Embodied Metaphors in Film, Television, and Video Games

Edited by
Kathrin Fahlenbrach

ROUTLEDGE

Embodied Metaphors in Film, Television, and Video Games

'This book consolidates a promising line of research into the means by which metaphors in film and other media relate to embodiment, affect, and meaning. As such, it is an original and much-needed contribution.'
—*Carl Plantinga, Calvin College, USA*

In cognitive research, metaphors have been shown to help us imagine complex, abstract, or invisible ideas, concepts, or emotions. Contributors to this book argue that metaphors occur not only in language but in audiovisual media as well. This is all the more evident in entertainment media, which strategically 'sell' their products by addressing their viewers' immediate, reflexive understanding through pictures, sounds, and language. This volume applies conceptual metaphor theory (CMT) to film, television, and video games in order to analyze the embodied aesthetics and meanings of those moving images.

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Cognitive Approaches

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Introduction

Embodied Metaphors in Moving Images

Kathrin Fahlenbrach

1. General Scope of the Volume

In cognitive research, metaphors have been shown to act as elementary structures of human thinking and mental imagination (Lakoff 1987; Johnson 1987; Danesi 1989; Boroditzky 2000; Boroditzky and Ramscar 2002; Gallese and Lakoff 2005). They help us to imagine complex, abstract, or invisible ideas, concepts, or emotions in terms of embodied schemata and gestalts, like exploding containers ('emotion is a container', e.g., 'bursting with joy'), paths ('life is a path', e.g., 'at the end of life'), or spatial hierarchies ('good is up—bad is down'). As "intermediary structures" in our minds (Danesi 1989), they integrate cultural knowledge with innate meanings, based on gestalt perception and image schemata. Accordingly, *conceptual metaphor theory* (abbreviated in the following as CMT) considers metaphors not just as analogies between two words or pictures on the symbolic level. Considering a more basic cognitive dimension, it is argued that metaphors are based on *conceptual mappings* as a relevant mechanism in the human mind (cf. e.g., Lakoff 1987; Johnson 1987; Kövecses 2002) that act by projecting significant sensorial qualities of a source domain (e.g., the gestalt elements 'in-out' of the container-based concept of 'exploding') to the sensorial and mental qualities of another concept, belonging to a different experiential domain (e.g., 'anger').

Given the cognitive character of metaphorical understanding and imagination, it seems obvious that not only language (Lakoff 1987; Johnson 1987; Kövecses 2002; Gibbs 2008) but also visual and multimodal media refer to the metaphoric schemata and mechanisms that are anchored in our minds. As Forceville (1996) and Fahlenbrach (2010) argue, this is all the more evident in entertainment media, as well as in press and advertisements, which tend to strategically 'sell' their products by addressing their viewers' immediate, reflexive understanding and their affects multimodally through pictures, sounds, and language. Drawing on conceptual metaphors should allow creators of audiovisual media products to communicate complex meanings in an embodied gestalt that their public understands in a reflexive manner.

However, whereas CMT is an established academic discourse in linguistics and semiotics, its adaption to disciplines dealing with visual, multimodal,

and audiovisual artifacts—whether visual communication studies, film studies, television studies, or game studies—is still rare. Only over the last decade has it been possible to observe a growing tendency in cognitive film and media studies to discover the potential of analyzing embodied aesthetics and meanings of moving images by applying insights from CMT to audiovisual media (e.g., Forceville 2006; Fahlenbrach 2007, 2010; Coëgnarts and Kravanja 2012, 2014). This corresponds to a rising interest in cognitive film and media theory for embodied and affective meanings in moving images (cf. Grodal 1997, 2009; Tan 1996, 2005; Plantinga 2009; Smith 2003). Accordingly, a general aim of this volume is to introduce cognitive approaches in film and media studies treating embodied metaphoric meanings in films, television, and video games. This includes the documentation of both systematic models and case studies addressing questions such as the following: What are bodily based conceptual metaphors in moving images? More concretely, what are the source and target domains for conceptual mappings created in the composition of pictures and sound? Do dominant stylistic and narrative conventions in moving images refer to conceptual metaphors? Is there such a thing as a metaphorically based poetics of cinema? In this regard also media- and genre-specific embodied metaphors in film, television, and video games will be analyzed in order to identify specific functions of metaphorically shaped styles and narratives in different areas of moving images (such as entertainment or journalism).

2. Research Background: A Short Overview

In the philosophy of language and the arts, metaphors have long been shown to be key elements to give abstract thoughts and meaning the gestalt of a concrete image (cf. Arendt 1978; Ricoeur 2003). This can be a mental image, evoked by language, or a manifest image (Mitchell 1987), worked into a painting, sculpture, or even an architectural design. Metaphors have been traditionally defined rhetoric tropes, based on analogies between signs with distinct conventional meanings.

With the rise and increase in cultural dominance of entertainment and journalistic mass media, including press photos and moving images in film and television, traditional metaphor approaches have been confronted with two general problems: first, a narrow understanding of metaphors, being conceptually restricted to 'new' and 'creative' metaphors in the arts (cf. Ricoeur 2003), wherein metaphors are used as rhetorical tools offering a new epistemic or poetic perspective to a global phenomenon. In contrast, mass media, with its dominant influence in our western cultures, tend to use idiomatic and even 'dead' metaphors (Ricoeur 2003) that are anchored within a culture. For this reason, their meanings are grasped mostly unconsciously, even reflexively, making them all the more attractive for commercial mass media.

A second, more methodological problem is that observing analogies at the level of cultural meanings is problematic when applied to photographic pictures, presenting objects of the world 'as they are' and not 'as something else' (cf. Mitchell 1987). Following Peirce (1991), they refer to the represented world in an iconic and indexical way, not by conventionally established signs and symbols. This is linked with a certain degree of literalness and immediacy and makes it difficult to study metaphors in photographic pictures when they are primarily understood as analogues between conventionally established signs and meanings.

However, prominent works in film and media studies have offered useful approaches for identifying specific rhetorical ways of creating symbolically meaningful metaphors. Most influentially, Christian Metz (1974, 1982) considers photographic motifs and film montage as elementary building blocks of metaphoric analogies that imply both *syntagmatic* and *paradigmatic* relations. Thus, metaphorical analogies can be studied by identifying the *syntagmatic* analogies between the meaning of a depicted motif and that of another motif juxtaposed by the montage in a film sequence. Furthermore, Metz distinguishes *paradigmatic* analogies between the meanings of a motif and those meanings that have not been manifested in a sequence but act in viewers' imagination (e.g., via associations). In contrast to cognitive approaches, Metz understands imagination as structured by the viewers' deep psychic energies that movies strategically address in order to produce pleasure. Referring to the works of Jacques Lacan and Jean-Louis Baudry, Metz (1982) sees metaphors and metonymies related to psychologically based forms of condensation and displacement. Hence his model of metaphor (and metonymy) is framed by a critical approach to mainstream cinema, blaming it for its ideologically driven manipulation of the viewers' unconscious.

One of Metz's harshest critics, Noel Carroll,[1] presented another influential approach from a cognitive perspective. Carroll (1996) states that metaphors are based on conceptual knowledge in our minds. When referring rather loosely to CMT, he considers a restricted possibility of moving images to create metaphors in visual media by establishing conceptual relations between divergent motifs in a sequence, especially by the montage. Hence, the *homospatiality* of two different and even incommensurate concepts realized by the mise-en-scène is a key premise for Carroll to create metaphoric meanings. He argues that both the filmmaker and the viewers take such metaphoric pictures in films as explicitly non-realistic and, hence, purely figurative ones. As such they exhibit their metaphoric character and invite viewers to actively search for the conceptual relations between the divergent elements. This view is, however, close to rhetoric approaches with a rather narrow understanding of metaphors as obvious figurative tropes and symbolic forms, which produce new meanings and attract the viewers' attention in an explicit way.[2]

A third prominent account was developed by Whittock (1990), who combines traditional rhetoric categories with cognitive aspects. From a cognitive perspective he argues that the filmic image is per se structured

metaphorically: given the primordial artificiality of a movie, the selection and composition of every shot imply intentionally motivated pictures that manifest a metaphoric way of 'seeing as'. He generally assumes that semantic entities in film are primarily based on mental gestalts. Each visual and acoustic element, each picture and sound already imply a gestalt-based meaning that acquires in the audiovisual composition a more complex semantics. Against this background, metaphors are claimed by Whittock no longer as purely abstract and symbolic analogies between signifier and signified. Rather the metaphoric meaning is basically anchored on the mental gestalts of film images and perception. Thereby Whittock recognizes the relevance of embodied image schemata as a source for the construction of cinematic metaphors. However, Whittock's cognitive approach to an "imagination theory" of metaphor in film remains rather general in its basic claims. Whereas he criticizes CMT for too broad an understanding of metaphors, he proposes a typology of metaphors and other tropes in film that is based again on classical rhetorical categories such as analogy, synecdoche, juxtaposition, hyperbole, and chime (Whittock 1990, 50 ff.). Thereby he draws rather on their representational relation to their signified object than on their cognitively based concepts and gestalts. The cognitive potential of the different tropes, however, is based in his approach on cultural codes in film rather than on embodied and mental concepts.

Surely Metz, Carroll, and Whittock have developed relevant instruments for identifying metaphors as rhetoric tools, which are strategically used by filmmakers in order to realize a creative idea with a new epistemic value. Such metaphors are highly salient and visible for the viewers, addressing their knowledge as well as their willingness and competence to follow the metaphoric transfer of meaning. This is in line with a concentration on 'new' and 'innovative' metaphors in avant-garde and art-house films.[3] Although all three approaches—despite their differences—emphasize that metaphors are, in the end, realized in the viewers' minds and assume that they explicitly address knowledge and imagination, they do not sufficiently explain this embodied dimension of metaphoric meaning. The psychoanalytic approach of Metz (1974, 1982) and the cognitive approaches of Carroll (1996) and Whittock (1990) only generally presuppose imagination and mind as part of metaphorical processes, while focusing in their analytical categories on rhetoric tropes, without offering specific tools for analyzing the very cognitive, and more specifically, the embodied and affective semantics in visual and cinematic metaphors. Even by explicitly considering cognitive meaning, both Carroll's and Whittock's approaches offer a quite narrow understanding of metaphors, taking them as an explicit and rational way of meaning-making and understanding, with each referring primarily to culturally based knowledge.

This narrow understanding contrasts with current insights in film studies, dealing with movies and minds. They show us that entertaining, advertising, and journalistic media mostly seek to compose their artifacts in a way that conveys messages and meanings in a purely affective and embodied rather than in a rational way.[4] Much has been said in recent years in cognitive film studies about strategies utilized in movies to address deep emotions in viewers (Tan 1996, 2005; Grodal 2009; Smith 2003), and how embodied, innate reflexes and attributions are stimulated by the use of visuals, sounds, movements, etc., that make film viewing an intense and lively experience (Anderson 1996; Grodal 1997; Anderson and Fisher Anderson 2005, 2007).[5]

But whereas research into the embodied meanings of moving images sometimes neglects the more complex cultural meanings, several authors in cognitive film studies currently strive for more comprehensive approaches that integrate these different dimensions (e.g., Grodal 2009; Plantinga 2009).[6]

As research in embodied metaphors shows, it can offer film and media studies a relevant tool to explain how moving images closely merge both dimensions of meaning-making and understanding. Metaphors in movies and other moving images have a much more embodied dimension than a purely conventional and rational one. There is a huge potential in the analysis of image schemata and embodied metaphorical mappings in pictures, sounds, and movements for the analysis of their embodied aesthetics, giving complex cultural meanings an audiovisual gestalt that viewers grasp immediately via their senses and their mind.

The first steps in consequently adapting CMT to the visual and audiovisual have been taken in semiotics rather than in film and media studies. One approach has been proposed by Warren Buckland (2000). He sees mental activities and the intuitive knowledge of film viewers as the basis of cinematic meanings. Thereby he considers the important role of embodied perception and experience. Referring to CMT, he presupposes that the intuitive and reflexive dimension of film perception is strongly based on mental image schemata. Most especially he regards the container-schema as a key image schema for experiencing and perceiving films. Accordingly, the container-schema structures the limits between screen and public, between the filmic world and the exterior world of the viewers, and also between on-screen and off-screen within a film (Buckland 2000, 38 ff.). Thus Buckland shows on a general scale how mental image schemata generally influence the relation between the filmic images and the viewers' interpretations and experience. However, his cognitive approach does not exceed this global perspective of film viewing. By seeking to integrate cognitive approaches with the opposed psychoanalytical theory of Metz, Buckland misses the chance to develop a clear-cut "cognitive semiotics of film". Like Whittock, he starts from basic cognitive premises and then returns to rather traditional and psychoanalytical tools when developing more specific criteria of film analysis.

A first consequently cognitive perspective and a more fine-grained application of CMT to film analysis is introduced by Charles Forceville (1996, 2006, 2008; Forceville and Urios-Aparisi 2009), who paved the ground for the semiotic research of conceptual metaphors in visual and multimodal

artifacts. More specifically, Forceville (cf. 2008, 2009) combines research on multimodality in semiotics and CMT when claiming that image schemata and conceptual metaphors can be manifested in visual and audiovisual media not just by visual and acoustic elements, but also by language and gestures. As multimodal image schemata and metaphors, they can further address in viewers other modes like touch or smell. His studies on visual[7] and multimodal metaphors in comics, advertising campaigns, and movies thus offer relevant instruments for identifying image schemata, realized in image composition, lighting, and color use, as well as in the movement of the camera and the depicted objects. They demonstrate how multimodally manifested image schemata are mapped as source domains on relevant meanings and messages as target domains of a visual or audiovisual piece (e.g., 'life is a journey', Forceville 2006).[8]

In the last ten years, we have also been able to observe a growing interest in image schemata and conceptual metaphors as relevant 'building blocks' of embodied audiovisual semantics in cognitive film and media studies.[9] One of the first scholars to consider the potential of CMT for cognitive film theory was Torben Grodal (1997, 2009). In his approach, based on evolutionary premises, he points to the relevance of image schemata as elementary parts of audiovisual composition (e.g., force, container, balance) that convey an embodied experience of cinematic meaning to viewers. Whereas Grodal specifically focuses on the realization of image schemata in moving images, Fahlenbrach (2007, 2008, 2010, 2014) proposes an approach that explicitly deals with metaphorical mappings in audiovisual media on the level of embodied gestalts in pictures and sound. Following from Kövecses (2002), she distinguishes several types of mapping that differ in the conceptual complexity of their source domains and materialize in visual, acoustic, and movement-based composition which are closely related to the narrative discourse of a moving image. Key action places and bodies of protagonists are considered as relevant objects of metaphoric representation, portraying narrative meanings in an embodied metaphoric way.

Combining linguistics and phenomenological film studies, Kappelhoff and Müller (2011) explore the metaphoric semantics in cinematic performances of gestures. In detailed analyses, they demonstrate that the representation of body gestures often acts as source domain for metaphorical meaning in films. Most recently, Coëgnarts and Kravanja (e.g., 2012, 2014) found in several case studies that relevant cinematic conventions in mainstream movies are metaphorically conceptualized. They also understand elementary forms of audiovisual composition as manifestations of embodied image schemata and demonstrate how their metaphoric use has relevantly shaped cinematic poetics. In Coëgnarts and Kravanja (2014) they present an explorative spectrum of some recent case studies from authors of different disciplines that apply CMT to film analysis. They demonstrate the high potential of a research perspective dealing with metaphoric meanings that convey complex cinematic meanings in an embodied way.

As this short and selective overview[10] shows, we can observe a newly concentrated tendency in semiotics and film studies to explore systematic and analytical insights into embodied metaphorical meanings in moving images. This research has been presented up to now in a rather isolated way in single publications, mostly related to semiotics, as well as sometimes to film studies. The aim of this volume is to contribute to filling the gap in this area by making current work within film and media studies more visible. As such, basic methods of CMT established in cognitive linguistics are not further elaborated, but are applied to systematic and analytical problems as well as to specific phenomena discussed in film and media studies. It presents theoretical approaches and media specific methods, as well as current in-depth analysis of embodied metaphors in moving images. A significant focus is placed on cognitive approaches in media studies that have dominated this discourse thus far, although with the contribution of Kappelhoff and Greifenstein, also a phenomenologically informed approach is provided, demonstrating the fact that this discourse has only scarcely made use of CMT thus far.

The core area of metaphor research in moving images still lies with movies. The contributions of this volume will also consider other media, more specifically, television news (in Kappelhoff and Greifenstein), quality series in television (in Armbrust and in Fahlenbrach), and video games (in Bartsch, Fahlenbrach, and Schröter, and in Möring). A widening of the scope to different kinds of moving images is another distinctive aspect of the volume.

3. Outline of the Chapters

The book is divided in four parts: (I) *Metaphors and Narrative Meanings in Moving Images*, (II) *Metaphors of Perception and the Senses in Moving Images*, (III) *Metaphors of Emotion, Expression, and Mind in Moving Images*, and (IV) *Interactive Metaphors in Video Games*.

The first part, *Metaphors and Narrative Meanings in Moving Images*, presents systematic approaches and case studies that focus on the metaphoric embodiment of narrative meanings, created in films and in television. Although the metaphoric conceptualization of narrative meaning lies at the heart of all contributions in this volume, narrative as a metaphoric target is focused differently. In this section, the explicit metaphoric treatment of narrative stands in the foreground.

In the first chapter, Forceville offers a survey on different cognitive approaches to metaphors in visual and audiovisual media. He further extends his approach to multimodal metaphors. This includes the introduction of a typology of different metaphors and a discussion of their genre-specific use in film. Fahlenbrach, in the introduction of her approach to audiovisual metaphors, distinguishes audiovisual key metaphors and sub-metaphors in the narrative of films and television series. In her case study of the television series *Twin Peaks* by Frost and Lynch, she analyzes action places as generic

audiovisual metaphors on both the local and global scale of the show, mapping spatial gestalts as source domains on complex narrative meanings.

Hogan offers a broader understanding of metaphors, defining them as cognitive and affective models in cinematic simulation. Drawing on his previous work, Hogan further elaborates his account of simulation film. In his case study of Wim Wenders's movie *Himmel über Berlin* he argues that metaphors can act as "generic structures" in a narrative, influencing simulative Theories of Mind in viewers' imagination regarding characters' emotions and intentions. In the subsequent chapter Urios-Aparisi also takes the broader dynamic context of metaphors in moving images into account. He presents his concept of 'metaphor scenarios' by combining CMT with a comparative method in close reading of films. In his case study he scrutinizes water-metaphors in cinema as metaphoric scenarios, identifying their narrative meanings in different cultures. The dynamic aspect of metaphoric structures in an audiovisual narrative also stands in the fore of Armbrust's chapter. He presents a new approach by combining CMT with narratological approaches on complex plots in television series. In his study of different quality-series he analyzes image schemata and metaphoric structures in plotting.

In the second part, *Metaphors of Perception and the Senses in Moving Images*, the chapters deal with the core of metaphoric embodiment in moving images, reflecting on the role of perception and the senses both for the process of metaphoric mappings and the embodied understanding of metaphors when performed in vision and sound. In the initial chapter, Grodal discusses general differences between "language-cued" and "vision-cued" metaphors. Taking metaphors as forms of second-order abstractions, he presents a rather skeptical account on embodied metaphors in moving images, arguing that visual media communicate body-based meanings already in terms of "qualia salience" that are difficult to transfer to other meanings. By the use of classic film examples he demonstrates how films however can, in his view, integrate image schemata and qualia as source domains in order to perform abstract meanings beyond visual qualia and iconic representation. As Grodal's study also demonstrates, a metaphoric transfer of visually cued meaning is often realized when it comes to represent inner perceptive states of characters which are not visible for viewers. This is supported in the contribution of Langkjaer, who also reflects on general methodological problems with which both rhetorical and conceptual accounts to metaphor are confronted when being applied to pictures. In a similar manner to Grodal, he argues that the iconic character and sensorial qualia implied in pictures tend to hinder a transfer of meaning. By referring to different film examples, he argues at the same time that specific film pictures, elaborating on inner states and perceptions of characters by filmmaking, often refer to conceptual metaphors as a cognitive principle. Also Coëgnarts and Kravanja deal with 'invisible' mental states as target domains of metaphors in cinema. They first adapt CMT to the analysis of film conventions that structure

the very process of film viewing, for example, by metaphoric concepts that organize the visual field of viewers. Second, by using the classic example of *Vertigo* by Hitchcock, they proceed to analyze filmic conventions based on metaphors that convey viewers with an embodied understanding of the character's inner perception but also guide the viewers' higher understanding of the narrative.

In recent research, music in moving images has been rather neglected as source for metaphoric mappings. With their chapter on embodied metaphors in film music, Albrecht and Wöllner present a new approach from a music studies perspective. Taking musical leitmotifs as symbolic entities in a film, they analyze their underlying metaphorical concepts with musical gestalts and gestures as source domains. Combining empirical psychology of music and film music analysis, they offer an interdisciplinary perspective that demonstrates how bodily qualities of music are metaphorically used to convey abstract meanings in a film score.

Kickasola presents another cognitive approach on metaphors of perception in film. The focus of his chapter is on cross-modal perception and how it can be cinematically conveyed to viewers as a dense associative experience. By taking the example of an animation film (*Ratatouille*, Bird and Pinkawa, USA 2007), he reflects on the potential of film to also metaphorically relate the sensorial experience with more complex meanings, closely related with multilayered feelings.

The third part of the volume, *Metaphors of Emotion, Expression, and Mind in Moving Images*, focuses on another key aspect of embodied metaphors: the use of affective structures in the mind as source domains and of emotions and more complex mental states (e.g., related with identity) as target domains, both of which highly matter for moving images. In the initial chapter, Kappelhoff and Greifenstein present a new account to audiovisual metaphors from a phenomenological perspective, dealing with the active role of the viewer's mind and affects in metaphoric processes. Criticizing cognitive scholars for generalizing metaphors as universal schemata in film reception, they define audiovisual metaphors as the dynamic result of quite specific interactions between filmic expression and subjective acts of viewers to fictionalizing a narrative in mind. This approach stressing the subjectivity of metaphoric meanings in the film reception is actively demonstrated in two detailed case studies on film and television news.

In the subsequent chapter, Bartsch also demonstrates that not only fictional emotions and mental states matter for metaphorical processes in moving images but the way they are interpreted and experienced by viewers matters as well. Bartsch presents an approach to emotional metaphors in moving images that is informed by both emotion theory and Kövecses's theory of emotion metaphors. Emotion metaphors are modeled as "vivid abstractions" of complex social-moral concepts and ideas. By drawing on many examples in film and video games, Bartsch discusses how moving images can often integrate several emotion metaphors into a complex

metaphorical image that serves to provide viewers with an embodied experience and understanding of social-moral reasoning.

As several authors argue, metaphorical concepts should be considered as dynamically related to cultural meanings. This also concerns the study of Reinerth who scrutinizes cinematic representations of mind in early years of cinema. Her analysis demonstrates the primordial reference of many films to the conceptual metaphor 'mind as a container' while realizing at the same time a broad range of cinematic variations of it. As she argues, it is by comparing the variations of the primary container-metaphor that historically determined concepts of the mind can be revealed.

In the final chapter of the third part, bodily based mental states of identity are treated as metaphoric targets by Antunes. He introduces his concept of 'multisensory metaphors', related to Forceville's understanding of 'multimodal metaphors'. Taking into account even more senses, for instance, proprio-reception or thermo-ception, he argues that they are further relevant sources for metaphoric representations. Using the film *Gerry* by Gus van Sant as a significant example, Antunes analyzes 'walking as identity' as a primary metaphor in the filmmaking and the depicted body performances in this film. He considers how the viewers are invited to experience complex mental states and identities of the character(s) by the metaphoric conceptualization of sensory-motor and proprio-receptive associations.

