not suggest the theory. These principles are formed from analogies with principles of other disciplines. For example, the pleasure received when a filmgoer views a Hollywood-

style film is like the *jouissance* of Imaginary
identification with the unified image of the body during the
Mirror stage of psychosexual development. If this analogy
holds true and other principles can be found that are
analogous with Lacan's other ideas then Althusser's
reworking of the Lacanian theory of subject construction may
be applied in understanding how a film constructs
ideological subjects. Finally, the purpose of this method is
to serve as a critical tool to understand bourgeois ideology
in Hollywood-style cinema.

A critique

There are some difficulties with this methodology for the
examination of film sound. From a philosophical perspective
the approach tends to embrace a Cartesian rationalism which
proposes to understand film in its totality through a series
of visual metaphors. This tendency to posit theory as the
foundation for subsequent knowledge claims is not unlike the
demythologizing and secularizing methodological programme of
the Enlightenment. In other words, the Hollywood-style film
and corresponding practices of production are considered as
religious doctrines that must be challenged by a
"scientific" methodology that roots out ideological
occurrences. This is not surprising since the philosophical
foundations of the model are firmly cast in the roots of
Marx and Freud. As Ricoeur points out these nineteenth

century philosophers continued Descartes's principle of doubt:

> If we go back to the intention they had in common, we find in it the decision to look upon the whole of consciousness primarily as "false" consciousness. They thereby take up again, each in a different manner, the problem of Cartesian doubt ... (Ricoeur, 1970: 33)

The theoretically heavy top-down strategy, however, is unsympathetic to elements of cinema, namely sound, which do not conform to the basic visual metaphors which serve as the principles of the theory. Unlike methodology in natural science, where there is an interplay of observation and theory construction, the model forces the different components of a film into its predefined structure. This is why sound becomes a potential problem for contemporary theorists. Less because of its alleged "ineffable" and "intangible" and diegetically disrupting nature, but more because the methodology might not be equipped to deal with the acoustic realm.

Film theorists such as Altman (1980, 1985b) have noted that the visual metaphors of Lacan's theory have posed problems for film sound research, but there is another problem as well that is, in methodological terms, more serious: the "segmented" mode of analysis. The basic units of analysis in the model are shots, especially in suture analysis, or the image itself, as is the case in Oudart's Quattrocento analysis. Moreover, a specific feature of the sequence or shot might be singled out for extensive

31

examination. Elements such as eyeline matches in point-of-view shots are notable in this regard. Ultimately, within this approach to film analysis there is a *tendency* towards a methodological strategy which highlights the shot for analysis and downplays the significance of the sequence or, more importantly, the whole film. While this methodological bias does not seem to be immediately apprehensible within the model's account of the sound track, it does, however, underlie the main thesis: that the sound track aids in effecting an effacement of work in Hollywood-style films. This conclusion results in an analysis of the sound track which focuses on singular theoretical problems, such as synchronization, at the expense of analyzing the sound track as a whole within the parameters of the narrative. This is tantamount to examining a single word or a few words of a sentence and this strategy cannot not grasp the meaning of that sentence. Ricoeur notes:

> The sentence is not a larger or more complex word,
> it is a new entity. It may be decomposed into
> words, but the words are something other than
> short sentences. A sentence is a whole irreducible
> to the sum of its parts. It is made up of words,
> but it is not a derivative function of its words.
> A sentence is made up of signs, but is not itself
> a sign. (Ricoeur, 1976: 7)

This segmented approach is not adequate for understanding either the mechanism of film sound or the meaning-structures made manifest to the audience from sound-image constructs since the nature of film sound requires a more syntagmatic approach in analysis, an analysis at least on the level of

the "sentence." One logical reason for this is that because the visual track can be broken down into shots and frames and because, in a Hollywood-style film, they are interconnected in a way that extends the film's narrative, shot-by-shot analysis of these images, or analysis of certain features within theses images, is at least grounded within the narratological parameters extended by the film i.e. images are *a priori* rational in a Hollywood-style film. This *a priori* condition is not necessarily present in the sound track since often the three disparate areas of music, effects, and dialogue function in both directly causal (dialogue) and indirectly or non-causal (stylistic) ways. Independent analysis of each of these disparate areas, or all of them at once within the parameters of a shot, does not *necessarily* yield a pertinent structure with respect to the narrative (or even to theory, as might be done when analyzing the Quattrocento signifying system involved in an individual frame as in the case of analyzing a painting). However, when analysis is conducted in light of the sound track's interrelation with the visual imagery, narrative, and, at times, with itself and when a syntagmatic approach to analyses is involved a pertinent structure is made manifest. In other words, explaining either the mechanism of film sound or interpreting meaning-structures articulated through the sound track should occur within the parameters extended by the context developed by the whole film. This is especially true for sound as Truax (1984) notes:

> The communicational significance of any sound can
> only be judged within its complete context in the
> broadest environmental, social and cultural sense.
> In fact it is through context that we understand
> how a sound functions. (Truax, 1984: 10)

Johnson (1985) also points out that sound-image relations often spill over from one shot to the next, often encompassing an entire sequence. Thus, the shot by shot analysis involved in suture theory would be incapable of explaining these larger structures. For example, the use of musical leitmotifs is a predominant feature in Hollywood-style cinema. To understand the meaning of a given leitmotif it is necessary to also understand the film's narrative, the narrative's relation to dialogue, sound effects, and other musical pieces as they simultaneously manifest themselves to the filmgoer's sociohistorical consciousness. A musical theme, therefore, cannot be extracted from the film, as the Marxist-psychoanalytic model might do with a series of suturing shots, and be understood without reference to the whole film. Listening to the sound track of *2001: A Space Odyssey* (1968) provides the analyst with a sample of nineteenth century Viennese and German musical pieces, but it does not give any hint to the dramatic import of presenting *Also sprach Zarathustra* during Bowman's cosmic metamorphoses.

Within the sound track many individual elements can only be accounted for after the film has been presented. For example, in *Rumble Fish* (1983) there is a scene where the two main characters are breaking into a pet store. It is a

summer night and crickets are heard on the sound track. Careful listening, however, reveals that these "cricket" sounds are similar, if not identical, to those of electronic wristwatch alarms. The meaning of this would be impossible to determine if it were not for the development of the theme of "time" throughout the film through both the narrative and through specific cinematic styles made manifest on the sound track and in the imagery. A segmented mode of analysis would obviously hinder this reading.

There are other difficulties as well. How, for example, do cognitive psychological models of the perceiver fit into the model's paradigm. Are they to be completely rejected because of their empiricist nature? This would eliminate questions concerning how specific sounds and their presentation affect the perceiver. For example, Kernisky's (1984) research into the practice of recording dialogue might be of some use to contemporary theorists in their claim that the voice can potentially disrupt the illusion of narrative cohesion because of its disembodied and perspectively incorrect nature. In fact, his empirical research indicates that individual auditors were not always able to tell the difference between, or have a preference for, spatially correct diegetic recording and the more common intimate mode of recording sound. When preferences were exhibited it was for the close-up intimate sound recording practice that is normally associated with interpersonal communication in Hollywood-style films. This

research suggests two things. First, there is no potential
or actual disruption in the narrative through the use of
voice and thus the part of the sound theory that deals with
voice must be re-examined. Secondly, this empirical research
illuminates part of the main shortcoming of the model which
is its complete dependence on speculative musings which is
part of the problem when an Althusserian anti-empiricist
epistemology informs theoretical practice.

In addition to these philosophical methodological
problems there are practical problems as well. Because the
model's materialist epistemology considers cinema to be an
inherently social construct, methods that attempt to analyze
cinema in aesthetic terms, which would imply the primacy of
a given film separated from the social, or in terms of
individual audience members, which would imply individual
subjectivity, are considered as inherently ideological
endeavours (especially in Althusser's sense of the term).
There is no room for the individual subject's interpretation
of the film and in this way the theory implicitly rules out
history and erects a methodology that becomes transcendental
and dogmatic. Wood captures the essence of contemporary film
theory's "hidden agenda:"

> from Marx we derive our awareness of the dominant
> ideology - the ideology of bourgeois capitalism -
> as an insidious all-pervasive force capable of
> concealment behind the most protean disguises, and
> the necessity of exposing its operation whenever
> and wherever possible. (Wood, 1985: 196)

Indeed, Wood echoes a concern for the exposure of bourgeois ideology that was initiated by *Cahiers du Cinéma* editors Comolli and Narboni in 1969:

> the question we have to ask is: which films, books and magazines allow the ideology a free, unhampered passage, transmit it with crystal clarity, serve as its chosen language? And which attempt to make it turn back and reflect itself, intercept it and make it visible by revealing its mechanisms, by blocking them? (Comolli & Narboni, 1990: 59)

In an important sense, by incorporating the methodology of inquiry outlined by the critical theorists, contemporary film theory has moved beyond the object of cinema and instead has offered a critique of capitalist society through the *example* of Hollywood-style film. This would undoubtedly be a useful approach if it had a more extensive definition of cinematic ideology. Instead, ideology in cinema is considered as functionally identical to ideology in society in both content and form. The model can't really stimulate research into discovering new ways in which ideology might be operative since all it can do is apply analogies from other disciplines, such as effacement and interpellation, in the hope of finding a correlate in cinema. However, this definition of ideology exists as a given and reduction of ideological analysis to simple yes/no answers concerning identification of ideology within realist texts seems to be more in line with the Inquisition than the Enlightenment. This is such an important concern in any analysis of the

model's methodology that the term "ideology" should be examined in greater detail.

The concept of ideology

Carroll (1988a) has criticized contemporary film theorists for not providing an adequate operational definition for the concept of ideology. Carroll's major objection is that these theorists utilize an Althusserian conception of ideology which is based on a complex theoretical explanation of how society's individual subjects are integrated into the cultural system. However, the role of ideology in this process is considered to be such an important component in the tutelage of society's subjects that the concept can be seen to be essentially synonymous with culture thus losing its pejorative value:

> Not all beliefs enunciated or presupposed by a culture are ideological in this way. The hortatory force of ideology is lost when ideology becomes culture, since the critical sense of the concept requires us to disavow ideology, while it is probably literally impossible (and politically unnecessary) to disavow culture. (Carroll, 1988a: 73-74)

While this critique is substantive it also rests on the assumption that ideology *should* be thought of in pejorative terms. Contemporary cultural and Marxist theorists are not always in agreement on this making the concept of ideology wrought with many difficulties. For example, Geertz (1973) sees ideology as a symbolic system which renders:

> otherwise incomprehensible social situations meaningful, to so construe them as to make it

> possible to act purposefully within them, that
> accounts both for ideologies' highly figurative
> nature and for the intensity with which, once
> accepted, they are held. (Geertz, 1973: 220)

Ricoeur (1991a), following the semiology of Geertz,
understands ideology as partly a conservative force (in both
the positive and negative sense of the term) which can
ensure stability (or oppression) in the community:

> ideology has one fundamental function: to pattern,
> to consolidate, to provide order to the course of
> action. Whether it preserves the power of a class,
> or ensures the duration of a system of authority,
> or patterns the stable functioning of a community,
> ideology has a function of conservation in both a
> good and a bad sense of the word. (Ricoeur, 1991a:
> 318)

Ricoeur also notes that ideology is a concept which stands
in a dialectical relationship to the concept of "utopia."
Finally, Mills and Goldstick (1989), see ideology as a
synonym for the social superstructure itself. According to
these researchers, ideology, in Marx's original sense, is a
blanket term that covers legal, political, artistic, and
philosophic areas and includes the practitioners, the
"ideologists," in those areas. The pejorative, "false
consciousness," understanding of the term, coined by Engels
(1975) in his letter to Mehring, is applied to those who
fail to appreciate the role of the material and economic in
shaping the social sphere. It seems that the concept of
ideology inhibits "operational definitions."

In the final analysis ideology is a dynamic concept.
The problem that Carroll raises, however, is still
legitimate because current film theory has failed to engage

directly with the meaning of the term. In recognizing this failure Carroll is, in many ways, making a most substantive critique; however, providing a single definition, while ambitious and "scientific," limits the concept of ideology to an ethical sphere and fails to engage in the structural properties of ideology. Drawing from the work of Ricoeur a more fluid understanding of ideology will be offered momentarily, but there are a number of other difficulties with Althusser's notion of ideology which must first be addressed.

Because Althusser demarcates ideology from science, it is important for him to establish what he means by science. Althusser's understanding of the function of scientific inquiry is not in itself contentious since much of science operates by looking below surface appearances, but Althusser wishes to maintain that all real science functions in this way and that any common sense statement or empirical observation is always ideological. Lovell (1980: 34-35) has outlined how adoption of this idea results from Althusser's adherence to a rigid definition of science: for Althusser science is counter-intuitive and ideology is obvious, and this in itself is not a sufficient criterion to distinguish science from ideology. Moreover, this bifurcation of science and ideology is discussed by Benton (1984) who stresses that since Althusser asserts that material reality can only be known indirectly (through the concrete-in-thought) it verges on a neo-Kantian reliance on the thing-in-itself which can

40

never be immediately apprehended. Vilar (1973) contends that this is, in a sense, self-evident since we only know anything through thoughts in our minds, but it verges on a rationalism that positions actual reality in a true illusory realm. Vilar has lamented this preoccupation for theory and total disregard for empiricism:

> the abyss of empiricism is only separated by a hair's breadth from the abyss of idealism. Too great a revulsion from "examples", too strong a wish to isolate the "Holy of Holies of the Concept" and one risks being "precipitated" (or catapulted) into a world that is no longer that of Marxism. (Vilar, 1973: 75)

Lovell has also pointed out that this exclusive positioning of empiricism within the realm of ideology has lead to problematic claims that all realist offerings in the arts are ideological. And finally, Lovell maintains that the unconscious, and therefore intangible nature of ideology, as well as its all-pervasiveness in all representations, except the second-order knowledge (concrete-in-thought) obtained exclusively through Theory, creates a conceptual framework of ideology that is too broad to contain any meaning. It is important to now move beyond the conceptual issues extended so far and examine further how this problematic concept of ideology is employed in contemporary film theory.

Problems in cinematic ideology

The Marxist-psychoanalytic model has offered an account of the formal arrangement of signifiers in Hollywood-style film sound tracks. From this the model asserts that the audience

41

is engaged in a fundamentally illusory process. Also, this process is aided by the Quattrocento visual logic of the film. Cinema is thus ideological because it engages in a functionally similar process to that of bourgeois ideology's effacement of signification. Such practices and technologies such as synchronization and Dolby noise reduction are called upon to aid this assertion. However, processes that are functionally or structurally similar do not necessarily imply identity. That is, "Marxist" filmmakers, such as Costa-Gavras, also engage in similar sound editing practices alongside their Hollywood colleagues and though the theoretical language which critics might use to describe their films might differ, the end result is often similar: synchronous dialogue, sound effects, and music. Even though there is this formal alignment between bourgeois ideology and Hollywood-style cinema it does not imply that this style of filmmaking *necessarily* reflects bourgeois ideology.

There are two main reasons for this. The first is that, since Brecht, elaboration of the materiality of an art form has been a concern of cultural theorists who wanted to avoid problematic representations of "reality" that seemed to imply that what an audience perceived was a natural state of affairs. It is clear that aspects of this form of modernism have been transplanted to the Marxist-psychoanalytic methodology in film studies. However, this argument that realism is problematic is only one possible theoretical position and is not carved in stone. Lovell (1980) notes

that Luckács saw no difficulty with realist representation and this debate between him and Brecht is still important and not at all settled on the side of the strategies of estrangement. The second problem is of a more practical nature. It is highly problematic to maintain that the effacement of production occurs in the process of a Hollywood-style film. Within this practice the productive processes themselves are, and have always been, culturally prominent, albeit in an uncritical way such as highlighting the budget of a film or the pyrotechnical strategies used for special effects. Yet this does not distract from the fact that the production of a film exists alongside the cinematic images as products available for every filmgoer to consume. On the level of form, Belton (1985) and Johnson (1989) have also touched upon the point that sound technology can never completely reduce the noise in the system and so never fully effaces its signifying system. It should be added that if the technology moves away from an analog base towards a digital one their concerns would no longer apply, so it would seem that the stronger critique lies in the fact that Hollywood-style cinema is overtly positioned as a product and thus can never be "effaced."

There are other problems as well. An analysis that posits an exclusive relationship between the mode of production, of both Quattrocento perspective and the sound track, and the ideological effect, without consideration of the intervention of either the history, social class, or

Lebenswelt of the receiving audience, reduces film analysis to a simple base/superstructure model of Marxism. Williams (1973) notes that artistic practice is often considered, within materialist theory, in terms of an object and that object then undergoes analysis in terms that are not unfamiliar to an undialectical Marxism. The model of analysis outlined above considers film as text-as-object which is then analyzed in terms that correspond with this base/superstructure model. That is, the base of film sound may be considered as the practice of editing and mixing which includes the specific technologies, social organization of the labour, and economic considerations and the superstructure is the finished product and its corresponding (though not unproblematic) ideological effect. Although Williams suggests that this base/superstructure model is most wanting in relation to the performing arts since a continual interpretive activity is at play, it also applies to film sound because the acoustic events are always actively perceived by an audience in a specific historical moment as members of distinct cultures and classes, something which the Marxist-psychoanalytic model of film analysis does not address. In other words there is no room for the audience in the model. It would seem that this methodology is lacking precisely because of the conceptual framework surrounding ideology and subjectivity. Lovell (1980) has suggested that these issues are not well developed by Althusserian Marxism since Althusser delegates

44

the individual to a specific ideological realm (of misrecognition) which is incapable of offering its own experience as a form of real knowledge. Individual differences during film viewing are, therefore, completely unimportant. Ultimately, the ideological effect will be the same regardless of whether filmgoers are lawyers in Canada or shipbuilders in Japan. And again, the model reflects this highly anti-realist position of an aesthetic theory developed from the Althusserian position. Since Althusser maintains that knowledge is only obtainable through the second-order process of theory, any empiricist-like phenomena, such as Hollywood-style narrative film, will *de facto* be ideological. Finally, the ahistorical reading of bourgeois ideology results from a notion of subjectivity that is based exclusively in psychoanalysis, a theoretical paradigm that does not give actual historical circumstances a high priority.

In summary, an understanding of the ideological effects of cinema might, therefore, be somewhat more complex than contemporary film theorists admit for a number of reasons: the concept itself is complex and has not been engaged directly by film theorists, the concept of effacement is problematic and plays too large a structuring role in the claim that Hollywood-style cinema reflects bourgeois ideology, Williams's observation that the methodology applied in analysis verges on an undialectical Marxism, it would seem to be ahistorical as it relies on psychoanalytic

45

definitions of the subject, and finally, as Vilar shows, Althusser's anti-empiricism verges on a problematic idealism.

It would seem then that if the sound track were exclusively examined in relation to this guiding (and unexamined) concept of ideology, the film theorist would be primarily concerned with discovering ways in which the music, sound effects, and dialogue operated in accordance or discordance with dominant ideology. Since this concept of ideology is rigid, there is not too much to say about the employment of sound in Hollywood-style cinema. Moreover, by adopting this ahistorical account of the effect of ideology, the film theoretician will in fact be trapped in a process of determining the articulation of ideological effects using the same conceptual tools for films as temporally and narratively disparate as *Young Mr. Lincoln* (1939) and *Total Recall* (1990).