The final part of the volume, *Metaphors of Interaction in Video Games*, is comprised of two chapters addressing embodied metaphors in a medium that has, up to now, been widely neglected by cognitive metaphor scholars: video games. Video games offer an even broader spectrum than other moving images in displaying embodied image schemata in a metaphorical way, including active sensory-motor action. Furthermore, their ludic qualities related to the very act of playing challenge game designers to give not only global narrative meanings an embodied gestalt but also abstract rules, goals, and levels of play. As both chapters show, metaphors lie at the heart of game design to give abstract narrative and ludic meanings sensorially concrete gestalts. Consequently, it seems that this medium allows consumers to perform actively in metaphorically shaped environments—environments that actually become more and more complex with the constant technological progress of 3D graphics.

Fahlenbrach and Schröter discuss the general possibilities of video games to create interactive metaphorical displays by considering the design of player characters. They argue that audiovisual metaphors (sensu Fahlenbrach) can be put to use as an analytical concept that 'merges' narrative and ludic dimensions of characters as well as aspects of their symbolic meaning and experiential gestalt. This is being demonstrated by drawing on two examples of superheroes (*Batman* and Cole, in *Infamous*) in single-player 3D video games. In the second chapter, Möring reflects on metaphors in art games. Whereas art games are commonly considered in games studies as metaphoric due to their often symbolic and abstract character, Möring discusses their metaphoric potential on the basis of CMT with regard to embodied simulation. Exceeding the commonsense use of metaphors in previous game studies, he offers a systematic cognitive account on embodied metaphors in this genre. Comparing art games with mainstream games, he further reflects on general metaphoric structures in video games and some relevant genre-specific differences.

As the overview demonstrates, a broad spectrum of systematic approaches and case studies dealing with different visual and audiovisual media is presented in this volume. Most of them are closely related to the cognitive paradigm of metaphor research, whereas some others critically reflect on them and offer alternative accounts. Hence the volume also includes illuminating methodological discussions of general problems with which studies on metaphors in moving images are confronted. In a short conclusion at the end of the volume, Fahlenbrach will summarize significant results, discussions, and perspectives provided throughout the chapters. On the basis of this recapitulation the book ends with some thoughts about future perspectives for cognitive metaphor research in moving images.

Notes

1. In his book *Mystifying Movies*, Carroll (1988) strongly criticized the psychoanalytical approach of Metz, for example, for making the viewer a passive object of cinematic manipulation.
2. As such they have been prominently criticized by film theorists Arnheim (1960) and Kracauer (1960).
3. Representative and influential for an artistic use of metaphors in film has been, obviously, Sergei Eisenstein. In his essayistic and cinematic treatments on montage he demonstrated that the epistemic value of 'new' metaphors exceeds a purely rational understanding and is experienced physically and affectively. Cf. also on Eisenstein: Tikka (2008).
4. A selection on current discourses in cognitive film and media approaches in presented in Nannicelli andTaberham (2014).
5. Actually with the early works, for example, of Bordwell (1985) and Carroll (1988) cognitive film studies rather focused on cognitive aspects of film viewing like understanding, interpretation, and memory building. Anderson (1996) was one of the first to consider in his ecological approach the "reality of illusion" in film being based on mental gestalts in camera movement and audiovisual composition that address viewers on an innate and biological dimension. It was especially with the 'emotional turn' since the late 1990s that cognitive film studies developed a growing interest in pre-consciously working physical and affective structures of moving images. Programmatic works have been Smith (1995), Tan (1996), Grodal (1997), and Plantinga and Smith (1999).
6. Carl Plantinga, former president of the Society of the Cognitive Study of the Moving Image (SCSMI), even voted in a talk at the SCSMI conference 2013 in Berlin for an integrative perspective he called "Cognitive Cultural Studies". He recognized that cognitive film studies tended to neglect cultural contexts in the development of audiovisual conventions, relating to the human mind

and emotions. In order to avoid leaving the field to cultural studies that treat moving images with a one-sided perspective, he promoted generating cognitive approaches that consider the influence of cultural discourses and historic change in the creation and reception of moving images.

7. While Forceville (1996) began applying CMT to 'visual metaphors' in advertising, he developed his approach to 'multimodal metaphors' in his later studies on film (e.g., 2006).
8. A more detailed introduction to his approach is given by Forceville in this volume.
9. Given that these approaches will be presented in this volume, I avoid a more elaborated introduction here.
10. There have been, of course, more studies on metaphors in moving images, also from a cognitive perspective, for example, Kennedy and Chiappe (2004) and Urios-Aparisi (2010). Due to limited space, I selected approaches that are representative for relevant tendencies in semiotics and film studies on metaphors in moving images. More detailed research overviews can be found in Whittock (1990) and Thiele (2006). Another introduction to research on metaphors in film based on CMT is offered by Forceville in this volume.

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Part I

Metaphors and Narrative Meanings in Moving Images

1 Visual and Multimodal Metaphor in Film

Charting the Field

Charles Forceville

1. Introduction: A Very Short History

Lakoff and Johnson (1980), anticipated by Ortony (1979), fundamentally changed the study of metaphor by claiming that "metaphor is primarily a matter of thought and action and only derivatively a matter of language" (1980, 153). From then on, metaphor was no longer one of a series of tropes that could enhance or embellish the aesthetic meaning of a poem or the persuasive power of speeches (as had been its primary claim to fame since Aristotelian times), but one of the essential conceptual tools for human beings to make sense of the world. Metaphor now also began to attract the attention of psychologists and cognition scholars. "Metaphor studies" became something of a discipline in its own right, spawning numerous papers and book chapters, monographs, and conferences, and two journals (*Metaphor and Symbolic Activity*, later called *Metaphor and Symbol*, since 1986; and *Metaphor and the Social World*, since 2011).

A logical consequence of accepting Lakoff and Johnson's "conceptual metaphor theory" (CMT) was that researchers should not only investigate verbal expressions of conceptual metaphors but also consider their non-verbal and partly verbal manifestations. Within the CMT paradigm basically two strands of research of this latter variety developed. One strand focused on metaphorical gestures in, and in interaction with, spoken communication (e.g., Müller 2008; Cienki and Müller 2008; see also Kappelhoff and Müller 2011). The other strand examined metaphors in static pictures, initially in advertising (e.g., Forceville 1994, 1996), later also in the cartoon genre (e.g., El Refaie 2003; Teng 2009, Schilperoord and Maes 2009; Bounegru and Forceville 2011), comics (e.g., Forceville 2005; Abbott and Forceville 2011), and in branding and logos (Koller 2009; see also Pérez-Hernández 2013). For many years, film scholars did pay little attention to metaphor. Of course, Eisenstein had long ago developed a keen interest in metaphor, considering it a key tool to make politically appropriate persuasive points; however, his views did not feed into contemporary metaphor theory (but cf. Rohdin 2009). More recently, Giannetti (1972) mounted a plea that "film metaphor" is not a *contradictio in terminis*; unfortunately, he uses the term as more or less equivalent to "trope" in general, or even to "non-literalness." From the 1990s onwards there was some scattered work on metaphor in film.

Whittock's (1990) monograph on the phenomenon contains many suggestive case studies and pertinent considerations but fails to present a clear-cut categorization of types, and moreover, like Giannetti, takes the label "metaphor" in a very broad sense (see Forceville 1996, 60–64 for more discussion). Within cognitivist film studies, Carroll (1994, 1996) eloquently promotes the possibility of metaphor in film. After my relocation to a film department, I began to extend my metaphor research from static ads and billboards to commercials (e.g., Forceville 2007, 2012) and feature films (e.g., Forceville 1999; see also Coëgnarts 2015). Over the past decade other scholars, both in film studies and in cognitive linguistics, have entered the field.

The budding interest in film metaphor is an exciting and promising development. But to ensure that this research is compatible with earlier research on metaphor, it is essential to agree on the terminology adopted as well as to chart some pertinent dimensions of metaphor's "behavior" in movies as distinct from its behavior in other media. Such will be the brief of this chapter. Inevitably, its general character prevents anything approaching exhaustive treatment; but hopefully it will guide film scholars to explore film metaphor's various aspects in more detail. The structure of the chapter is as follows. In section 2 I will explain some of the basic terminology. In section 3 the distinction between monomodal and multimodal metaphor will be defined. Section 4 will present a few case studies. The continuum from creative to structural/embodied metaphor constitutes the focus of section 5. In section 6, I will devote some thoughts to the thorny question "when is something a metaphor?" A factor that strongly influences both the construal of metaphor and its interpretation is the genre to which a film supposedly sporting a metaphor belongs, so this issue deserves some reflection (section 7). Whereas metaphor has currently the status of "master trope", we should not be blind to other tropes that may have filmic manifestations (section 8). The chapter ends with some thoughts for further research (section 9). Two cautions end this introduction. First, I will take the liberty of re-using examples I have analysed in previous work. Second, given the limited space available, I present my views without many nuances and discussion of exceptions.

2. Terminology

"The essence of metaphor is understanding and experiencing one kind of thing in terms of another" (Lakoff and Johnson 1980, 5) is a convenient characterization of the trope, if only because it does not privilege its verbal variety. Of the two "things", one is the literal term—what the metaphor is about. In older theories this literal term was called its "tenor" (Richards 1965) or "topic" or "primary subject" (Black 1979). The second "thing" is the figurative term, in older theories called "vehicle" (Richards 1965) or "secondary subject" (Black 1979). However, due to the pervasive influence of Lakoff and Johnson's CMT, the most commonly used terms are nowadays "target" and "source", respectively. So in "life is a cone of ice cream",

"you are a Pinocchio", "writing a book is practising for a boxing match" (John Irving), "life", "you", and "writing a book" are the targets and "a cone of ice cream", "Pinocchio", and "practising for a boxing match" the sources of the metaphors. When analysts think they are confronted with a metaphor, their first task is to assess what is its target and what its source. This is crucial: the target pertains to the phenomenon the metaphor is about, whereas the source pertains to the phenomenon that the target is compared to. In language, we are often helped by grammar to distinguish between target and source: in metaphors that already manifest themselves in an "A is B" form—as in the examples above—the target coincides with the grammatical subject, and the predicate signals the source. But by no means all verbal metaphors have this form. A metaphor can "hide" in the verb, for instance ("he *conquered* her with roses", "the river *smiled*"). For something to be labeled a metaphor, the analyst should always be capable of construing the "underlying" TARGET-IS-SOURCE or A IS B (SUCCESSFUL WOEING IS CONQUERING, A RIVER IS A PERSON); to distinguish the underlying conceptual structure of the metaphor from its surface manifestations, it has become the convention to print it in SMALL CAPITALS). A drawback of this conventional NOUN-A-IS-NOUN-B formulation is that it favors a static understanding of the metaphor, whereas it is in fact actions done by, or to, or with the source that are mapped onto actions done by, or to, or with the target. Given this dynamic character of metaphor (Cameron et al. 2009), the formulation A-ING IS B-ING may be more appropriate. Another drawback is that the choice of how to verbalize A and B is not always self-evident, and not necessarily neutral; this is something the analyst needs to be conscious of when deciding on an A IS B formulation.

If a metaphor in film involves visuals—as it often, but not necessarily, does—the underlying metaphorical A IS B has to be *construed* to an even larger degree than in the case of its linguistic manifestations. The reason for this construal (a process that analysts are supposed to perform consciously, but that film lovers presumably do subconsciously, if at all) is that there is no shorthand visual equivalent for the copula "is". Because target and source play fundamentally different roles in the metaphor, they cannot be reversed. In verbal metaphor theory, the eternally used example here involves surgeons and butchers. The point is that *in a given context*, "that surgeon is a butcher" can never be reversed into "that butcher is a surgeon". This irreversibility applies in visuals and film no less than in language (Forceville 2002, *contra* Carroll 1996).

Target and source are both part of semantic networks: each of them evokes a host of associated elements, emotions, and attitudes. For this reason, metaphor analysts often refer to the target *domain* and the source *domain*. Interpretation of a metaphor boils down to "mapping" one or more features (or a structured set of features) from source domain to target domain. Black (1979) discusses this interpretation process in terms of "projecting" features from source onto target.

Visual metaphors can be of different types. The first is the "contextual" type: the source of the metaphor is not depicted, but suggested by the visual *context* of the target. The second is the "hybrid" type: target and source are physically merged into a single—usually non-existing—*gestalt*. The third is the "simile": target and source are saliently juxtaposed, without having been manipulated.[1]

But film has at least one other way of visually cueing a metaphor, namely by creating similarity between two "things" via the way it depicts them: for instance by using, for these two things, the same unusual camera movement, the same salient color (filter), the same marked angle, the same editing pattern, etc. Note that (created) similarity between two things is a necessary criterion for construing a metaphor, but not a sufficient one. Similarity can be cued for many other reasons than for the creation of a metaphor.

Mode/Modality

When examples of metaphor are given in the film literature, they are usually of a purely visual nature. But although the "moving image" aspect is arguably the most defining aspect of the medium, and although there are specimens that consist of moving images alone, most films convey their meaning in combinations of moving images, sound, music, and language—the latter allowing for both spoken and written varieties. Film, therefore, is a "multimodal" medium *par excellence*, as it can draw on several modes/modalities (both terms are used). This has consequences for the ways in which metaphor can manifest itself in film, so that some attention must be paid to the notion of "mode". "Multimodality" is quickly growing into a discipline in its own right, but unfortunately there is no generally accepted definition of what counts as a mode. For practical purposes I stick to the following, somewhat idiosyncratic, list of modes: (1) visuals; (2) spoken language; (3) written language; (4) sound; (5) music; (6) gestures; (7) touch; (8) smell; (9) olfaction (see Forceville 2006a for more discussion). If we ignore cinema experiments involving (7)–(9), film can draw on modes (1)–(6). Once this is accepted, it makes sense to distinguish between monomodal and multimodal metaphors. The former are "metaphors whose target and source are exclusively or predominantly rendered in one mode" (Forceville 2006b, 383, e.g., both in language, or in visuals); the latter are "metaphors whose target and source are each represented exclusively or predominantly in different modes" (ibid., 384, e.g., a visual target and a musical source, or a verbal target and a sonic source).

3. Some Examples

One of the most famous examples of film metaphor is the cross-cutting between armed soldiers pursuing the people and butchers slaughtering cattle in Eisenstein's *Strike* (USSR 1925). The butchers and the cattle in the source domain correspond with the soldiers and the people in the target domain, respectively; what is mapped is the cruelty or indifference of slaughtering cattle/being slaughtered as (innocent) cattle. Because the butchers-and-cattle are not part of the story, the source domain is non-diegetic. This makes the metaphor salient; after all, there is no reasonable way to make sense of the butchers and cattle other than by considering them to function as the source domain of a metaphor. This choice for a non-diegetic source domain of course fits in well with Eisenstein's overtly political filmic message. Technically it would be a monomodal visual metaphor of the simile type. Another often-quoted film metaphor is Chaplin's fade from a crowd of workers coming out of a metro station to a herd of sheep in *Modern Times* (Chaplin, USA 1936); here, too, the source domain in this simile-type metaphor is non-diegetic (see Rohdin 2009 for more discussion of this WORKERS ARE SHEEP metaphor).

An example of a visual metaphor of the hybrid type is the MACHINE IS MOLOCH sequence in Fritz Lang's *Metropolis*, discussed by Carroll (1994, 1996), who labels it "non-compossibly homospatial": the metaphor is triggered because a hybrid metaphor merges elements of two phenomena that *cannot, in the real world, simultaneously* occupy the same space. Two caveats are in order: a title card giving us the label "Moloch" is an extra—although not indispensable—cue for the viewer to construe the metaphor, which thereby acquires multimodal overtones; and the metaphor is focalized by a character in the film, which, like anything else filtered through a character's perception, affects its narrative status.

The sequence in *Dr. Strangelove* (Kubrick, USA 1964) where Major Kong "rides" the atomic bomb invites construal as the metaphor ATOMIC BOMB IS RODEO HORSE. It is Kong's way of sitting on the horse, and of waving his cowboy hat, that would make this a contextual metaphor (admittedly Kong's whooping [sonic mode] helps trigger the metaphor, too). A mappable feature would be "being happily in control"—although Kubrick obviously uses the metaphor satirically.

But a cinematic target or source need not be prompted in the visual mode; it can be evoked entirely or partly in, for instance, language. In Fellini's *La Strada* (Italy 1954), there is a scene in which the heroine, Gelsomina, is watching a religious procession. We see her looking at the statue of the Holy Virgin and may, given the narrative, construe the visual (contextual) metaphor GELSOMINA IS HOLY VIRGIN. Such a construal surely gains extra plausibility if we notice that, for a second or two, behind Gelsomina a wall-poster with the prominent text "Madonna Immacolata" (Figure 1.1). If we take this into account for construal of the metaphor, the source is cued both visually and verbally and thus verges toward the multimodal. In cases where a target and source are entirely cued in different modalities, we would have a pure multimodal metaphor of the verbo-visual variety. Had there been no cross-cutting between Gelsomina and the statue of the Holy Virgin in the procession, the metaphor, if construed, would have been a purely multimodal one (see Coëgnarts and Kravanja 2012 for more discussion on metaphors created in the mise-en-scène versus those created via montage).

Figure 1.1 While watching a religious procession, Gelsomina is very briefly seen against the background of a wall-poster featuring the text "Madonna Immacolata (still from Fellini's *La Strada*)".

A source, but in principle a target as well, can also be cued via the musical or sonic modality. As long as a musical theme or a sound has a clearly recognizable referent, it is usable in a metaphor. National anthems, famous pop songs, and lullabies can all be deployed to trigger, or help trigger, a metaphorical term. The church music during the massacre at the ending of *If*… (Anderson, UK 1968) may lead some viewers to construe the metaphor MASSACRE IS RELIGIOUS RITUAL. The sounds of sirens, galloping horses, whips, and numerous other phenomena can similarly function as targets or (more commonly) sources. The sound of a train that is audible when Michael Corleone is about to commit his first killing in *The Godfather I* (Ford Coppola, USA 1972) could lead to the construal of MENTAL STATE IS FAST TRAIN (for more discussion of these examples, see Forceville 2009).

Finally, it is possible to construe a metaphor where no target is cued within the film itself but is supplied by the viewers. In Petrov's short animation film *Singing Teacher* (USSR 1968), contemporary audiences may have construed—at least according to information given in the leaflet accompanying the "Masters of Russian Animation" DVD—the metaphor HIPPOPOTAMUS EATING SINGING TEACHER IS SOVIET APPARATCHIK CLAIMING AUTHORSHIP OF MUSICAL COMPOSITIONS. It is to be noted that some people might call the whole film a "symbol" or an "allegory" for the behavior of Russian bureaucrats. This shows the need for further work on labeling cinematic tropes, and on how they can be distinguished.

What these examples furthermore make clear is that metaphors often combine features of different subtypes, and inasmuch as they draw on sound and music they may verge toward the multimodal rather than the completely visual pole. Finally, a metaphor can have a very "local" significance only or capture an essential theme in a film (see Fahlenbrach 2007).

4. Creative versus Structural/Embodied Metaphor

The examples discussed in the previous paragraph all manifest more or less creative metaphors (of which Lakoff and Turner's 1989 "image metaphors" would be a subcategory). An *ad hoc* identity relation is created (TARGET A IS SOURCE B) between two phenomena from different categories that have not previously been linked in this way, and this gives rise to a new perspective on and/or evaluation of the target domain.

However, the study of creative metaphor faded into the background with the popularity of Lakoff and Johnson's (1980) CMT, which emphasizes that most metaphors actually manifest *systematic* A-IS-B patterns. CMT's daring claim is that human beings consistently conceptualize abstract target domains in terms of concrete source domains—indeed that conceptual metaphors are indispensable to understand abstract phenomena at all. This idea is explored in Johnson's (1987) aptly titled *The Body in the Mind*. Concrete domains pertain to "the phenomena we have knowledge and experience of thanks to sensory perception (touching, seeing, hearing, smelling, tasting) and thanks to our movement through physical space" (Kromhout and Forceville 2013, 101; see also https://www.youtube.com/watch?v=MvocTKD5o5A). That is, the source domains are all linked to human beings' motor functions and to their perceptions. For this reason, CMT is often referred to as a theory of "embodied metaphor" and focuses on what Grady (1999) calls "primary" or "correlation" metaphors, which pertain to our most direct physical experiences. Examples are GOOD IS UP/BAD IS DOWN (positive things tend to be located in higher regions, bad things in lower regions), CAUSES ARE PHYSICAL FORCES (causation is conceived of in terms of forces that exercise physical pressure on objects and people), and TIME IS SPACE (we understand time as something that moves through space, or that we move through; hence expressions such as "the weekend is *approaching*"/ "we *have reached* the weekend"). These primary metaphors contrast to what Black (1979) calls "creative" and Grady (1999) calls "resemblance" metaphors, which are based on accultured or *ad hoc* created similarities of the kind discussed in section 4. Numerous publications have traced primary metaphors in different languages, usually concluding that, indeed, there is an embodied, presumably universal base for many, perhaps all primary metaphors, but that these are combined with culture-specific dimensions.

In research on film metaphor, it is useful to stick to the distinction between creative/resemblance and primary/correlation metaphors, although as Coëgnarts and Kravanja rightly claim, the two (which they label "structural" and "image" metaphors, respectively, pointing out that actually both types are conceptual) are "not mutually exclusive" (2012, 100). A wide

range of suggestive examples of primary metaphors rooted in films' *mise-en-scène* is provided by Ortíz (2011, 2014). These include RELATIONSHIPS ARE ENCLOSURES, IMPORTANCE IS SIZE, and AGREEMENT/SOLIDARITY IS BEING ON THE SAME SIDE. Forceville and Renckens (2013) expand on one of these, namely GOOD IS LIGHT/BAD IS DARK, whereas Winter (2014) analyses both this conceptual metaphor and one with which it often co-occurs: GOOD IS UP and BAD IS DOWN. The genre of the "road-movie" essentially depends on the metaphor X IS A JOURNEY. Herein the "journey" is used as a source domain to impose structure on relationships, careers, adventures, etc. (Forceville 2006, 2011, 2013; Forceville and Jeulink 2011; see also Yu 2009; van Ommen 2014). This metaphor can be considered as being somewhere on the continuum between primary and resemblance metaphor. Inasmuch as the journey metaphor feeds on the TIME IS SPACE metaphor, it verges toward the primary pole; but because journeys are accultured as well as physical undertakings, and because they can give rise to creative mappings, a strong element of the resemblance subtype is present in JOURNEY metaphors as well. There is a wonderful film scene that presents novel, *ad hoc* mappings in the age-old JOURNEY metaphor in *You Me and Everyone We Know* (2005), where the heroine, Christine, runs after a man, Richard, she is romantically interested in, and starts walking next to him on the pavement (Figure 1.2). In the ensuing dialogue, the two of them discuss their entire (although totally imagined) relationship in terms of the TIME IS SPACE metaphor, where the SPACE is the two blocks or so they walk together until Tyrone Street, where they will each take a different road to their parked cars. Christine says, for instance, "So, at the end of the next block we'll separate. At Tyrone Street", to which Richard responds a little later, "I was thinking that Tyrone was like 20 years away at least". She then says, "Okay. Well, actually I was thinking ... Tyrone is, like, when we die of old age. And this is, like, our whole life together, this block".

Figure 1.2 Visuals combined with dialogue render the multimodal metaphor A RELATIONSHIP IS A JOURNEY (film still from *You Me and Everyone We Know*, original in colour).

Christine and Richard's dialogue condenses an entire, imagined love-relationship between them using the TIME IS SPACE metaphor during the three-minute walk they share until they part ways (still from *You Me and Everyone We Know*, July UK/USA 2005).

It is thus to be noted that deriving novel insights from metaphors is not the exclusive domain of what in this chapter have been called "creative metaphors" but may also reside in new mappings within primary ones. We can also witness this in the structural metaphor DEVIANT IDENTITY IS TRANSFORMED BODY, which in different werewolf films discussed activate different source-to-target mappings (Koetsier and Forceville 2014). And creativity may also spring from the mode chosen for a target, for a source, and/or for mappable features (Forceville 2012).

Zoltán Kövecses has written extensively on verbal expressions pertaining to emotions (e.g., Kövecses 1986, 2008), which almost all can be traced to the primary metaphor EMOTIONS ARE PHYSICAL FORCES, where the configuration of forces will be different from one emotion to another. One dominant metaphor for ANGER, for instance, is ANGER IS THE HOT FLUID IN A PRESSURIZED CONTAINER, giving rise to expressions such as "he blew his stack", "the steam was coming out of his ears", and "he was boiling". Visual and multimodal media have different ways of expressing this metaphor than the medium of language. Fahlenbrach (2014) combines Kövecses's concepts with film scholars' views on emotion (Tan 1996; Plantinga 2009) to analyze metaphors used in conveying "shame" in feature films. She identifies several "shame" metaphors including SHAME IS DECREASE IN SIZE; A SHAMEFUL PERSON IS A PERSON HAVING NO CLOTHES ON; SHAME IS HIDING AWAY FROM THE WORLD in films in different genres.

5. Construing and Interpreting Metaphor: A Must or a May?

Even more in non-verbal and multimodal discourse (such as film) than in verbal discourse, it is misleading to say that something "is" a metaphor; it is better to refer to "construing a metaphor" or "interpreting something as a metaphor". In this section, some factors are discussed that affect whether a metaphor is (to be) construed; and if so, how this metaphor is (to be) interpreted.

When I started developing a model of pictorial/visual metaphor, I deliberately chose the genre of advertising, because this genre has a clear-cut purpose, namely to sell a product or a service. In most cases, I found, the target coincides with, or is metonymically related to, the product, which is then metaphorically compared to something else. Invariably, the audience is invited to map one or more positive features from source to target (e.g., Forceville 1996, 2007). In political cartoons, it is usually *negative* features and connotations that are to be mapped from source to target—typically a politician or a state of affairs in the world (e.g., El Refaie 2003). The genre conventions of advertising and cartoons, that is, rarely cause heated debate about whether a metaphor is to be construed (although its interpretation may give rise to disagreement).

In the medium of feature film, particularly art film, this issue is not so easily resolved. Aware of the danger he might be criticized for discussing film metaphors that other viewers would not be prepared to understand as such, Whittock proposed "it is best when studying rhetorical devices to concentrate on those that proclaim themselves to be such or those that the filmmaker seems to be declaring as such, calling these marked metaphors" (1990, 50). The examples from *Strike* and *Modern Times* discussed above are undoubtedly of this kind: given the narrative context of the films, the only way we can make sense of the montage is by understanding the elements in the adjacent shots as metaphorical targets and sources, respectively. A more subtle example is the cross-cutting between a shot of trees in a forest and that of columns in a church in *Blackrobe* (Beresford, Canada/Australia, 1991)—a similarity that is reinforced by the camera movement. To the priest that is the protagonist in this scene, the trees in the forest are like the columns in the church: in this forest he is to preach and make converts, just as he was formerly supposed to do in his church. Not everybody may construe a metaphor here, though. This holds even more strongly for the *La Strada* sequence discussed above: because Gelsomina actually watches the procession, and because there is no reason why there shouldn't be a poster with "Madonna Immacolata" on the wall, there is no *need* to construe a metaphor, as the presence of both phenomena is realistically motivated.

The point is that there is a continuum of cases ranging from situations where metaphorical construal is virtually inescapable to situations where this is a possibility which only part of the audience will pick up. In fact, the situation is even more complicated: sometimes audiences, or individual viewers, may—due to a different cultural context, time of access, or even a completely idiosyncratic way of watching a film—construe metaphors which the director of the film might say he or she did not intend. In my view, however, such liberties for metaphorical construal are among the privileges of art-lovers, and should be a cause for joy rather than worry.

6. Metaphor and Genre

As we have seen, metaphors "behave" to some extent differently in different discourse genres. Potentially, this also holds for different cinematic genres, but this is still largely unexplored territory. Let me offer a few speculative thoughts on this issue. Perhaps the distinction between metaphors with a diegetic and a non-diegetic source domain is the most important here, because the latter are much more obtrusive. It is to be noted that metaphors with such non-diegetic sources are by modern standards rather heavy-handed—whether their purpose is didactic or humorous.

Creative metaphors presumably can occur in *any* film genre, but the subtypes of the visual variety (hybrid, contextual, and simile) might be typical of some genres rather than others. Science fiction and fantasy films need little excuse to introduce hybrid creatures that invite metaphorical construal. The same holds for animation films. Because this film medium allows for smooth

transformations from one object or person into another, a metaphor of the hybrid kind is easily created. Here again, however, a transformation should only trigger metaphorical construal if there is at least one contextually pertinent mapping from source to target; if the sheer aesthetic pleasure of the transformation is its main rationale, we should not call this a metaphor; perhaps we should refer to the transformation in terms of an "(audio)visual pun" (as, for instance, in numerous Tati scenes). If Direct Cinema documentaries want to impose structure on their argumentation, they can probably only do so by editing. In Tseronis et al. (2014) it is argued that some shot transitions in Wiseman films suggest metaphorical construal. These would be of the simile type—and moreover they provide *diegetic* source domains. In *Knife in the Water* (Polanski, Poland 1962), there is a shot of the young man, with stretched-out arms sunbathing on a halo-like coiled rope (Figure 1.3). Are we to construe the metaphor YOUNG MAN IS CHRIST here?

Figure 1.3 The young man as Christ? (still from *Knife in the Water*).

Certain primary metaphors, too, are likely to occur in some genres rather than in others. Above, we already saw that the JOURNEY metaphor is at the core of the road-movie genre. THE GOOD IS LIGHT/UP and BAD IS DARK/DOWN metaphors appear to be particularly suitable for films in which the moral stature of protagonists is not only a major

concern but should also be clearly flagged. As a structuring principle, the metaphor therefore will prevail in mainstream action film rather than, say, in romantic comedies.

7. Metaphor versus Other Tropes

Even if metaphor should qualify as the king (or queen) of tropes, it would be a mistake to subsume all manifestations of the "figurative" or "non-literal" under the "metaphor" label. Other tropes (including at least metonymy, hyperbole, symbolism, irony, and antithesis), each with different functions and effects than metaphor, may be expressed in films. To complicate matters, some tropes may occur together. Preliminary observations should help pave the way for sustained research into each of the cinematic varieties of these (and perhaps other) tropes. For the medium of film, "metonymy" is a promising trope. In metonymy (sometimes referred to as "synecdoche") one "thing" *stands for* something else from the same domain—as opposed to metaphor, where the two things are from different domains. In language, "Downing Street 10" is a metonym for (decisions of) the British government, whose prime minister resides there, and "the hoboes" in "the hoboes are not in sync" is a metonym for the users of these instruments. Forceville (2009) offers suggestions for how "metonymy" is a trope that can be naturally integrated with, for instance, the notion of the close-up in film. Urios-Aparisi (2014) shows how metaphorical and metynomical patterns in feature films draw on repetitions (see also Urios-Aparisi 2010). Tseronis et al. (2014) hypothesize that "antithesis" may characterize many Wiseman documentaries. For other tropes, film scholars should find inspiration in work done on these tropes in language (see, e.g., Burgers et al. 2013).

8. Conclusion

Film scholarship will undoubtedly profit from studying metaphor. Application and further refinement of the concepts and terms charted in this chapter are likely to show metaphor to be a useful tool in the analysis of how cinema communicates meaning, and can further sharpen the analyst's awareness of the role played in filmic metaphors (but not just in metaphors) by different modalities. In addition, metaphor is potentially a useful instrument in discussions of genre.

Conversely, systematically investigating metaphor in film will also benefit metaphor theory. If our ability to conceptualize the abstract depends to a considerable extent on metaphorizing, its filmic varieties will help shed light on this central human competence, and show how conception, perception, and emotion are intertwined (e.g., Fahlenbrach 2010). By extension, researching conceptual metaphors inevitably leads researchers to examining the image schemata in which these conceptual metaphors are rooted. Image schemata are the embodied templates (such as UP-DOWN, LIGHT-DARK,

SOURCE-PATH-GOAL, CONTAINMENT) that combine with cultural information to yield knowledge structures (see Hampe 2005; Coëgnarts and Kravanja 2014). Via image schemata, film metaphor research can feed into film-oriented cognitive science (e.g., see Grodal 2009; Gallese and Guerra 2012; Shimamura 2013; Atkinson 2014).

Note

1. A note on terminology: In Forceville (1996), I used the labels "MP1" and "MP2" for which I later have chosen the more informative labels "contextual" and "hybrid" metaphor. Carroll's "non-compossible homospatial" metaphor (1996) is basically the same as my hybrid metaphor. For more discussion of the types with reference to film, see Forceville (2007).

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2 Audiovisual Metaphors as Embodied Narratives in Moving Images

Kathrin Fahlenbrach

It has been shown that popular films and other moving images specifically address their consumers in a way that allows them to experience rich experimental flows of sensations, concepts, and feelings, similar to those experienced outside the media (Grodal 1997, 2009; Plantinga 2009, Smith 2003). However, it would be too easy to restrict the embodied aesthetics of moving images to a purely reflexive and bodily dimension. Rather, they evoke complex mental associations and embodied experiences that include both physical reactions and cognitive interpretations, which are based on cultural meanings. In film and media studies it is still a challenge to explain and systematically analyze this simultaneity of somatic and cognitive reception and of biologically and culturally based meanings. As it is documented in this volume, cognitive metaphor research can relevantly contribute to this challenge.

In this paper an approach will be presented that aims at analyzing embodied gestalts of rich narrative meanings in movies and television series in terms of *audiovisual metaphors*. A method will be provided to identify metaphors (Fahlenbrach 2007, 2010) in an audiovisual composition both on a local and a global scale. By distinguishing audiovisual key metaphors and sub-metaphors, the global network of metaphors within an artwork will be considered. This will be exemplified in a case study of audiovisual metaphors in the television series *Twin Peaks*.

1. Audiovisual Metaphors: An Outline

Following Conceptual Metaphor Theory (CMT) (e.g., Lakoff and Johnson 1980; Kövecses 2002; Gallese and Lakoff 2005; Boroditzky and Ramscar 2002), conceptual metaphors are a cognitive mechanism that helps us to imagine abstract and complex concepts in terms of multisensory gestalts through our senses and our minds. More specifically, embodied image schemata (e.g., container or force) and gestalt-based concepts (e.g., building or storm) are activated in order to project them on a concept which is more difficult to grasp and is part of a different experiential domain (e.g.. 'society' or 'love'). As Kövecses states, "A conceptual metaphor consists of two conceptual domains, in which one domain is understood in terms of another.

A conceptual domain is any coherent organization of experience" (2002, 4). By projecting the meaningful gestalt structure (e.g., in-out) of an embodied source domain (e.g., 'building': container) onto the semantic structure of the target domain (e.g., society), a third metaphoric meaning is created (e.g., 'society is a house' -> 'entering a society').

In cognitive film theory, Grodal (1997, 2009) has argued that immersive qualities of movies and video games are strongly caused by the fact that these media initiate the holistic flow of perception, cognition, and emotion in consumers. As time-based media they confront us with a flow of changing visual, acoustic, linguistic, and movement-based information. At the same time a narrative framework guides the viewers' cognitive understanding. Given the dense network of meanings in moving images, I argue that addressing conceptual mappings in the minds of their consumers helps to intensify this experiential flow. As intermediary structures in one's mind (Danesi 1989; Boroditzky and Ramscar 2002), conceptual mappings blend sensorial, cognitive, and affective meanings into specific metaphorical concepts with a concrete sensory gestalt. As such they are addressed in moving images by pictures, sounds, and movements in order to trigger specific and rich conceptual meanings, related with an experiential flow of associations and feelings.

More specifically, movies, television shows, video games, or other moving images recurrently generate audiovisual metaphors in their motifs and in their audiovisual compositions (a) by manifesting conceptual metaphors already established in our minds and in (media-)culture; and (b) by creating original mappings in the metaphoric use of embodied source domains, which are elements of the very audiovisual composition and abstract or complex target domains in the genre-typical semantic framework of a piece. In both cases, *audiovisual metaphors* are understood here as artificially and intentionally created symbolic forms that are characteristic for a certain genre and its specific viewer strategies, using metaphorical mappings as an embodied mechanism to provide complex or abstract cultural and affective meanings a salient audiovisual gestalt.

As studies on metaphors in moving images have demonstrated (e.g., Whittock 1990; Carroll 1996; Forceville 2005, Forceville and Jeulink 2011, Fahlenbrach 2010, 2014; Coëgnarts and Kravanja 2012), a main task of metaphor analysis in these forms of media is to evidently identify source and target domains.[1] Actually it seems that the identification of metaphoric source domains is the easier part of analyzing metaphors in moving images: most evidently every picture, sound, and movement and the very audiovisual composition imply the manifestation of image schemata (e.g., up-down, path-schema, container, balance) and, through the depiction of specific motifs, the representation of gestalt-based concepts (e.g., buildings, machines, animals, etc.) which can act as potential source domains. The bigger challenge is to identify a salient target domain in the polysemantic structure of an audiovisual artwork and to evidently mark

its specific metaphoric relation to the image schemata and gestalt concepts inherent in the audiovisual composition.[2]

Identifying the target domains of audiovisual metaphors actually implies a rather canonical task of film and media analysis: diagnosing relevant topics, themes, and interests of representation in a moving image that are potential objects of a metaphoric performance in the filmmaking. As I have proposed in previous works (Fahlenbrach 2007, 2010, 2014b), the identification of target domains thus requires a considerable recognition of media- and genre-specific contexts and the communicative orientation of an audiovisual artifact.[3] Even if audiovisual metaphors are characterized within their local appearance in a shot or sequence by their addressing of mental, cognitive, and affective structures in viewers' minds, they are equally marked on a global scale of the whole piece by media- and genre-typical interests of representation. Furthermore the conceptual knowledge of the addressed public is influenced by current cultural discourses, including values, public opinions, and attitudes. Because metaphors in mainstream media often reproduce a cultural common sense, this has to be taken into account and helps in identifying 'what is the target of a metaphor'. The cultural and discursive impact on metaphoric representations is reinforced by the fact that conceptually based metaphors are used in different media discourses and in everyday communication. This concerns, for instance, cultural ideas of 'good vs. bad' or 'proper vs. foreign' that are regularly objects of metaphoric representations in media discourses.

More specifically the analysis of genre- and media-typical story schemata, topics, and motifs are salient structures of an artifact that help to identify potential target domains. As Bordwell (1985), Bordwell and Thompson (1990), and Carroll (1996) have shown, film narratives are highly structured by genre-typical conventions in storytelling. And many story schemata are based on metaphorical mappings since the *Odyssey* of Homer 'life is a journey', for instance, has been considered a metaphoric archetype in storytelling.[4] This also includes typical topics, such as the canonic depiction of victory of the 'good against the evil' in final sequences of mainstream movies, performing the 'victory of the good is light' (e.g., the hero facing a sunrise) or 'victory of the good is closure' (the reunion of the 'good' people, e.g., in family), or 'victory of the good is an open path' (e.g., the winning hero entering a way leading towards an open horizon).

These examples already demonstrate that salient and sometimes genre-typical motifs are used to symbolize a certain topic (e.g., fight between good and evil) in exposed sequences in a metaphorical way. Accordingly, such motifs help to identify specific target domains in a moving image. Generally, motifs can be considered as (a) typical situations that perform narrative meanings in a concrete dramatic constellation and (b) by what is being represented in vision and sound (Wulff 1999). The composition of

motifs, however, provides a more or less standardized form, based on specific codes of representation and their meanings, typical for a certain genre (Wulff 1999; Wendler and Engell 2003). Furthermore, leitmotifs generate quite original meanings within a single moving image (e.g., the whistling of the murderer in *M. Eine Stadt sucht einen Mörder* by F. Lang). Consequently, both stereotypical motifs of a genre and specific leitmotifs in a single film or television show imply salient cues for relevant narrative meanings that are potential targets of metaphorical performances. This is especially the case for spatial motifs, for example, spatial motifs in pictures (e.g., architectural motifs, doors, windows, or landscapes) and sound (e.g., recurrent sound atmospheres, single key-sounds of a place, or musical motifs). They combine relevant information about an action space and their narrative meanings. Accordingly, single spatial motifs are semantically related within an audiovisual artifact. Following Wulff (1999), spatial leitmotifs can be considered as a "supra segmental structure" that marks the spatial and narrative semantics on the global scale of a film, a series, or a video game. Being closely related to certain narrative topics (both via conventions and within a single moving image), key spatial leitmotifs are mostly framed by a complex network of associated places. Consequently, a network of spatial leitmotifs and submotifs is created that pervades throughout the whole spatial organization of a piece (cf. Fahlenbrach 2007, 2010).

If leitmotifs are understood as accentuated elements in the deictic structure of moving images, it can further be argued that they require an evident audiovisual gestalt in order to point directly to a specific narrative meaning (e.g., concerning a specific character). Hence, as significant symbolic forms, narrative leitmotifs are prominent objects of metaphoric conceptualizations. In other words, filmmakers and other creators of audiovisual narratives often make use of metaphoric mappings in order to give important motifs, and especially their leitmotifs, a significant symbolic and cross-modal gestalt that let viewers ultimately seize and experience relevant narrative meanings of a story already on an embodied level. Whereas general meanings of many motifs are, on the one hand, recognizable by conventions, metaphorical concepts help, on the other hand, to design more specific embodied gestalts and meanings of audiovisual motifs. This applies first of all to leitmotifs of key action spaces and the bodily appearance of protagonists in a story (Fahlenbrach 2010) that pervade its global structure. Accordingly, they create metaphoric networks that transfer key topics and meanings in an audiovisual narrative in consistent audiovisual gestalts and concepts. This also includes conceptualizing metaphorically opposed characters and spaces.

Within such a network, two narrative types of audiovisual metaphors can be discerned on a global scale: *audiovisual key metaphors* and *audiovisual sub-metaphors*. Key metaphors differ from sub-metaphors in three aspects: by their higher degree of structural richness of their source domains (see below), by their higher degree of redundancy, and by their more dominant

deictic status in the audiovisual narrative (Fahlenbrach 2010, 230). Both the structural richness and the potential deictic status are closely related to the different kinds of conceptual mappings, identified in CMT.

Following Kövecses (2002), different types of conceptual mappings and metaphors can be distinguished: (1) *structural* metaphors and (2) *orientational* and *ontological* metaphors. Structural metaphors use structurally rich concepts as source domains (e.g., 'society is a machine') provided with a distinct image schema and gestalt structure (e.g., container-schema: in-out; force-schema: strong-weak). Such source domains can be mapped both on concepts of complex systems as target, creating *system metaphors* (e.g., 'society is a machine') and on complex processes, resulting in *event structure metaphors* (e.g., 'life is a journey').

Audiovisual system metaphors are often created in mainstream media when designing recurrent action spaces and bodies of relevant protagonists. Dystopian science fiction films like *Metropolis*, for instance, often present a machine or a computer as a powerful protagonist, creating genre-typical system metaphors such as "a social system is a machine" (cf. Fahlenbrach 2014a). Furthermore, ontological emotion metaphors, such as 'love is closeness', are generated to provide the machines with a human and affective touch, making them even more threatening. In this case, machines also act as metaphoric agents (Bartsch 2010) that give a certain emotion the gestalt of a living machine. For instance HAL in *2001: A Space Odyssey* has been provided with a soft and tender voice and talks intimately to the astronauts.

In *audiovisual event structure metaphors*, processes and events are characterized by the use of movement patterns. Correspondingly the movements of the protagonists as characteristic elements of spatial experience are used as embodied source domains to audiovisually conceptualize their inner intentions, feelings, or higher moralities. This is, for example, the case in *Blade Runner*.[5] For evidence of a capitalist power dominating the citizens of a future capital, the metaphor 'intention is self-propelled motion' is attributed in the filmmaking to machines rather than to human (or human-like) beings when showing Deckard during his flights through town metaphorically as being passively moved *by* the machines.

Further mapping types are *orientational* and *ontological* metaphors that provide less conceptually rich source domains but offer concrete gestalts and image schemata for complex target domains. In orientational metaphors, basic and distinct mental schemata of spatial experience are mapped onto cognitive and emotional target domains ('up-down', 'in-out', 'center-periphery', etc.), for example, in metaphorical mappings such as 'more is up'-'less is down', 'up is good'-'down is bad'. *Ontological metaphors* more specifically provide their targets with an ontological status. This personification is especially relevant for the metaphoric representation of emotions (Kövecses 2003, e.g., 'emotion is a physical force'–> 'anger is hot fluid in a pressurized container' –> 'exploding of anger').

Given the schematic meanings and archetypical gestalt of ontological and orientational metaphors, many of them are inherent elements of every visual and audiovisual composition. The image schemata established in the visual and acoustic composition (e.g., lines as 'paths', container gestalts in motifs, or up-down compositions) intuitively act as source domains in order to conceptualize more complex and abstract meanings. This is the case, for instance, for the manifestation of the orientational mappings 'up is good' or 'up is power'-'down is bad' or 'down is weak' in the composition of filmic spaces.[6]

Obviously moving images build complex metaphorical networks, referring to all these types of *conceptual mappings*, integrating perceptive, cognitive, and affective meanings. As mentioned before, they thereby either refer to already existing conceptual metaphors or they generate new mappings by the use of vision, sound, and movement. Thus we are confronted in audiovisual media with metaphorical networks that are densely composed even in one single shot. The typology of different mapping types is therefore useful in order to discern on the local scale different types of audiovisual mappings in one shot or sequence; it further helps to distinguish the cognitive and the deictic role of these metaphors on the global scale and within the whole metaphoric network.

As a result *audiovisual key metaphors* can, on the one hand, be distinguished by their *structural mappings* and, on the other hand, with regard to their deictic status within the audiovisual network. In order to create relevant motifs and leitmotifs, designers of moving images often design main action places and the bodies of the protagonists by performing structural mappings between the embodied source domains manifest in images, sounds, and movements and complex concepts of specific systems or processes as target domains.[7]

Their deictic quality can be further explained by following Wuss (1999), who distinguished three cognitive dimensions of cinematic narratives: (a) elements of the *perceptual structure* that only tend to be recognized consciously by viewers when being repeated; (b) salient elements of the specific *conceptual structure* of a movie that represent its causal meanings (e.g., relevant events); and (c) even more exposed elements of the *stereotypical structure* that draw on the transmedia knowledge of viewers (e.g., genre schemata). Whereas key audiovisual metaphors are part of the *conceptual* or even *stereotypical* structure of a moving image, audiovisual sub-metaphors are rather part of its *perceptive* dimension that aims less to be recognized consciously by viewers. Thereby different types of sub-metaphors can be discerned. First, sub-metaphors that are based on structurally poor orientational or ontological mappings (e.g., up-down metaphors) are often the part of structurally rich metaphors in an audiovisual composition (e.g., 'capitalism is a building'). Second, there are also structurally rich sub-metaphors that only have a marginal deictic status in a narrative. This concerns, for instance, the depiction of places, characters, and objects of circumstantial narrative

relevance. But whereas such sub-metaphors are equally part of the narrative and aesthetic texture of a moving image, they are always conceptually related with the more exposed metaphors of key spaces and protagonists. Furthermore, because characters and places can also achieve an increasing relevance during the unfolding of a story, structurally rich sub-metaphors can get an increasing deictic salience and, arguing with Wuss, switch from the perceptual to the conceptual dimension of a piece.[8] The more frequently they appear and the more explicitly their deictic character is being marked, the more their audiovisual gestalt and narrative meaning is put into the attention of the viewers.