Yet frequently Hollywood-style cinema does convey certain cultural norms and values that are dissimulating and reflect the ideology of the bourgeois class. In *Mildred Pierce* (1945) the arrest of Mildred's daughter Vida, for the murder of Mildred's second husband, acts as a form of punishment enacted against Mildred because of her transgression of the culturally sanctioned role of mother. Her crime was to divorce her original husband and pursue a career in business. The sexist ideology is represented in the film through the narrative and its presentation. The

46

structure of the sound track plays an important role here. For example, Mildred's business dealings are often depicted as dry and uninteresting through the lack of music in the sound track. When music is introduced it expresses dramatic moments in the world "outside" business. This can be seen during a meeting where Mildred tries to save her business. Although Mildred is in serious financial difficulties no music is heard that would express her likely distressed state. Music begins only when Mildred discovers that her second husband, Monty, has sold his share of the business to Wally, a familial but not financial betrayal. Through this employment of music the audience member is lead to believe that what truly concerns Mildred is her family life and not her business. Ultimately, it is not so much the general use of sound which sparks the ideological representation, but more the way in which the specific use of sound evokes a meaning-structure. In this case the use of music to convey an emotional state which articulates the ideology surrounding the bourgeois family of the 1940's.

But is this post-war ideology the hallmark of bourgeois gender ideology today? If there are traces of it still in existence does it reside in the same form? Do (did) all social cultures and classes perceive this ideological formation the same way? It is the sociohistorical progression of the ideological representation of gender that is the interesting question, but which the Althusserian conceptualization is not well placed to answer since all one

47

can say is that any and all forms of a Hollywood-style film's articulation are ideological. And this is the most important issue here. By offering a specific instance of an ideological meaning-structure film theory can break out of the rhetorical and nonsensical mode of ideological analysis advanced by the Marxist-psychoanalytic model.

And finally, if film theorists adopt the Althusserian notion of subject inscription, how is it possible for Hollywood-style cinema to realize any other mode of expression other than that handed down to it by Brunelleschi since the all encompassing presence of bourgeois ideology operates unconsciously on all subjects in capitalist society? If everything is analyzed within the boundaries of the all encompassing "bourgeois ideological" programme, film theory really has nothing new to say since what will be said about future cinema will (has already been) be informed by concepts which fail to undergo extensive scrutiny.

Given that theorists seem to be split on the definition of ideology (culture/perjorative) it might be best to argue, following Ricoeur, that the ideology operative in the production of Hollywood-style sound tracks is dialectically constituted, with the poles of its structure simultaneously including both the negative (pejorative) conserving function and a positive integrating or conserving function. This would avoid making blanket connections between this mode of ideology and bourgeois ideology which is operationally imprecise and implicitly moralizing. Moreover, this

cinematic ideology should be expanded further and refer to representations on both a primarily manifest level as well as a formalist and unconscious dissimulating level. This would allow the concept to retain some substantive material meaning and become analytically accessible using other tools in addition to psychoanalysis. When this is done, describing ideology must include, as Geertz (1973) suggests, the recognition of figurative or stylistic devices and in the current context those devices which are presented to the audience during a film's articulation.

In the final analysis the Marxist-psychoanalytic model does offer the film researcher some useful critical tools with which to investigate cinema. The introduction of a sophisticated ideological account, even if problematic, does place questions concerning the effects of media into the forefront for consideration. As well, the model has indeed contributed to a possible account of why cinematic images are pleasurable to view. Since the concern here has been with cinematic signification and the potential for ideological transmission, a full account of the *jouissance* of the Imaginary and the pleasure derived from viewing (or in this acoustic context the pleasure derived from hearing) have not been fully examined. The fact that the model has engaged with this question in addition to questions concerning ideology and signification is testament to its far reaching scope and import.

However, because methods are, more or less, configured in response to questions that are asked about phenomena, it seems reasonable to assume that the model was never really created with sound track analysis in mind. To employ the method one must force concerns of the acoustic realm into the visual bias of the method and reduce sound track analysis to an acoustic correlate of a segmented suture analysis. Moreover, the model's tools are concerned with the identification of an Althusserian conception of ideology which excludes examination of different modes of ideology within a cinematic context. And finally, in all of this there is the problem of subjectivity which contemporary theory seeks to examine through the destruction of *individual* subjectivity. Thus the method only discusses meaning-structures on a level of how they are effaced leaving little room for informed individual interpretation. Since film sound seems to require more of an interpretive strategy which takes into consideration manifest meaning structures, is there another model available for the film sound researcher? Bazin's approach partially addresses the limitations of the Marxist-psychoanalytic model.

Chapter 3

Politiques des Auteurs: Bazin's Phenomenological Approach

In many ways the Marxist-psychoanalytic model of film
analysis was constructed in response to perceived
shortcomings in auteur criticism promoted by Truffaut,
Rohmer, and André Bazin. The writings of these *Cahiers du
Cinéma* contributors during the 1950's and early 1960's
opened up the possibility of a new way of perceiving cinema;
a film is the embodiment of moral truths and great ideas
from the hand of a single director. Clearly this is
immediately at variance with the political project of the
contemporary approach. Yet Bazin's theoretical
conceptualization of film and his corresponding methodology
does incorporate an implicit sensitivity to the change in
cinematographic and narrative style within a sociohistorical
context and one that explicitly recognizes the importance of
subjectivity. In this way there is, at once, an improvement
and a shortcoming in the approach. Moreover, his analysis of
individual films comes very close to addressing an important
shortcoming of the Marxist-psychoanalytic model: the
reductionist tendency in analysis. Instead, Bazin concerns
his analysis with the existential manifestation of meaning
within the text as it is informed by various cinematic
techniques rather than exclusively concentrating on formal
structural properties. Ultimately though, Bazin's approach
is characterized by a humanism that the materialism of

contemporary theory quite correctly challenges as being too subjective. Given this distinction, it is not surprising that Bazin's writing takes on the form of a critique of cinema rather than the "scientific" analysis advocated by those who propose a more rigorous form of theory.

This is somewhat surprising since his approach can be tied to the phenomenological methodology advocated by Husserl which indeed attempts to formulate an apodictic "science of sciences." Although this link to phenomenology is really only tenuous (as Carroll points out is the case with many film theories which are "poor philosophies in and of themselves") there is enough similarity with the "real" philosophy with which to characterize Bazin's approach as phenomenological. A brief detour into the "real" philosophy should make this clear.

Husserl's phenomenology

Edmund Husserl begins his philosophy by noting the problems that developed from the result of the subject-object Cartesian dualism. Here psychologism sought to isolate consciousness from the material world and phenomenalism to isolate objects from thought. To correct this bifurcation he proposed that objects are not "things-in-themselves" and consciousness is not unto itself, but instead a mediated relationship exists with objects being *intended* by consciousness. Indeed, on reflection this one aspect of consciousness becomes immediately evident: that

consciousness is always consciousness of something. Thus,
the idea of intentionality has a correlational nature
consisting of the intentional act of consciousness (*noesis*)
and the intentional object of consciousness (*noema*). Now
"objects" of consciousness must not be thought of
exclusively in terms of sensory matter, or "hyletic data,"
but rather as also comprising a *Sinn*, or meaning. Thus
abstract concepts are also incorporated into the noesis·
noema correlate.

Phenomenology also implies a methodology which attempts
to explicate the nature of a given phenomenon. Husserl
argues that one must "bracket off" everything that is beyond
immediate experience thereby reducing the external world to
that which is immediately manifested in consciousness. In
other words, all one's cultural and ideological
presuppositions must be suspended (bracketed) if one is to
attain certainty. Reality, therefore, must be treated as a
form of pure phenomena which manifests itself to
consciousness and from this absolute sense data the
philosopher can begin to understand the nature of phenomena
from a position of certainty. Husserl refers to this method
as a "phenomenological reduction." The nature of
phenomenological knowledge that results from the reductive
procedure can be thought of not in specific referential
terms, for example a specific brick, but instead as a
universal characteristic of that object, such as
"brickness." The phenomenological method therefore attempts

to understand the universal and immutable characteristics of objects and thus engages in what Husserl refers to as an eidetic abstraction.

Understanding is the key concept in Husserl's phenomenology and one which the late Husserl took pains to stress in order to counter charges that his philosophy resulted in a problematic Cartesian reduction:

> It is naturally a ludicrous, though unfortunately common misunderstanding, to seek to attack transcendental phenomenology as "Cartesianism", as if its *ego cogito* were a premise or set of premises from which the rest of knowledge (whereby one naively speaks only of objective knowledge) was to be deduced, absolutely "secured". The point is not to secure objectivity but to understand it. (quoted in Kern, 1977: 145)

Within this philosophy there is an explicit assumption or presupposition that phenomenological reflection itself is intended towards the apprehension of meaning:

> Husserl's "principle of principles" implies that phenomenological intuitions are not simple experiences, but complex, highly structured interpretive (and potentially meaning-producing) acts. (Tomasulo, 1990: 1)

Tomasulo is too weak here since the noematic component of the correlate necessitates *Sinn*. Ricoeur (1991b) asserts the idea of phenomenology's basic concern with meaning more forcefully and in less idealist terms than Husserl:

> the thesis of intentionality explicitly states that if all meaning is for a consciousness, then no consciousness is self-consciousness before being consciousness *of* something *toward which* it surpasses itself ... That consciousness is outside itself, that it is *toward meaning* before meaning is for it and, above all, before consciousness is *for itself*: is this not what the central discovery of phenomenology implies? (Ricoeur, 1991b: 39)

The concern with meaning is critical for phenomenology.

There are two concepts being articulated here that justify the link between Bazin's form of film criticism and phenomenology. The first is a recognition that our perceptual faculties participate in the apprehension of phenomena and that this participation consists of a noetic-noematic correlate which must necessarily include the individual cogito. The second is that this process is ultimately one of apprehending, or understanding, the transcendental nature of that phenomenon. The former concept is linked to Bazin's reflection on the ontology of photography and the recognition that the properties of *mise-en-scène* exist as noema and are thus necessary for an explication of cinematic meaning. The latter concept is articulated within Bazin's thought through the explication of universal truths within the cinema of certain *auteurs*.

It becomes difficult, however, to liken Bazin the "critic" with Husserl the "philosopher" since Bazin clearly engages in a less rigorous form of phenomenology. Nonetheless, in Bazin's writing there are similarities which are striking, especially in terms of methodology:

> The aesthetic qualities of photography are to be sought in its power to lay bare the realities. It is not for me to separate off, in the complex fabric of the objective world, here a reflection on a damp sidewalk, there the gesture of a child. Only the impassive lens, stripping its object of all those ways of seeing it, those piled-up preconceptions, that spiritual dust and grime with which my eyes have covered it, is able to present it in all its virginal purity to my attention and consequently to my love. (Bazin, 1967: 15)

55

The difference is clearly that Bazin has, in a sense, reified the technical apparatus whereas Husserl clearly allows philosophizing to remain in the domain of humanity. But perhaps this is a somewhat simplistic reading of what Bazin is saying here. The important point is that the methods of inquiry are similar enough to characterize Bazin's approach as phenomenological and thus to oppose it, in those terms, to the Marxist-psychoanalytic model.

The ontology of the photographic image

Bazin's conceptualization of cinema begins with an account of the nature of the photographic image. Because the camera is a device which directs light onto film, Bazin (1967) argues that the true nature of the photographic image must have something to do with this recording aspect of the medium. This light which enters the camera, moreover, comes from an external world largely unaffected by the presence of the camera, and unlike painting where an individual artist is the mediator, this process is largely automatic and objective. Given that the photographic process is uniquely equipped to capture external reality in this way, it seems reasonable to assume that photography itself is the best medium in which to express reality. Now this is not to say that painting, drama, and the other plastic arts do not express aspects of reality or are somehow inferior to photography as an art form, they are not. It is just that,

all things being equal, photography is the medium which best

expresses the aesthetic of the objective world:

> The quarrel over realism in art stems from a
> misunderstanding, a confusion between the
> aesthetic and the psychological; between true
> realism, the need that is to give significant
> expression to the world both concretely and its
> essence, and the pseudorealism of deception aimed
> at fooling the eye (or for that matter the mind);
> a pseudorealism content in other words with
> illusory appearances. ... Perspective was the
> original sin of Western painting.
>
> It was redeemed from sin by Niepce and Lumière. In
> achieving the aims of baroque art, photography has
> freed the plastic arts from their obsession with
> likeness. (Bazin, 1967: 12)

Since the basic characteristics of photography are shared by

cinema, and photography is best suited to explore the

aesthetic of the objective world, it follows that in

realizing a cinematic aesthetic one should try to engage in

practices where the realistic aspect of the medium is

explored. Indeed, the history of photography and cinema show

an evolution towards this "myth of total cinema:"

> The guiding myth, then, inspiring the invention of
> cinema, is the accomplishment of that which
> dominated in a more or less vague fashion all the
> techniques of the mechanical reproduction of
> reality in the nineteenth century, from
> photography to the phonograph, namely an integral
> realism, a recreation of the world in its own
> image, an image unburdened by the freedom of
> interpretation of the artist ...
>
> The real primitives of the cinema, existing only
> in the imaginations of a few men in the nineteenth
> century, are in complete imitation of nature.
> Every new development added to the cinema must,
> paradoxically, take it nearer and nearer to its
> origins. In short, cinema has not yet been
> invented! (Ibid: 21)

Consider the first attempts at fiction film. Essentially they were filmed plays with little or no camera movement. The proscenium arch of theatre is an appropriate metaphor with which to explain the early film frame. Griffith introduced parallel montage and the close-up, releasing film from this static condition, but the lack of sound required a dramatic acting style that was still a part of theatre. By the 1930's the introduction of sound, panchromatic film, and greater sensitivity in film emulsion allowed cinema the potential to fulfill the realist goal of capturing objective reality, but the stylistic influences of silent film still persisted with theatrical, expressionist, and montage forms of filmmaking continuing throughout the early years of sound. Technical advances alone did not, therefore, solely inform the advance of cinema. Rather, it was a search for a new style of filmmaking that could explore subject matters more intensely than the static dramas of *Film d'Art*, and, with an adherence to realism, would drive cinema towards a new evolutionary point.

In Hollywood, during the 1940's, this new style of filmmaking began and realized the myth of total cinema. A style developed that explored the aesthetic of objective reality in both cinematic and narrative forms. The use of deep focus photography and longer scenes emulated how individuals perceived the world. Film audiences could now explore, on their own terms, the image without having it cut up into montage cells that supplied ready-made meaning or in

a theatrical form that only extended a narrative. They could discover new meaning in the image or savour the fundamental ambiguity of reality, something that is impossible with montage which "presupposes of its very nature the unity of meaning of the dramatic event" (Bazin, 1967: 36).

Citizen Kane (1941) embodied the realization of this new style of cinema. Through the use of the long take and deep focus Orson Welles:

> restored to cinematographic illusion a fundamental quality of reality - its continuity. ... It is no longer the editing that selects what we see, thus giving it an a priori significance, it is the mind of the spectator which is forced to discern, as in a sort of parallelepiped of reality with the screen as its cross-section, the dramatic spectrum proper to the scene. (Bazin, 1971: 28)

In *Citizen Kane* there is a sequence which employs both cinematic techniques of the long take and deep focus which, on a formal level, conveys the sense of ambiguity, continuity, and the role of the spectator Bazin seems to be talking about. This is the flashback sequence which depicts Kane's mother and father discussing, with their lawyer Thatcher, the family's new found wealth. Deep focus is used to provide the viewer with multiple planes of space each of which conveys a different meaning. In the foreground three adult figures are seen engaged in a heated discussion. In the background young Kane is seen through a window playing in the snow. The viewer, furthermore, is given time to analyze this image through the employment of long takes. As well, the boy is easily heard shouting while he plays and

this seems to give the background image more prominence. Although there is foreshadowing of the event to come, it is not until the end of the sequence that the signification of young Kane's presence is revealed - when a decision is made to place the boy in the care of Thatcher. The use of deep focus and the long take informs this sequence with what Bazin refers to as the "continuum of reality." As well, ambiguity is achieved because viewers are given multiple action planes from which they can construct different meanings.

The evolution of cinema continued with the neorealism of post-war Italian cinema finding new ways to explore subjects in a "revolutionary humanist" mode of realism. Here, especially in Rosellini's Paisà, narrative reached it fullest expression:

> The unit of cinematic narrative in Paisà is not the "shot," an abstract view of reality which is being analyzed, but the "fact." A fragment of concrete reality in itself multiple and full of ambiguity, whose meaning emerges only after the fact, thanks to other imposed facts between which the mind establishes certain relationships. (Ibid: 37)

Bazin's method and sound

As with the Marxist-psychoanalytic model Bazin draws his examples primarily from the visual aspect of cinema, long takes, deep focus etc. However, his model is often referred to as the first "sound film" theory. Why is this so? Primarily, it is because he saw sound as *the* important

technological development that thrust the silent film into
chaos. Sound enabled the cinema to represent reality
faithfully, but the use of sound prior to the 1940's was
still deeply informed by the aesthetics of the silent era.
There was a tension created when sound was employed in an
"ineffable" and "intangible" way that inhibited the
exploration of the realist aesthetic. Those qualities of
sound that lend themselves to this psychological aspect are
attempts at configuring, or forcing, the dramatic action
into pre-defined meaning-structures, at the cost of the
ambiguity and continuity of reality. An example of the
"correct" use of sound is found in the second sequence of
Citizen Kane. Here the newsreel editors discuss the reel
depicting Kane's death. Unsatisfied because it lacks the
dramatic "punch" that viewers will undoubtedly want, they
discuss ways to improve it by trying to discover who the
"real" Kane was. The room is obscured by cigarette smoke and
lit only from a single source, that of the projector.
Shadows and faint glimpses of the actors are seen, but their
voices are heard distinctly. The creative use of varying
degrees of volume and reverberation create, however, a full
and open acoustic space which contrasts with the closed
visual space. Welles, has created an acoustic atmosphere
identical to the 1940's radio plays which emulate the
dramatic reality Bazin refers to. That is, there are
multiple acoustic planes from which to aurally survey the

action and there is a sense of ambiguity in the nature of the conversation's subject matter.

Les auteurs

Not all films, of course, are able to offer viewers these insights into the aesthetic of objective reality and most films are not art but are commercial in nature, those films driven by plot or the excesses of theatrical narrative for example. Only certain *auteurs* create art: Welles, Renoir, De Sica, etc. What method, then, does the critic adopt to determine which directors are *auteurs*? A necessary condition is that the director constructs the *mise-en-scène* in a realist fashion in the service of a humanist treatment of its subject matter. The director must also have a discernible imprint on the film, in other words he or she must speak in the first person through the film, and in subsequent films there must be a trace of this imprint, perhaps maturing but not necessarily so. This, of course, must be tempered by a willingness on the part of the critic to accept other films (new *auteurs*) outside the accepted canons:

> In other words, every critical act should consist
> of referring the film in question to a scale of
> values, but this reference in not merely a matter
> of intelligence; the sureness of one's judgement
> arises also, or perhaps even first of all (in the
> chronological sense of the word), from a general
> impression experienced during a film. I feel there
> are two symmetrical heresies, which are (a)
> objectively applying to a film a critical all-
> purpose yardstick, and (b) considering it
> sufficient to state one's pleasure or disgust. The

first denies the role of taste, and the second presupposes the superiority of the critic's taste over that of the author. Coldness ... or presumption! (Bazin, 1985: 256)

From this outline of Bazin's approach to film criticism his method may be reduced for analysis. Unlike the Marxist-psychoanalytic model of film analysis whose theoretical structure is *a priori*, Bazin begins with the object of study, cinema (or more appropriately with photography). Consideration of the photographic phenomenon suggest to Bazin that it is a property of that object to capture and re-present reality. He proposes that this representation of reality is not only an inherent property of the photographic arts, but that they alone are best suited to explore the aesthetic of this reality, realism. From this "eidetic abstraction" Bazin begins his critical mission. Similar in form to the desire to discover ideology in cinema, Bazin seeks to discover what films satisfy the realist criterion. Since reality is best described as a sort of continuum, films that best preserve this are candidates for inclusion into the canons of cinematic art. Certain directors, moreover, have best demonstrated an adherence, over a large body of work, to this realist doctrine, and they can be considered as *auteurs*. Analysis of these artists will provide the critic with an understanding of the many forms of realism that cinema can express and, above all, an understanding of the human condition.