In the following case study it will be demonstrated how the analysis of the global metaphoric network can be combined with an analysis of the local appearance and the embodied gestalt of audiovisual metaphors.

2. Case Study: Audiovisual Metaphors and Metaphorical Maps in the Television Series *Twin Peaks*

In their popular and influential television series *Twin Peaks* (1990–1991), David Lynch and Mark Frost tell the story of a little town in the northern US with the fictional name of Twin Peaks where different mysterious crimes are taking place. A main part of the story focuses on the murder of the young schoolgirl Laura Palmer. The investigation of this murder is directed by an FBI agent, Special Agent Dale Cooper, who is supported by the local sheriff Harry S. Truman. Already in the pilot, film viewers are introduced to most of Twin Peaks' citizens, showing at first sight an ordinary community of people with different characters and of different social types.

Lynch and Frost added a mysterious dimension to this genre-typical story schema of crime fiction. An early narrative cue that there is more to this murder than just a human crime is given to us by Truman in the fourth episode of the first season (33:00–33:50):

> "Twin Peaks is different. A long way from the world. (...) That's exactly the way that we like it. But there's a back end to that, that's kind of different too. Maybe that's the price we pay for the good things. There's a sort of evil out there. Something very, very strange in these old woods. Call it what you want. A darkness. A presence. It takes many forms. But it's been out there as long as anyone can remember."

At this moment we are made aware that the stories told in this series transgress the genre-typical narratives that dominated TV crime fiction at the time. It not only tells how a social community is threatened by a criminal subject and how social order is reconstituted, but also it is insinuated that human crime is influenced by a supernatural force. Hence, on one hand, by adapting genre-typical story schemata of crime fiction the viewers are prepared to expect a story on a social community with its own rights, values,

and rules. On the other hand, a mysterious dimension is foreshadowed by single dialogues and strange actions and attitudes[9] that make viewers expect the reigning of rather supernatural evil rules—as we know it from other genres like fantasy or horror. However, not only does evil have a supernatural dimension here but also does the human society. This is made evident for viewers by characters that experience mysterious visions and dreams that actually have an impact on causal events in reality.

Both the regular social order of this community and the supernatural power ruling behavior and crimes at Twin Peaks have to be manifested not only in the actions and events but also in the audiovisual design of the setting. Evidently both 'society' as a complex to depict social order and the 'supernatural power' are relevant objects of metaphorical representation in the set design. As target domains 'society' and 'supernatural power' are indicated to viewers by the manifest genre-typical topics and by dialogues and actions such as those mentioned before. Furthermore, viewers encounter together with Cooper a community driven both by opaque social and supernatural rules. It is by foregrounding in the filmmaking the natural settings, especially the forest, that spatial infrastructures develop during the series a symbolic and metaphoric dimension.

As I will argue in the following, the topography and settings of Twin Peaks as they are shown to the viewers are based on two related key audiovisual metaphors throughout the whole series: (a) 'society is a natural place', and (b) 'a supernatural power is a natural place' –> 'a supernatural power is a forest'. Furthermore 'evil' is a third relevant target domain in the narrative. Being personalized first of all by the evil ghost Bob and his transcendental manifestations in other characters (e.g., Leland Palmer), a third key metaphor that will, however, be less influential here that is 'supernatural evil is a human being'.

To start with the first audiovisual key metaphor, spatial leitmotifs are presented from the first moment of the show by the trailer sequence. Typical for a series, it is always repeated as a starter to each episode. At first viewers cannot relate specific information to its shots; hence, it is rather an element of the perceptual structure of the narrative (Wuss 1999). With their growing knowledge of the series' fictional world, however, and by the repetition of the trailer sequence, viewers come to reframe it cognitively, and, as I would argue, metaphorically.[10] On the conceptual dimension of the narrative, viewers are invited to relate the trailer sequence's strong focus on the natural sites of Twin Peaks to its citizens and their community.

It presents us pictures in a row of a bird, a mill and its working saws, a big trunk on a platform, a street in a wood, and finally a waterfall, and a river. It shows neither any pictures of the people living at Twin Peaks nor their homes. It is only by the city sign positioned at the side of the street that we are informed that the place we are entering here is a town: "Welcome to Twin Peaks. Population 51,201". The contrast between the indicated population

and the complete absence of people in the pictures as well as the natural views of the place primes viewers in the trailer sequence for a place strongly ruled by nature. The woods as a specific characteristic of this place is also explicitly commented on by Agent Cooper the first time he passes the welcome shield of Twin Peaks: "I've never seen so many trees in my life" (in 1/1, 34:48).

The metaphoric concept of the depicted natural settings of Twin Peaks further evolves during the episodes' spatial representations on the global scale. Surrounded by nature, the single houses (e.g., the homes of Laura or Donna, the police station, or the diner) are either shown in isolated shots or in interior shots. Hence we never get the chance to develop a mental map of the actual urban topography of Twin Peaks, neither by long shots nor by following the protagonists with the camera along their way between different places.[11] Highlighting in the filmmaking of each episode the environmental involvement of the citizens by showing houses and their inhabitants isolated in a natural setting and by obscuring topographic orientation for the viewers, a key audiovisual metaphor in the series is 'society is a natural place'.[12] Regarding the crimes taking place at Twin Peaks and also the secret deviations from the social order of many of its citizens told during the episodes, 'society' is a strong target domain. The social order, however, seems to have been balanced like an ecological habitat before the murder of Laura.[13] Indicative of the metaphorical dimension of the depicted nature is when late in the second season businessman Ben Horne seeks to save the forest of Twin Peaks—not just for personal and ecological reasons but also in order to reconstitute and stabilize social order in the community. Correspondingly, the actions taking place at Twin Peaks are characterized on the level of a global spatial representation being strongly dominated by opaque and partly supernatural forces and rules.[14] By foregrounding an opaque and rural topography in the filmmaking, viewers are primed to experience and understand the invisible social order and the rules of Twin Peaks' commune in terms of a 'natural area'. It is by letting viewers experience the opaqueness of these rules in terms of blocked spatial orientation themselves that they can get an embodied idea of it.

In some spatial motifs, single orientational aspects of a topographic map are used as source domains to specify the audiovisual key metaphor 'society is a natural place'. Thereby the social hierarchies at Twin Peaks are metaphorically given a topographic gestalt. Spatial aspects like altitude differences and spatial distances are, for example, highlighted in the depiction of the Great Northern Hotel. Whereas it implies in its very name being located 'up in the north', the high altitude of its position is emphasized in a recurring sequence that shows the hotel directly below the huge waterfall—sometimes by daylight, sometimes by night. With the waterfall in the foreground, accompanied by the loud sound of falling water, we see the hotel perched atop of it. In these short sequences, the high altitude is strongly emphasized (Figure 2.1).

Figure 2.1 Great Northern Hotel: 'social power is up'-'social power is a natural force'.

The camera movement upwardly panning alongside the waterfall till it reaches the hotel features a classic cinematic convention of representing power, based on the orientational mapping: 'power is up'. The image composition and even the loud sound of water favor the impression of the hotel being the source of the waterfall and, hence, a strong natural force. This gestalt-based impression is being confirmed throughout the series when we learn that the boss of the hotel, Ben Horne, is one of the most powerful citizens in Twin Peaks, combining economic power as a businessman,[15] political and social power in the community, and criminal power. Furthermore, it is the place where Agent Cooper, the powerful representative of the external social order in the estate, stays during his visits. It is especially by this redundantly presented motif of the hotel atop the waterfall that we get a more concrete idea of the topography of Twin Peaks, hypothetically concluding that the town must be below the hotel in the valley. But the more we learn about the boss and his social network the more the metaphoric dimension of this shot is put into the fore with every repetition. As such it can be considered a sub-metaphor for the hierarchical social order of Twin Peaks: 'social power is up' (orientational metaphor)-'social power is a natural force' (system metaphor).

Closely related to the first one is the second key audiovisual metaphor: 'a supernatural power is a natural place' which is specified by dialogues and filmmaking as 'a supernatural power is a forest'. Significantly the forest surrounding Twin Peaks is called "Ghostwood". As cited before, Truman describes it as a dark" and "evil presence". Referring to well-known stereotypes in fairy tales and horror stories, Lynch and Frost use the metaphoric motif of a 'ghostwood' for giving the idea of a supernatural power reigning at Twin Peaks a spatial gestalt. Correspondingly the supernatural quality of the forest is being insinuated at the same time by providing it with traits of an intelligent organism or being, performing intentional actions. Hence another system metaphor is involved here: 'a supernatural power is an intelligent being'. Lynch and Frost manifest it in recurrent sequences that present the woods both as a 'real place' and as an 'imaginary place', experienced in dreams, memories, and visions. In both cases it is shown as an area where crimes are exercised, witnessed, imagined, or dreamed about.

One of the repeated motifs is the forest as a place where Donna and James met after Laura's death. In a first scene (in 1/1) we see them there at night burying Laura's necklace. At the end of the episode, Laura's mother sees their hiding place in a vision. Laying at home on her sofa she suddenly begins to cry in a shocked way as if she saw something menacing. In the following sequence a hand camera follows the point-of-view of a person in the woods by night going directly to the very stone under which Donna and James have buried the necklace. Then the invisible person takes it away. This vision marks the supernatural dimension of the forest and the people involved in its power. This idea is then confirmed in another episode (1/4, 40:35) when Donna and James get back to the hiding place and discover that indeed someone has taken the necklace away.

During this third depiction of the hiding place of the necklace in the woods, the metaphoric dimension of the forest as an 'intelligent being' is being generated more obviously in the filmmaking. We first see from a top-view perspective Donna and James on the ground discovering that the necklace is missing. Suddenly, they are startled by the call of a bird from above. After a short reaction shot on their faces, the camera quickly pans back from them and up to a branch, relating this top-view perspective to an owl looking at them from above. It is by foregrounding the top-view perspective at the couple and the quick movement of the camera that the owl is given the character of an intentionally observing being. Based on the orientational mapping 'power is up'-'weakness is down', the owl as well as subsequent birds in the series act as audiovisual sub-metaphors of a supernatural force in the woods. As animals living in the Ghostwood, they are not only inhabitants of the forest but also a 'supernatural power' (hence acting as metonymies of it). The filmmaking conceptualizes their gaze as 'knowing is seeing' providing them with intelligence and intentionality.[16]

In 1/6, for instance, a raven follows the police team around Truman and Cooper in the forest during an investigation. The scene starts with the only full shot of Twin Peaks, presented from the perspective of a raven flying high above the town. After subsequent shots offering distanced bird's-eye-view perspectives of Twin Peaks, the camera slowly approaches from above the police team walking through the woods, panning to their (human)

perspective. This is cross-cut by another single shot showing a raven landing on a branch. The walk of the police officers is then followed by several cries of a bird, indicating its permanent presence and, maybe, observance. In a subsequent scene Deputy Hawk [sic!], conducting them through the woods, even seems to follow the bird's cries. As their 'guide' the raven is again shown sitting on the branch and flying away as if indicating the right direction. When they arrive at a cabin in the woods, which they later discover is a relevant crime scene of Laura's murder, a close detail shot of the raven's right eye is presented, looking at them. Again this shot generates the event structure metaphor 'knowing is seeing'.

Figure 2.2 The birds: 'supernatural power is an intelligent being'.

The birds are already being foreshadowed in the pilot as being part of a 'supernatural power' when a giant tells Cooper in his dream, "The owls are not what they seem". However, it is only by their repetitive appearance and narrative framing that their deictic and metaphoric character is increasingly highlighted during the episodes. Being introduced as narrative elements of the perceptive structure, the birds are made more and more salient also in the conceptual structure of the stories as the sub-metaphor of 'a supernatural power is an intelligent being'.

During the global unfolding of the series' narrative, we also learn about the ambivalent traits of the people living at Twin Peaks. As mentioned

before, nearly all citizens have their secrets, involving defection and lies towards their spouses, partners, and friends, as well as minor and major criminal activities. One of the most ambivalent characters, whom viewers only get to know after her death, is Laura Palmer. Mental participation is constantly evoked in viewers by providing them in a fragmentary manner with enigmatic information not only about her murder but also about her personality. Whereas most of her friends and family describe her as a kind and morally impeccable girl, others report their memories of her as a "wild girl", a drug addict, and as being sexually involved with many men.

Significantly for the ambivalent traits of Twin Peaks' citizens, the 'evil' appears in the gestalt of human beings, such as Bob or Leland Palmer ('supernatural evil is a human being'). Such ambivalences between human and supernatural, good and evil reigning at Twin Peaks are symbolized more specifically later in the second season by another metaphorically conceptualized spatial motif: the lodges. We learn in 2/10 from Deputy Hawk about archaic legends of a white lodge and a black lodge. As extra-dimensional spaces they are said to be ruled by supernatural forces, which are at the same time closely related to human souls and morality. More specifically, evil human and supernatural forces inhabit the black lodge whereas love and good spirits inhabit the white lodge. Correspondingly, Lynch and Frost introduce late in the second season another specific spatial sub-metaphor of the 'supernatural power' in order to specify its 'evil' traits: 'a supernatural evil is a closed place in nature'.

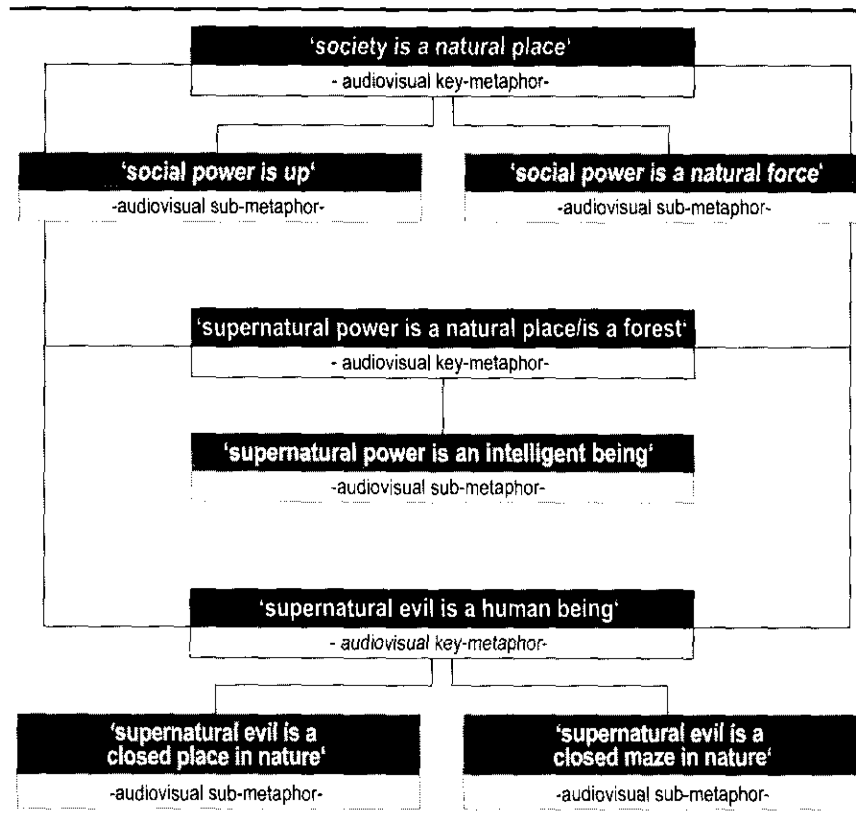
In the last episode of the series viewers witness the transformation of humans into monstrous beings at the black lodge. After the mad ex-agent and adversary of Cooper, Windom Earle, has kidnapped Cooper's girlfriend, Annie Blackburn, he brings her to the black lodge which has its gateway in the woods—a round dell in the ground, surrounded by small trees. Once Annie has entered the circle of these trees, she begins to enter a hypnotic state, losing control over her mind and body. A red curtain appears beside the dell through which Annie, willing-less, follows Earle. Their bodies and the curtain then disappear. Shortly thereafter, Cooper enters the curtain searching for Annie. This time we follow him inside the lodge. There we witness how Cooper, the guardian of civil order and right, searching for elucidation, not only loses spatio-temporal and existential orientation, being confronted with several undead doppelgangers of former citizens of Twin Peaks, but also begins transforming into a monstrous evil being himself. In order to let the viewer bodily and affectively experience the transformation from good to evil and from a human to a supernatural being as a transformation that can potentially happen to everyone, Lynch and Frost designed the lodge as a metaphoric space, conceptualizing the supernatural power on the basis of concrete spatial and motion-based experiences.

Initially the transgression from the natural to the supernatural universe is marked by the passing of the characters through the curtain. By highlighting

the container-schema in the visual composition of the curtain, the mapping 'confronting the supernatural is entering a passage' is created as an audiovisual event structure metaphor that evidently shows us the protagonist leaving the terrestrial place. The interior of the lodge is then presented as a paradoxical space where mundane rules are suspended. Cooper moves in it like in a maze because its different rooms all seem equal and often suddenly change their décor after he has entered them. This spatial disorientation is paralleled by the existential uncertainty, produced by the ghost-like appearances of the doppelgangers. By following Cooper's movements and depicting how they are increasingly guided by strange forces, the filmmaking establishes another audiovisual event structure metaphor: 'confronting the evil is losing control over movement'. Being captured in this place, having no way to exit, further generates the audiovisual system metaphor: 'supernatural evil is a closed place', and, more specifically, 'evil is a closed maze'. It is only by offering his soul to the evil ghost Bob that Cooper can leave it as a doppelganger himself.

As a result, the following metaphorical network is evolved around key spaces in the series:

Table 2.1 Network of Audiovisual Key Metaphors and Sub-Metaphors in *Twin Peaks*



3. Conclusion

As the analysis has shown, Lynch and Frost generated throughout the global structure of the series a complex network of spatial metaphors to let viewers experience cognitively, affectively, and bodily the ambivalent and mysterious dimension of the crimes happening at Twin Peaks in terms of concrete spatial gestalts in a rural environment. More specifically, the close interplay between human crimes and a transcendental, supernatural evil force is gradually made evident during the unfolding of the series by triangulating the key audiovisual metaphors 'society is a natural place', 'a supernatural power is a forest', and 'a supernatural evil is a human being' in the global creation of the settings. By showing the citizens of Twin Peaks as dwellers of a natural and isolated area, including a 'ghostwood', marks a general narrative concept of the series: the social order and the supernatural forces are interrelated by nature, which acts as a metaphoric gateway between these two areas. For the two complex and abstract domains 'society' and 'supernatural power', the rural nature and especially the forest offer significant source domains: the trees of the woods, its opaqueness, and the birds as its (intelligent) inhabitants and other natural forces like the waterfall. As has been demonstrated, all these sub-domains of nature provide many gestalt-based spatial concepts and image schemata for conceptualizing in vision, sound, and movement the intensity, the autonomous power, and dynamics both of the social and the supernatural orders reigning at Twin Peaks. As shared source domains they are being used in the filmmaking to generate a metaphorical network on the global scale around the key metaphors, including different specific sub-metaphors, which sometimes are only made salient during the unfolding of the series, changing from the perceptual to the conceptual semantic structure of the narrative (see Table 2.1). Significantly they specify the audiovisual key metaphors both by structurally rich system and event structure mappings (e.g., 'supernatural evil is a closed place in nature') and by simpler orientational mapping (e.g., 'social power is up').

To conclude, the narrative action spaces in a television series can be used by their creators to build a network of spatially based key metaphors and sub-metaphors. They enable viewers to generate an embodied understanding of complex and invisible narrative meanings. Whereas in movies the metaphoric dimension of spatial leitmotifs is often made explicit at its first presentation, often by more dense audiovisual compositions, a television series can utilize a longer time frame to generate the metaphoric meanings of recurrent motifs.

The deictic accentuation of a motif can happen through its repetition. A repeated motif can progressively generate a metaphoric meaning on a global scale. This can happen in aesthetically foreshadowing specific associations (e.g., via close shots) and in providing viewers with further information about a place. Most especially trailer sequences, which are constant elements of a series, often change their meanings for viewers because their reception is cognitively and affectively 'enriched' by the acquired

knowledge and experienced feelings of viewers during the previous episodes. Accordingly, as I have shown for *Twin Peaks*, also the metaphoric meaning of a trailer sequence might sometimes only been recognized when getting familiar with the topics and themes of the series. In other words, the target of a trailer sequence's metaphoric meaning often becomes evident during the episodes. It is through constant repetition and cognitive reframing that the metaphoric dimension might become obvious. However, the very composition of a trailer sequence surely has to provide image schemata and gestalt-based concepts that evidently act as metaphoric source domains in relation to the metaphoric targets progressively being recognized by viewers throughout a series.

As a result it seems that metaphor analysis in audiovisual media should not only concentrate on the local generation of audiovisual metaphors in single shots and sequences but also has to consider, especially in television series, the global metaphoric network. We can thereby recognize how moving images use globally generated mental models and maps of viewers as resources for audiovisual mappings for creating specific cognitive, affective, and bodily meanings.

Notes

1. A research overview on these positions is provided in this volume in the introduction and in the chapter by Forceville.
2. There are several scholars rather negating the possibility of a clear-cut evidence for metaphorical mappings. For example, Grodal argues in this volume that most gestalt-based concepts and image schemata act as 'qualia' whose basic meanings are reflexively seized by viewers already on the level of innate perception.
3. It goes without saying that a cognitive approach to metaphor analysis avoids an interpretation that is based on the subjective 'close reading' of a narrative in order to provide 'original' interpretations. Being focused on mainstream media, the salient and hence rather prototypical meanings stand in the focus of cognitive media analysis both established by conventions and by the aesthetic and narrative orientation at 'idealized models of reception' (Bordwell 1985) that allow commercial mainstream media to successfully address a broad public.
4. This has also been demonstrated by Forceville and Jeulink (2011) for animation films.
5. A detailed analysis is given in Fahlenbrach (2007, 2010).
6. Of course, there do exist genre-typical elaborations of orientational metaphors. Winter (2014) has demonstrated genre-specific performances of the 'down is evil' metaphor in horror movies.
7. This will be evidenced more precisely in the following case study.
8. Examples will be given in the case study.
9. An example is the early appearance (in 1/2) of the "Log Lady" who always carries a log in her arms and receives messages from it.
10. Fahlenbrach and Flückiger (2014) have discussed the affective priming of viewers for a series narrative by trailer sequences.

11. Obviously this lack of topographical information led many fans of the series to produce maps of Twin Peaks in order to get a better orientation. Cf. http://welcometotwinpeaks.com/locations/twin-peaks-maps/ (accessed: 20.2.15).
12. With Harold Smith who doesn't leave his house that is full of orchids or the "Log Lady", single members of the community are presented being enclosed with nature in their homes.
13. In 2/13 the criminal Renault insults Cooper having unsettled this balance as someone coming from outside who does not understand the rules.
14. Significantly Cooper develops rather esoteric forensic methods that are especially successful here in taking dreams and visions as the basis for his investigations.
15. He runs not only the hotel but also a drug store and a bagnio.
16. The metaphor 'knowing is seeing' is also discussed in Coëgnarts and Kravanja in this volume.

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3 Metaphor in Cinematic Simulation, or Why Wim Wenders's Angels Live in a Colorless World

Patrick Colm Hogan

Cognitive and affective processes of simulation appear to be fundamental to the production of fictional narratives. In *How Authors' Minds Make Stories* (Hogan 2013a), I sought to isolate the components and processes involved in such simulation, stressing character and genre. The following chapter expands that discussion in two main ways. First, it explores the role of metaphor or, more generally, cognitive and affective models in simulation. Second, it extends the account of simulation from verbal art to film. To develop and illustrate these points, the chapter analyzes Wim Wenders's *Der Himmel über Berlin*.

1. What Is Simulation?

One key area of research and theorization in cognitive science is "Theory of Mind." We do not directly experience the thoughts and feelings of other people. How, then, does it happen that we have such consistent and accurate knowledge about what they believe or feel? The answer in cognitive science is that we have "Theory of Mind" capabilities that enable this knowledge. Specifically, there are two sorts of Theory of Mind—inferential and simulative (Gazzaniga 2005, 173–178). Inferential Theory of Mind involves inductive and deductive reasoning processes that are familiar from other areas. In contrast, simulative Theory of Mind involves, not reasoning based on general principles, but the imagination of particulars.

There are two key features of simulation, as opposed to inference. First, simulation is quasi-perceptual, such that there is overlap in neural activation between perceiving and imagining (see Kosslyn 1994, 295, 301, and 325). Second, it has a motivational or emotional quality parallel to that of perception. If I simulate a disgusting object, I respond with some degree of disgust. This is, of course, just what we would expect from the quasi-perceptual character of simulation. If simulation and perception activate overlapping areas of sensory cortex, then we would anticipate simulation and perception having overlapping emotional consequences.

The simplest sort of simulation involves a single object or type of object. However, it seems likely that we more often simulate situations, events, intentions, attitudes, and, most importantly, the integration of all these in

particular causal sequences, which is to say, narratives. Our simulation of narratives encompasses our usual imagination of counterfactuals or hypotheticals. It also includes our imagination of fiction.

Simulations may be prompted and may unfold in different ways. In counterfactuals and hypotheticals, we begin with some initial situation and some set of agents provided by our own circumstances. For example, if I am applying for a fellowship, I have the requirements of the fellowship application and the recommenders I have asked to support me. I may then simulate how each of the recommenders would respond to possible claims in the fellowship proposal ("If I say q, then Jones might feel ..., but if I say p, then Smith might think ..."). In this case, the simulation responds to "exogenous" (external) conditions. On the other hand, the nature of counterfactual and hypothetical simulations is that they are not bound to actual events (e.g., I am free to vary the details of my proposal in simulation). Thus we might say that our most common sorts of simulations are both exogenous and also "free." In other words, they are prompted and periodically reoriented by external occurrences, but they are not bound to those occurrences at all points. Rather, our ordinary counterfactual and hypothetical simulations allow a significant degree of endogenous simulation, simulation that proceeds from internal events.

Of course, all forms of simulation necessarily involve some endogenous elements and principles. But there are degrees to which these elements and principles enter. In other words, there are degrees to which simulations are free or bound. In ongoing interactions that involve Theory of Mind, our simulations are in principle closely bound to the statements and actions of the person we are trying to understand. My simulation of Jones's attitudes as we are talking should be guided predominantly by Jones's words, expressions, gestures, posture, and other aspects of his behavior. We have a similar relation to most literary narratives by other people. For example, if Jones is telling me a story about Smith, then my simulation of the story is, as Melanie Green and John Donahue put it, "guided" (2009, 241). In contrast, when I create a fictional story, while there are necessarily some exogenous elements, the narrative is more fully endogenous. It may seem that this means there are few constraints on fictional, thus largely endogenous simulation. However, there are still differences in the degree to which our simulation is restricted. In this case, however, those differences are a matter of "internal" constraints established by the components of the simulation.

2. Components of Simulation (I): Agents, Situations, Goals, and Genres

Here, then, we need to isolate some of those components. Two primary components are persons and situations. Fundamentally, all simulations involve agents in some more or less specified set of conditions—for example, me, a set of possible fellowship recommenders, and the various conditions

surrounding fellowship grants. Of course, persons and situations are not enough to generate a story. We also need some sorts of motivations, thus goals, for the persons (in fiction, characters). This is obvious in the case of the fellowship; one would not simulate the situation of a fellowship application if it were not that one of the agents wished to receive a fellowship. In other cases, the goals may be vague and short-term. Moreover, the situations may be more diffuse. My imagination of what I might do when I have a free day in a new city is very different from my imagination of how I might best pursue a fellowship. Both imaginations have significant endogenous elements. But the former is much less restricted than the latter. Thus we may refer to a largely endogenous simulation as more free to the extent that it is more open to variation or whimsy and more bound to the extent that it is more constrained by goals and situations.

But character, situations, and goals are not all that go into the simulation of a fiction. Even well-defined situations and goals leave enormous room for variation. Moreover, even in real situations, our knowledge of characters and situations is incomplete, often very limited. Thus we need principles that help us to specify those components of the simulation. In addition, then, to the constituents of simulation that we have already noted—characters with goals located in situations—we need *structure-defining principles* for the operation or process of simulation.

In our mental life generally, we may distinguish two sorts of structure-defining principles. The first are categories—generalities or abstractions that subsume particulars. The second are exempla, instances, which is to say, particulars themselves. Earlier, in referring to the simplest form of simulation, I wrote that we may imagine an "object or type of object," because one might simulate one's favorite cup or a generic cup, one's father or a generic man, and so on. Similarly, in simulating my situation in applying for a fellowship, I may simulate particular colleagues or an ideal recommender. There is always some particularization in simulation. Even in imagining a generic cup, I particularize it in some degree. That particularization is itself presumably guided by memories of experiences of particular cups. More importantly, even in imagining the counterfactual or hypothetical behavior of a particular person, such as my father, I necessarily do not imagine him at a particular time, bound to the detail of an actual history. Rather, I simulate him "generically." I suspect that in each case there is a pull of simulation toward a distinctive average, which is to say a prototype (on prototypes as averages, see McLeod, Plunkett, and Rolls 1998, 63). The point is fairly clear in the case of a type of object. But even in the case of a particular, such as my father, I am probably simulating a trajectory of action for a distinctive average across some set of instances. In sum, it seems likely that, when simulating, we rely on particulars and categories—especially prototypes—to provide structure for otherwise indefinite objects or agents.

The same point holds at all the other levels of complexity. Indeed, structure-defining principles may become increasingly important as we proceed

to higher levels of simulation, where the indeterminacy appears to increase. At the level of narrative itself, the main structure-defining work seems to be done by genre, thus first of all by prototypical cases of narrative structure. I have argued in *The Mind and Its Stories* and *Affective Narratology* that these genres prominently include a limited number of cross-cultural prototypes based on character goals.

For example, one of the most prominent genres is romantic tragi-comedy, based on two main characters' goal of romantic union. This genre prototypically concerns two lovers faced with some social restriction on their union. That social restriction often involves exile of one and confinement of the other. There may be some sort of surreptitious communication between the isolated lovers, sometimes involving a sort of supernatural attunement. Often some helper aids the lovers in finally uniting, although their separation may involve implications of death, thus the danger of permanent separation. It seems clear that this prototype guides what sorts of characters, goals, and situations are selected for development, as well as certain aspects of that development. At the same time, character, goal, and situation themselves serve to particularize the genre structure (as I argue in Hogan 2013a). Of course, some narratives are more prototypical than others. But in each case there is interaction between or integration of the genre structure, on the one hand, and the character, goal, and situation elements, on the other hand.

We might turn briefly to *Der Himmel über Berlin* in this context. To a great extent, this is a plotless film, thus a film with a great degree of apparent freedom in endogenous simulation. Indeed, for many viewers, the greatness of the film lies not in its story, but in its moments of interior, character thought. These moments suggest personalities, situations, even goals—sometimes prototypical narrative structures—but they are fragmentary, mere hints that are undeveloped. Moreover, there are partial developments for stories of Cassiel, Homer, and Peter Falk that are not elaborated but remain truncated.

If the film confined itself to the sorts of free, fragmentary simulations just mentioned, it might be a brilliant impressionist work, but it would probably present us with little reason for beginning at a particular point and ending or resolving at another. Within the film, the story of Damiel and Marion—a romantic narrative—provides that structure. It is worth sketching how the romantic prototype is instantiated in this case. Leaving aside some prefatory material, the love story begins with the introduction of the lovers. This pairing is already peculiar due to the nature of the characters. Damiel is an angel who is able to observe Marion and to hear her thoughts. But Marion only encounters Damiel in a dream, and that much after Damiel has fallen in love with her. The development of their love is enabled by Damiel's observations and overhearings, but also by one premise of the film—that mortals may not generally see angels, but they feel some emotion, a sort of comfort, communicated by their touch. This is an obvious case of supernatural attunement.

In standard love stories, the lovers are often from socially opposed or non-intermarrying groups. They are separated by some social authority, although they may communicate indirectly. The ontological difference between angels and humans is this film's version of the non-intermarrying groups; the implicit and invisible God is the social authority preventing their union. As already noted, there is often a suggestion that one of the lovers has died, thus permanently ending the possibility of their reunion. The characters and situations specified in the film determine that this cannot occur as such, at least on the side of Damiel. Given the operation of the human mind, however, we might expect that a key point in the plot would concern similar events. As it happens, the very eternity of the angels prevents them from uniting with mortals. Thus the entry of the angel into mortality—the intimation of Damiel's eventual death—is, in this case, precisely what allows for the union of the lovers. We also have two rather reduced helper characters as both Cassiel and Peter Falk give some degree of support to Damiel in his decision to leave angelhood in order to be united with his beloved.

Thus the main narrative sequence of the film seems well accounted for by the integration of character and situation with genre. Of course, that integration does not explain everything. For example, it necessarily does not treat the free, endogenous simulation of internal thoughts for the various ancillary characters. In connection with this, one is left wondering about the possible relation between the main sequence and those narratively peripheral simulations—particularly because they may be emotionally central to the viewer's experience of the film. Put differently, the film may not seem to have rigorous, narrative unity. However, it does feel much more coherent than one might expect. Even from to scene or shot to shot there are continuities that do not seem well explained by the principles developed thus far. Still more significantly, it is clear that there are many elements of the romantic narrative itself that do not derive in any straightforward way from character and situation or from the genre prototype. For example, when Damiel becomes human, he passes out, as if dead, and Cassiel has to carry him through the Berlin Wall to put him in West Berlin. The death-like collapse is comprehensible from the narrative prototype. However, this hardly explains why the director chose to present the scene in this way. The clear suggestion of the sequence is that Damiel is somehow comparable to a defector from East Germany, someone who has risked death by crossing the forbidden boundary.

3. Components of Simulation (II): Scripts, Associations, and Models

To understand how this works, we need to consider some further aspects of structure definition in endogenous simulation. Genre seems to serve pretty well for generating large trajectories of narrative action. However, it serves less well in generating particular events or the clusters of events we may refer to as *episodes*. In influential work, David Herman (1997) has drawn on Schank and Abelson's idea of *scripts* (see Schank 2011) to treat narrative

organization. Although Herman does not discuss the topic in terms of simulation, it is clear that the idea fits well. For example, when Joyce simulates Leopold Bloom going to a restaurant, he relies on a restaurant script. Thus part of the specification of events and episodes is a function of scripts, standard scenarios for common occurrences. But this clearly does not get us very far. It serves to explain those aspects of fictional narrative that we are likely to feel are least in need of explanation. Indeed, we tend to look for explanations of precisely those events or episodes that are unexpected, thus not instances of scripts. People do not ordinarily walk through the Berlin Wall; angels do not (one imagines) ordinarily pass out as if dead.

More exactly, the general or trajectory-defining components we have considered thus far—genres and scripts—are routine. They define standardized or ordinary sequences. For example, in terms of daily events, time proceeds inexorably from morning to lunchtime. This leads Joyce to simulate lunch. In terms of the lunch script, this leads him to simulate a waiter taking food orders. This, in turn, interacts with character. Because it has already been established that Bloom favors organ meats, Joyce simulates him ordering liver. Thus simulation is constrained by both the general components (the structure-defining principles) and the particularizing components (the characters, goals, and situations that enter into the structures). But simulation also surpasses those constraints. Again, walking through the Berlin Wall seems to go beyond the simulation components discussed thus far.

Here, then, we need to expand our sense of the psychological processes that define simulation. Associations in simulation are not confined to elements that are directly part of the component at issue (e.g., genre or character). Indeed, a range of episodic and emotional memories as well as various semantic associations are likely to be fully or partially activated by any given component, making those memories and associations available to the author for his or her simulation. For example, the geography of Berlin is part of the situation that contributes to the simulation of *Der Himmel über Berlin*. The associations of this geography are not confined to task-specific components of the simulated situation. In 1987, any German thinking about Berlin would almost certainly find the Wall highly salient. It would be likely to intrude into simulations even when that was in no way required by the route of a character's actions. Moreover, residents of Berlin were undoubtedly keenly aware of the influx of defectors from the East, as well as the deaths of potential defectors trying to cross over the Wall. Indeed, there are literary and cinematic motifs connected with the division of the city—particularly the (fictional and non-fictional) separation of families, including lovers. Thus an author or filmmaker simulating a love story in Berlin in 1987 is almost certain to have the physical fact of the Wall and the emotional consequences of the Wall very much in mind.

This goes some way toward explaining at least certain details in the development of the film. It suggests why Wenders would be particularly aware of some physical aspects of Berlin and why a link between Damiel's

"fall" and defection might strike him. However, it does not tell us why he chose to make use of those associations and why they seem to make at least some sort of sense in the film as a whole. In cognitive terms, the associations suggest why someone simulating the narrative might produce *possible* connections. But those connections are always open to modulation and nothing yet tells us why they have not simply been excluded as irrelevant, along with many other salient but apparently irrelevant associations.

In endogenous narrative simulation, we might conjecture that there are two broad principles that might operate to guide an author's or director's selection of possible features of a simulation and his or her subsequent modulation of those features. First, he or she is more likely to include features that form a pattern in the course of the film. Put simply, the introduction of a given element (such as the Berlin Wall) at a particular point is more likely to the extent that it or related features (e.g., the idea of defecting) appears elsewhere in the work. This is an associative principle; the selection of one element from an association set enhances the activation, thus likely use, of other elements from that set. Second, he or she is more likely to include such features and their encompassing associations to the extent that they contribute to satisfying the aims of the film. These aims are typically thematic and emotional. This is a functional principle. The two are clearly mutually reinforcing. Thus in considering a simulative point such as the fall of Damiel and his crossing the Wall, we need to address three questions: (1) To what extent does the link with defection relate to a broader pattern in the film as a whole? (2) To what extent does this feature or the encompassing pattern contribute to the thematic purposes of the film? (3) To what extent does this feature or the encompassing pattern appropriately enhance or modulate the emotional impact of the film?

But there is a further complication here. I have been connecting Damiel's fall with defection from East Berlin. But, of course, Damiel is not a defector. He did not live in East Germany. He does not die through being shot by the East Germans manning the watchtowers and guard posts. He does literally cross the boundary. But the rest of the connection is not literal or direct. It is, rather, figurative. Indeed, it is this figurative quality that makes the event something that needs explaining. We would not need an explanation for crossing the Wall if this were a film about a man living in East Germany and in love with a woman from West Germany.

This case suggests that one of the most significant structure-defining principles for simulation—in addition to genres and scripts—is metaphors or, more broadly, cognitive models (see Johnson-Laird 2011).[1] To understand this point, we must first distinguish several aspects of cognitive architecture. There are broad functional systems (e.g., different sorts of memory), processes that characterize such systems (e.g., retrieval or reconstruction of memories), and "contents" on which the processes operate (e.g., particular memories or fragments of memories). Depending on the systems involved, the processes may be perceptual, conceptual, emotional, or behavioral. (This

list is not necessarily complete.) In response to incoming information, such processes involve several types of task. These include *encoding* that information (i.e., selecting from it and organizing the selections), *interpolating* information (i.e., filling in elements that are not given initially), and *expanding* the encoded and interpolated information into past and future causal trajectories. These processes bear on all sorts of incoming information—including, for example, written drafts of fictional simulations in a story or screenplay. Sometimes these processes result directly from the structure of the functional system (as when a particular visual neuron is selectively sensitive to a certain edge orientation). At other times, processing is a matter of drawing on one content to perceive, understand, react to, or act on another. Such comparative processing may be inductive ("literal" or "within category") or non-inductive ("figural" or "across categories"). *Modeling* is the broadest term for non-inductive comparative processing. *Metaphor* involves specifically conceptual modeling. Conceptual modeling may be further subdivided into lexical and non-lexical. In connection with this, metaphor may be divided into conceptual metaphor, which bears on conceptual modeling generally, and linguistic metaphor, which bears more narrowly on the lexically based processing of models.[2]

We may return now to the simulation of fictional narratives. The preceding analysis suggests that, locally—at the level of events and episodes—models, including metaphors, may be the primary structuring principles for simulations that we feel require explanation. (Inductive processes involving, for example, genre structures are likely to be more straightforward, less apparently anomalous.) Such models interact with genres, scripts, and other components in the usual ways. Indeed, it is likely that there will be a range of cognitive models, drawn from the same domain or different domains, models that themselves interact in complex ways. This is particularly clear in a work with such a "rich metaphoric texture" (Kolker and Beicken 1993, 148) as *Der Himmel über Berlin*. Such interaction produces the episode where Damiel becomes human, seems to die, and is transported through the Wall. Here his entry into the human condition is perceptually modeled in part on death (from the romantic genre), with death itself conceptually modeled in part on changing physical locations (in the conceptual metaphor, DEATH IS DEPARTURE), and both are integrated with a (conceptual, perceptual, and emotional) model of defection.[3]

4. Cinematic Simulation

This leads us to the issues of pattern and purpose. However, before going on to these, we need to say something about the nature of film and simulation. In previous work on simulation, I addressed only literature. Literary fiction is largely a matter of endogenous simulation by a single author. Literary simulation differs from personal fantasy in being directed at a readership. Thus the author must continually engage in Theory of Mind simulation regarding possible recipients. That to some extent qualifies and redirects his or her simulations. However, he or she remains the source of the productive simulations guiding the verbalization of the work. In contrast, in a film, there are many simulators. Even in a film written, directed, and produced by a single individual, there is at least some degree to which the actors and actresses simulate the characters and their interactions in their own way. The director may be able to shape the effect of these simulations through selection and editing. Indeed, there are cases where the director may be credited with almost the entire simulation of the work. But there are also cases where the simulation is quite diffuse. This seems to have been the case with *Der Himmel über Berlin*. Judging from the interviews included on the DVD, the film was shot without a script. The main structural ideas came from Wenders. But most of the texts for interior thoughts came from Peter Handke, with some of these and at least some speech being improvised by the actors and actresses (see also Barry 1990).

Thus films in general, and this film in particular, include far more exogenous simulation than does literature. The director, the actors, the writer, the director of photography, the composer, and so on, are simulating aspects of the story based in part on and prompted in part by the simulations of the others. It is up to the director to select and organize the outputs of these simulations into something that fulfills the emotional and thematic purposes of the work. However, the various components were generated for sometimes quite different purposes. As a result, the patterns and functions of components in film may be more diverse and in some cases more recalcitrant than in literature.

It is important to note this point because the operation of defection in this film is not entirely clear. Most fundamentally, it is not clear just what is the source and what is the target in this model. In understanding metaphor, we first isolate the object we wish to understand. That is the target. We then consider the model we are using to understand the target; that is the source. For example, in "Juliet is the sun," the target is Juliet and the source is the sun. One difficulty with the model of defection in *Der Himmel über Berlin* is that it is very difficult to tell just what the cognitive purport of the connection might be. Is the film commenting on East Berlin and the defectors from East Germany by connecting them with Damiel? Some critics take it for granted that the film is treating East and West Berlin as its topic or at least part of its topic. For example, Hake categorizes it as one of the "films about the German division" (2008, 210). But it is also possible that the film is simply drawing on the model of defection to give added resonance to Damiel's fall. Part of the reason for this problem may be that different contributors to the film simulated the relation differently.

5. Defection and Its Metaphors in *Der Himmel über Berlin*: Patterns and Purposes

We will return to these thematic and emotive functions of the defection model. But first we should take up the question of patterning. The first appearance of this general model occurs in the film's title, which refers

simultaneously to "the sky over Berlin" and "the heaven above Berlin." This implicitly contrasts the divided city with the unwalled sky.[4]

Perhaps the most elaborate and thematically significant appearance of the general domain occurs when a man is thinking how each individual is separated from the others by "the border," as if they were different nations. Indeed, there is a militarized "strip of no-man's land" between people—a direct reference to the Wall. In this case, individuals are like the different sections of Berlin: isolated or atomized—a view that fits the alienation of so many characters in the film. This nation-like walling-off is contrasted with an interpersonal fluidity that is associated with childhood. Rather than affirming boundaries, children question them. In an early verse spoken by Damiel, "When the child was a child," he or she asked, "Why am I me and not you?" This personal identity is directly linked with geography, for the child asks next "Why am I here and not there?" Each suggests the possibility of shifting locations and identities, the non-necessary nature of such divisions, at least in the child's mind.

Of course, the sharpest breach in the walls of atomized individuals and national states occurs with the angels. As to individuals, angels are capable of listening in on everyone's thoughts. There are no walls that keep angels out of one's mind. As to nations, they travel freely back and forth between the two Berlins. They pass through the Wall established by the state as readily as they enter into people's feelings. Thus the models of angels and children operate to orient simulation of whatever is opposed to both social and personal isolation. Moreover, the two models are related. Unlike adults, children can see the angels. In addition, the film uses the model of childhood to guide the simulation of Damiel just after he has become human. His enthusiasm, his naivety, his thirst for knowledge, and his silliness are all childlike.

The childhood model is part of the domain of age, which clearly interacts with the domain of national division. Interestingly, the most aged character in the film, Homer, is himself very childlike—most obviously in his fascination with toys. More significantly, he is referred to as bearing the "Kindschaft" of humanity, their relation as children to parents. Moreover, this domain is related to a still more encompassing domain of time, which bears on the film's sense of the "presence of the past," the ways in which the past lingers in the present, just as childhood lingers in old age.[5] This too is bound up with the East/West division, because the latter is the primary way in which the past—the Nazi period, the war, and the allied occupation—is concretely manifest in the present. Psychologically, the past is present in memories, portrayed as newsreel footage in the course of the film—and even, at least superficially, in such contrived simulations as the Nazi period film-within-the-film. Physically, the most important presence of the past is in the Wall itself and in the still-devastated Potsdamer Platz, divided between the two Berlins. Indeed, the city is in effect defined by the Wall. As Marion explains, it is impossible to get lost in the city—"You always end up at the Wall."

In the context of East Germany, the obvious model for the daily activity of the angels is espionage. The Stasi or State Security of German Democratic Republic was notorious for its extensive surveillance networks, its ability to in effect deprive citizens or visitors of privacy. They listened to or received reports about the most intimate moments of individuals' personal lives. The angels' ability to hear people's thoughts in their homes—for example, Damiel's ability to hear Marion's thoughts while she is undressing in her trailer—is in effect an absolute version of the Stasi's ability to place small microphones in private rooms and to read people's mail.[6] The point is also in keeping with the costumes of the angels. Damiel and Cassiel do not wear flowing robes and only occasionally appear with wings. Rather, they wear black greatcoats, making them the sort of people one would immediately identify as secret service operatives at a political event. (See the black overcoat disguise photo from the Stasi archives in Arnott 2011.)