A critique

There are some interesting implications of Bazin's approach for the analysis of film sound tracks, but, ultimately, his main realist thesis is untenable; that is, his account of what constitutes the ontological nature of cinema and the implication that this is what *should* drive filmmakers to engage in specific forms of filmmaking.

From the philosophical perspective of method, Bazin's approach engages with two strands of cinematic phenomenological concern: the zone of pre-formulation (or the investigation into the noetic-noematic correlate) and the zone of post-formulation (or understanding). Andrew (1985) describes the former as:

> a global response to the movie complex, a "perceptual" stance in relation to the "animation and definition" of images, a narrative stance implicating the spectator's consciousness through the processes of identification and individuation in relation to a sequence of images all directed toward some goal or experience. (Andrew, 1985: 629)

Bazin attempts to engage in this mode of phenomenology when he describes ontology of the photographic image since he seeks to discover the nature of cinema, its Being, through direct experience of the object; in other words, to effect a perceptual stance. Unfortunately, Bazin's enthusiasm for phenomenological reduction results in the bracketing off of most of the contextual issues that are so important for a "global response to the movie complex." What becomes problematic for sound in this instance is that by engaging

64

in a radical form of phenomenological reduction the
contextual matters, so important in acoustic communication,
are abstracted out of the equation. It becomes difficult,
then, to imagine how this mode of phenomenology could be
beneficial for understanding a musical score of, for
example, *2001: A space Odyssey*, since it seems to imply that
we have to bracket all contextual elements from
consciousness in order to effect the phenomenological
reduction of sound. Analysis results, ultimately, in a sort
of phenomenological form of the segmented mode of analysis
encountered earlier in the Marxist-psychoanalytic model.

In addition, some theorists have raised concerns with
the ontological aspect of Bazin's approach because it
appears that it is structured around proposing that the true
"nature" of cinema, realism, is made manifest through its
special capacity to directly record the pro-filmic event.
For example, Carroll (1988b) has posed a number of questions
that suggests that Bazin's adherence to this realist polemic
has logically undermined his arguments. Why, Carroll asks,
does it follow that photography and cinema should comply
with the realist aesthetic because they are allegedly best
suited to the reproduction of reality? This is opinion and
not the result of deduction. No art, Carroll continues, is
"best" suited to depict anything. Moreover, is it indeed the
case that photography and cinema best represent reality? And
what does it mean to re-present something? Also, Bazin's
movement from the ontology of photography to the ontology of

cinema is also problematic within the phenomenological method. What Bazin has done is implied that the supplements of photography may be attributed to that of cinema. While the heuristic value of this argument is justified, it cannot be maintained within the strict logical rigour of Husserl's phenomenology.

Though Bazin is clearly susceptible to these critiques his mode of criticism explicitly recognized that the form of cinematic presentation, its *mise-en-scène*, is a vitally important move that must be taken in any apprehension of the meaning of a given film. While his articulation of the noetic-noematic complex of cinema might be problematically achieved, the point is still taken. Clearly, Carroll's critique verges, then, on a quibble. Bazin's enthusiasm for proscription of the nature of cinema does not really detract from the essential import of his argument. Here, at least, Bazin method surpasses the overly formal methodology of the Marxist-psychoanalytic model which eliminates the noetic-noematic correlate for the sake of rational certitude.

The other strand of phenomenology Bazin engages in offers even more potential for an understanding of the sound track. Andrew describes the zone of post-formulation as:

> a phenomenology which seeks to be adequate to that experience which lies on the hither side of signification, somewhere beyond the text ... What exists beyond the text and what kind of description can be adequate to it? Here we encounter the exciting and dangerous term "world." A film elaborates a world and it is the critic's job to flesh out or respond to it. (Andrew, 1985: 630)

This is Bazin's primary concern and it is this

phenomenological aspect of his *procedure* which is of

importance in assessing the approach's practical

methodological merit. In essence Bazin attempts to recover

filmic meaning rather than exclusively explaining structural

relationships. In conjunction with a prior "pre-

understanding" of the social and historical trends in

culture, this approach makes manifest the interconnectedness

of the cinematic event with that of both the viewer and the

world. It posits the cinematic experience as one of

experiencing a "world." This can be contrasted with the

Marxist-psychoanalytic model whose formalist critique of

cinema reduces the multivalent forms of cinematic meaning to

a single mode of ideology. It is here, in the recovery of

meaning, in understanding that meaning, that a methodology

for film sound can best benefit from his insights.

For example, Bazin's analysis of *Paisà* (1946) examines

narrative, image, and sound (in short its *mise-en-scène*)

with full knowledge of the technological limitations that

Rossellini had to work with and the actual material

conditions surrounding post-war Italy. *Paisà* is not analyzed

from a perspective which isolates, out of context, a single

filmic device, such as Rosellini's use of post-synchronous

sound recording, and drawing from this a conclusion that

there is an acoustic "disruption" in evidence in the realist

diegesis. This form of analysis does not really add to our

knowledge of cinema, nor does it enable the critic to grasp

the signification of Paisà as a whole. What Bazin offers, instead, is a reading of the film which sees post-synchronous sound production as adding to the realist text by enabling the camera to "spontaneously" explore the narrative world. Donato's (1970) scheme for contrasting phenomenology and structuralism best characterizes this difference between Bazin's approach and the Marxist-psychoanalytic model: it is engaged rather than dispassionate, temporal rather than spatial, and concerned with process rather than structure.

In all of this, it is easy to see that the "phenomenology" that Bazin subscribes to is not a rigorous adoption of either Husserl or Heidegger. Although Bazin engages in a loose form of phenomenological reduction when he discusses the ontology of the photographic image, he also employs Heidegger's concept of "pre-understanding" or "fore-knowledge" in his continuous reference to cinematic and cultural history. His apprehension of the importance of *mise-en-scène* highlights the noetic-noematic correlate, but this is not articulated directly. His phenomenology, therefore, is unstructured. It also oscillates between a transcendental mode, which is concerned with surface manifestations of the film and from there the move towards understanding, and a more concrete historical mode, which implicitly recognizes the actual historical and material forces at work in the background during the filmgoer's attempt at deciphering the cryptic text.

A form of this phenomenological procedure Bazin adopts is probably best suited to understand film sound. However, a rigorous method for understanding film sound cannot entertain the notion of privileged (realist) films since this implies a privileged position of knowing for the individual subject who is able to discern the nature of these films. And this is decidedly counter to the lessons learned from structuralism, semiotics, and Marxism. These moments of transcendental phenomenology in Bazin's work should be replaced by a concrete phenomenology which takes into consideration the important advances of structuralist theory and by post-structuralist theories which view texts as disseminating multivalent meanings which are interpreted by individual subjects in specific historical periods. The question ultimately becomes: is it possible, then, to adapt some of the principles from the Marxist-psychoanalytic model to the phenomenological procedure extended by Bazin?

Chapter 4

Phenomenological Hermeneutics: A Method for Film Sound Study

In Chapters Two and Three both the Marxist-psychoanalytic model and Bazin's approach were observed tackling the subject of film study from decidedly different perspectives. On initial inspection it seems that a synthesis of the two approaches is impossible. Whereas the contemporary model attempts to decipher the text from a critical and suspicious perspective seeking hidden ideological forms, what Ricoeur (1970) refers to as the "demystification of discourse," Bazin, on the other hand, seeks to recover the transcendental meaning of the film, "remythicizing discourse," through a method that approximates an approach that could be characterized as the phenomenology of religion. Ricoeur (1970: 28) describes this mode of phenomenology as the "instrument of hearing, of recollection, of restoration of meaning." When Bazin considers Stronheim this is aptly borne out:

> But it is most of all Stronheim who rejects photographic expressionism and the tricks of montage. In his films reality lays itself bare like a suspect confessing under the relentless examination of the commissioner of police. He has one simple rule for direction. Take a close look at the world, keep on doing so, and in the end it will lay bare for you all its cruelty and ugliness. (Bazin, 1967: 27)

Bazin's method is clearly one based in the faith that reflection alone is sufficient to ascertain Truth. In this passage at least, his phenomenology is clearly concerned

70

with the transcendental propensity of the zone of post-formulation.

Although these contrasting methods appear to have little common ground from which to develop a synthesis, Ricoeur points out that they are really two opposite poles of the same hermeneutic project, the attempt to understand or interpret a discourse:

> According to one pole, hermeneutics is understood as the manifestation and restoration of meaning addressed to me in the manner of a message, a proclamation, or as is sometimes said, a kerygma; according to the other pole, it is understood as a demystification, as a reduction of illusion. (Ricoeur, 1970: 27)

From the common ground of "interpretation," Ricoeur proposes a dialectical hermeneutic which oscillates between these two poles.

The methodology Ricoeur develops has been offered by Andrew (1984, 1985) as a possible alternative to both the Marxist-psychoanalytic model and the humanist phenomenology of Bazin for film study. Although Ricoeur's approach is phenomenological, to the extent that it considers the zone of post-formulation, it is not a phenomenology concerned with recovering singular, original, or privileged meaning within a text, as was the concern of the traditional phenomenological criticism of the Geneva School and, as Andrew (1985) points out, some moments of criticism in Bazin's work. Rather, Ricoeur offers an approach that considers the importance of structuralism for explaining the mechanism of a text coupled with a sensitivity to the

potential of multiple meaning within a text. For example, on considering the role of the symbol in myth, Ricoeur proposes that such a symbol's polysemic meaning is limited by its relationship with other elements within a whole: "symbols can only symbolize within the framework of a whole that limits and articulates their meaning" (quoted in Bleicher, 1980: 227). However any knowledge concerning the symbol must, ultimately, take into consideration its manifest existential meaning. As a phenomenological hermeneutic, therefore, Ricoeur's method is concerned with interpreting the manifest meaning of a text as it reveals itself to the individual subject. In structural linguistic terms, the approach emphasizes the necessity of recognizing language as an event, as *parole*, in addition to the description and logic of syntax, as *lanque*. However, interpretation cannot be considered exclusively in terms of subjective self-reflection or a "destructive" hermeneutic of suspicion. Instead, interpretation of the text requires the recognition of both the relative fixedness in meaning, through the text's structural composition, and the potential for surplus or unintended meaning which can be appropriated by the reader. Moreover, since the text never arises in limbo, the act of interpretation requires consideration of the cultural, social, and historical milieu which is ever changing. Ricoeur's hermeneutic, therefore, presupposes the potential for objective interpretation of texts as well as the relative autonomy of the text. Thus, in a dialectic

movement between the two poles of hermeneutics

(understan..ing for Bazin and analysis in the Marxist-

psychoanalytic model) a "comprehension" of the text emerges:

> As readers, we can remain in the suspense of the
> text and treat it as a worldless and authorless
> text, in which case we explain it by means of its
> internal relationships, its structure. Or else we
> can remove the text's suspense, accomplish it in a
> way similar to speech, returning it to living
> communication, in which case we interpret it.
> These two possibilities both belong to the act of
> reading, and reading consists in a dialectical
> interplay of these two attitudes. (Ricoeur, 1971:
> 139)

But what does it mean to interpret and how is an

interpretation accomplished? Ricoeur maintains that:

> To interpret ... is to appropriate here and now
> the intention of the text ... the intended meaning
> of the text is not essentially the presumed
> intention of the author, the lived experience of
> the writer, but rather what the text means for
> whoever complies with its injunction. The text
> seeks to place us in its meaning, that is -
> according to another acceptation of the word sens
> - in the same direction. So if the intention is
> that of the text and if this intention is the
> direction which opens up for thought, then depth
> semantics must be understood in a fundamentally
> dynamic way. I shall therefore say: to explain is
> to bring out the structure, that is, the internal
> relations of dependence which constitute the
> statics of the text; to interpret is to follow the
> path of thought opened up by the text, to place
> oneself en route towards the orient of the text.
> (quoted in Valdés, 1991: 17)

The methodology articulated by Ricoeur throughout his

extensive work has been succinctly summarized by Valdés

(1991) as following a four stage process of inquiry and

appropriation:

1. Analysis begins with a map of the formal, semiotic, and

structural elements of the text.

2. The analysis is augmented by the historical dialectic generated by the text and reader.

3. The analysis considers the intersubjective experiential aspects of the text-reader relationship.

4. The analysis ends with an account of the hermeneutic experience that results from the reader's appropriation of the text and the text's autonomy into a dialogic unity.

Ricoeur's work, of course, has been largely concerned with interpreting mythic-symbolic linguistic representations of such things as "good" and "evil" within written texts, but there are other more directly cinematic applications of structuralism and phenomenology as well.

In cinema, the structure of a given film can be understood by using the traditional techniques of structural analysis. For example, Wright (1975) analyzes the structure of Hollywood-style Westerns in terms of sixteen narrative functions (The hero fights the villains, The hero defeats the villains, The society is safe, etc.) and three binary oppositions (good/bad, inside-society/outside-society, and the strong/the weak). However, there is a tendency here to reduce the Western to merely an interplay of narrative action when this action-opposition structural technique is employed. Sergio Leone's *Once Upon a Time in the West* (1969) clearly demonstrates the limitations of this. The film adheres to the three oppositions and follows, to a certain extent, the narrative action functions outlined by Wright. Yet, elements such as ironic narrative play and the

exposition of the pathological nature of characters (both good and bad) in this film are lost when this form of structural analysis is applied. For example, the opening sequence uses sound to dramatically highlight this: a buzzing fly continuously irritates a cowboy, it lands on his face whereupon he "threatens" it with his gun (irony) and in the background there is a continuous and incessant squeaking of an unseen water-wheel (pathology-neurosis). The acoustic and visual elements work together here in thematic stylistic terms rather than in action functions exclusively expressed through the narrative's plot structure. Abramson (1976) has proposed a more thematic stylistic basis for structural analysis:

> A "truly structuralist" approach to the cinema would reveal a core of thematic motifs by a close examination of the *mise-en-scène*, that is, by analyzing both the narrative and formal structures and their interrelationship. (Abramson, 1976: 565)

By adopting this form of structural analysis as a first stage in analyzing the sound track the researcher is guided towards possible subsequent interpretations of the film and thereby brings the film into "living communication" where meaning-structures may be extracted from the text.

"Living communication" introduces the notion of *Lebenswelt* and the phenomenological component of the methodology. Here Stadler (1990) has offered what is perhaps the most compelling phenomenological model of cinema so far. The models we have encountered rely on metaphors such as "the mirror," reflecting our unconscious desire to return to

75

the *jouissance* of the Imaginary or Bazin's "window" metaphor
that reveals some essential property of the world. Stadler
suggests that each of these models stresses the importance
of the medium of communication and downplays the
significance of the audience member. To correct this Stadler
proposes a new model of cinema:

> My suggestion is that we test as a new theoretical
> paradigm the notion of film as experience. The
> term experience has, if nothing else, the distinct
> advantage, confirmed by ordinary language, of
> implying both the subject and the object: an
> experience is always someone's and invariably of
> something. (Stadler 1990: 40)

By including the audience members and filmic object in any
theoretical model we can correct some of the major
theoretical shortcomings of both the Marxist-psychoanalytic
model of contemporary theory and Bazin's approach.
Significant among these improvements is that it emphasizes
the totality of cinematic experience, thus immediately
placing contextual issues into the forefront for
consideration. However, these contextual issues are not
limited to an extra-cinematic field. Stadler also suggests
that a phenomenological film theory must place importance on
both the sociohistorical experience of audience members and
the aesthetic experience of a film's formal construction;
indeed, a phenomenological film theory refuses to clearly
separate the fictive world of cinema and the real world of
the audience member:

> A phenomenological film theory ... proposes a
> mutually constitutive relationship between the
> viewer's life-world and the reality of the filmic-

76

> world: nonfilmic factors (everyday experience)
> motivate film reception and make it meaningful;
> filmic experience, in turn modifies perception and
> behavior in the viewer's everyday life. (Ibid: 41)

This passage intones the "zone of post-formulation" of a phenomenological approach: the idea that the film extends to the audience a simulated world. However, rather than emphasizing privileged readings of cinematic texts, as Bazin's approach implies, it stresses the importance of individual responses to texts (what Bennett and Woollacott (1987) might call "reading formations") and how these responses are dependent on experiential factors. Unlike the ideology theorists the cinematic story told to the audience is not closed but open and is able to engage the audience precisely because of the interchanges that occur within audience members as they decode the story in their own individual ways. As Ricoeur notes, decoding occurs within boundaries but these boundaries are far more flexible than the Marxist-psychoanalytic theorists might admit.

Since there has been a focus on theoretical models whose elegance is unquestionable, one might balk at this phenomenological hermeneutic approach which subtends so many contextual issues in the methodological field-of-view. However, given the present study's concern with also examining ideological issues, context cannot be ignored for the sake of theoretical elegance. Indeed, discussing ideology within film demands the continuous consideration of sociohistorical, aesthetic, and individual life-world experiences; any theory of film which stresses the

importance of one of these areas over the other risks separating itself from material reality and providing a model for understanding ideological articulation that falls short of a complete account. This is especially important when considering the ideological profile of James Bond films: Bond films are part (although a significant part) of the entire "Bond Phenomenon" of novels, advertising campaigns, magazine articles, comics, and toys; and since the phenomenon itself is part of larger cultural discourses such as the Cold War, détente, and the "War" on drugs etc., analysis of any aspect of the films must keep in mind a context that is perhaps kept in the foreground more forcefully than in other films. A phenomenological hermeneutic methodology allows the researcher to take into consideration the fundamental importance of contextual issues since the focus is on the totality of the cinematic sign as it manifests itself to the receiving audience and, as was pointed out in Chapter Two, focussing of the totality of the cinematic sign is also essential for any real understanding of meaning in the sound track. On initial inspection a phenomenological hermeneutic theory of cinema, therefore, presents itself as a critical realist theory that is able to deal with signification in the sound track and, when combined with a dialectically constituted account of ideology, also provides a foundation for a socioaesthetic understanding of the sound track.

Implications for a phenomenological hermeneutic film theory

Although this is only a brief examination of the phenomenological hermeneutic approach, some general considerations for film sound analysis may be advanced. Leaving aside the question of ideology for a moment, the primary advantage of adopting Ricoeur and Stadler's methodology is that it proposes a general strategy for analysis which includes both structural and contextual components. That is, there are textual boundaries within which the meaning of some aspects of the sound track are made manifest. Interpretation is directed by these textual boundaries, but is also modified by the individual's sociohistorical context of reception. For example, an analysis of the film-world articulated through the sound track of *Hiroshima mon amour* (1959) could begin with an outline of the major narrative themes and their presentation through music, sound effects, and dialogue. Any binary oppositions contained therein would be noted. The second level of analysis would concern the phenomenological manifestation of these themes in terms of their *style* of presentation (which is actually a necessary component in Abramson's structuralism). This structural-phenomenological stage in analysis would, in effect, set up the boundaries and point the direction with which the final stage of analysis would take. Here a hermeneutic account of these narrative themes and their manifestation with respect to the

film-world would be presented in terms that suggested what possible meaning those articulations had for an audience member in a given historical period. In the last instance, the analysis should attempt to account for the *Lebenswelt* of actual audience members. Having considered all these elements, one interpretation of the meaning of *Hiroshima mon amour*'s sound track might suggest that, through the juxtaposition of Japanese and French popular music, the film explores the tensions experienced by individuals when different cultures come into contact. But this is only one possible meaning. Japanese audiences might, and probably would, find other meanings inaccessible to Western observers.

Another application of Ricoeur's method might begin with a structural analysis of the narrative themes in *Goldfinger* (1964). Here one might see an opposition between good and evil, power and weakness, sophistication and crassness. Analyzing the presentation of dialogue in stylistic terms might suggest that inflection in a character's voice played into some of these thematic oppositions. From here the film researcher might propose that non-British characters are presented as suspicious or banal in nature. But this is only a preliminary stage in analysis. Considering the film in its totality, which would include a recognition of how the text affects the film audience (or researcher), might instead evidence an irony at work in *Goldfinger* which calls into question society's

preconceived stereotypical notion of "foreigners." Of course, this reading of irony would be conditional on the historical moment of analysis since what might be considered ironic in the 1990's might not be so considered in the 1960's. The dialectical movement between Abramson's structuralism and Stadler's phenomenology which is suggested by Ricoeur's basic methodology allows the film researcher to move beyond an initial structural and phenomenological analysis towards an interpretation of the text which includes the interpreter or, more commonly, the audience.