This link with the state security apparatus suggests thematic points, including points that bear, perhaps surprisingly, on the visual style of the film. Specifically, the most striking visual feature of the film is the division into monochrome and color photography. Because monochrome is confined to the angels and color to the human world, it seems clear that this is in some way based on the models for these realms. If we take seriously the East Germany model, there are two obvious ways of understanding this stylistic opposition. As with many partially lexical metaphors, both derive from verbal idioms, and through their emphasis on perception both bring out the embodied quality of many models. The first obvious way of understanding this stylistic feature is that the life of angels is "colorless" ("farblos" in German), thus without the full richness of life. The drab quality of existence in Eastern Bloc countries was (and remains) commonplace. In keeping with this, a rather obvious extension of the metaphor (in the sense of Lakoff and Turner 1989) would be to present life in the West as colorful.

The second obvious meaning relates to a separate idiom, in this case that the angels "see everything in black and white" ("schwartz-weiß" in German). This suggests a polarizing and one-sided—commonly moralistic—view. The difficulty with this interpretation is that, in the storyworld of the film, the angels are in fact quite non-judgmental. They do not "see the world in black and white," but empathize with a range of individuals. This suggests that the "colorless" interpretation is more apt. In short, the visual style of the film is part of the working out of a model drawing on the East-West division of Germany as a source domain. In effect, East Germany is mapped onto Heaven and West Germany is mapped onto Earth or the mortal world. Thus the passage from Heaven to Earth is assimilated to the passage from East to West Berlin. But it is difficult to reconcile this with the usage considered above. In that account, Heaven was associated with interaction—passing through walls, whether those around states or those around individual people. In contrast, Earth was linked with the establishment of political and personal isolation. It hardly seems plausible that these two mappings work

together, such that East Germany, the state that constructed the Berlin Wall, somehow represents the crossing of boundaries.[7]

Here, the thematic difficulty arises again. One possibility for reconciling these tensions is to see the film as suggesting something about the Communist project, rather than "actually existing socialism." There has certainly been a strain in West German thought that sees the goals of East German Communism as laudable, setting aside the means used to achieve those ends, or justified by a false appeal to those ends.[8] Moreover, many East German films thoughtfully explored that socialist project, some treating its practical problems, and *Der Himmel über Berlin* is a film as immersed in cinema as in history.[9] In principle, Communism does work against divisions and "walls" through its celebration of collectivism and its internationalism. Indeed, there is a perhaps a hint of this solidarity in the way the former angel, Peter Falk, greets his fellow angels as "Compagnero," only a slight deviation from the more standard Communist form of address, "Comrade."

Moreover, the film does make some reference to issues of poverty and homelessness. In connection with this, Cassiel makes clear that Damiel's optimism about his new life is naïve. In response to Damiel's predictions about his life on Earth in West Berlin, he comments, "But nothing of that will be true." The point is consistent with Conlon's observations that "Commentators have consistently interpreted the 'colored vision' of humanity to be a sign of its superior value, but I believe the viewer actually has the opposite experience. The cinematography of Henri Alekan produces a black-and-white vision aesthetically superior to that of the film's color sequences" (Conlon 2003). There may be a sort of vibrancy in the color (a fullness of experience, as Smuts, 2005, has it), and thus a sense of life, but the black-and-white vision has its own beauty. Moreover, there is a motif in some literature about the two Germanys that this film could be understood as taking up. Specifically, as Hutchinson explains, "Defectors are consistently surprised by various aspects of the West which they find objectionable" (1997, 34). Damiel clearly has the same "naïve hopes" (34) as these characters. Still if there is some thematic concern about a socialist project, it is far from clearly developed in the film itself—particularly as the "colorless" nature of angelic life and the suggestions of defection seem to concern "actually existing socialism," not a Marxist ideal.[10]

This lack of clarity regarding the thematic import of the divided Germany model affects the emotional impact of the model as well. Again, it is not even entirely clear whether the film is suggesting that the characterization of the angels should affect the audience's thought about and emotional response to the situation of a divided Germany, thus leading to a worldly, political point. It is equally possible that the film is simply drawing on the emotions associated with a divided Germany to enhance the viewer's response to the events in the film. For example, the general sympathy West Germans had for East German defectors—particularly defectors seeking reunion with family members—would undoubtedly intensify their compassion for Damiel's decision.

Again, here, as elsewhere, there may be differences among different contributors to the film—and even differences within the main simulator, Wenders himself (on inconsistency in individual simulation, see chapter three of Hogan 2013b). Moreover, there are certainly differences in the different target audiences of the film. Most obviously, Wenders, recently returned from the United States, almost certainly had his eye on the American market, where the issue of a divided Germany would be far less salient—indeed of generally little interest thematically and of little relevance emotionally. This is suggested by the very different resonance of the English title of the film, *Wings of Desire*, which entirely sets aside the political resonances of the German title. Indeed, part of the reason that the model seems inadequately developed may be that Wenders was appealing to two audiences and this particular model was relevant to only one of those audiences.

On the other hand, perhaps the main function of the model is simply that it contributes to the, so to speak, scaffolding for the film. The emotional impact of the film comes from glimpses into the often tortured inner lives of individual, isolated people and, to a lesser degree, from the love story. Through its recurrence in different forms throughout the film, the model of the divided Germany gives the viewer a greater sense of the film's unity, perhaps enabling the fragmentary bits of individual experience to have greater emotional impact. In this sense, the broad use of the model may simply serve to reinforce the theme of human isolation in modern society. It may be a mistake to try to work out the mapping relations too precisely. The film might simply urge us to think about isolation and community in both individual and national terms, drawing on the model of divided Germany as best fits our own simulations as viewers.

6. Conclusion

Simulation is the quasi-perceptual, cognitive process of delineating particulars beyond what is given in experience. In literary and cinematic fiction, the most important form of simulation concerns particular causal sequences, which is to say, narratives. One simulates narratives through an integration of *particularizing elements* with *structure-defining processes*. The particularizing elements crucially include characters, goals, and situations. The structure-defining processes prominently include narrative genre for the broad trajectory of the story line, as well as scripts for more local developments. One of the most important structure-defining processes is the use of models, including metaphors.

Models are cognitive contents that serve to encode, complete, and causally expand information for some target. Models may involve affective, behavioral, perceptual, or conceptual processes and may operate at the level of instances or structures (such as prototypes). When models involve conceptual processes, we may refer to them as metaphors.

We may distinguish broadly between simulations that are primarily *endogenous* (guided by internal interests and phenomena) and simulations that are primarily *exogenous* (guided by external interests and phenomena). In literature, simulation is predominantly endogenous. In film, however, there is a strong exogenous component due to collaboration. For example, the director does not entirely control the simulation of a character given by an actor.

A key model in *Der Himmel über Berlin* is a divided Germany. It recurs throughout the film in different forms, producing an extensive and detailed pattern that extends from story elements to aspects of style. However, it is difficult to say just what its function—thus, thematic import and emotional purpose—may be. These problems may result from inconsistent simulation or from a division in the implied audience. Alternatively, the difficulty may result from assuming that the model operates through specifiable mapping relations between the source and the target. The model may perhaps be understood more loosely as associatively germane to the film, without the filmmakers constraining the precise way in which it is relevant.

Notes

1. I stress theories of modeling because I accept only certain aspects of the Lakoffian view of metaphor (see Hogan 2011b and works cited therein). Advocates of Lakoff's approach often indicate that all theories other than Lakoff's treat metaphor as mere ornamentation. Modeling theory and various alternative accounts of metaphor indicate that this is not the case.
2. For a concise and illuminating account of conceptual and linguistic metaphor, partially compatible with the present account, see Littlemore (2011).
3. In most cinematic cases, perceptual, conceptual, affective, and other forms of processing are mixed. Therefore, I will not distinguish them explicitly in what follows, although the distinctions are theoretically important.
4. After writing this, I learned that Wenders had made the point explicitly in his initial project statement (see Graf 2002, 113).
5. The presence of the past has been stressed by critics. See Rogowski (1992), Cook (1997), and Vojkovic (1999).
6. On Stasi surveillance, see Macrakis (2008). Like the angels in Wenders's film, Stasi operatives were active in both East and West Berlin. See Latsch and Ludwig (2011) on observation practices.
7. Some critics see reunification as in effect prefigured by the film (see Caldwell and Rea 1991, 53). Graf suggests the possibility of seeing Damiel as "East" and Marion as "West" (2002, 114). But it is difficult to reconcile these ideas with the nature of the lovers' union, which again seems modeled on defection rather than reunification.
8. For debates on the nature of East German society, see the introduction to Bruce (2010). On aspects of the egalitarian project that were realized in the German Democratic Republic (GDR), see Bruce (2010, 147). Bruce explains that the former East Germans he interviewed "tended to support the idea of the GDR, if not its implementation in practice" (148).

9. There are also literary links. See Helmetag (1990) and Martinec (2009).
10. Caltvedt (1992) indicates that the film is more anthropological than political. But one still needs to understand the metaphorical mapping to infer an anthropological point.

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4 Stormy Weather

An Intercultural Approach to the Water Metaphor in Cinema

Eduardo Urios-Aparisi

1. Introduction

In this chapter I study the meaning underlying the presence of water and water phenomena in film. I focus on a series of films chosen mostly because of the motif of water and intend to shed light on the worldview underlying these films and their use of this motif. The choice of films is also driven by a desire to present an intercultural and comparative approach between films produced within the Hollywood system and East Asian cinema. Among other films, I focus on Kurosawa's *Drunken Angel* (1948, *Yoidore Tenshi*) and *Seven Samurai* (1954, *Shichinin no Samurai*), Stone's *Stormy Weather* (1942) and Kelly's and Donen's *Singing in the Rain* (1952), the Korean films *Poetry* (2010) by Chang-dong and Bong Joon-ho's *The Host* (2006, *Goemul*), and the independent film Zeitlin's (2012) *Beasts of the Southern Wild*. Water is defined by human experiences of this substance, by strong cultural traditions and how human/nature relations are conceived. I argue that metaphorical and metonymical processes are organized in narrative systems called metaphor scenarios and those metaphor scenarios play an important role in the film at all levels.

Metaphor in cinema is a complex phenomenon. Cinema is a dynamic art driven by a narrative imperative and determined by generic rules. As a result, the underlying meanings associated with water are persistent through time, even when new concerns about the environment could be affecting the way they are portrayed in film. The choice of films is also driven by the need of an intercultural and comparative approach.

Recent studies have attempted to situate it within underlying narrative structures such as metaphor scenarios (cf. Eggertsson and Forceville 2009; Urios-Aparisi 2010), the felt experience that triggers the emergence of metaphorical meanings (Kappelhoff and Müller 2011), underlying image schemas structures (Forceville 2006, 2011; Forceville and Jeulink 2011) or primary metaphors (Ortiz 2011) and simulation theory (Fahlenbrach 2008). So as to understand this phenomenon, I situate water in cinema within a cognitive linguistics framework (Lakoff and Johnson 1980, 1999), a neoformalist approach to the study of the cinematic discourse (Thompson 1988; Bordwell 2008), and an intercultural comparison. Meaning making in cinema needs to take a dynamic view. Through the study of water understood

in its widest sense, we can identify ideological stances regarding nature and ecological views of the world, and how those views are based on particular ideologies and cultures.

The common assumptions about water are its presence in the human body and in the environment and its essential role in creating and maintaining human life. Its presence, its absence, excess, or defect is always noticeable, but two functions are also particularly prominent as a life-giving substance that can clean and also can destroy. In cinema it is a common element of the mise-en-scène and it is most frequently identified with the weather phenomena such as rain or snow (see McKim 2013).

A careful analysis of the mise-en-scène shows how throughout the same film the presence of different instantiations of water provides additional meanings to the contents of these films. Following the approach taken in other articles (see Urios-Aparisi 2010), I relate the instances of water and water-related phenomenon to metonymies and metaphors organized in a narrative structure called metaphor scenarios. For Lakoff (1987, 285), a scenario is an ontology with the structure of a SOURCE-PATH-GOAL schema; that is to say, it has a starting state, a sequence of events, and a final state (see other applications in Lakoff and Kövecses 1987 and Kövecses 2000). Musolff (2004, 2006) develops this concept within the folk cultural models shared by the members of a discourse community and suggests that it has a narrative structure. In his words, a scenario is "a set of assumptions made by competent members of a discourse community about 'typical' aspects of a source situation" (Musolff 2006, 28). Scenarios are collective experiences which are used to build coherent representations about the target domain. Also, they integrate the normative assumptions about the intentions, mental states, and emotions of the participants in the scenario and the possibilities for these scenarios to be acceptable (Musolff 2006, 35). Those scenarios contribute to identify what Barthes calls mythologies, underlying stories that determine our interpretation of the images and their ideology (Barthes 2012 [1967]). In the case of water, it is central to view how ideological stances define the representation of the relationship between human beings and nature (see Lakoff 2010; Willoquet-Maricondi 2010; Minster 2010).

McKim's book analyzes the concept of weather as a central component of cinematic discourse and also as metaphor for cinema overall. She identifies different roles of rain in a series of films according to camera work, narrative elements, characters, and the way rain falls on the setting in contrast with the movement of the people or other elements of the mise-en-scène (see McKim 2013, 132–133). But McKim also acknowledges that her study would improve if she had taken into account intercultural elements (McKim 2013, 128–132).

From a technical point of view, rain is not easy to show on the screen. Back lighting or shooting it from the side at an angle are some cinematographic resources to showing rain (McKim 2013, 94), and it is probably the reason

why rain scenes can often happen at night. As I show next, representation of downpours or drenching storms are, to great extent, motivated by how the WATER scenario functions according the Daoist and Judeo-Christian worldview.

2. Daoist and Judeo-Christian Worldviews of Water and Nature

The texts of Chuang Tzu *The Inner Chapters* and Lao Tzu *Tao Te Ching* use water as a root metaphor. Water fully maps its features on the central concept of Dao, understood as the "path" or "the way." Water's etymology in Chinese "shiu" ("mizu" in Japanese) is water in movement such as the one associated to the word "flood" in English (see Allan 1997, 33–34). Allan argues that this meaning marks a big difference to the conceptualization of water in English and, as flood, water is part of what I call a WATER scenario. Water fills the ditches of the fields, plants grow, and life continues; therefore LIFE IS WATER. Water is also a destructive force when it floods, destroys the ditches, and ruins the harvest. Water is at the same time soft and accommodating and hard and able to overcome any obstacle (see Lu 2012 about Dao and De as Water).

Daoist philosophers also apply water's behavior to social behavior. Rivers and sources bring real sustenance to the plants while downpours or rain only provides provisional feeding as the water dries fairly quickly. Consequently, noble actions need the continuous feeding of sources or rivers in order to be sustained. Water's natural path is downwards and in this downward movement it carries detritus to the lower parts. High and low are two locations that have metaphorical mappings. They can be associated with sexual and gender roles: female is in the low position whereas male is in the high position; low locations are humid and are associated with lower social status. Nonetheless, this metaphor is not necessarily related to weakness. Although humid regions below are more inhospitable, the water that settles in a level position becomes clear and reflective, eliminating the detritus that sets at the bottom, and becomes the level or the standard, a feature of the law (Allan 1997, 49–50).

According to the *Scripture on Great Peace: The Taiping Jing* (Hendrischcke 2007, Lai 2001), the Great Harmony is achieved by keeping the *qi*, the force or warm air resulting from the "harmonious communication" between yin qi, feminine and dark (the Earth) and the yang qi, masculine and bright (the Heaven) (Lai 2001, 102). The harmony between the Heaven *qi*, the Earth *qi*, and the Central Harmony *qi* can be disrupted by some kind of human offense against those forces. This results in all kinds of calamities that can be suffered by several generations.

In the Judeo-Christian tradition, water is a substance with a similar dichotomy of growth, origin of life, and destruction. But the biblical flood comes as a punishment and supposes the destruction of civilization and the beginning of a new world. Water is part of the cultural model of the

GREAT CHAIN OF BEING (Lakoff and Turner 1989, 172). It shares with all the inanimate beings the association to irrationality and non-human behavior. Thus, metaphors such as personification and reification can be explained by this hierarchical view of the world as the great chain of being, and any being situated at a particular point of the chain takes on the features of the ones below or above (Lakoff and Turner 1989). In both cultures water is part of two different scenarios that mediate the human/nature ecological relationship.

3. Water in Japanese Films

Water in the films of Japanese director Akira Kurosawa is well known especially in the form of rain in the films *Drunken Angel* (1948) and *Seven Samurai* (1954), although it is also important in *Stray Dogs* (1949), *Rashomon* (1950), and *The Idiot* (1951). *Drunken Angel* (1948) is a yakuza film and the first collaboration between Toshiro Mifune and Akira Kurosawa. Criticized because of its unrealistic representation of the slums in Tokyo (see Yoshimoto 2000, 138–139), the polluted sump situated in the middle of the slum houses and other instances of water have clear metaphorical meanings.

The metaphorical meaning of sump is overtly expressed through images and cinematographic techniques. Three characters, Dr. Sanada ("the drunken angel" Takashi Shimura), Matsunaga (Toshiro Mifune), and Okada's (Reisaburo Yamamoto), the yakuza boss in prison at the beginning of the film, are closely related to it. Dr. Sanada lives next to it, but he is always shown walking and moving around it. Matsunaga is shown reflected on it (48:48), contemplating the sump (1:08:00) when he meets Dr. Sanada who also tells him: "your lungs are like the swamp there." His image dissolves onto the sump (1:08:44) and is superimposed on a doll floating face down. Finally, Okada's first appearance is next to the mysterious guitar player talking about how much the sump stinks, but most importantly, once he has already asserted his power after returning from prison Okada's playing the guitar at home is superimposed onto the lake.

The main features of the sump are its stativity, its dirtiness, and bad smell. It is connected to typhus and it stands as a CAUSE FOR EFFECT metonymy: SUMP FOR BAD HEALTH. This metonymy is extended in two metaphors at different levels of abstraction: YAKUZA IS POLLUTED SUMP and SOCIAL ILLNESS IS PHYSICAL ILLNESS. The sump blends both bad health and yakuza's immorality represented by Matsunaga and Okada. The sump is endowed with all the features of these characters. Kurosawa expands the simple mapping of the sump with the corruptors of the society and, by extension, to the personification of Japanese society and its moral illness.

In contrast, rain and ocean are shown to be mobile and dynamic. Matsunaga's decision to stop leading a healthy life in order to overcome tuberculosis seems to be accompanied with a storm and he is received with positive comments on the part of Dr. Sanada about his state of health

while noticing that, despite the rain, Matsunaga is not carrying an umbrella (30:15). A few moments before, we had seen another storm while the doctor meets his young patient Takahama (Eitarō Shindō) and checks the improvements in her struggle with tuberculosis (27:07).

The appearance of moving water accompanies changes in the characters' actions. The rain scene accompanies positive developments. First, it is good news that the young woman is getting better and, second, it is the beginning of the change of attitude of Matsunaga who starts the botched process of recovery. It is not coincidental that he meets with his boss and final killer Okada while standing in front of the sump after having made his first attempts to change his lifestyle. The physical immobility of the lake is a feature that can be mapped onto the social immobility of the yakuza. The yakuza's code of conduct that requires complete obedience to the head or the boss is what really kills Matsunaga and, by extension, the society.

The happy ending of this film shows a totally cured Takahama meeting Dr. Sanada. While walking with her, the doctor praises the power of rationalism and decides to invite her for a sweet. Both characters get lost in the crowds of The Happy Market. In the final image, the crowd is shot from a high angle and it is shown as a single group moving along the street. This ending concludes the final redemption of Dr. Sanada and of the Japanese society as a whole. Dr. Sanada is a hero of his own past represented by the young Matsunaga. The difference is that he has made the right choice: working for his community and earning praise for his expertise in tuberculosis. His alcoholism is part of this three-dimensional portrayal of this anti-hero. At the same time, it completes the representation of the liquid motif of the film: alcohol, sump, ocean, rain. In this structure, alcohol and sump are opposites to ocean and rain maintaining the same structure of pernicious and beneficial kinds of liquids.

In *Seven Samurai* (1954) water is in the moats, the river, and the waterwheel, but I especially focus on the presence of water in the final fighting scene. The rain starts in the previous sequence. Katsushirō Okamoto (Isao Kimura), one of the samurai, and Shino (Keiko Tsushima), the daughter of the humble peasant Manzō (Kamatari Fujiwar), finally had a sexual relationship and were caught by Shino's father. When Manzō is convinced to stop beating her up, it starts to rain. At the beginning the audience can hear the noise and see the big fire put down. The following day the final battle between the bandits and the villagers and their samurai defenders starts and the rain is particularly strong.

According to Prince (1999, 218), "the battle is a vortex of swirling rain and mud, slashing steel, thrashing, anonymous bodies, and screaming, dying men. The ultimate fusion of social identity emerges as an expression of hellish chaos" but a close look at the battle shows that it is organized and orderly. The samurai and the villagers work as a team, and Kambei Shimada (Takashi Shimura) and other samurai distribute the forces of the villagers and samurai like an army towards the weaker areas of the village. The camera focuses on the horses' legs and hooves as they run on the mud making a muddy river.

Kikuchiyo, who approaches them by foot while they are on horseback, kills six out of thirteen bandits. His bravery is at its highest when, having been wounded by the chief bandit with a rifle, he recovers and kills him with his sword in an uneven fight. Kambei calls his name among the heavy downpour after we see a long shot of his body lying in what looks like a river of water. In the next shot he is in fact on a wooden structure that forms a bridge and the remaining samurai look up to him. The camera work shows him both as in the middle of the stream and above the rest. His deeds and this camera work depict a hero's death. Kikuchiyo is endowed with the features of water as described beforehand in the Daoist worldview. In fact, his sacrifice leads to victory and to harmony returning to the order of community of peasants and the nobility of the samurai. One of the last images shows Shino, the disgraced young woman, working in the flooded rice field together with her fellow peasants and closing the cycle of the water as nurturing plants.

4. Rain in the Hero Scenario

Stone's *Stormy Weather* (1943) and Kelly's and Donen's *Singing in the Rain* (1952) are mainstream musicals, although *Stormy Weather* (1943) differentiates itself with an all-black cast. Andrew Stone created it around two stars in the musical world at the time: Lena Horne and Bill Robinson. *Singing in the Rain* was directed and created by Stanley Donen and Gene Kelly. A close analysis shows that both music scenes identify rain with emotional experiences such as sorrow, sadness, or despair.

In *Stormy Weather* (1943) Selina Rogers (Lena Horne) sings "Stormy Weather" on stage, and through a window she looks out at a rainy and windy street in Chicago. Outside, the storm is raging with a group of young people waiting at a bus stop. The camera focuses on the street scene as we hear thunder. Selina sings in the street scene rejecting the advances of some of the dancers around her. Similarly, after more thunder, the camera returns to the stage where a dance group performs an elaborate dance number. Finally, the camera returns to the street where Selina looks up to the sky in a hopeful way as if the storm is easing up.

The famous rain scene in *Singing in the Rain* (1952) starts with a different premise. Don Lockwood (Gene Kelley) is in love with Kathy (Debbie Reynolds) and his love is finally reciprocated. The dialogue preempts the arrival of the rain:

KATHY: "The California dew is a little heavier than usual tonight".
DON: "Really? From where I stand the sun is shining all over the place".