Procedure and analytical categories in the study

Having outlined the theoretical issues in the phenomenological hermeneutic method, some of the specific procedures and categories for analysis should be illustrated. These are based on an amalgamation of Andrew's (1985) and Stadler's (1990) "recommendations" for a phenomenologically informed film theory, Ricoeur's hermeneutics, Abramson's (1976) and Johnson's (1989) structuralist approach to sound track analysis, and Truax's (1984) outline of contemporary acoustic communication. Following Valdés, some of the tenets of the procedure for analysis are:

1. Drawing from the work of Ricoeur, the first tenet should be a realization that a film is a work which contains a surplus of meaning with which analysis can begin to decipher but can never fully exhaust. This implicitly recognizes that

81

the film is, in a sense, an organic construction whose life blood is composed of the audiences who encounter it. As such, issues of history and society always play a part in deciphering the cryptic text.

2. The second tenet involves approaching the film with an understanding that all acts of interpretation are active processes and that a cultural and ideological "pre-understanding" is always at work before the textual encounter and that "appropriation" occurs during and after the encounter.

These two preliminary meta-critical attitudes towards the investigation allows the researcher to be sensitive to sociocultural biases and furthers the "scientific" nature of the theoretical project. The following tenets are specific to the hermeneutic project:

3. The third tenet is the recognition that structural properties exist in the movie-text and that the researcher must maintain a sensitivity to repetitions, oppositions, and themes therein. These formal properties, in turn, orient the film to possible interpretations.

4. Moreover, these structural properties are extended in formal ways which necessitate a recognition of the importance of cinematic style. This aesthetic concern can be understood in phenomenological terms as the manifestation of the visual and acoustic elements of the cinematic text to the receiving audience. Additionally, the film researcher must recognize that because the acoustic mode of cinematic

representation differs stylistically and materially from the visual mode of representation different conceptual categories will often be employed in analysis.

5. Following the ideas extended in Chapter Two, the final tenet is a recognition that, especially with sound track study, it is the level of manifest meaning of a film-world that is the purveyor of ideological (or any other) information. Thus, analysis should always keep in mind the idea that film creates a simulated world and is telling a story about that simulated world to the audience.

Although this is only a brief description of the attitude one should adopt for sound track study it should help situate within the phenomenological hermeneutic paradigm the following discussion of sound-image relations and soundscape.

Categories for analysis

In the first category are the sound-image relationships in a given film. This structural component of the phenomenological hermeneutic procedure is based on Johnson's (1989) investigation into the sound track. Johnson does not feel a rigid codification of film sound is possible, or desirable, and maintains that much image based film theory is unsuccessful as a basis for sound track study precisely because of its propensity towards rigid structures. Instead, sound and image must be viewed in continuous interaction and analyzed from a position that focuses on relations rather

than strict categories. Johnson also adds that although the relations are primarily constructed by the physical parameters of the sound track and image track the resulting relation itself must be understood not as an independent physical entity, but instead as a function of content and context. In phenomenological hermeneutic terms Johnson emphasizes the perceptual and meaning producing components of the sound-image noema.

Johnson identifies four of these sound-image relations: accidental relations such as pops and clicks on an optical track which usually exist below the threshold of detection, structural relations which become meaningful when the entirety of a film is considered, nodal relations which are relevant and meaningful sound-image combinations on the level of shots and sequences, and, finally, disruptive relations such as the soothing inflection in the voice of HAL the computer in *2001: A Space Odyssey* as it systematically murders the crew of the spacecraft.

The relations themselves can be understood in terms of confirmations and oppositions. For example, a close-up of a gun combined with a loud chord of music would be a confirming nodal relation. A more complex nodal relation might be the piano playing sequence in *Crimes of Passion* (1984) where the psychotic performs the upbeat revivalist tune *Come on Everybody Get Happy* as he plans to murder the prostitute. Here there is an opposition created between a "happy" musical score and the horrific narrative moment.

84

There is also a confirmation created since the prostitute is indeed about to meet her "Judgement Day." Oppositions and confirmations are also evident in structural relations. One example might be the oppositions created by Godard's use of sound throughout *Masculin féminin* (1965) since Godard continuously breaks the rules of synchronous dialogue and spatial accuracy in favour of a free form acoustic environment. Clearly, confirmation is created by the score in the NFB *Canada Carries On* wartime newsreels, where appropriate dramatic music and Lorne Greene's booming voice confirm that our war effort is successful and justified.

Drawing from work in the field of acoustic communication (Truax, 1984), the second category for analysis focuses on the sound track in terms of its sonic environment or its "soundscape." The original use of the term arises from how individual auditors perceive their natural sonic environment as an information bearing source. However, natural soundscapes do not have "mood" music, off-screen dialogue, or "special effects" and so there is a need to stress that the cinematic soundscape refers only to the film's diegetic environmental acoustic components. As in the natural acoustic environment the sound track soundscape also acts as an informational source for auditors. The advantage here is that by analyzing the "soundscape" of a shot, a sequence, or an entire film it might be possible to detect subtle meaning-structures that would otherwise be obscured by the more overt sound-image relations outlined by Johnson.

Once the soundscape is analyzed some overarching thematic elements are usually made manifest. Truax refers to these structuring elements as "keynote" sounds:

> which are heard by a particular society continuously or frequently enough to form the background against which other sounds are perceived. Examples might be the sound of the sea for a maritime community or the sound of the internal combustion engine or hums in the modern city. (Truax, 1978: 68)

Although this concept is delineated in terms of the natural acoustic environment it is also applicable to the cine-acoustic environment. In *Dr. No* a keynote might be the sound of song birds or in *Apocalypse Now* (1979) the sound of helicopters. An interesting example might be the keynote of *2001: A Space Odyssey* which, perhaps, is silence since the dramatic confrontational scenes between humanity and technology often take place in the vacuum of space. In sound track studies a keynote is thus understood in both thematic terms and in frequency of occurrence.

As illustrated in Chapter Two and Three the very nature of film sound seems to require an approach which emphasizes a synthesis of both the structural and phenomenological methods of analysis. Some of the key tenets of the procedure for analysis that have been outlined maintain the spirit of this. Also, the specific conceptual categories used for analysis have been outlined. There is also concern with mapping the ideological discourse in the sound track of *Dr. No* which should now be methodologically addressed.

Towards a dialectical definition of ideology

The difficulty in discussing ideology was encountered in Chapter Two. Through a brief review of the ways in which ideology has historically been used, a provisional move was made to ground the utilization of the term within a dialectical framework. That is, ideology is both a pejorative and an integrative concept, often dissimulating and accessible. The concept is, in many ways, a chameleon. Ideology takes on different forms when considered in different circumstances. While Carroll might point out that this equivocation is most unsatisfactory, operationally defining the concept in terms of its negatively construed pejorative function seems to be too radical an alternative which squeezes the potential illuminating value of the concept into a moral straitjacket. Consider Lovell's "operational definition:"

> Ideology, then, may be defined as the production and dissemination of erroneous beliefs whose inadequacies are socially motivated. This definition recognizes two other categories: erroneous beliefs which are not so motivated, and valid beliefs which are, but places them both outside the category of ideology. (Lovell, 1980: 51-1)

While it is indeed possible to be sympathetic to this idea there must be some way of accounting for "erroneous" beliefs in a more complex way. For example, sexism is clearly considered as an erroneous belief for most members of Western society. It is ideological, in Lovell's sense, because the patriarchal makeup of society has indeed been

the driving social force behind this belief. Tracing the history of sexism shows specific material circumstances in, for example, its development from the medieval Church to its dissemination to the world at large. Thus, the social component in Lovell's argument is secured. However, is it meaningful to identify "sexism" as erroneous solely because the contemporary historical period has identified it as such? In terms of the current example, it was not an erroneous belief in the twelfth century, yet some cults would have considered it an erroneous belief in the eighth. The movement between these two historical periods throws into relief the structural component of sexism as a force in the integration of society's members. Thus, sexism is ideological in terms of being both a problematic belief structure and an integrative belief structure. It is absolutely necessary to understand the dialectical component of ideology because it demonstrates why ideologies can maintain their operative use-value when the weight of fact clearly exposes them as articulations of "false consciousness."

Of course, the Marxist-psychoanalytic model deals with the structural mode of ideology, but only in the negative conservative sense. There is not an attempt to detail the positive conservative modalities of ideology and thus the analysis is incomplete and, in a sense, the ideology critique itself becomes ideological. These positive conservative moments of ideology are discernable throughout

Hollywood-style cinema and might include such things as the recognition of individual merit and accomplishment in the face of political corruption in *Mr. Smith Goes to Washington* (1939) or the concept of charity and self-sacrifice in *It's a Wonderful Life* (1946). Both of these films, while obviously articulating ideological beliefs, do so in terms of reinforcing the tenets of Western culture that most would not find "erroneous;" yet they are ideological in the structural sense.

Ideology in the sound track: A hermeneutic quest

Identification of an ideological discourse in *Dr. No* begins from this dialectical definition. However, isolating either ideological mode within the film is not such a simple task because, as Bennett and Woollacott (1987) suggest, the narrative structure of the Bond film (and indeed narrative itself) inhibits the flow, and therefore identification, of specific ideological discourses:

> The mechanisms of narrative suspense, in temporarily unclasping the normally closed structure of ideologies, open up a certain cultural space within which contradictory subject positions and identities may be taken up, however provisionally. (Bennett and Woollacott, 1987: 5)

This space allows the creation of reading formations. Moreover, the sound track cannot simply be mapped against the unwavering "known" ideological variable (of an alleged bourgeois capitalism) seemingly so overtly articulated in the film, not only because of "narrative suspense," but also

because the formal cinematic techniques employed to extend the narrative often help reshape those values into new discourses. Thus, the form of cinema itself helps create "reading formations" by transforming what is literally a spy thriller wrought with ideological structures into a celluloid extravaganza whose excess calls into question the seriousness of the ideological "message." This is clearly evident in musical terms through the use of internationally famous popular recording artists in the production of many Bond films. For example, the structurally disruptive sound image relation created through the use of the McCartney song *Live and Let Die* to introduce the film *Live and Let Die* (1973) creates an opposition that undermines the serious portrayal of a threat to Western security since the music draws attention to the popular cultural production qualities in the film and away from the narrative. As well, the sound tracks in Bond films continually provide audience members with moments of acoustic punning which help re-situate the films in relation to their overt ideological themes making them palatable for wider audiences. This is especially true in the use of slapstick and bawdy acoustic references in the sound track. And in the current study, there is evidence of a degree of irony which is almost solely articulated through sound. Ultimately, the comic formal cinematic techniques often attenuate the overt ideological effects of the Bond films. Indeed, the continuing popularity of Bond would necessitate such a malleable ideological profile.

In the context of the phenomenological hermeneutic methodology, reading formations are an aspect of Ricoeur's final methodological stage of textual inquiry: the appropriation of the text. However, within the text there are elements with which any appropriation must critically engage. Because ideology helps to transmit cultural codes, ideology in effect becomes part of the bridge from film to audience over which transmission of meaning crosses. An appropriation, therefore, necessarily includes dissimulating ideological baggage and to fully realize a hermeneutics of *Dr. No* there needs to be a critique of this ideology, especially of the negative conserving mode of ideology.

This is begun by identifying the ordering modes that serve as the frame for the bridge from where ideological meaning-structures cross. The first mode is "formal" and focuses on the arrangement and presentation of the actual sound track material (dialogue, music, sound effects, etc.) within the setting of the film's narrative. The second mode is "contextual" and involves the cultural and sociohistorical moment of film production and reception. The final mode is "extra-textual" and encompasses the structure of the filmmaking industry which includes technological and professional ideological concerns in feature film production and how this partially determines the outcome of a given sound track. Of course, these three ordering modes are not discrete entities but always operate simultaneously to

effect a limit on appropriation. From this structure an ideological critique for the sound track may be advanced.

For the most part the formal ordering modes in a sound track are ideologically neutral and only become ideologically charged when a link is established to a contextual ordering mode, i.e. a cultural code that is already understood as ideological. For example, the inflection or accent in the voice of a character is ideologically neutral. However, when this nodal sound-image relation is linked to a character who is a Soviet agent in a Bond film that formal stylistic choice may become ideological. Perhaps the character's accent is exaggerated and threatening, thus feeding into stereotypical beliefs the audience members might have about "Russians." In a hybrid of Ricoeur's and Johnson's terminology, this would be called a nodal negative-ideological sound-image confirmation. Alternatively, formal ordering modes that break the stylistic canons of Hollywood-style cinema and are framed within contexts that are radically "anti-bourgeois," such as Godard's use of sound in *Masculin féminin*, might best be called structural sound-image ideological oppositions. Or perhaps following Ricoeur's work on cultural imagination, a structural sound-image "utopic" confirmation. In both instances, though, it is important to recognize that what constitutes this reading is a historically situated contextual event. In the former instance (Bond) it is the presence of socially motivated stereotyping and in the

latter (Godard) the critical re-appraisal of Western value systems.

So far there has been a concentration on ideological discourses in sound-image relations, but these discourses can also occur within soundscapes. Here the concept of acoustic design comes into play. Truax (1984) maintains that one of the major shortcomings of the use of sound in acoustic design is the exploitive and manipulative nature that is often encountered in commercial enterprises which attempt to reconstruct a soundscape. Rather than investigating, in a creative and serious way, the acoustic medium itself, the soundscape is almost always constructed in a way that attempts to elicit emotional responses and manipulate reality or the soundscape becomes, in Hollywood-style filmmaking, an adjunct to visual imagery thus becoming no more than a background filler. The soundscapes in many films exhibit this behaviour and once again the formal ordering mode becomes ideologically charged through design decisions by filmmakers and producers who delegate sound to a secondary tier. This is because natural soundscapes are fundamentally important to individuals since they often determine one's physical and emotional well-being. When society, via its cultural objects, downplays this importance by delegating cine-acoustic soundscapes to muzak-like background status this perpetuates the negative conserving ideological role of culture's treatment of sound.

Of course, accents or soundscapes might indeed be realistic representations of characters or sonic environments, in which case their formal ordering modes would for the most part be non-ideological devices that merely helped extend the film's narrative; Godard's use of sound, moreover, might be considered an example of "sloppy" filmmaking and praise for his "revolutionary" anti-bourgeois technique merely fantasies of naive film critics. Ultimately, therefore, how an ideologically charged meaning structure is determined must always involve moving beyond the formal ordering modes themselves to the extra-textual ordering modes within the film industry and the contextual ordering modes involved in film reception and production.

It is now time to examine the sound track in greater detail and to discover just what sort of film sound meaning structures and ideological expressions might exist in *Dr. No*.

Chapter 5

The Sound Track in *Dr. No*

Undoubtedly, Ian Fleming's entry into the spy-thriller genre

offered potentially lucrative material for motion picture

producers. However, even though Fleming's novels were well

received in the British market (the first printing of *Casino*

Royale sold out within a month), and seemed to be perfect

for a film adaptation, it wasn't until 1961, a decade after

the first James Bond novel appeared, that American producer

Cubby Broccoli took advantage of this ready-made cinematic

formula by entering into a partnership with United Artists

and Harry Saltzman, who had the option rights to make the

Bond novels into films. The result of this enterprise was

the 1962 film *Dr. No*. This delay might be attributed to the

difficulty producers might have had in adapting Fleming's

writing style to the needs of cinema. Houston (1964) notes

that Fleming's focus on detail caused potential problems for

filmmakers:

> If the books are compellingly readable, it's for
> all sorts of non-adaptable reasons. ... The things
> he did best were mainly the things cinema does
> badly ... If he wrote, as has often been
> suggested, like an advertising copywriter, at
> least it was like a copywriter for those
> ingeniously esoteric advertisements which bewitch
> us with technicalities. ... He was knowing and
> exact about travel - the cinema prefers the
> generalities. ... In particular, he wrote with
> precision and brilliance about games and gambling:
> about bridge and golf and baccarat. ... Writing
> about games brought out all his feeling for
> detail, for the technicality as a stimulus to
> excitement. Popular cinema deals in particularised

emotions, but its preference is for generalized fact. (Houston, 1964: 15)

If these details, which are such an integral part of Fleming's work, are left out and only the bare plot makes its way onto the screen, how is it possible to capture the essence of the novels and hence their excitement? The short answer is it isn't. Consider Fleming's literary style for describing physical pain in the novel *Live and Let Die* which Eco (1984) considers to be a hallmark of Fleming's technique and an integral part of any analysis of Bond novels:

> 'Aarrh,' said the distorted mouth. Both arms stopped flailing the water and the head went under and came up again. A cloud of blood welled up and darkened the sea. Two six-foot thin brown shadows backed out of the cloud and then dashed back into it. The body in the water jerked sideways. Half of The Big Man's left arm came out of the water. It had no hand, no wrist, no wrist watch. But the great turnip head, the drawn-back mouth full of white teeth almost splitting it in half, was still alive. And now it was screaming, a long gurgling scream that only broke each time the barracuda hit into the dangling body. (Fleming, 1992: 240)

Eco interprets this scene in this way:

> This parade of the terrifying has precedents in the eighteenth and nineteenth centuries: the final carnage, preceded by torture and painful imprisonment (preferably with a virgin), is pure Gothic. (Eco, 1984: 165)

This is in clear contrast to the film which exhibits a greatly modified version of this Gothic structure. Rather than The Big Man being devoured by a shark, it is Bond that is lowered into a shark tank. When Bond escapes he forces The Big Man to swallow a bullet containing compressed air which immediately causes him to explode like an over inflated balloon, hardly the stuff of a Gothic novel.

In the final analysis, the Bond novels only provide a plot formula for the production of a popular film. Successfully realizing *Dr. No* requires a considerable transformative effort. Bennett and Woollacott (1987) have noted that *Dr. No*'s producers, Saltzman and Broccoli, went to considerable effort to transfer the character of Bond to the screen. In addition to eliminating the graphic details of physical pain and supplanting those with comic elements there was also a conscious attempt to "depoliticize" the main character:

> The attempt to relocate James Bond politically or, indeed, in some crucial ways to "depoliticize" him altogether had been a concern to Broccoli and Saltzman from the outset. Cubby Broccoli has said that the Bond films are "not political" but "good old fashioned entertainment." What Broccoli appears to mean by this is that, during the period of détente, he has made efforts to tone down and, in some cases, to eradicate Bond's overt anti-Soviet views. (Bennett and Woollacott, 1987: 191)

While *Dr. No* is not really contemporaneous to the period of détente, there is, nonetheless, a shift evident in the political makeup of *Dr. No* which modifies certain ideological structures. For example, in the novel Dr. No is employed on a freelance basis with the Soviet Union. In the film Dr. No is a member of the crime syndicate SPECTRE (Special Executive for Espionage, Counter-intelligence, Terrorism, Revenge, and Extortion). Indeed, the film makes explicit reference to the fact that both East and West rejected his "services." All of this seems to suggest that the producers were aiming for a larger audience than the

U.S. market where playing into Cold War ideological structures might have made box-office sense. By limiting East-West tensions, or perhaps throwing into relief the causes of tension i.e. blaming specific individuals (Dr. No) for the cause of political problems as well as creating severe juxtapositions between good and evil, *Dr. No* and the subsequent Bond films could appeal to audiences in Italy or France where the Cold War had a different ideological impact. Highlighting black and white, good and evil as the point on which the narrative revolves is the hallmark of *Dr. No*. As Broccoli notes, the Bond films have always been produced with an international audience in mind and this is perhaps why the film producers chose, rightly or wrongly, to construct the Bond films in a somewhat simplistic way:

> Well, they're well tailored in the sense that what they understand in places like Japan where the picture is subtitled - it's not dubbed - they understand action. They understand the symbol of 007, James Bond, and they flock to the theatres to see him because they don't have to stop and think. They watch it all happening on the screen. And, I think that's the basic simple tailoring of a Bond film; action, some interesting gimmicks possibly, beautiful girls, excitement, different locations ... (quoted in Bennett and Woollacott, 1987: 206)

This strategy was clearly economically viable since box office receipts helped the producers realize a six fold profit from its basic cost of $950,000 (Parish & Pitts, 1974). In addition, the breakdown of audience on gender lines showed that what seems to be the inherent sexism of James Bond had a negligible effect on the makeup of the

audience. IBA and Home Box Office statistics indicate that Bond films as a whole are only slightly more popular with men than women (Bennett and Woollacott, 1987: 213). Bennett and Woollacott suggest that this is in part because female characters in Bond films have some degree of control, as opposed to more traditional filmic representations of women, over their own sexuality. Of course, this one aspect of the narrative is not sufficient to include Bond films within the repertoire of feminist artistic practice, but it does draw attention to the propensity of the films to engage wide audiences.

Ultimately, when *Dr. No* appeared in 1962 it was an entirely different cultural construct that, although had the same characters and a similar plot to Fleming's novel, achieved its success because it arranged its signifiers in an entirely new and *cinematic* way. To understand the arrangement of the acoustic cinematic signifiers, in the spirit of the phenomenological hermeneutic approach, the study will begin with a basic outline of the thematic narrative structures and their articulation through the sound track. Here, musical, dialogic, and soundscape acoustic elements will be examined in order to determine how they help configure these narrative themes. Also, the important leitmotifs will be outlined in terms that demonstrate how they help bind the narrative themes across different sequences. To aid the examination of these sound-image relations the work of Eco (1984) and his analysis of

the major structures evidenced in the Bond novels will be drawn on. Although there is considerable difference between the novels and films in terms of manifest signification, i.e. the way the Bond material is presented and the way the audience receives the material, on the level of narrative structure there is enough similarity between the novel and film to justify employing some of Eco's observations.

The phenomenological hermeneutic method, however, requires a move beyond the initial "structuralist" approach towards an examination of sound-image themes in light of the total film as it manifests itself to the receiving audience. The structuralist approach will have helped direct this examination by pointing to the possibility of larger meaning-structures which are available for interpretation.

The examination of ideology will include both the positive and negative conserving modes. While the positive pole of ideology is important, its simplistic structure within the narrative requires only a brief examination. The main concern will be with the negative pole. Here, the manifestation of "socially motivated erroneous beliefs" (which explicate Ricoeur's notion of a pathological conservative ideological modality) within sound-image relations and within the totality of the sound track itself will be examined in detail.

Briefly, *Dr. No* begins with Bond being assigned to
investigate the disappearance of Strangways from his
assigned MI6 intelligence position in Jamaica. During the
investigation Bond learns of a plot by a SPECTRE member, Dr.
No, to alter the guidance systems of American rockets by
beaming towards the missiles disrupting signals via an
elaborate high-powered radar system located on Dr. No's Crab
Key. With the assistance of Quarrel, a Cayman Islander who
is fearful of a "dragon" which is rumored to live at Crab
Key, and Felix Leiter, a CIA agent, Bond lands on Dr. No's
island with Quarrel. He encounters Honey Rider whom he
rescues from an attack by Dr. No's henchmen. Bond and his
party begin to make their way to Dr. No's fortress when they
are caught. Quarrel is killed by "the Dragon," a mobile
flamethrower, and Bond and Honey are captured. Bond is taken
to Dr. No's fortress where he and Honey are kept. Bond,
Honey and Dr. No meet for dinner and Dr. No tries to
persuade Bond to join SPECTRE. Bond refuses. He is tortured
and imprisoned and Honey is taken away to an unknown
location. Eventually, Bond manages to escape by climbing
through a heating duct. He surreptitiously enters Dr. No's
control room where, disguised as a worker, he causes the
fortress's nuclear reactor to melt down moments before
another American rocket launch is disrupted. Dr. No tries to
prevent this and in the ensuing struggle is killed by Bond.

With the fortress about to explode, Bond desperately tries to find Honey and after a brief search he sees her chained to a concrete slab. He rescues her and makes his way off Crab Key in a small motor boat just moments before the fortress explodes. Leiter eventually finds Bond and Honey romantically involved in their floating motor boat.

The sound track and narrative themes in Dr. No

Eco (1984) has presented a detailed structural analysis of Fleming's work which includes references to *Dr. No*. Eco maintains that the majority of the Bond novels follow a similar structural profile which can be analyzed on a number of specific levels, two of which hold the most potential for sound track analysis: the opposition of characters and values and the oppositions incurred as a result of Fleming's employment of a Manichean ideology. Some aspects of these methodological strategies can be employed for the structural analysis of the sound track; however, the formal requirements for cinema sound track study renders much of Eco's work unsuitable. Consider the first level of analysis, opposition of characters and values, which is mapped out in terms of fourteen binary couples: Bond-M, Bond-Villain, Villain-Woman, Woman-Bond, Free World-Soviet Union, Great Britain-Non Anglo-Saxon Countries, Duty-Sacrifice, Ideals-Cupidity, Love-Death, Chance-Planning, Luxury-Discomfort, Excess-Moderation, Innocence-Perversion, and Loyalty-Disloyalty. The first element in most of these couples is

considered positive and is associated with Bond. The second element is negative and is associated with the Villain. This form of analysis and the delineation of each of these couples, however, is more suited to a structural analysis of the written text of the Bond novels rather than the sound-text of the Bond films.

One problem here is with the microscopic nature of analysis. That is, there are too many oppositional levels. For example, although the audience *might* be aware of the Chance-Planning opposition, it is difficult to imagine how this opposition would be made manifest in terms of the sound track. Perhaps the repetitive noises associated with the soundscape of Dr No's fortress indicate "Planning," but what soundscape would be associated with Bond and "Chance?" Because the Bond films are first and foremost popular films, they do not really lend themselves to subtle forms of analysis. They are more blatant constructs that require a structural analytical strategy that examines oppositions within large scale themes rather than oppositions among narrative detail. Moreover, the transformation of the written Bond to the cinematic Bond obscures many of Eco's oppositions. Luxury-Discomfort and Excess-Moderation, for example, are intensely problematic oppositions for the cinematic Bond since the fine style Bond indulges in is more prominent in the films than in the novels.

Eco's second level of analysis, a Manichean ideology, is easier to employ in sound track analysis because it exists as a large scale structuring device:

> Fleming seeks elementary oppositions; to personify primitive and universal forces, he has recourse to popular standards. In a time of international tensions, popular notions of "wicked communism" exist beside those of the unpunished Nazi criminal. Fleming uses them both in a sweeping uncritical manner.
>
> The very names of Fleming's protagonists suggests the mythological nature of the stories by fixing in an image or in a pun the character from the start, without any possibility of conversion or change. ... A Korean professional killer by unusual means will be Oddjob. One obsessed with gold is Auric Goldfinger. A wicked man is called No. (Eco, 1984: 162)

A form of this black and white dichotomy is presented in *Dr. No* and is of great use to the analysis of the structure of the film. The Manichean ideological form also demonstrates the conserving role of ideology that Ricoeur (1991a) discusses. What is being attempted by the use of this ideological structure is a representation of certain unwavering values of Western culture within the frame of a philosophical dualism. While the blatancy of a Manichean ideology can clearly articulate the negative pole of ideology other aspects, such as oppositions between the archetypes of good and evil, tap into what can probably be considered as the positive pole of the conserving role of ideology. Following Geertz (1973), because this Manichean structure is constituted within the parameters of figurative language, notably hyperbole, it also illustrates the

importance for a recognition of "style" during the
conveyance of ideological notions.

While there are practical methodological problems
involved in the transition of Eco's literary categories of
analysis to the cinematic realm, this idea of Manichean
ideology seems to survive the transplant. There are other
shortcomings, however, in Eco's approach that Bennett and
Woollacott (1987) have attributed to the structuralist
method itself:

> Eco's strengths and weaknesses are, ultimately,
> those of his mentors: Propp and Lévi-Strauss. The
> product of the heyday of structuralism, the
> considerable rigour of his approach results, in
> the end, in an abstract schematisation of the
> novels which does not adequately encompass the
> full complexity of either their internal relations
> or their connections with cultural and historical
> process which they have formed a part. (Bennett
> and Woollacott, 1987: 76)

Whether or not this critique is a substantive assessment of
structuralism itself is beyond the scope of the current
project; however, this criticism is perhaps true of Eco's
employment of structuralism. The current use of
structuralism, however, emphasizes the film-text's narrative
structure only as a base from which inquiry into the
manifest meaning-structures of sound-image relationships
occur and this avoids this substantive critique. What is
lacking in Eco's methodology, then, is more in line with the
practical rather than philosophical problems of method. That
is, the method is concerned with examining the literary
rather than cinematic Bond and so many of Eco's categories

are inappropriate. Instead of isolating fourteen binary oppositions within the narrative it might be more appropriate to examine the Manichean oppositions within three themes: sexuality, violence, and technology.

Three themes

One of the interesting features common to all James Bond films is that the sound track of the "Titles" sequence acts as an overture for the film. *Dr. No* is no exception and the close examination of the title sequence provides an introduction to the film's narrative themes. The narrative compression in evidence here is not the only reason why the "Titles" sequence is interesting. It also plays an important role in the development of these themes. For example, in Shot 1 (see Appendix) of the "Titles" sequence, electronic sounds of radio are heard that introduce, in a general way, the theme of technology. The sound effects also specifically foreshadow Dr. No's use of the radio spectrum to disrupt the American rocket programme as well as MI6's use of shortwave radio to keep in touch with its agents. The titles sequence reveals a second theme, violence, in Shot 2. Here the gun shot heard and its link with the James Bond musical theme clearly establishes, through the sound track, the violent "00" nature of Bond's profession. Shot 2, of course, is also the trademark of Bond films and appears little changed in all Bond movies. Shot 4's Calypso routine serves a twofold purpose: on the level of the sound track itself it

establishes the Caribbean as the chief location of the film and in terms of the sound-image relationship it introduces the theme of sexuality through the juxtaposition of silhouettes of exotic dancing and the rhythmic sounds of drums. In the final shot of the sequence, Shot 5, the Caribbean theme continues with a Calypso rendition of *Three Blind Mice*. Violence is reintroduced through the lyrics of the song ("he cut his throat with a carving knife") which foreshadows the first sequence of the film, Strangway's murder. The nature of the sound-image relation in this shot also introduces irony that is evident throughout the James Bond films. While at one level sound-image confirmation is at work in this shot, examining the nature of the lyrics and comparing these with their upbeat Calypso presentation exhibits an opposition within the song itself. The ironic nature of this shot is further reinforced when it is revealed that the "Three Blind Mice" are indeed assassins.

The theme of violence

One can consider the narrative profile of *Dr. No* in terms of moments of narrative quietude interspersed with significant confrontational scenes. What is significant about this is that this dramatic action is most always of a violent nature rather than a psychologically informed confrontation, for example, where Bond pits his wits against some enemy. The theme of violence, therefore, becomes the central theme around which other narrative themes revolve. In terms of the

107

Manichean ideology outlined by Eco, the theme of violence oscillates between two poles: utilitarian and pathological.

The sound track's role in the development of this theme essentially involves the addition of synchronous sounds to the visual action sometimes coupled with dramatic non-diegetic incidental music. However, unlike the treatment of violence often found in many Hollywood-style action dramas where music plays a dominant role, often overshadowing synchronous sound, *Dr. No* employs music in a discreet way during these violent scenes. For example, the sequence where Dent is killed by Bond contains no music. And again when Quarrel is incinerated by the "Dragon" there is no dramatic music, only the sound of the flamethrower, Quarrel's scream, and sizzling. By not using music these two scenes become more graphic than if they were coated with musical fluff. Indeed Brosnan (1981) notes that Dent's cold blooded murder by Bond had difficulty making it past the censors. Whether or not the lack of music has anything to do with that, it seems likely that its violent imagery is intensified by the sparse sound track: the "phhhttt" of Bond's silencer and Dent's dying gasp. This minimal use of sound also suggests to the audience that Bond's use of violence is more utilitarian and efficient than the violent excesses Dr. No and his henchmen engage in.

The most explicit use of music in the style of traditional Hollywood drama occurs during the "Secretary's Murder" sequence. Here the use of incidental music follows

the formulaic strategies most often evidenced in Hollywood "B" movies. Shots 5-8, although incorporating visually interesting swish pans, exemplify this attitude. In Johnson's terminology this use can be considered as a confirming nodal sound-image relation. In Shots 21-41 in the "Death of Dr. No" sequence the same sort of sound track strategy is employed, dramatic music acting as a confirming sound-image nodal relation, although the other synchronous sounds somewhat mitigate the dramatic effect of music.

In addition to these conspicuous violent thematic moments, there are also more subtle examples: in particular the "Interview" sequence. In this sequence, Professor Dent comes to Crab Key to warn Dr. No that Bond is closing in. The interview occurs in a vault-like structure with only a lone chair. An unseen mechanically amplified and disembodied voice (presumably Dr. No's) calmly commands Dent to "Sit down." The acoustic characteristic of the room make the voice reverberate deeply and the calm and omnipresent nature of the voice strongly suggest that this is indeed a character of some import. When asked why he came Dent replies that he came to warn him that Bond had come to see him. Dr. No replies that he is aware of this and queries Dent on why Bond is still alive. Dent replies "Our attempts failed" and Dr. No quickly retorts "Your attempts failed. I do not like failure. You are not going to fail me again, Professor." Dent nervously answers "No." and adds "I came to warn you." Dr. No replies "Warn ... me?" in a tone that

strongly suggests his belief in his own omnipotence. Dent nervously continues to "tell" rather than "warn" Dr. No that Bond will come to Crab Key. Dr. No replies that he will hold Dent personally responsible if this occurs and calmly adds "Do I make myself clear." Dent very nervously says "Yes ... quite clear."

This exchange between Professor Dent and Dr. No reveals Dr. No's pathologically violent nature on both digital and analog communicative levels. On one level there are the words Dr. No and Professor Dent exchange. This digital level of communication reveals Dr. No's violent character through the brevity with which Dr. No responds to Dent's explanations indicating Dr. No is tired of having to deal with such trivial matters and would not think twice of disposing of Dent, or anyone else, who interferes with his plans. On the other level, the analog form of communication, his calm vocal inflection and the resonant timbre of his voice metacommunicate to the audience his cruel, omnipresent, and emotionless nature especially when this is juxtaposed against Professor Dent's nervous vocal inflection.

The theme of technology

Although Bond begins his mission to investigate Strangway's disappearance, he is also advised by M that this disappearance might be linked to the "toppling" of NASA's rockets. As the story progresses, this incidental concern

with NASA's space programme becomes more important until the final moments of the narrative where it is the main concern. The development of this theme of high technology in the sound track also becomes correspondingly more important as the narrative progresses, culminating in the rich and varied sequences which make up the soundscape of Dr. No's island fortress.

The sound track's development of the theme begins with radio noises in the "Titles" sequences. It is interesting to note that because there is no image track it is not possible to categorize this using Johnson's terminology. Instead, this sequence's immediate meaning is quite cryptic and only becomes meaningful (the radio waves are used to topple rockets) when a great deal of the film is presented. It is what Husserl refers to as intentionally "vague" (Sokolowski, 1974: 19-21). In many ways this sequence demonstrates the necessity of the phenomenological hermeneutic approach to film sound analysis which emphasizes the temporal and semantic aspects of meaning; what could this noesis-noema correlate mean when it is isolated from the context of presentation? By emphasizing *Sinn* it becomes clear that the noema has only been partially given. Thus, speculation on its meaning is futile. This is precisely the problem often encountered in deconstructive criticism when the analysis of the "slipperiness" of signification is applied to a lone signifier out of the context of the sentence. Ricoeur (1978) has examined this in detail. As well, this is what occurs in

Marxist-psychoanalytic criticism when a segmented mode of analysis is applied to sound-image meaning-structures. Here a certain shot-reverse-shot structure, or moment of synchronous sound, is isolated with only attention given to the hyletic component of noesis. *Sinn* is left out of the equation allowing "meaning' to be attributed to the noema which is not really inherent in the noema. Ultimately, the audience must wait for more information, in this way the meaning of the correlate becomes clear, after the fact, after the whole, so to speak, is read.

The slightly more complex soundscape in the "Secretary's Murder" sequence (Shots 2-5), however, clearly develops the technology theme through confirming synchronous sound-image nodal relations. Here the sound track is primarily filled with radio tuning noises, modulated voice, and a low frequency transmitter hum. The sound track develops the technological theme by making it evident that sophisticated technological devices are a part of the film's diegesis. "The Dragon" sequence is another example where synchronous sound effects are used to develop the technology theme. Here, as well as in the "Death of Dr. No" sequence, the electronically modulated voices of the "Dragon" operators transfer the aura of technology onto human subjectivity. A Marchean opposition of human-nonhuman is evidenced in these sound-image relations.

Whenever high technology devices are presented there is a corresponding synchronous sound effect and this strongly

suggests that, unlike the theme of violence which
occasionally employs non diegetic music, the sound track
develops this theme in purely synchronous diegetic ways.
From this it might be assumed that sound-image relations
which develop the theme of technology are attempting a
specific narrative function: to ground the diegesis within a
realist aesthetic.

The theme of sexuality

One obvious feature of *Dr. No* is its focus on sexuality.
This theme is in evidence throughout the narrative and
functions in a way that extends the main plot elements and
expresses the psychological nature of many of the
characters, in particular James Bond. The role of the sound
track, as in the other themes, is to help extend these plot
and character elements in ways that effect the construction
of a film-world. In addition to this basic use of sound
(along with the visual and narrative cinematic structures
that articulate this theme), specific acoustic and musical
techniques also help extend the idea of Manichean forms of
sexuality. That is of "pure" and "perverse" sexuality.
Interestingly however, unlike the themes of violence and
technology, where Bond is restricted to the positive
Manichean ideological pole (violence to effect an end to
violence or technological use to effect an end to
technological abuse), within the theme of sexuality Bond

moves freely between liberated (pure) and utilitarian
(perverse) modes of sexual expression.

The narrative structure of *Dr. No* presents four moments
where the theme of sexuality becomes important and where the
Manichean ideology is most pronounced: The "Casino" and
"Miss Trench" sequences, The "Miss Taro" sequence, and the
introductory shots of Honey Rider.

The "Casino" and "Miss Trench" sequences clearly
establishes Bond and those he freely chooses to engage
sexually as "liberated" moderns articulating the positive
aspect of Manichean ideology. Bennett and Woollacott have
noted that this "liberated" mode of sexuality is a prominent
feature in Bond films especially when contrasted with
British and American films of the 1950's:

> The Bond girl's sexuality was "free" in the sense
> that it was not tied to marriage, the family and
> domesticity. Of course, it was not "free" in other
> ways. The Bond girls have always functioned as
> objects of male desire, operating within the
> narrative of both the novels and films as the
> signifiers of Bond's phallic power. Nevertheless,
> in light of the harshly constrained sexuality of
> women in earlier British films, tutored into
> submission to duty, the family and domesticity or
> of a career ending in punishment and death, the
> open sexuality of the Bond girls and the guilt
> free but purely sexual relationship between Bond
> and the girl could well be seen as a welcome break
> with past conventions. (Bennett and Woollacott,
> 1987: 173)

Through nodal sound-image confirmations the beginning of the
"Casino" sequence (Shot 5-17) clearly helps to establish
Miss Trench and Bond as economically liberated individuals.
The soundscape of the casino also evokes the affluent life

of the haute bourgeois; the baccarat dealer is French and the game is conducted in that language further establishing the "sophisticated" characteristics of both Bond and Trench. The soundscape contains the necessary acoustic elements one might expect in a casino: the sound of chips, of cards and the sounds of players and spectators congratulating the winners and emphatically responding with appropriate "ahhs" with the losers. From this, one might imagine that Miss Trench could be a countess or, perhaps, a spy. Clearly she is independent since her loss at the table gives her little concern. Indeed, the *mise-en-scène* of this sequence assists the development of the theme of sexuality by providing a backdrop of "liberation," in the sense of economic liberation, which is transferred to Miss Trench in sexual terms. This is ultimately realized in Shots 25-26 which initiates the theme of sexuality through the play of a double entendre. This interest Miss Trench has for Bond in turn motivates Bond to invite her to dinner (Shot 31).