When she leaves, Don starts dancing and singing "Singing in the Rain". Despite appearances to the contrary, rain in both songs has the same meaning. In *Stormy Weather* (1943), it accompanies the feeling of sadness or nostalgia while the end of the scene seems to suggest the end of the storm and the bad situation. In *Singing in the Rain* (1952), it emphasizes the character's feeling of happiness, singing despite the fact that rain is pouring down. The contrast rain/sunshine expressed in the dialogue summarizes the essential dichotomy.

The prototypical rain scene happens immediately afterwards or while the character is suffering a major setback or dramatic event. It prototypically involves the rain with several possible elements in the mise-en-scène or the location:

- Street or road (normally not identifiable to keep the sense of loss and disorientation)
- Loneliness or rejection from friends
- Other figures passing by avoiding the character
- Tears
- Visible raindrops
- Walking in a disoriented manner
- End of the rain as a parallel to the end of conflict

All or some of those elements are found in connection with rain and feelings of despair, sadness, or depression. In Hollywood cinema this scenario could be called HERO scenario. The prototypical narrative determines that the character must be generally both emotionally and economically down and outside society at the beginning and the character should be able to overcome those conflicts. The presence of water in the form of rain coincides with the common spatial metaphor BAD IS DOWN. Falling rain represents this feeling of verticality that contrasts with the upward sense of happiness or good. The eagle-view shot of Don Lockwood in *Singing in the Rain*, looking up while the rain falls on him, and the low-angle shot of Selina Rogers in *Stormy Weather*, as if defying the rain and looking for a break in the clouds, represent the opposite metaphor and positive emotions such as confidence, happiness, and resolution: GOOD IS UP.

5. Recent Films

In Kurosawa's cinema, water is part of the philosophical and political view of the world of Daoism. Some of Kurosawa's fight scenes in the rain must have influenced scenes of martial arts fight (e.g., Wong Kar-wai's 2013 *The Grandmaster*). The presence of water, snow, or other weather phenomenon in martial arts seems to relate to one of the toughest challenges that faces the hero. But *Poetry* (2010) by South Korean director Lee Chang-dong narrates the drama of Mija (Yoon Jeong-hee), a woman in her sixties who is in charge of her daughter's teenage son. This character is similar to the common person hero of *Drunken Angel* (1948).

The first image in *Poetry* (2010) is the river. This slow sequence includes two images that will be meaningful later on: the bridge with a mountain in

the backdrop and the children playing in the riverbank. One of the children stops playing and sees the body of a young woman approaching him. First, it is an over-the-shoulder shot; then in a point-of-view shot the camera zooms in on her body floating face down while the title of the film appears next to the head and hair.

The film integrates two stories: first, Mija is just diagnosed with Alzheimer's disease and is beginning to be impacted and starts to take a poetry class; second, Mija's learns that her grandson Wook (Lee David) has been part of the group of young men who assaulted the young woman found floating in the river and she reacts to the woman's suicide. The parents of the group of teenage assailants try to blackmail the victim's mother. Mija is asked to go to visit the mother to try to convince her to keep quiet. On her way Mija reaches the bridge we saw at the beginning of the film from where the young girl probably committed suicide (1:22:00). In 1:24:00 Mija is walking along the riverbank and first we hear the noise of the rain and wind. Then she sits down on a rock as if going to write. She opens her notebook and a cut-away shot shows the drops of rain on the lined paper. In a mid-shot, she is still sitting on the rock getting extremely wet by the sudden downpour. The films cuts to an inside shot from the bus she is taking back to the city. Then the camera is inside a shop and Mija still appears very wet. The rain scene is the turning point in the film. During the film, Mija appears showering herself, washing the man she is taking care of and, before the final scene, she is teaching her grandson to clean himself. Therefore, rain does not seem to be associated with cleanliness, but with the power of water as defined from Daoist perspective. The rain leads the transformation of the character into a hero. She brings herself to have sex with the man she is caring for in order to extract the money to pay off the young woman's mother. After that, discouraged by the grandson's apparent lack of remorse, she also decides to inform the police.

In the films looked at so far, water is related to the central role of the community. For this reason, solutions need to include the community to restore the harmony broken mostly by an act of individual selfishness or other criminal act. Despite the conflictive nature of the situation for the characters like Mija, Matsunaga, and Kikochiyo, the act of redemption comes out of a difficult decision generally made while it is raining.

A similar ideological framework can be found in films that belong to other genres and have an underlying ecological sub-text. The eco-disaster Korean film *The Host* (2006) directed by Bong Joon-ho is set around the river Han in Seoul and the sewer system. It narrates the power of an amphibious monster born after the unsafe disposal in the river of some chemical used at a US base in Korea. Three scenes happen under a heavy downpour. First, a businessman first spots the monster just before committing suicide (05:00). In 50:00, the monster captures Se-jin (Lee Jae-eung) and Se-joo (Lee Dong-ho) under a very heavy downpour. The monster drops the two bodies in its lair. In the final downpour scene Park Gang-Du (Song Kang-ho) and

his family decide to attack the monster. They shoot at him from their shelter. They think they have hurt it and try to finish it up. The monster turns around and kills Park Gang-Du's father, Hee-bong (Byun Hee-bong). Park Gang-Du, devastated by his loss, does not leave and is apprehended by the police. The father is the first hero in this film.

The rain stops for the remainder of the film, but it has yielded the first clear confrontation with the monster and made Park Gang-Du determined to kill the animal. The second hero is Park Gang-Du's daughter, Hyun-seo (Go Ah-sung), who manages to elude the monster for a long time and finally saves Se-joo by protecting him in the mouth of the monster. Similar to what happened in *Seven Samurai*, the final defeat is a group effort next to the river even though the protagonist of the film Park Gang-Du delivers the final blow. Victory is achieved as a result of the collaboration of all the members and the sacrifice of some of them for the common good.

The metaphor WATER AS FORCE OF NATURE plays an important role in the representations of apocalyptic or post-apocalyptic films in recent times like Kevin Reynolds's *Waterworld* (1995). This Hollywood representation of the post-apocalyptic world takes the premise of the loss of the land to water due to the melting of the polar ice caps. True to Hollywood style, it is an optimistic view of the world and of the capacity of human beings to adapt, following a Darwinian concept of adaptive evolution. As a world with an excess of water, the main protagonist is searching for a dry land. The oceans are desert-like waterways. This experience of the ocean as an uninhabitable and inhuman space is the premise of lost at sea films such as Ang Lee's *Life of Pi* (2012) and J. C. Chandor's *All Is Lost* (2013). The ocean especially in *Waterworld* is a version of the lawless land of *Mad Max* (1979) (see Arroyo's review 1995), but it is the sea without the physical landmarks of the dystopia of the Australian director George Miller.

Water in the preceding films shows a diversity of meanings, but from the GREAT CHAIN OF BEING scenario, the personification of water takes the negative features of irrationality, lack of control, and evil. At the same time, the HERO scenario dominates the control and transformation of nature to suit human beings' needs and power. In *Beasts of the Southern Wild* (2012), a young five-year-old girl, Hushpuppy (Quvenzhané Wallis), struggles to survive and make sense of the abandonment of her mother and the on-again and off-again presence of her father, Wink (Dwight Henry).

Hushpuppy lives in the Isle de Charles Doucet, known to its residents as the "Bathtub". Poor fishermen live out of the plentiful waters of the Louisiana bayou. But they are also aware of the dangers of the levees that supposedly protect the area. The teacher Miss Bathsheba (Gina Montana) explains to her students how the Aurochs, ruthless prehistoric creatures, are going to be released as the Earth's ice caps melt. These creatures become the nightmarish menace of the ecological disaster after Hushpuppy is able to survive the hurricane together with her father. The salty water kills most of the animals in the lake and obliges them to bomb the levee. In her dreams

Hushpuppy starts to see the Aurochs. The Aurochs become the fear of the ecological disaster but the ecological topic is subordinated to two prototypical myth of the Western culture: the noble savage and journey in search of one's identity. The idealized community has features of the noble savage, a mixture of the strength of innocence, spontaneity, and primitiveness. In her journey in search of her own identity Hushpuppy sails away together with other girls to find her mother. She was told her mother lived in a cruise ship. The trip is disappointing, but her newfound strength is undeterred.

Water is transformed from source of life to source of death to space for freedom once the levee is opened. The poor fishermen can re-establish their life once the order has been restored. The transformation recalls to some extent the biblical flood. Although the flood is caused by the hurricane, the subsequent events in the "bathtub" are due to human agency. In this context, the film establishes a clear cause of the environmental disaster. Nonetheless, the increasing importance of Hushpuppy over the community reflects the influence of the two metaphor scenarios mentioned above on the narrative development. Through the HERO scenario, Hushpuppy is able to assert herself and be empowered. Through the CHAIN OF BEING scenario, she is able to control her fears embodied in the imaginary figures of the Aurochs. As mentioned above, these animals also represent the forces that threaten the fragile ecosystem. The film starts by conceptualizing water as a life-giving and life-taking force. The film uses this dichotomy as a way to create dramatic tension but this tension is resolved by the determination and imagination of Hushpuppy.

6. Conclusions

As with other elements of the mise-en-scène, water integrates metonymical processes associated with the location and the scenario to the functions of water in daily life. It also embodies meanings of the filmmaker's socio-cultural background. Identifying those factors is of particular importance in cinema where ideology can be undetected and, at the same time, can have an important role in debating public views and framing the debate on crucial topics such as global warming and the environment.

In short, water can be an element of the following strata or parts of a film text: the mise-en-scène; the storyline (either as a reference or an event that affects the action); the socio-cultural framework of the film; and the cinematic genre as an intertextual reference. A series of metaphors emerges around this element as source domain. In the films I have analyzed here, the central metaphors are WATER AS FLUID ENTITY and WATER AS LIFE GIVING and WATER AS LIFE TAKING. It could be argued that the central opposition is FLUIDITY/NON-FLUIDITY as it is its movement or lack thereof that is connected to feeding, drinking, or taking life when in excess.

All the films analyzed in this paper also share the spatial metaphor of GOOD IS UP and BAD IS DOWN. Nonetheless, a close analysis of the presence

of water shows subtle but important differences between the films produced in the United States and those produced in Japan and Korea.

In the Hollywood tradition water can be situated in two different scenarios: the HERO scenario and the GREAT CHAIN OF BEING scenario. The prototypical scene includes the individual facing a situation of crisis, the personal attitude of the individual reacting to that situation, and reaching a final solution. This prototypical narrative follows the SOURCE-PATH-GOAL image schema. Overcoming those conflicts is part of the dramatic story. Rain falling down can increase this dramatic value either in a negative or a positive way. Confronting the bad situation establishes the individual's heroic credentials. Water compounds the HERO scenario with a dramatic experience stressing the emotional state of the character and the general feeling of despair or defeat against natural forces which are difficult to predict and control.

In the films produced in the United States, the destructive power of water also includes positive outcomes within the HERO scenario, as destruction and irrational violence represented by the hurricane or the storm can bring about redemption, ultimate sacrifice, or cleansing. The ability to survive a disaster involves the ability to control and transform nature by the superior ability of the human beings' intellectual might.

In the Japanese and Korean films, the central feature of water is mobility and, as I have shown, a downpour brings about a change in the main character's attitude. Being drenched by the rain compels the character to make heroic decisions. This WATER scenario integrates negative and positive features: flood, nurturing plants and life, moral behavior, heroism, and at the same time pollution, death, and immoral behavior. Both positive and negative stories are blended in characters such as Dr. Sanada or Matsunaga in *Drunken Angel* (1945) and Kikukycho in *Seven Samurai* (1954). Their HERO scenario is slightly different with respect to water. The downpours are not mapped onto the irrational forces the hero has to overcome but are part of the force that causes the hero to act. Coincidentally the heroes in these films are just regular people (even Kikukycho in *Seven Samurai* was a samurai but of peasant background), and their actions are victorious as long as they integrate the community to accomplish them. This HERO scenario differs in the role of water, rain, and other natural phenomena. The hero's motivation also must be guided by the sense of community with the success due to the communal effort. The ending must restore the harmony between the opposites.

The GREAT CHAIN OF BEING distributes the world within a hierarchical structure towards a single end with a clear-cut distinction between opposites. The WATER metaphor scenario of the Daoist tradition has important roots in the agricultural world where water feeds the plants to help them grow. In this worldview the main goal is to achieve the union or harmony between opposites. The Dao is the process through which harmony can be achieved and water is the substance that represents this process. In both

Drunken Angel and *Seven Samurai*, the community is the final result of this process of harmonization. Similar solutions to conflict are found in *Poetry* and *The Host*. The WATER scenario is a cosmology that defines a relationship that is conceived as confrontational and only able to be resolved by the imposition of a single viewpoint.

The two cinemas analyzed in this paper show different ways to engage with the natural world. In the individualist and human-centered world of the Western cinema, nature is mostly seen as a person who can confront and oppose the human beings. In the Daoist tradition being in contact with nature and cultivating the body by exercising in the outdoors (cf. Cooper 2012, 114–5) are central to the human/nature relation. This relationship is situated at the most basic level: the continuity between the human body and nature and the continuity found in the traditional architecture in which "one enters nature fully engaging an experience of mutual interpenetration" (Shaner 1989, 166). The continuous flux of identity and the importance of community are part of an ecocentric view of the world. Definition of self and identity is based on our surrounding community including human and non-human beings. According to Patterson and Miller (2001), "cooperative adaptation" is the key concept in opposition to the competitive domination.

As I have shown, cinematic fictions represent and dramatize prototypical stories framed within narratives. Those stories help to verbalize and narrativize the spectator's own experience. Metaphor emerges throughout a film at several levels or strata. First, at the level of the multimodal cinematic text, items in the mise-en-scène can be the source domains whereas the target remains in these cases elusive. Water can be mapped to different targets. This mapping motivates character actions and story development and it is undetected and implicit. Its presence can be signaled by words (see *Singing in the Rain* 1952) or by sounds (see *Poetry* 2010). The technical difficulties associated with the presence of rain on the screen are important especially if we think of the type of drenching downpour without thunder or lightning that these films share.

The type of rain found in these East Asian films translates the "flood" element of the concept of WATER in Chinese and Japanese. The downpour reproduces its overwhelming drenching experience of the Dao and causes the characters to make difficult decisions in terrible circumstances. In order to avoid the technical difficulties in presenting rain on screen, different techniques are used. For instance, the consequences of the rain are shown as it puts the fire out. The rain wets the actor's body or a piece of paper (*Poetry* 2010), and, although I have not analyzed this film, in Kurosawa's *Rashomon* (1950) they decided to dye the water with black ink so it could be visible.

Some metaphors are creative as they modify the traditional view of water full of detritus. The sump in *Drunken Angel* (1952) is a polisemantic entity. It is the real cause for illness among the children; it is the source domain for the yakuza members who, in turn, are the cause of the social illness as a whole. So at a more abstract level the metaphor SOCIAL ILLNESS IS PHYSICAL ILLNESS is represented visually by YAKUZA IS SUMP.

At a narrative level, water acquires roles associated with the socio-cultural framework. It changes meaning as the storyline evolves. For instance, in *Drunken Angel* (1948), the metaphor YAKUZA IS SUMP, just described, is contrasted with COMMUNITY IS MOVING WATER, as this film ends in an optimistic manner.

The metaphor scenarios described here are entrenched in the ways of conceiving the relationship between human beings and nature. In the case of the *Beast of the Southern Wild* (2010), the ending points towards a confirmation of the metaphor scenario of the GREAT CHAIN OF BEING, although the film gives a view of an ideal community in which the characters are versions of the "noble savage". As such, their creativity and inventiveness allow them to adapt to their environment.

Despite the fact that water is only part of the mise-en-scène, I have shown how in the context of this films it plays a major role as it conveys figurative meanings that can be one-time creations or are associated with the ideological framework of the filmmaker. The results of this comparative and diachronic study have shown the continuity of the concept of water within each cinematic tradition throughout time in a way that goes beyond intertextuality or cinematic quotations. The two overarching scenarios WATER-DAO and the GREAT CHAIN OF BEING have an important function as they motivate the behavior of the characters towards the events. They also predetermine the need of a certain kind of outcome as well as a kind of heroic behavior. These scenarios allows for a dynamic view of metaphor that can be situated within the narrative structure and adapt to the changes as well as integrate a variety of modes. Those scenarios determine the way humans relate to nature and highlight two different ways: one human-centered like the films situated within the GREAT CHAIN OF BEING and the other ECO-CENTRIC within the WATER-DAO scenario.

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5 Coincidence and Causality

Image-Schematic Plotting Principles in Serial Television Drama

Sebastian Armbrust

4 8 15 16 23 42

—*Lost*, episode "Numbers" (1.18)

1. Introduction

Both narrative and metaphor are considered universal and fundamental ways of thinking, essential to the human experience of the self and the world.[1] However, the relationship between the two is usually not addressed explicitly in contemporary theories of narrative or metaphor. Although the analysis of metaphorical expressions is central to literary criticism, this branch of analysis has not addressed narrative theory in much detail. On the other hand, most narratologists have little to say about metaphor, whereas some structuralist terminologies imply that narrative and metaphor are oppositional concepts, if not mutually exclusive.[2] In this essay, I want to explore this relationship more closely and begin to come to an understanding of how both strands of analysis might inform each other.

A closer look reveals that many concepts used by authors and critics to discuss the structure of stories rely on conceptualizations of states and events in spatial terms. This relationship is obvious in the words "plot" and "plotting," used in English to refer to the selection and arrangement of events into a coherent and meaningful whole that provides for a dramatic experience.[3] Other uses of the term evoke spatial dimensions, i.e., domains like cartography and navigation.[4] In some narratives, events and spaces are linked so closely that this relationship does not even seem metaphorical. Consequently, story grammars such as Vladimir Propp's *Morphology of the Folktale* (1928) or Hollywood's practical screenwriting model of the heroic journey (Vogler 1998) map stories out as paths defined by a series of encounters. Whereas these stories prototypically feature journeys in the physical realm, these models have also invited conceptualizations of emotional processes as "inward" journeys (Vogler 1998, 13).[5] This indicates spatial concepts are relevant to narrative plotting beyond the physical domain. Thus, a closer investigation of narrative plotting in terms of conceptual metaphor theory (CMT) might further our theoretical understanding about stories.

This potential is most evident in Hilary Dannenberg's analysis of *Coincidence and Counterfactuality* in narrative fiction (Dannenberg 2008). As Dannenberg argues, classical "plotting principles" like *kinship* or *coincidence* rely on the conceptual salience of basic *image schemata* (as introduced by Johnson 1987) in order to create effects such as *suspense* and *immersion*. Her analysis reveals an atomic level of structural organization and refers to the embodied salience of these image-schematic relationships in order to account for their dramatic effect. As Kathrin Fahlenbrach (2007, 2010, this volume), Anne Bartsch (2010), and others have discussed, the fundamental role of image schemata allows for metaphorical mappings between concrete audiovisual representations of physical situations and abstract cultural models evoked by the narrative. Dannenberg's work suggests that image schemata even serve to integrate the situations represented in a narrative into meaningful stories in the first place and that they elicit bodily states such as interest, suspenseful tension, and immersion along the way.

Pursuing this idea, I focus below on the dramatic structure of stories, but do not address multimodal expressions of metaphors or their perceptual aesthetics. In a different fashion, however, my thoughts bear directly on the theoretical relationship between embodied metaphors and the aesthetics of audiovisual media. As I will point out, the ways in which serial television drama exploits the basic principles introduced by Dannenberg are deeply intertwined with the medium's logic of storytelling. Before I return to this relationship in my analysis of serial plotting principles, let me outline some central theoretical assumptions about the role of image schemata in narrative comprehension.

2. Spatial Metaphors of Plot(ting)

Image Schemata as Conceptual Primitives for Stories

Schema theory assumes that human cognition relies on a fundamental level of nondecomposable "primitives" (Rumelhart and Ortony 1977, 106–110). Conceptual metaphor theory suggests that these atomic concepts are provided by basic domains of embodied experience, such as spatial orientation and the physical manipulation of objects and substances (Lakoff and Johnson 1980, 56–68). In particular, Mark Johnson identifies a number of basic *image schemata*, like the CONTAINMENT schema that gives rise to the concept of an enclosed space with an 'in' and 'out', the FORCE schema that describes how the application of force can move and manipulate physical objects, and the PATH schema which connects one space to another by way of movement (cf. Johnson 1987, chaps. 2 and 5).

These image schemata also provide the central building blocks for the *event structure metaphor*, a system of image-schematic mappings serving as a generic structure for our conceptualization of concrete and abstract processes (as described in Lakoff 1993; Kövecses 2002). Some of its most important mappings hold that STATES ARE LOCATIONS, whereas CHANGES ARE MOVEMENT. Because movement is experientially correlated with the

exertion of a physical force, CAUSES are also conceptualized as FORCES. As a result, even the basic concept of causation is not a nondecomposable primitive but partly metaphorical, understood in terms of spatial movement and physical manipulation (Lakoff and Johnson 1980, chap. 14, and 1999, chap. 11). Further mappings hold that MEANS ARE PATHS, PURPOSES ARE GOALS, and PROGRESS IS MOTION FORWARD. Together, these mappings give structure to more specific concepts such as LOVE IS A JOURNEY, where lovers are companions on a shared path towards a mutual goal.

While I cannot provide a detailed analysis of narrative concepts here, it should be clear that processes, goals, or cultural concepts like love are also central to stories, and vice versa, that narrative is another way to make sense of these concepts. Let me give two examples that further illustrate how the mappings of the event structure metaphor inform the structure of stories. According to David Bordwell, "The classical Hollywood film presents psychologically defined individuals who *struggle to solve a clear-cut problem* or to attain specific *goals*" (1985, 157, emphasis added). Since even abstract problem-solving processes can be conceptualized as a goal-directed movement to a state-location where the problem no longer exists, both alternatives offered by Bordwell point to the same underlying structure. In a similar manner, Vogler invokes JOURNEY as a source domain for social and psychological processes when he writes that "many stories take the hero on an inward journey, one of the mind, the heart, the spirit" (1998, 13). An important stage in his model is described as "Crossing the First Threshold [...:] This is the moment when the story *takes off* [... t]he *ballon goes up*, the *ship sails*, the *romance begins*." Furthermore, this marks a "*turning point*" at which the hero "has decided to *confront* the problem and take action" (ibid., 18, emphasis added). Again, this suggests a structural equivalence between concrete and abstract processes in terms of movement. The pursuit of a romantic interest is the beginning of a journey, and the hero's decision to act is understood as a change in the story's *momentum* resulting from her or his *orientation* towards a *goal*.

Last but not least, many story grammars (including Propp's *Morphology* and Vogler's *Journey*) propose a relatively strict sequential order of particular motifs over the course of a complete story. That is, stories are treated as a series of MOVEMENTS from one STATE-LOCATION to the next along a more or less predetermined PATH, complete with particular WAYPOINTS.

Causation in the Coincidence Plot

Hilary Dannenberg may be the first to point explicitly both to the conceptual role and the aesthetic effects of image-schematic operations on the fundamental level of plotting. She understands "plotting" as the construction of *paths* and *links* between situations represented by or implied in a narrative (2008, chap. 3). This activity gives rise to a spatial metaphor of plot that maps out the paths of the characters as vectors in time and space. In the *coincidence plot*, the paths of different characters eventually converge, creating a sense of unity and closure (ibid., 2). In order to hide the

authorial manipulations that are ultimately responsible for these moments of convergence, narratives rely on particular *plotting principles* to establish logical *links* between the situations in the fictional world. Ideally, these links are perceived as more salient than the presence of an extradiegetic author, and thus serve to *immerse* recipients in the fictional world (ibid., 22–26).[6]

For example, narratives rely on the construction of plausible *causal links* that motivate the moment of convergence within the fictional world. Drawing upon Mark Turner's work, Dannenberg identifies three dominant patterns of causation involved in this plotting principle:

1. "*Causation as progeneration* ... express[es] paths by which things in the world, the mind, and behaviour can spring from one another."
2. "*Causation as action* (direct manipulation, applied force)" involves "someone directly manipulating some preexisting objects."
3. "*Causation as necessary and sufficient conditions*" conceives of the "cause of an effect as all the conditions necessary for that effect to happen." (Turner 1987, 141–143, as represented in Dannenberg 2008, 26).