The character traits established during the "Casino" sequence set the stage for the highly charged sexuality of the "Miss Trench" sequence. This sequence begins with ironic suspense, Shot 1, when Bond believes an intruder has broken into his flat until Shot 2 and the abrupt end to suspenseful incidental music. Dialogue during the subsequent shots of the sequence are recorded in ways to highlight close interpersonal space. The subtle sounds are made manifest and this gives the audience a sense of intimacy. This is a

common characteristic of recording dialogue in the sound track during the theme of sexuality.

The "Miss Taro" sequence illustrates the opposing mode of Manichean ideology. The narrative suggests that Miss Taro is other than what she is, a secretary in Government House, when, in an earlier sequence, Bond surprises her listening at a door during a meeting with the island's administrator. Bond suggests that Miss Taro should take Bond on a tour of the island. Miss Taro agrees and Bond asks her to meet him at his hotel. Later, Miss Taro leaves a message for Bond at his hotel and Bond phones her to inquire into its nature. Miss Taro suggests that he drive to her house. However, during the drive to her house he is almost run off the road by the same characters who have killed Strangways. On Bond's arrival the utilitarian use of sexuality by both Bond, for an unknown reason, and Miss Taro, to keep Bond occupied until an assassin arrives, is initiated by a double entendre:

> Bond: You believe in living dangerously. I can see that.
>
> Taro (anxiously): What do you mean.
>
> Bond: Sitting around with wet hair, you'll die of pneumonia.
>
> Taro: (laughs)

As well, the lack of music in this sequence also helps to increase the prominence of the dialogue. This is clearly in contrast to the "Casino" sequence, where the Bond leitmotif plays continuously in the background, and in stark

contrast to the Honey Rider scenes where music plays an important narrative and emotive role. It might be suggested that music, acts as sound-image construct confirming a form of levity (in terms of ironic suspense in the Miss Trench sequence and in a traditional "mood" form during the Honey Rider sequences) during the positive manifestations of Manichean ideology, but during the negative manifestation its lack clearly suggests a problematic sexual encounter.

The introduction of the Honey Rider character stands in stark contrast to that of either Miss Trench or Miss Taro. The sound track initiates this encounter when Bond overhears Honey singing *Underneath the Mango Tree*. Joining in to complete a verse Bond initially startles Honey who reaches for her knife. Soon the two become acquainted and Honey lets down her guard. Having a musical duet precipitate this scene clearly implies a degree of innocence in the encounter which in turn sets up a large scale structural sound-image relation which confirms the positive pole of Manichean ideology. In addition, the inflection of Honey's voice intonates a degree of innocence on her part. This is in contrast to the liberated sexuality developed during the encounter with the sophisticated Miss Trench, whose vocal inflection intonates thinly veiled sexual desire which ultimately manifests itself in a positive way and the vocal inflection observed during Bond's sexual encounter with Miss Taro which manifests itself in a negative form through the double entendre. Ultimately, the sound track sets up a

positive and lasting sexual relationship between Honey and
Bond through their innocent (via musical duets) and
reasonably straightforward behaviour (via vocal intonation)
towards each other.

In addition to the narrative themes of violence,
technology, and sexuality there are also the leitmotifs that
play an important role in developing characters, *mise-en-
scène*, and mood; in other words, of extending to the
audience a world.

The leitmotifs in Dr. No

In addition to the incidental dramatic music in *Dr. No*,
there are two main musical leitmotifs, the James Bond and
Caribbean leitmotifs, and two secondary leitmotifs, Dr. No
and The Spider, which help define the themes and structure
the narrative.

The leitmotif most often employed in *Dr. No* is the
James Bond leitmotif which is first introduced in Shot 2 of
the "Titles" sequence. The sound-image relationship here
clearly establishes 007's license to kill by linking the
Bond leitmotif to the theme of violence. However, the
musical piece is not solely associated with violence, or any
other individual theme for that matter. Rather, the Bond
leitmotif acts as a nodal sound-image confirmation which
structures the character of James Bond as one who has total
control over any situation as he demonstrates in the
"Titles" sequence by eluding an "assassin" and again in Shot

27 in the "Death of Dr. No" sequence where he rebounds after a blow from Dr. No's mechanical hands. In order to reinforce this nodal sound-image relationship the leitmotif is reintroduced early in the film. In Shot 17 of the "Casino" sequence the leitmotif begins during Bond's stock answer to Miss Trench's inquiry into his name: "Bond, James Bond." Such a strong sound-image confirmation leaves no doubt in the audience's mind that the leitmotif is associated with Bond himself. In addition, Bond's vocal inflection in terms of the rhythm of his answer (Bond-pause-James Bond) and visible mannerisms at the same time suggest that he is sophisticated and slightly snobbish. The leitmotif's continuation throughout the sequence reinforces the audience's suspicions that he is in control over not only the card game, which he wins, but also Miss Trench's emotions. These instances clearly indicate that the use of the leitmotif is a device that signals Bond is in control of his own destiny. Coupling these acoustic and visual elements with the leitmotif, therefore, begins to map out the parameters that the leitmotif is associated with: the self-assured character of James Bond. Whenever the leitmotif occurs, therefore, the audience is assured that Bond has the situation (whatever situation that might be) well in hand. For example, when he is met at the airport by Jones a driver sent by Government House, Bond excuses himself to make a phone call. The narrative suggests that this "driver" might possibly be other than what he says. However, it is likely

that Bond has the situation in control since the leitmotif begins while he is on the way to the telephone booth. And again, the leitmotif's function of confirming control is re established when a startled Miss Taro opens the door to find Bond, rather than Dr. No's henchmen sent to run Bond off the road, asking "You did invite me here remember?"

Bond's Caribbean locale necessitates that the soundscape contain some indigenous acoustic counterpart to the visual imagery. The film provides a suitable culturally "synchronous" leitmotif in the form of a popular song, *Underneath the Mango Tree m'Honey*. In a diegetic form it appears first, on a radio in the background, when Quarrel and Bond meet at a nightclub. It is heard again on a phonograph when Bond plays a record at Miss Taro's house, and finally it is heard by Bond as the song Honey sings during their first encounter. Because it appears frequently and in different forms this leitmotif acts as a structural sound-image confirmation, reinforcing for the audience member the Caribbean locale.

Whereas Bond's violent behaviour can be considered instrumental for the preservation of law and order, Dr. No's is clearly more irrational. For example, rather than sneaking into Bond's bedroom at night and assassinating him, Dr. No. prefers a more illogical course of action: having a tarantula sting Bond while he sleeps. The secondary Spider leitmotif, first heard during the final shots of the "Interview" sequence and throughout the "assassination"

attempt, helps to strengthen this psychopathic nature of Dr. No's character and defines the dichotomy between the pathological and instrumental aspects of the theme of violence. The leitmotif accomplishes this through the use of a strong nodal sound-image confirmation arrived at through music that suggests the movement of the spider. However, this musical technique, called "Mickey-mousing," is so closely linked to the cartoon genre that it can be seen to undermine, somewhat, the pathological nature of the sequence through the "excessive" nature of the sound-image construct. This "deconstruction" through sound will be examined presently.

The Dr. No leitmotif acts as a structural sound-image construct. First heard in the final shots of the "Secretary's Murder" sequence it repeats itself at various dramatic junctures throughout the narrative. What becomes interesting with this theme is that it has undertones of "Chinese" music (or more appropriately the Hollywood-style representation of "Oriental" music) mixed within a traditional Western symphonic structure. This clearly establishes that Dr. No is of some oriental descent and, indeed, the leitmotif mimics the racial makeup of the film's character; Dr. No is of German and Chinese descent. It is also a "menacing" sounding theme which further strengthens the Manichean characterization of Dr. No.

The leitmotif articulates narrative meaning in the most economical way. Its function is not so much associated with

the emotive level of narrative meaning as with the logical.

Music, in this case, does operate almost like a language or,

at least, with the rhetorical force of language. This

semantic aspect of the leitmotif aids in binding different

narrative sequences together to complete the film-world.

The soundscape and keynotes in Dr. No

On a small scale, the soundscape associated with the

"Casino" sequence was noted as an important contributor to

the meaning of the scene. On a larger scale (what Johnson

calls a structural sound-image relationship) the

soundscape's role becomes less an immediate aid to the

articulation of narrative logic, and more of a creative

force which reveals deeper narrative meaning. There are two

soundscapes presented in *Dr. No* which help to illustrate

this: the soundscape of Dr No's fortress at Crab Key and the

soundscape of Jamaica proper. Both function to situate the

dramatic action within a realist aesthetic, but more

importantly they help structure the Manichean ideology

prevalent in *Dr. No*. The Manichean themes developed here are

those of life (or perhaps Eros) and death (Thanatos).

The positive Manichean ideological representation of

the soundscape is clearly made manifest through the sounds

of Jamaica. Both the continuous employment of diegetic

Calypso music and the natural sounds of the island (birds,

insects, water, etc.) help to affirm the notion of life.

This is in stark contrast to the mechanized sounds

associated with Dr. No's fortress. Once Bond and Honey are captured the audience is treated to an array of sound that seeks to articulate the closed world of Dr. No. Reverberation is used to imply the fortress is deep underground and sounds of machines and scientific instruments are heard almost throughout the sequences which take place in the fortress. Here not only are natural sounds excluded from the soundscape, but even the voices of Dr. No's workers are either electronically modulated or affected with insincere kindness (as is the case with the receptionist who greets Bond and Honey on their arrival and shows them their "room"). Everything about the soundscape points towards the evil and calculating nature of Dr. No. In acoustic terms this is indeed a Gothic representation of a sinister character. Clearly the opposition between the soundscapes fits well into the Manichean ideological form outlined by Eco. Ultimately, the narrative necessitates this mode of treatment for the soundscape.

The keynote of each of these soundscapes resists a purely acoustic treatment. In the Jamaican soundscape the keynote might be said to be that of "airiness," since the sounds evoke a sense of freedom and space. In the Dr. No soundscape the acoustic property of reverberation and the sounds of mechanization evoke a closed, confined, and artificial spatial quality. The keynote might be said to be that of "confinement." While such signifiers are not acoustic in nature, they do nonetheless result from acoustic

properties. Moreover, this neatly encapsulates the meaning of the soundscapes as binary opposites which strengthens the underlying Manichean ideology articulated in the narrative.

Irony and excess in the total film

The nature of these themes, leitmotifs, and soundscapes would suggest that *Dr. No* seriously attempts to engage important aspects of modernity; it would seem that the Manichean juxtapositions which occur in the film bring to relief some of the major concerns of the century: changing sexual values, the effects of technology, and increasing interpersonal and national violence. From Wright's (1975) structural perspective this might indeed be suggested since the stylistic presentation of the narrative is inconsequential:

> If the stories in a set of films are reduced to a single list of common functions, will not the unique characteristics of each film - the particular actors, scripts, settings be lost? Not necessarily, since these characteristics provide realism and flavor to the stories. They embody the myth and are necessary for the communication of meaning; but they are extraneous to the analysis of that meaning. (Wright, 1975: 26)

This is unlikely and clearly strengthens the criticism that Bennett and Woollacott level against Eco. The extreme oppositions evidenced with a Manichean ideology cannot be isolated out of context, but even if they were the tension between the poles would be enough to indicate that the meaning-structures threw into relief any "serious" depiction of contemporary society. When this is considered with

respect to the style of their articulation, as Abramson suggests the form of a "proper structural analysis" should take, it sets up the parameters from which a more informed interpretation of *Dr. No* may result. Following Ricoeur, the structural characteristics of the text seems to orient the reader towards irony and excessiveness as the main meaning-structures within the film.

Irony is made manifest in both dialogic ways (as when Bond refers to the hearse that rolls off a cliff while chasing him on his way to see Miss Taro: "They must have been on their way to a funeral") and through use of nodal sound-image oppositions whose manifestation is usually dependent on a musical component. For example, in the "Titles" sequence the song, "Three Blind Mice," indicates that a sound-image confirmation is at work in this shot at one level since the audience member sees three blind men. However, examining the nature of the lyrics, "He cut his throat with a carving knife", and comparing these with their upbeat Calypso presentation exhibits a high degree of irony within the song itself. The ironic nature of this shot is further reinforced by the opposition created between the sound and image tracks when it is revealed that the "Three Blind Mice" are indeed assassins. Also, in the "Miss Trench" sequence nodal sound-image oppositions set up irony. Here suspenseful music on the sound track in Shot 1 and its immediate cessation in Shot 2 clearly plays into the audience's expectation that this form of music necessarily

implies danger. That danger never manifests itself and its inverse, pleasure, is instead depicted initiates an ironic element in the narrative. This places the development of the theme of irony squarely within sound-image oppositions with the sound track playing the significant role in its explication.

The use of a title sequence to introduce some of a film's main musical themes is not unusual in Hollywood-style film. This sequence, however, presents a much more detailed overture of the film's themes through the interrelation of the sound track and images than, say, the incidental introduction of Mildred's theme during the credit sequence of *Mildred Pierce*. It is more like a classical symphonic overture where all the major themes are introduced in intended ways. This mode of presentation further reinforces, for the audience member, the cinematic specificity of this incarnation of *Dr. No*. Rather than beginning, as the novel does, with a lengthy and detailed description of the *mise-en-scène* of Kingston, the film immediately engages the audience with highly stylized sound-image constructs that quickly demarcate the path the film will soon embark on. This style of presentation can roughly be characterized as an excessive or flamboyant mode of signification that places the film squarely in the genre of "adventure" or "action drama." In this manner, the base themes of technology, sexuality, and violence are often presented in excessive ways.

Excess is evidenced throughout *Dr. No*. For example, in first few shots of the "Interview" sequence the synchronous sound-image relations acoustically and visually explicate the technological excess to which Dr. No has gone to to create a fortress disguised as a bauxite mine. The sound track establishes the extent of this fortress by presenting confirming sound-image nodal relations that provide an impression, through the use of multi-layer mechanical sounds, of extensive spatial dimension and physical complexity.

No doubt the initial impression the audience ascertains from the "Interview" sequence is that Dr. No. is both a genius, for having devised such an elaborate fortress, and mad, through the disturbing calm evidenced through the inflection of his voice. Thus, the excesses of Dr. No's character itself are also established. The final shot in this sequence introduces the eerie Spider leitmotif over the disembodied voice which when juxtaposed against the visual imagery of Bond's next "assassin," acoustically establishes Dr. No's violently excessive nature.

The "excessive" nature of sound use to support the narrative themes becomes not excessive in terms of graphic detail as is the case in Fleming's novels, but more to that of a comic book's description of narrative events. That is, the actual sound-image relations often maintain only the *impression* of passionate love-making or gruesome death. For example, when the audience is "shot" in the "Titles"

sequence the shot reverberates so loudly that it becomes more acoustically symbolic than graphic. With Quarrel's death too, the "sizzling" sound of burning flesh indicates more of an excessive sound track strategy than that necessary for realistic drama. It is perhaps for the reason of excess that the Vatican newspaper (Obalil, 1984) wrote that there was "a dangerous mixture of violence, vulgarity, sex, and sadism" in its review of *Dr. No*.

Ideology in the sound track of Dr. No

Having outlined the context in which *Dr. No* came into being and examined the structural thematic elements within the sound track and considered their manifestation within the phenomenological whole, it should be clear that one valid interpretation of the sound track of *Dr. No* would be that it is mostly constructed in such a way as to highlight the ironic and fantastic nature of the world of James Bond. Indeed, this seems to be its main function since the film as a whole contains many elements which clearly must be treated as humorous and excessive. For example, although ideological representations might be evidenced within the theme of technology, perhaps by depicting technology as fantastic and reified, the ironic elements embodied within this theme mitigate this reading. But ideology does exist in *Dr. No*, as in all texts, and an understanding and appropriation of the film requires an engagement with ideology. This has partially been engaged during the examination of the

positive conserving function of aspects of Manichean ideology. But it is also necessary to examine the negative pole of ideology in meaning-structures which "break through" the ostensibly ironic and excessive aspects of the narrative and present themselves as unequivocally linked to cultural codes which are understood as negative ideological manifestations. In these instances the sound track plays an integral role in much the same way as the role it plays in manifesting other meaning-structures in *Dr. No*, working with visual imagery in a sound-image relationship with respect to the totality of the narrative fiction.

In addition, while the Manichean ideological form is a blatant construct within *Dr. No*, the negative mode functions in a more dissimulating manner. However, it is not so dissimulating as to preclude the identification of four ideologies in the sound-image relations: ideological representations of race, ideological representations of the body, ideological representations of gender, and ideological representations of sound.

Dr. No and racism

The racist ideology depicted in *Dr. No* is likely more blatant now than it was for the audiences who first saw the film in 1962. This does not negate the claim that the negative pole of ideology is fundamentally more dissimulating than the positive pole. Audiences today are more acutely aware of the existence of racist ideology, but

if asked where in the text does it arise it is unlikely one would identify its main manifestation, within the formal ordering mode of the sound track. However, this is its primary location, hidden in the vocal inflections of Bond, Leiter, and especially Quarrel.

The film introduces Quarrel, whom Bond discovers was hired by Strangways, as a Cayman Islander who frequently charters his boat for fishing trips. When Bond meets Quarrel and begins to ask him questions regarding Strangways and the location of his "fishing" expeditions Quarrel replies cooly: "See that Captain. That there's the Caribbean. That's where, fishing." The inflection in Quarrel's voice in this exchange of dialogue leads one to believe that Quarrel is more than a local fisherman and that he has a great deal of control over the information he holds. He is in no way intimidated by Bond. Quarrel quickly ends the conversation by declining Bond's offer to hire his boat for fishing: "I'm sorry it's not for hire ... now if you'll excuse me I got business to attend to." Quarrel leaves and Bond follows him into a bar. Quarrel and Bond move to a back room where Quarrel pulls a knife on Bond demanding Bond to explain himself. After a brief scuffle, where Bond gets the upper hand, Leiter shows up and Bond discovers that Quarrel and Leiter have been working together. From this brief introduction of Quarrel's character, mannerisms, and his vocal inflection the audience is led to believe that Quarrel is rational and in control of his emotions.

However, some doubt to the veracity of this conclusion is introduced in the following "Night Club" sequence. Here Bond, Quarrel, and Leiter first discuss Dr. No and Crab Key. Quarrel slips slightly out of character when Crab Key is mentioned. His vocal inflection becomes nervous and his grammar deteriorates: "Commander Strangways and me, we slip in at night. He take some samples and we came straight back again. Don't do for a man to hang about there." Leiter calmly explains to Bond: "None of the local fisherman will go near the place." This juxtaposition between Quarrel's and Leiter's vocal inflections begins to suggest, through a fore-knowledge of ethnocentric representation, that a demarcation is being established between the rational and irrational cognition of the "unknown," Crab Key. This contextual ordering mode links the sound track into a role which establishes Quarrel as fundamentally a naive Cayman Islander whose fears, even though he seems to have first hand knowledge of the dangers of Crab Key, are discounted by the ratio-scientific characters, thereby positioning Quarrel in a negative light.

This racist ideology is further promoted when, later in the film, Bond demands that Quarrel take him to Crab Key:

Bond: Quarrel, how soon can you get us over to Crab Key.

Quarrel (nervously): Well it's like this here Captain. Commander Strangways he doesn't take the samples from all the islands. Supposin' we start checking the *nearest* ones first?

Bond: No no. Crab Key's the one I'm interested in.

131

Quarrel: I didn't take the Commander there and we
got away without trouble. It don't do for a man to
tempt providence too often. You see, there's a
dragon.

Bond: What!

Leiter: Hah. Native superstition. Started by Dr.
No probably.

Bond (resigned): All right Quarrel. We don't want
to force you to do anything.

The mannerism exhibited by Quarrel through his vocal
inflection during this exchange indicate not only stress at
having to go to Crab Key, but also a degree of irrationality
that stands in sharp contrast to his normally cool and
composed manner and mode of speaking.

Eventually Quarrel acquiesces; however, on arrival at
Crab Key, Quarrel's character continues to be presented
problematically. Brosnan (1981) notes:

Until the arrival on the island, the character of
Quarrel had been treated sympathetically, but from
then on he becomes one of those old-fashioned
comic Negro types. Particularly distasteful is the
scene on the beach where Bond orders Quarrel to
"fetch my shoes!" When the so-called dragon tracks
are found Quarrel launches into one of those
classic "Massa! Massa! I'm scared!" routines
complete with eye-rolling. Bond glances at the
tracks and condescendingly tells Quarrel that it's
a strange dragon that leaves tire tread marks.
(Brosnan, 1981: 31)

While Brosnan's critique is fundamentally sound, it is
important to note that analysis of Quarrel's vocal
inflection clearly reveals the same sort of problematic
characterization much earlier in the film. Close analysis of
the formal ordering mode of sound, therefore, evidences

meaning-structures that occasionally go unnoticed by many critics.

Ideological representations of the body

Although not as pronounced as the ideology of racism, the ideological representations of the body share the same structure: a formal ordering mode linked to a contextual ordering mode. This ideological representation is also localized, this time in a specific feature of a character, Dr. No's artificial hands.

The idea of a villainous character being depicted in some monstrous form is not unusual in Hollywood-style filmmaking or in literary history for that matter. But rather than being employed in a positive way so as to strike fear in the villain's opponents, Dr. No's artificial hands serve merely as a narrative device which affords the "perfect" physical specimen of Bond the opportunity to denigrate Dr. No. This occurs during the "Dinner" sequence when Bond and Dr. No discuss SPECTRE and the potential of Bond becoming a member. Here Bond tries to provoke Dr. No by insinuating that his physical disabilities have precipitated his psychopathic character. Bond begins by wryly commenting on Dr. No's "success:" "Well Dr. No you haven't done badly ... considering." The slight pause before "considering" drives home the insinuation that Dr. No is deficient and that physical wholeness is a true mark of an individual's character. Later, in a matter-of-fact manner

Bond continues with a more blatant provocation: "Tell me, does the toppling of American missiles really compensate for having no hands?" A close-up of Dr. No reveals that this has indeed wounded him.

Sound effects also play into this ideology of the body. Later in the "Dinner" sequence, in order to exert his authority over Bond, Dr. No picks up a metallic object and crushes it before him. The sound of metal being crushed punctuates Dr. No's exclamation: "I thought you less stupid! Usually when a man gets in my way!" Only here is the positive pole of Dr. No's "monstrosity" revealed; however, Bond barely winces at this display of power. An opposing sound-image relation is created here since what would normally be considered a display of power is discounted by Bond's indifferent apprehension of the event. That these mechanical hands are perhaps less than icons of power and more of a hindrance is further reinforced during the "Death of Dr. No" sequence. Here, the struggle between Dr. No and Bond in Shots 24-27 highlight the potential of Dr. No's mechanical hands for inflicting pain. The sound track is punctuated with the clanging sound of metal on metal as Bond avoids Dr. No's powerful blows. Shots 34-41 reveal, however, the ultimate limitation of Dr. No's hands. The sound of metal scraping on metal is heard as Dr. No vainly tries to grab hold of the metal frame of the reactor's elevator as it is slowly lowered into the cooling tank. This scraping sound becomes the most dominant acoustic event in the soundscape

and is punctuated by repeated close-ups of Dr. No's hands grasping the frame which depicts scrape marks. This sound-image relation confirms that Dr. No's mechanical hands were indeed "handicaps" and indirectly were the cause of his demise.

Dr. No and sexism

While there is a degree of sexual liberation evident in the female characters of *Dr. No* which might throw into relief any blanket statements concerning sexism within the film, there are at least two contextual ordering modes of sexist ideology available for analysis. The first might be called the "ideology of Eve" and the second the "ideology of the child." The sound track plays a fundamental role in the conveyance of these two ideological meaning-structures primarily through dialogue. Here, both the analog and digital aspects of speech play a fundamental formal ordering role.

The "ideology of Eve" may be characterized as a preoccupation within the narrative to represent women as deceptive or duplicitous with respect to Bond and often with the effect of the deception unknown to Bond. These might be pleasurable, as in the case of Miss Trench, or dangerous as with Miss Taro. In both instances the female character's vocal inflection becomes the location of deception. In the former instance Miss Trench coyly avoids explaining how she managed to break into Bond's apartment, preferring instead

to chastise Bond for missing her putt. In the latter, the double entendre in the digital mode of speech and the intonation of Miss Taro's interlocution with Bond establishes the duplicitous nature of the character. The links established between women, sexuality, danger, and deception are clear indications of patriarchal representations of women. What is interesting here is that although there is clearly an interplay between the narrative and various formal devices of cinema to realize this ideology, it is the digital and analogic components of the dialogue that drive home this fact. A woman's voice in Hollywood-style cinema seems to play an overly important role in the articulation of a given narrative. Silverman (1988) has investigated at length this phenomenon.

The other aspect of sexist ideology is also made evident from the voice. Miss Trench's arched and child-like response to Bond's inquiries is representative of the "ideology of the child." In a similar way to the racist depiction of Quarrel, the stark contrast between Trench's previous self-controlled and assertive nature (both visual and aural) fractures the character allowing the narrative to seep out ideological meaning-structures. Ultimately, at the height of the character's importance in the narrative she is reduced to a child-like object in a nightshirt. Yet Trench's momentary regression is insignificant compared to the narrative's blatant child-like representation of Honey. Again the voice is the chief purveyor of this ideological

information. The following exchange between Bond and Honey is exemplary of this:

> Bond: I suppose you went to school somewhere?

> Honey: I didn't need to, we had an encyclopedia. I started with A when I was eight and now I've reached T. I bet I know a lot more things than you do.

When Honey reveals that she was raped by her "guardian" she informs Bond that she exacted her revenge by placing a Black Widow spider under his mosquito net. Bond shudders when she mentions "It took him a whole week to die," and Honey, sensing Bond's uneasiness, anxiously adds "Did I do wrong?"

The child-like quality of her voice and her intoned innocence are the most obvious acoustic ideological elements present, but, as with the "Miss Taro" sequence, the narrative also feeds into this. This is slightly different from the racist ideology in the Quarrel sequences where the "dragon" may or may not be a serious threat to Bond and that if delivered differently the character of Quarrel might have been able to convince Bond of greater caution. In the Honey Rider sequences the ideology of the child is built into the narrative. That is, the innocence (collecting shells on an island) and naivety (not knowing the danger of the activity) and simplicity of her demeanour feed into this on a deeper level than in pure vocal inflection. This seems to suggest that the sexist ideology is more deeply ingrained than the racist ideology, although both are intense.

Ideological representations in the soundscape

The final area where ideology is in evidence is specifically
concerned with the cinematic representation of the
soundscape. During the car chase scene leading into the
"Miss Taro" sequence Bond is observed driving his vehicle on
a dirt road. The sound heard, however, is that of a car's
tires screeching incessantly on pavement. Clearly, the
soundscape here is treated as primarily an adjunct to the
visual images and constructed in such a way as to reinforce
the meaning-structure of "danger" for audience members. Of
course, this formal ordering mode is, in itself, not
necessarily ideological since film narratives are often
constructed to create these overtly dramatic meaning-
structures. However, when examined within the context of the
whole of *Dr. No*, which generally tries to create realistic
sound-image relations when the narrative demands them (such
as synchronized sound), this disruptive relationship does
point to a predisposition among filmmakers to create, and
audiences to accept, representations of the soundscape that
are inaccurate whenever the narrative becomes less demanding
of sound. In the car chase scene the visual action and
narrative suspense are the most important elements and sound
becomes a mere conventional adjunct.

It might be argued that representations of the
soundscape cannot really be considered as ideological since
there does not seem to be a specific link established

between this sort of a formal ordering mode and a contextual ordering mode which is already understood as ideological, i.e sexism or racism. However, there is a link established between the formal ordering mode of soundscape design and the extra-textual ordering mode of Hollywood-style filmmaking. For example, *Star Wars* (1977) pays scrupulous attention to minute detail within the visual realm, but ignores detail in the acoustic realm, adding willy-nilly special acoustic effects to the visual track to the absurd extent of adding the sound of an explosion to an exploding object in space; this is of course common in most science fiction cinema. What makes *Stars Wars* unique is that it was promoted as a "sound film" to only be viewed (listened to) in specially equipped theatres. This idea of sound as some sort of superfluous extravaganza is endemic in Hollywood.

This denigration of the soundscape in *Dr. No* and *Star Wars* is indicative of an attitude held by most members of society towards natural soundscapes. Metz (1985b) has noted that sound itself is viewed as more of a quality or "adjective" of an object and as such it becomes less of a primary concern for either representation or immediate apprehension as would be the case for a visible object. Of course, this is an ideological notion for two reasons: it is clearly a constructed belief because it is not necessarily the way things ought to be since many non-Western cultures have greater conscious apprehension of their soundscape; and it also functions as a conserving belief since it is not

conducive to the Western "way of life" to reflect on sounds that surround members of industrial society since this might entail some sort of a demand for de-industrialization in order to quiet the environment.

Summary

Initially the examination of the context within which *Dr. No* was produced suggested that the film was constructed in order to appeal to as a large an audience as possible. Hence, many of the overt ideological representations that are evidenced in the novel were "toned" down in the film in order not to offend potential audiences. Clearly, box-office receipts and statistics on audience profiles have demonstrated that this strategy was successful. The subsequent structural analysis of the sound track confers upon the contextual examination that indeed a simplistic and perhaps "non-offending" Manichean ideology is evidenced. Examining the themes in light of their stylistic manifestation, moreover, indicated a degree of excess that would in fact place the narrative into the Manichean ideological frame espoused by Eco. In addition, the ironic elements in the sound track add a degree of humour that mitigates the ostensibly ideological nature of much of the narrative's representations. Ultimately, however, ideological representations were evidenced in the sound track. These occurred in areas that were sometimes obvious and sometimes discreet. In each case, however, they were

actual material things that were unique and identifiable on a manifest level though they contained dissimulating aspects. Moreover, the detail of analysis presented specific instances of ideology in the sound track rather than labelling the entire sound track as ideological simply because it was a part of a Hollywood-style movie.

The analysis of *Dr. No* has demonstrated the strength of the phenomenological hermeneutic approach for sound track analysis. By synthesizing both poles of hermeneutics and subtending th's synthesis within phenomenology, the methodology was able to explore the use of sound in both its ideological and aesthetic incarnations. This is an improvement over both the Marxist-psychoanalytic model and Bazin's approach since it demonstrated that the sound track has a more complex and interesting role than merely conveying bourgeois ideology or acting as a stylistic device devoid of any sociological meaning.

Unfortunately, it seems quite clear that sound is used primarily as a structuring aid for the articulation of meaning in *Dr. No*. Unlike the creative use of sound found in many contemporary films, such as *Rumble Fish*, *Dr. No* engages in the tried and true form of cinematic construction avoiding avant-garde experimentation. This is the case with most Hollywood-style film and is perhaps one reason why film researchers have neglected a detailed investigation of the stylistic and ideological use of sound. However, even the

most mundane films, when inspected closely, reveal certain

surprises and complexities.

Chapter 6

Conclusion

Both the Marxist-psychoanalytic and Bazinian approaches allow the researcher to consider the meaning-structures in *Dr. No*. Yet considered separately they would fail to account for the complexity of sound-image tropes and ideology. When combined into a phenomenological hermeneutic method, however, the real complexity of the sound track in *Dr. No* becomes manifest. The sound track is now much more than an effacing force promoting a specific mode of ideology or a device that gives dynamism to narrative realism. It, instead, is seen to play a fundamental role in articulating a film-world and structuring that world with ideological representations.

Throughout this investigation of film sound the concern has been with offering a theoretically integrated approach to analysis. The main concern has not been to "disprove" one approach or another, but instead to point out problems with the two approaches when film sound became the object of study. Each methodology has something to offer for film analysis and it was suggested that each, when combined using elements of Ricoeur's phenomenological hermeneutic methodology, becomes a powerful analytical tool.

To access the complexity of the sound track the dialectical nature of concepts and methodologies have been explored: ideology has been considered in its integrating

and distorting modes; hermeneutics requires both a critical and restorative component; phenomenology both reduces and totalizes; and finally, film sound research seems to require both an aesthetic and structural component for its understanding. To allow this synthetic approach there have been a number of unstated, or understated, presuppositions within the phenomenological hermeneutic methodology which should be addressed. The first is a concern with understanding or interpreting sound-image relations rather than with overtly articulating a *praxis* for film sound. Both the Marxist-psychoanalytic approach and Bazin's phenomenological approach concern themselves with describing the current state of film, which is found sickly, and offering a prescription to cure its ills. In a sense, common ground is to be found between these two approaches within Marx's famous eleventh Thesis on Feuerbach:

> The philosophers have only *interpreted* the world, in various ways; the point, however, is to *change* it. (Marx: 1975: 30)

This is a strong critique of any method which purports to be concerned with interpretation. It would be overly hasty, though not uncommon, to assume that because the hermeneutic approach developed here offers no overt remedies, and indeed questions the validity of the symptoms of filmic-sickness offered by the other approaches, the methodology is reactionary. The opposite is often the case. Theoretical frameworks imposed onto anything are themselves somewhat reactionary and it might be, although one should

144

not state this with impunity, that *praxis* is for the practitioners, filmmakers and sound designers in the present case, and not for the theoreticians. Of course this is a contentious assertion and brings into question the relation between theory and practice which is beyond the scope of the present work. But the application of theory-words onto sound-images, methodologically, is really no different from the problematic top-down approach which characterizes the contemporary film theory scene.

However, "understanding" is still a presupposition of Marx's thesis and in this way there is a place for the phenomenological hermeneutic methodology: in the description and explanation of a text. This is a necessary component of praxis. For example, the analysis and description of specific instances of the negative form of ideology in *Dr. No* is an essential move in any materialist philosophy.

The second area of concern deals with the question of history and subjectivity within the hermeneutical enterprise. There is a dialectic created between historicism and relativism in any interpretive strategy. It makes little sense, within the methodology proposed here, to move entirely in one direction or the other. Throughout the examination of *Dr. No* contextual issues were integrated into the analysis of the film's meaning-structures in this non-determinate way. If this were not to be the case then interpretation would be limited to a functional correlate of the undialectical Marxism that Williams (1973) noted.

Ultimately, contextual issues help to frame interpretation, or as Ricoeur might maintain, point the hermeneut towards the orient of the text, but they cannot be considered the ultimate arbiter of textual meaning. There must be a dialectical movement between the historical and contextual datum and the interpreter's own *Lebenswelt*.

The third area of concern is metacritical in nature and throws into relief the project of interpretation itself. Bordwell (1989) has engaged this notion of "making meaning" in book length form, ultimately finding that interpretive activities are synonymous with those of the rhetorician. Instead, Bordwell offers a historical poetics of cinema which, while not discounting interpretation as such, focuses on the stylistic and historical materiality of cinema. Throughout the development of the phenomenological hermeneutic methodology there has also been a focus on the historical and stylistic parameters of film. But the primary intention of the method is to offer an interpretation of the meaning of these parameters. The historical poetics developed by Bordwell offers no such account of meaning structures and it is the radically descriptive propensity of that methodology which perhaps is more in line with the critical spirit of the eleventh Thesis on Feuerbach than hermeneutics.

The concentration on film sound meaning structures and their interpretation has put aside some aspects of the physicality of sounds and images which would seem to be a

necessary component in any "phenomenology" of film sound. While the immanent properties of the image were addressed when outlining Bazin's approach and the "corporeality" of sound played a role in the Marxist-psychoanalytic approach, for the most part these perceptual issues have not been considered. This final area of concern has been addressed by Branigan (1989) who has encountered the "phenomenology" of sound in cinema from a perceptual perspective. He finds that because sounds are "ineffable" and "intangible" that they should be viewed, following Metz (1985b), as adjectival components of the sound-image relation. The difficulty with focusing on the perceptual properties of phenomena, and in particular the sound-image phenomena of motion pictures, is that it extracts out of the equation the fact that the object is one that has intended meaning that might or might not have a meaningful relationship to the physically perceptual properties as such. For example, the change in Quarrel's vocal inflection probably does have an emotional impact on the audience member. The emotional impact, though, is only part of the total meaning-structure articulated by this sound-image relationship. Understanding the ideological component requires a movement beyond the mere physical perception of sound to the context within which the sound is made manifest. While there are probably many instances where analysis of the pure perceptual properties of sound, or images, would strengthen a phenomenology of film sound the intention of the current study was to engage with *the*

important phenomenological question, meaning. This is the original intention of phenomenology and although the early Husserl excluded important contextual elements in analysis, the ontology of meaning, rather than the epistemological status of noema, continues to be the primary focus of phenomenology.

In conclusion, each of these concepts and methods have evidenced their dialectical split within an immanent critique. This has been the overarching methodological frame used throughout this work. Carroll's critiques were sound, but were ultimately rejected, not because Carroll is "wrong," but because the epistemological perspective of analytic philosophy rejects so many of the tenets which Marxism, psychoanalysis, hermeneutics, and phenomenology are based. In some ways Carroll's project is similar to those of skeptics who try to disprove God's existence or theologians who offer material proof of God's existence. Pepper (1948) has noted that the tenets of radically different world hypotheses cannot logically be used to prove or disprove the other. It follows, then, that an immanent critique should also be applied to the present critical hermeneutic methodology and analysis of *Dr. No*. If the shortcomings of the proposed methodology for understanding film sound are articulated in this manner an alternative approach will emerge which will, in retrospect, justify this work. This continues to be an elusive goal in film theory: to *build*

upon prior theoretical work rather than discarding it on the grounds that it is "equivocal" or "ideological."

Appendix

Selected Shot List for Dr. No

Titles Sequence

Shot 1

Imagery

A black screen begins this complex shot and initially only the sound track is heard. Two white circles then drift from left to right towards the centre of the screen where they form a single circle. The title "Harry Saltzman & Albert R. Broccoli present" is formed with a single circle surrounding the "&."

Sound Track

Electronic noise similar to that heard when tuning a shortwave radio.

Shot 2

Imagery

The title vanishes. The circle remains and drifts to the right of the frame where it widens to reveal a formless white background. From the perspective of the audience it appears we are looking through either the interior of a gun barrel or the aperture of a camera. Through this ambiguous image the viewer sees a figure walking from right to left. The gun or camera image follows the figure as it walks.

Sound Track

A brief drum sound follows the circle as it makes its way from the centre of the frame to where it stops to widen. As it widens, the sound of a glockenspiel is heard rising in pitch. A few notes on the same instrument accompany the image as it tracks the figure.

Imagery

The figure turns to towards the viewer and fires a gun.

Sound Track

A loud gun shot is heard which reverberates momentarily.

Imagery

A translucent red film drifts down from the top of the frame and covers the image. The circle which frames the gun or camera image wavers and slowly drifts to the bottom of the screen.

Sound Track

The reverberation dies down to a momentary silence and the first bars of the James Bond leitmotif begin.

Shot 3

Imagery

The screen fades to black revealing a single white circle. Almost immediately various coloured multiple circles appear which form the title "Dr. No." This graphic play continues throughout the shot with the circles forming a background on which the various opening credits are superimposed. During the introduction of Sean Connery, squares appear which are arranged in a way reminiscent of a film strip with the title "007" appearing within one of the "film" frames.

Sound Track

The James Bond theme continues.

Shot 4

Imagery

The frame slowly turns red. Almost immediately it begins to fade to black revealing a red silhouette of a woman dancing. A silhouette of a dancing man joins the woman. These silhouettes are joined by other female figures filling the frame with dancers.

Sound Track

The Bond theme fades out and is replaced by a Calypso drum routine.

Shot 5

Imagery

A silhouette of three blind men is superimposed on
the dancers.

Sound Track

The Calypso drum routine fades out and is replaced
by a Calypso rendition of "Three Blind Mice."

Shot 6

Imagery

The titles sequence ends and the silhouette
transposes into an actual image of three blind men
crossing a busy street.

Sound Track

The musical rendition of "Three Blind Mice"
continues and slowly fades and is replaced by the
sound of the men tapping their canes.

Secretary's Murder Sequence

Shot 1

Imagery

A close-up of Strangways letterbox on a driveway
gate. The gate slowly swings open.

Sound Track

Bird and cricket-like sounds are heard in the
soundscape. The gate squeaks as it swings open.

Shot 2

Imagery

A close-up of a bookshelf begins the shot. The
camera pulls back and Strangway's secretary walks
into the frame. She swings down part of the
bookshelf to reveal a radio transmitter.

Sound Track

A similar environmental soundscape to Shot 1 carries over to the beginning and throughout this shot. Throughout the shot the visual action is in a synchronous relation to the sound track: a quiet "thump" is heard when she swings down the bookshelf, a "click" when the transmitter is switched on etc. A low frequency hum begins when she turns on the transmitter. In an English accent she begins to call "W6N W6N." This continues through to Shot 5.

Shot 3

Imagery

A close-up of the secretary's hand tuning the transmitter.

Sound Track

Electronic tuning noises accompanied by a slightly modulated English male voice who acknowledges the transmission.

Shot 4

Imagery

Medium shot of the secretary glancing off to the left of the frame.

Sound Track

Secretary: Wait ... out.

Shot 5

Imagery

The camera pans up in a medium shot following the secretary as she glances to something off-frame left. She moves towards the camera, looking from left to right, she notices something off-frame left.

Sound Track

The low frequency transmitter hum continues as she moves towards the camera. She begins to scream when she notices the still unseen assassins. Almost immediately a loud chord of music is heard.

Shot 6

Imagery

A swish pan to the left reveals the first assassin
outside the bungalow's window.

Sound Track

The music continues. Her screams are heard during
the swish pan but end as soon as the camera stops
to focus on the first assassin.

Shot 7

Imagery

As swish pan to the left reveals the second
assassin.

Sound Track

A second loud chord of music overlaps the first.

Shot 8

Imagery

A medium shot reveals the secretary turning around
to find a third assassin breaking the glass of a
window behind her. The assassin shoots her. She
grasps her chest and falls to the floor.

Sound Track

The music continues. The sound of breaking glass
is heard in a synchronous relationship to the
visual image. The sound of a gun's silencer is
heard twice. The music begins to descend in pitch.
The secretary groans and falls to the floor with a
thud.

Shot 9

Imagery

A medium shot reveals the third assassin breaking
his way into the study.

Sound Track

The music continues its descent becoming quieter
and eventually only a piccolo is heard

recapitulating the earlier chordal progressions.
The sound of breaking glass and the sound of
footsteps are heard in a synchronous relationship
to the visual imagery.

Shot 10

Imagery

A close-up of the assassins rolling the
secretary's body over and beginning to search it.

Sound Track

The music becomes quiet and transposes into an
incidental theme. Synchronous sound effects
continue.

Shot 11

Imagery

A medium shot of one of the assassins searching
the bookshelf. Finding something, he tosses it
over to an unseen assassin.

Sound Track

As soon as this shot begins a louder and more
ominous sounding chord of music is introduced.
Synchronous sound effects continue.

Shot 12

Imagery

A long shot of one of the assassins catching a
key. The camera follows him as he makes his way to
a filing cabinet in an adjacent room.

Sound Track

The ominous chord of music continues developing
rhythmic repitititons of low string sounds as the
assassin makes his way to the cabinet.

Shot 13

Imagery

A close-up of the secretary being carted away.

Sound Track

The ominous music continues. Off-frame the sound
of the metal filing cabinet being opened is heard.
The music becomes louder and the shot ends with
two loud chords of music.

Shot 14

Imagery

A medium shot of the assassin taking documents out
of the filing cabinet.

Sound Track

The Dr. No leitmotif begins and rises to a
crescendo muffling out all synchronous sound
effects.

Shot 15

Imagery

A close-up of various documents being placed on
top of the cabinet, the final one indicates
"Doctor No."

Sound Track

The leitmotif continues reaching its crescendo the
moment the file of "Doctor No" appears.

Casino Sequence

Shot 1

Imagery

A slow zoom-in to a sign on the exterior of a
building which reads "Le Cercle: Les Ambassadeurs
London."

Sound Track

Traffic noise.

Shot 2

Imagery

Medium shot of two men: a receptionist and a guest.

Sound Track

Only dialogue is heard.

Receptionist: Excuse me sir. Are you a member?

Guest: No I'm looking for Mr. James Bond ...

Receptionist: What name should I say sir?

Guest: Just give him my card will you.

Shot 3

Imagery

Long shot follows the receptionist into a richly decorated casino.

Sound Track

The soundscape consists of indistinguishable background voices and the sound of playing-cards being shuffled and chips clicking.

Shot 4

Imagery

Close-up of a baccarat table with cards. A card is dealt and the camera follows the paddle as it picks the card up and a woman takes it.

Sound Track

The same soundscape as Shot 3 with the addition of more distinguishable dialogue regarding the game.

Shot 5

Imagery

Long shot of the baccarat table.

Sound Track

As in Shot 3.

Shot 6

Imagery

Close-up of the woman. She shakes her head as she
loses a hand.

Sound Track

The dealer calls out the value of her hand. Some
spectators are heard to say "Ahh," expressing
their disappointment.

Shot 7

Imagery

Medium shot of the woman placing another bet. She
looks at her hand while the camera pans back to
reveal her hitherto unseen opponent.

Sound Track

Same as Shot 4 with the addition of her calling
out the value of her hand.

Shot 8

Imagery

Close-up of her opponent's cards lying on the
table. He picks them up and turns them over
tossing them back on the table.

Sound Track

Same as Shot 4 with addition of the synchronous
sound of the cards scraping on the felt table as
they are turned over.

Shot 9

Imagery

Close-up of her cards and she places them on the
table with more force.

Sound Track

Same as Shot 4 with the addition of some sounds of exasperation as she loses yet another hand.

Shot 10

Imagery

Medium shot of the woman.

Sound Track

The sounds of the spectators are heard in the background. She places another bet and asks if the house will cover the difference.

Shot 11

Imagery

Close-up of the shoe.

Sound Track

As in Shot 4.

Shot 12

Imagery

Close-up of the woman.

Sound Track

As in Shot 4. She calls out the value of her hand with some degree of assurance at perhaps this time winning.

Shot 13

Imagery

Close-up of the opponent's hands as he turns over his cards.

Sound Track

As in Shot 4.

Shot 14

    Imagery

    Medium shot of the woman. She reaches for her
    chequebook and begins to write.

    Sound Track

    Soundscape is the same as Shot 4 with the addition
    of her dialogue.

    Miss Trench: I need another thousand.

Shot 15

    Imagery

    Close-up of her opponent's hands opening a
    cigarette case.

    Sound Track

    As in Shot 4.

    Bond: I admire your courage Miss err ... ?

Shot 16

    Imagery

    Close-up of the woman.

    Sound Track

    As in Shot 4.

    Trench: Trench, Sylvia Trench. I admire your luck
    Mr ...

Shot 17

    Imagery

    Close-up of Bond lighting a cigarette.

    Sound Track

    The shot begins with the same soundscape as in
    Shot 4. However, when Bond anounces his name the
    James Bond leitmotif begins.

    Bond: Bond, [music begins] James Bond.

Shots 18-24

Imagery

Shot-reverse-shots of Miss Trench and Bond

Sound Track

The soundscape of Shot 4 continues with the Bond leitmotif playing in the background.

Shot 25

Imagery

Close-up of Bond.

Sound Track

Same as Shots 18-24.

Bond: It looks like your out to get me.

Shot 26

Imagery

Close-up of Miss Trench placing her cards on the table.

Sound Track

Same as Shot 4, the Bond theme fades away to almost inaudible levels.

Trench: It's an idea at that ... Eight!

Shot 27

Imagery

Long shot of Bond tossing his cards on the table.

Sound Track

As in Shot 4 with the addition of laughter from the spectators as the dealer calls out "Neuf," indicating Bond has won another hand.

Shot 28

>Imagery

>Close-up of the receptionist handing Bond the
>calling card.

>Sound Track

>As in Shot 4.

>Bond: André I must pass the shoe.

Shot 29

>Imagery

>Long shot of Miss Trench.

>Sound Track

>As in Shot 4.

Shot 30

>Imagery

>Long shot of Bond receiving his chips.

>Sound Track

>Soundscape as in Shot 4.

>Bond: I hope you'll forgive me but its most
>important ... Thank you.

Shot 31

>Imagery

>Tracking shot of Bond and Miss Trench leaving the
>table. They make their way through the casino
>towards the cashier.

>Sound Track

>Soundscape as in Shot 4. The Bond theme begins
>again and Miss Trench expresses her disappointment
>at Bond having to leave "Just as things were
>getting interesting." Bond asks Miss Trench if
>"She plays any other games ..." She replies "hmmm
>golf ... amongst other things." They make an

engagement for a round of golf and Bond asks if
she would like to have dinner afterwards.

Shot 32

Imagery

Medium shot of Miss Trench.

Sound Track

Soundscape as in Shot 4 with the James Bond
leitmotif. She tells him she will let him know in
the morning.

Shot 33

Imagery

Long shot of Bond leaving the casino. He tips a
porter on the way out.

Sound Track

No synchronous sound is heard. The James Bond
leitmotif completely dominates the sound track and
carries over to the next sequence.

Miss Trench Sequence

Shot 1

Imagery

Long shot of a door of a darkened room. The door
opens and Bond appears. He turns on a light and
places his keys on a bureau and briefly reads a
note. He crosses the room towards another door and
drops his hat on a chair. He notices something
off-frame left. He turns off the lights and
withdraws his gun from his jacket. The camera
follows him as he moves towards a door, apparently
the source of some danger. Very quickly he opens
the door.

Sound Track

Synchronous sound of the door opening and keys
jingling begin this shot. The synchronous sounds
end and music takes over after Bond drops his hat
on the chair.

The music begins with a nondescript quiet
incidental theme that transposes into the Bond

leicmotif when Bond closes the door. The leitmotif
ends when he deposits his hat on the chair. For a
brief moment there is no music. A different quiet,
but tensioned filled, incidental theme begins as
he makes his way to the light switch. It becomes
more ominous as soon as the lights are turned off.
A louder chord of music is heard when he withdraws
his gun. The theme continues and increases in
volume and dramatic import as he makes his way to
the door. The music rises to a crescendo as he
opens the door.

Shot 2

Imagery

Long shot, at carpet level, of Bond as he opens
the door in a crouched position with gun in hand.
In the foreground are the legs of a woman. She is
playing golf. Bond regains his composure and shuts
the door. Miss Trench picks up an errant golf
ball.

Sound Track

The crescendo of the music of the preceding shot
is heard as Bond opens the door. The music
abruptly ends.

Miss Trench's sarcastically intoned voice is heard
off-screen: There, now you made me miss it.

Bond replies in an equally sarcastic tone: You
don't miss a thing ... How did you get in here?
Never mind that now, you're in here.

Shot 3

Imagery

Medium shot of Miss Trench clad in a night shirt.

Sound Track

Miss Trench: I decided to accept you invitation.

Shot 4

Imagery

Medium shot of Bond placing his gun back in his
jacket. The camera follows him as he moves toward
Miss Trench.

Sound Track

Bond: That was for tomorrow afternoon. Tell me do
you always dress this way for golf?

Matter-of-factly Miss Trench replies: I changed
into something more comfortable.

Shot 5

Imagery

Medium shot of miss Trench

Sound track

In an arched voice Miss Trench replies: Oh, I hope
I did the right thing?

Shot 6

Imagery

Medium shot of Bond. He moves towards Miss Trench
and reaches for her golf club and makes a motion
for her to leave.

Sound Track

Sounding compassionate Bond replies: You did the
right thing, but you picked the wrong moment. I
have to leave immediately.

Shot 7

Imagery

Medium shot of Miss Trench. She moves toward Bond
and kisses him. The camera moves into a close-up
of their kiss.

Sound Track

Trench: Oh that's too bad ... Just as things were
getting interesting again.

The sound of Miss Trench kissing Bond is heard
followed by her sigh.

Trench: When did you say you have to leave?

Shot 8

Imagery

Medium shot of Bond and Miss Trench embracing

Sound Track

Bond: Immediately.

Shot 9

Imagery

Close-up of Miss Trench kissing Bond. They
passionately embrace.

Sound Track

Another kiss is heard.

Sounding weakened by Miss Trench's sexual power
Bond replies: Almost immediately.

The sound of a jet engine is heard at the end of
the sequence.

Death of Dr. No Sequence

Shot 1

Imagery

Medium shot of Dr. No at the Toppling Centre's
central control panel.

Sound Track

Electronic noise fills the soundscape. Prominent,
is a sound similar to an electronic wristwatch
alarm. A low frequency hum, possibly an air
conditioner, is also heard In the background
occasional NASA mission control information is
audible. When Dr. No issues orders his amplified
voice resonates loudly.

Dr. No: Stand by. Run to full power. Fuel elements
21.

NASA: Final countdown ...

Shot 2

Imagery

Medium shot of Bond, disguised as a worker, in
front of a control panel which says "Danger
Level." Bond begins to turn the wheel which
controls the power output of the nuclear core.

Sound Track

Same as Shot 1 with the addition of the rising
pitch of an oscillating electronic sound
synchronized with Bond's movement of the control
wheel.

Worker: Attention all control. Going into
operation ... now!

Shot 3

Imagery

Close-up of the reactor core. It begins to glow.

Sound Track

Same as Shot 2. The oscillating sound continues to
rise in pitch.

NASA: ... the umbilical ...

Shot 4

Imagery

Medium shot of Dr. No viewing the NASA launch on a
video monitor.

Sound Track

Same as Shot 1.

NASA: All elements in progress ...

Shot 5

Imagery

Close-up of Bond

Sound Track

Same as Shot 2 with the addition of a sharp rise in pitch.

Shot 6

Imagery

Close-up of the reactor core now glowing white hot.

Sound Track

Same as Shot 2.

NASA: We're at T-minus One ...

Shot 7

Imagery

Long shot of Dr. No seated at his command centre.

Sound Track

Same as Shot 2. The oscillating is less loud.

NASA: ... 9 seconds and counting.

Shot 8-10

Imagery

Close-up of Bond looking over his shoulder. He turns the wheel quickly and the indicator moves past the "Danger Level" mark. Shot of the reactor core glowing white hot and the cooling water boiling over. Close-up of Bond continuing to turn the wheel.

Sound Track

Same as Shot 2. The oscillating sound continues to rise.

NASA: T-minus ...

Shot 11-15

Imagery

Long shot of Bond. A worker tries to stop him and Bond pushes him away. The worker falls on the

gantry. Close-up reaction shot of Dr. No. Long
shot of the worker getting up. Close-up of the
worker's hand trying to grab the "Emergency Stop"
lever. Close-up of Bond moving to the right of the
frame.

Sound Track

The oscillating sound now becomes the dominant
sound in the sequence. All the other subtle
electronic noises have been washed away. Various
synchronous sounds of the fight scene can also be
heard. As the worker falls to the ground a
crashing sound is heard which alerts Dr. No.

Shot 16

Imagery

The camera pans across the gantry following the
fight.

Sound Track

Similar to Shots 11-15. In addition a chord of
dramatic music is heard synchronized with a final
punch from Bond. The NASA controller's voice
becomes more prominent.

NASA: Ten ... Nine ... Eight ... Seven ...

Shot 17

Imagery

Long shot of the worker falling off the gantry.

Sound Track

The dramatic music descends in pitch "Mickey-
mousing" as the worker falls. The worker screams.
The intensity of the soundscape lessens somewhat
and is replaced by the dramatic incidental music.

NASA: ... Six ...

Shot 18

Imagery

Medium shot of Dr. No standing up and speaking
into a microphone. In the background workers flee
their stations.

Sound Track

Similar to 17. The music continues.

Dr. No: ... Shut down!

NASA: Five ... Four ... Three ...

Shot 19

Imagery

A long shot of workers scrambling around Dr. No's centre.

Sound Track

Similar to Shot 17. The music begins to transpose into the Dr. No leitmotif.

NASA: Two ... One ...

Shot 20

Imagery

Medium pan on Dr. No as he runs toward the gantry.

Sound Track

Similar to Shot 19. The music plays the first few bars of the Dr. No leitmotif.

NASA: Zero!

Shot 21

Imagery

Close-up of a flashing sign: "Abandon Area."

Sound Track

The music ends abruptly. A warning horn and alarm bells begin to sound. A different incidental musical theme begins. All electronic sounds have ceased.

Shot 22-23

Imagery

Close-up of a worker abandoning his post. Close-up of a video monitor depicting the rocket launch.

Sound Track

Similar to Shot 21.

NASA: Ignition (Shot 22) ... Lift off! (Shot 23)

Shot 24-27

Imagery

Medium shot of Dr. No and Bond fighting on the gantry over the cooling tank.

Sound Track

Similar to Shot 21. The synchronized sound effect of metal on metal and glass breaking is heard as Bond avoids the blows from Dr. No's hands. At the end of Shot 27 a slightly modified version of the James Bond leitmotif is heard which is synchronized with a blow that strikes Bond.

NASA: ... Seven point four six ...

Shot 28-31

Imagery

Long shot of Bond falling onto the control rod elevator. Medium Shot of Dr. No trying to fight Bond off and push him into the reactor cooling tank Long shot of both of them falling onto the cooling rod elevator. The elevator descends toward the reactor core. Close-up of the two fighting.

Sound Track

Same as Shot 27. The Bond leitmotif transforms into a moment of incidental music.

Shot 32-33

Imagery

Medium shot of the elevator descending into the boiling waters of the cooling tank and a close-up of the two fighting.

Sound Track

Same as Shot 28. The incidental music transforms into the Dr. No leitmotif in Shot 31.

Shot 34

Imagery

Medium shot of Bond and Dr. No. Bond gets the
upper hand and kicks Dr. No. Bond escapes leaving
Dr. No. As the elevator descends, Dr. No tries to
grab onto its frame.

Sound Track

Same as Shot 31. The music moves between
incidental dramatic music and the Dr. No
leitmotif. The sound of metal on metal is heard
near the end of the shot.

Shot 35

Imagery

Long Shot of Dr. No trying to grab onto the
elevator's frame. Bond scrambles up the frame onto
the gantry.

Sound Track

Same as Shot 34. The sound of metal on metal is
pronounced and rhythmic.

NASA: ... our astronauts ...

Shot 36-41

Imagery

A series of shot-reverse-shots beginning with a
close-up of Dr. No's hands grasping at the frame
and ending with Dr. No sinking into the reactor
cooling tank. As the shots progress the metal
frame develops scrape marks.

Sound Track

Same as Shot 34. The scraping sounds continue and
the music transforms into a dramatic incidental
piece which descends in pitch as Dr. No descends
into the tank.

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