In narrative comprehension, the *causal-progenerative* model involves the tracing of links backward in time to a point of origin. The *causal-manipulative* model can also be understood as a version of CAUSES ARE FORCES, where the FORCE is exerted by higher entities such as gods or forces of fate (which may stand in as intradiegetic substitutes for the author). The *causal-conditional* model involves additional components such as circumstantial factors and character dispositions to make it plausible that they appear at the place and time that serve as the setting for the convergence of paths (cf. Dannenberg 2008, 26–29).

Furthermore, Dannenberg shows that the *coincidence plot* often creates relationships of *kinship* and/or *similarity* between the characters and/or their individual paths. This plotting principle relies on the perceived salience of kinship and similarities to anchor the recipient's attention in the fictional world. In image-schematic terms, kinship is the relationship between two paths that share a common, single point of origin, and thus involves the exploration of causal-progenerative links backward in time. At the same time, kinship is conceptualized as a strong link between two entities that exists across space and time. Due to the experiential correlation of kinship and genetic similarity, striking similarities may be perceived as inherently meaningful even if they do not share a common origin (cf. ibid., 32–35, and chap. 3). Last but not least, kinship is particularly effective as a source of suspense when combined with the principle of *recognition*. As Dannenberg writes, "the kinship recognition scenario [...] enacts long-established, reassuring, interconnecting patterns crucial to a human being's sense of identity and security" (ibid., 32). This can take shape in a tragic variant of the coincidence plot, marked by deferred recognition, as in *Oedipus*, or in a euphoric reconciliation of loved ones with instantaneous recognition (cf. ibid., 3).

3. Polylinear Plotting Principles in Serial Television Drama

Serial Plotting

Serial US television drama relies extensively on the interweaving of multiple strands belonging to different characters and/or problem-solving narrative strands belonging to different characters and/or problem-solving processes. This storytelling strategy provides viewers with an audiovisual text that alternates quite rapidly between fairly self-contained *segments*, each representing a situation linked to one or some different characters and issues. This includes intra-episodic *plots* that are resolved within the episode, as well as ongoing *arcs* that extend beyond episodic boundaries to create long-term cohesion.[7] Each such *plot* or *arc* constitutes its own path, although these paths are not always tied to specific characters, and need not coincide with their actual movement in the space of the fictional world. Rather, if STATES ARE LOCATIONS, so are PROBLEMS, whereas SOLUTIONS ARE GOALS. That is, each problem-solving process can be analyzed in terms of movement towards a specific goal, which may be advanced or inhibited by the actions of different characters.

This even applies to abstract processes such as the diagnostic mystery cases solved by the doctors in each episode of the medical drama *House* (Fox, 2004–2012). Like a murder mystery, this plot depends on a synchronization of two interdependent paths. The discovery of mysterious symptoms serves as the *starting point* of the doctors' efforts towards the *goal* of healing the patient. Additionally, the correct diagnosis involves a tracing of *causal-progenerative* links back in time to a hereditary disease, moment of infection, or toxic contamination. At first, the doctors pursue hypothetical diagnoses and treatments that turn out to be ineffective or even detrimental to the patient's health. With MEANS ARE PATHS and PURPOSES ARE GOALS, their misinformed treatment can be analyzed as movement in a false direction, instead of progress toward the goal. Only when they have correctly reconstructed the path that leads back to the origin of the disease can they identify the means to cure the patient or find the correct path to their goal. Effectively, the moment of discovery connects the path of the sickness and the path of its treatment to a coherent movement from origin to goal. This pattern also involves the metaphor KNOWING IS SEEING: before the doctors have identified the two paths in their entirety, they can only stumble in the dark. The visual source domain is also emphasized in the representation of the concrete diagnostic procedures, including not only digital imaging techniques, but also the representation and elimination of hypotheses on a whiteboard in the process of differential diagnosis.

As I have discussed elsewhere, the combination of various story lines also results in *polyvalent situations* that bear upon separate problem-and-goal-related paths at the same time (Armbrust 2012, 2013). This also means that the different narrative paths created over the course of a television episode typically interact with each other in patterns similar to the variants of the *coincidence plot* discussed by Dannenberg. On these grounds, serial storytelling can be analyzed as a set of *polylinear plotting strategies*, exploiting causal interactions between various semi-autonomous paths. Below, I discuss three examples of such serial plotting in detail and show how they relate to the plotting principles established by Dannenberg.

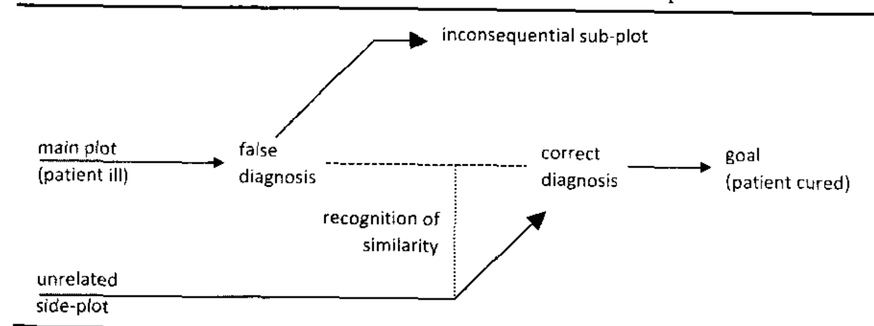
Branching and Converging Paths: Plausible Epiphanies in House

As indicated above, the medical drama *House* (Fox, 2004–2012) is fairly formulaic. In every episode, the eponymous main character and his team solve a medical mystery case, which serves as the dominant narrative path, and proceeds in a fashion similar to the whodunit of criminal procedurals (e.g., the *CSI* franchise). In addition to the pattern summarized above, this structure also involves a number of discrete but co-dependent paths, including the ongoing character arcs of the doctors as well some intra-episodic side plots involving minor medical cases or interpersonal and institutional conflicts.

Typically, these additional plots seem unrelated to the case of the week at first or even provide obstacles to the progress of the main plot. But toward the end of the typical *House* episode, they suddenly interact with the main plot and provide House with the missing piece of information. In the episode "Skin Deep" (2.13), for example, a side-plot patient has *couvades syndrome*, an excess of estrogen that lets him suffer a sympathetic pregnancy with his wife. Meanwhile, the doctors are in the dark about the mysterious symptoms of their central case of the week, a fifteen-year-old female supermodel. Inspired by the symptoms of the 'pregnant' man, House eventually questions the sex of the girl. In the end it turns out that she is a biological male with androgen insensitivity syndrome, a type of pseudohermaphroditism that results in a perfectly feminine bodily appearance. The source of the symptoms is identified as cancer in the patient's left testicle, hidden by a deceivingly feminine body, and thus not discovered in the previous diagnostic steps.

The interactions between different plots commonly found in *House* can be analyzed as a small set of principles (as discussed in Armbrust 2013, and represented in Table 5.1):

Table 5.1 Causal Interaction of Paths in *House* 2.13 "Skin Deep"



A principle of *branching out* creates independent subplots from the main plot. This pattern follows the *progenerative* model of causation discussed above. In "Skin Deep," an additional problem-and-goal-related path is created when House suspects the symptoms may be explained by post-traumatic stress disorder resulting from sexual abuse. Although this does not turn out to be the correct diagnosis, it does reveal an incestuous relationship between the patient and her/his father with ethical implications that lead the doctors and the audience on a separate problem-and-goal-oriented path. The thematic gravity of this branch helps to draw attention away from the diagnostic plot, but is ultimately a distraction irrelevant to the medical problem.

A second principle is provided by the introduction of *unrelated side plots*, like the *couvades syndrome* patient. These side plots need not appear to be linked to the main plot in any way, but serve to keep the narrative interesting by distributing attention between different narrative strands, suggesting a complex and dynamic narrative world.

However, subplots and side plots may be *integrated* or *re-integrated* into the main plot. In *House*, this typically takes shape in an epiphany that relies on information provided by an unrelated side plot to solve the main plot. These events can be understood as moments of *convergence* between two separate *causal-progenerative* paths, or with the *causal-manipulative* model, as a transmission of kinetic force from one narrative movement to another. Ultimately, this moment of convergence is an authorial manipulation that solves the problem at the right time (roughly in the last five minutes of each episode). But within the fictional world, this authorial manipulation is masked by three plotting principles: (a) an abstract *similarity* between the converging paths that existed prior to their moment of convergence, (b) House's intellect as a character trait that enables him to *recognize* these hidden similarities, and (c) the viewer's *surprise* at the revelation of previously hidden links between the paths. Whereas the first two principles serve as *necessary and sufficient conditions* that legitimate the convergence of paths, the surprising revelation is likely to suggest salience by highlighting similarities between characters and paths that were previously undetected.

Finally, side plots that constitute obstacles to the main plot are often eliminated from the narrative before it advances to the resolution of the main plot, or temporarily suppressed without a resolution of the problem so that it may resurface in a later episode. This reduction of open paths may support a sense of closure at the end of an episode (see Table 5.1).

Forces of Fate in Lost

The series *Lost* (ABC, 2004–2010) has a group of plane crash survivors stranded on an island in the Pacific. Over the course of the first two seasons, they learn that they are cut off from the outside world and eventually lose hope that they will be rescued. The island turns out to be a strange place full of mysteries. Each episode intercuts between events from at least two different time lines. In the present time line, the show explores how the characters come to terms with their situation, exploring the island and forming personal relationships and social allegiances. Furthermore, each episode sheds light on the past lives of the characters, usually focusing on experiences that are thematically linked to the present situation. More complex temporalities are introduced in later seasons. From its first episode, *Lost* is full of hints that invite speculation about the nature of the island but rarely provides conclusive explanations. Even the series finale does not coherently integrate most of the particular questions encountered on the way.

However, this narrative design gives ample opportunity for making connections between past, present, and alternative time lines, and between the different characters and paths. The show suggests that there are striking similarities between the histories of the characters and that they may have been directed to the island by mysterious forces such as fate, the mysterious "Dharma Initiative", or even the island itself. This evocation of meaningful similarities and causal-manipulative forces is suggestive of a grand design that is just about to be discovered. On the global, inter-episodic level, the constant postponement of a resolution might eventually lead to frustration. However, this structural logic is also employed to suggest coherence and unity on a local, intra-episodic level of organization.

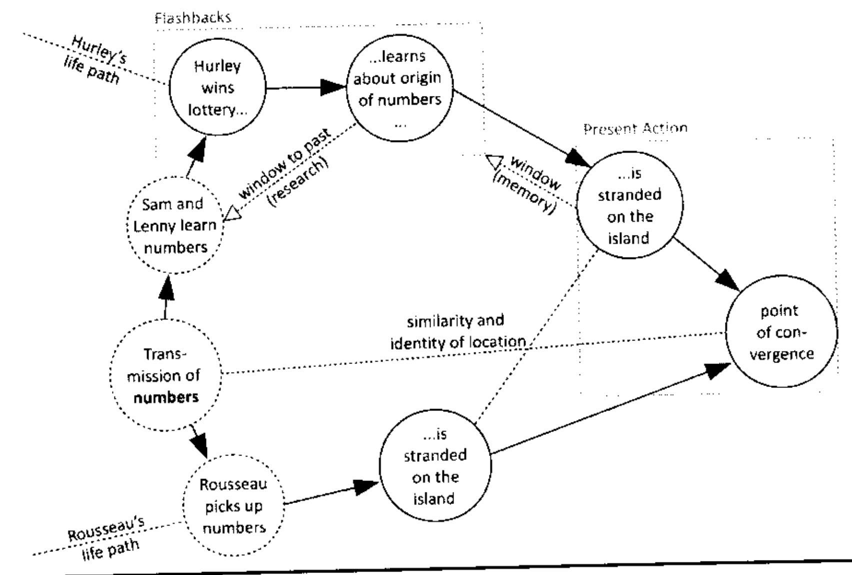
Both the macro-structural evocation of a supernatural design and the suggestion of local unity come to the fore in the episode "Numbers" (1.18). In an earlier episode ("Solitary", 1.09), some of the survivors have made contact with Michelle Rousseau, the lone survivor of an earlier expedition, who now lives somewhere in the jungle that covers most of the island. In "Numbers" Hurley discovers that the notes she has previously given Sayid contain the same sequence of numbers he used years ago, as revealed in a flashback, to win the lottery. The occurrence of the numbers in two different situations creates a salient *link* between Hurley's past and present location in time and space, and between Hurley and Rousseau. Furthermore, the SIMILARITY IS KINSHIP metaphor (based on the experiential salience of genetic similarity) suggests that these paths lead back in time to a common point of origin.

While Hurley sets out to find Rousseau, further flashbacks reveal that nothing but bad luck befell his family and friends after he won the lottery. Believing "the numbers are cursed", Hurley visits Lenny, the inmate of an asylum who once taught Hurley the numbers. Lenny warns Hurley that he has "opened the box" and should get "far, far away" before things get worse. Following Lenny's directions, Hurley traces the path of the numbers back to Australia to find Sam Tooley. Tooley's widow tells Hurley that Sam and Lenny were once stationed at a listening post and picked up the numbers in a transmission from out in the Pacific. After Tooley used the numbers in a game of chance, a similar streak of bad luck befell him.

These discoveries allude to general and specific cultural concepts of bad luck and evil forces (including Pandora's box and numerology) to suggest a causal-manipulative power inherent in or associated with the numbers.

The suggestion of an invisible manipulative force may also activate cultural concepts of fear, via metaphors such as FEAR IS A HIDDEN ENEMY or FEAR IS A NATURAL FORCE (cf. Kövecses 2002, 23), that correlate with Hurley's state of mind. When Hurley finally meets Rousseau and learns that her expedition was drawn to the island by the same transmission, this confirms the earlier suggestion of a common origin.

Table 5.2 Linked and Converging Paths in *Lost* 1.18 "Numbers"



This overall plot design is represented in Table 5.2. To recapitulate, the episode first introduces a striking similarity between a past and present sequence of events, a *link* that suggests a common origin via the *progenerative* model of causation. In a symmetrical but complex plot design, past-time Hurley travels forward in time and space to seek out *links* or *windows* to the past: With the metaphor KNOWING IS SEEING, his recognition of the past can be conceptualized in terms of its visibility from the present state-location. Combined with the path logic, *window* may here refer to a state-location on a character's path that provides a cognitive link to a remote state-location.[8] At the same time, this investigative journey lures Hurley to the island. He is on his way back from Australia to Los Angeles when the plane crashes. Thus, the end of the episode reveals that Hurley's present path is a *progenerative consequence* of the path revealed in the flashbacks. Furthermore, all this suggests a *manipulative force* that drew both Hurley and Rousseau to the island. Thus, their meeting is a significant moment of convergence which coherently integrates a number of image-schematic movements. Even though the meaning and origin of the numbers themselves remain a mystery,

the *causal-progenerative paths* and the *causal-manipulative forces* evoked in the episode have been coherently integrated by the end of the episode. Furthermore, the characters' decisions to explore the origin of the numbers are psychologically motivated: Rousseau is a researcher on an expedition; Hurley is desperate to discover the origin of his curse. These personal goals serve as *necessary and sufficient conditions* for their presence on the island and for their eventual convergence of paths. In conclusion, the episode employs all three models of causation discussed by Dannenberg to create a moment of convergence and resolution. However, this sense of resolution is only achieved on an abstract, image-schematic level. On a concrete level, this demonstration of causal-manipulative forces and causal-progenerative symmetry only serves to intensify the impression of hidden forces and a grand design that remains to be revealed.

False Foreshadowing in Breaking Bad

The last two examples have illustrated intra-episodic strategies of polylinear plotting. In my last case study, I explore how different characters' paths are interwoven over the course of a whole season in a continuous pattern. *Breaking Bad* (AMC, 2008–2013) tells the story of Walter White, once an aspiring chemist with stakes in a successful company, now a high-school chemistry teacher living an average family life in Albuquerque, New Mexico. When Walt learns he has terminal lung cancer and only weeks to live, he decides to team up with former student Jesse and produce crystal methamphetamine in order to pay for his treatment and leave an inheritance. This initiates a tragic path of moral corruption, in the course of which Walt becomes entangled in dangerous conflicts with other criminals. Furthermore, he has to keep this secret from his wife, son, and brother-in-law, who works for the DEA. That is, his social contextualization exploits the plotting principles of *kinship* and *recognition* to provide for additional suspense.

Breaking Bad routinely relies on flash-forwards to hint at catastrophic events in the future. Unbeknownst to the characters, these flash-forwards provide *windows* through which the audience can glimpse a state-location on the path ahead. However, these glimpses of the future are often too fragmentary to be conclusive. They create suspense by suggesting that the present path leads directly to a catastrophic goal. But when the narrative path reaches this moment, it often sidesteps the expected outcome, revealing a less dramatic explanation for the signs of doom, or one that does not fully converge with the fates of the characters.

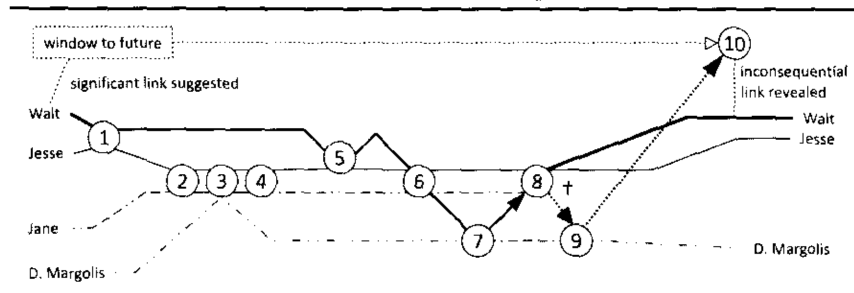
This playful and somewhat meta-reflexive pattern is already introduced in the first episode (1.01, "Pilot"). The first shots introduce Walt, in panic, wearing nothing but a gas mask and his underpants, driving a caravan along a dusty desert road. Still in panic, he stops to get out and uses a video camera to record something that sounds like a good-bye message. As sirens approach, he grabs a gun and steps into the middle of the desolate road,

aiming ahead. From this situation, the episode cuts to the titles, and then to Walt's home, three weeks earlier. When Walt's path reaches the climactic moment again towards the end of the first episode, it turns out to be far less dramatic than expected. Walt's agitation is real, a result of the developments up to this scene: Out in the desert, where they were using the caravan as their drug kitchen, Walt and Jesse have had a violent confrontation with their distributors. This fight ignited not only Walt's panic but also a bushfire. But the scene glimpsed in the flash-forward turns out not to end in a catastrophic climax but in a release of tension. Before the sirens arrive, Walt lowers his gun and steps back off the road, and the fire trucks pass by without taking notice. Where the flash-forward suggested a moment of convergence that confronts Walt with the causal-progenerative consequences of his earlier actions, they are now evaded. Instead, they are emphasized symbolically and ironically when they literally cross his path, but without repercussions.

Many episodes feature similar examples of foreshadowing and evasive maneuvers, some of which amount to an inter-episodic pattern encompassing the whole second season. The first episode in this sequence (2.01, "Seven Thirty-Seven") shows post-apocalyptic images of debris in Walt's swimming pool, including a torn teddy bear whose eyeball is sucked into the drain. This flash-forward is repeated and extended in later episodes, revealing characters in hazmat suits fishing items from the pool and sealing them in plastic bags. In the meantime, Walt's present path once more enters into conflict with highly dangerous criminals. In this context, the swimming pool catastrophe may appear as a future consequence of Walt's actions, for example, a violent confrontation that destroys his home. However, when the scene is resolved in the season finale (2.13, "ABQ"), it is revealed that the teddy bear in the pool is only one piece of debris that rains over all Albuquerque when two airplanes have crashed in mid-air.

Although the catastrophe turns out to not affect Walt specifically, it does result from his actions in a causal-progenerative chain of events, albeit in an indirect, coincidental fashion that remains hidden from Walt. A closer analysis reveals a complex pattern of multiple paths and interactions over the course of the second season, through which Walt unwittingly affects the fate of the air traffic controller responsible for the accident.

Table 5.3 Interactions Between Paths over *Breaking Bad's* Second Season



This polylinear pattern can be summarized in ten steps, represented graphically in Table 5.3. It should be noted that (not unlike my previous case studies), this analysis skims over many details, focusing only on the relationship between two pairs of paths. (1) Initially, Walt and Jesse's paths are co-aligned as partners in crime. (2) While tensions between Walt and Jesse increase, Jesse's path converges with Jane Margolis's path when he has to find a new home and becomes her tenant, and later, her lover (episode 2.05 "Breakage" and onwards). (3) Donald Margolis, Jane's father, eventually meets Jesse and fears that Jane may relapse into drug addiction through Jesse's influence (2.10 "Over"). (4) After witnessing the gruesome death of a junkie, Jesse lapses into depression and starts using heroin with Jane (2.11 "Mandala"). (5) When Jesse is fast asleep on his bed with Jane after using heroin, Walt breaks into Jesse's apartment because he has a chance to sell the stash of crystal meth hidden there to a new distributor (ibid.).

In the season's penultimate episode (2.12 "Phoenix"), the interdependencies between the paths are intensified: (6) When Walt wants to withhold Jesse's share of the drug money, Jane confronts Walt on Jesse's behalf. (7) By chance, Margolis and Walt meet in a bar, as strangers, and talk, father to father, about their parental worries. (8) Apparently, this inspires Walt to return and reconcile with Jesse. Once more, he fails to wake his partner but stirs Jane in the attempt, who begins to vomit and threatens to suffocate. Walt suppresses his impulse to help and watches her die, reclaiming his influence over Jesse.

In the final episode (2.13 "ABQ"), (9) Donald Margolis's life spirals into depression after he learns about Jane's death. (10) Several weeks later, Margolis returns to work as an air traffic controller. Under his guidance, two planes collide, and debris rains down all over Albuquerque, including Walt's house and pool.

Like the examples above, this polylinear pattern is structured by all three models of causation discussed by Dannenberg: Jesse's vulnerability, which tempts him to use heroin, Jane's death, and Margolis's psychological inability to prevent the accident all result from Walt's actions in a *causal-progenerative* manner. Furthermore, some but not all coincidences and interactions are made plausible by *necessary and sufficient conditions*. For example, Jesse meets Jane because his parents have evicted him from his previous home when Jane's next-door apartment happens to be available for rent (note also the reversed symmetry between Jesse, who was evicted by his parents, and Jane, acting landlord of her father's property).

However, some elements of the plot are unlikely enough to draw attention to the authorial manipulations behind the plot. This starts with the meeting between Walt and Margolis (summarized above as point 7). This coincidence is striking because the characters are already connected via intermediaries, and yet only loosely motivated in terms of sufficient and necessary conditions. Both men may have their reasons to go out for a drink, but only by chance do they end up in the same bar at the same time. This may draw attention to an authorial instance that has the characters meet to make a self-reflexive

point. On the other hand, this moment does create intradiegetic suspense by deferring the moment of recognition. When the encounter motivates Walt to return to Jesse's place, it results in a tragic twist of fate that makes Margolis complicit in his own daughter's death. Because it hinges on a blatant coincidence, this twist might be perceived as a deliberately cruel and tragic authorial manipulation. On the other hand, it is also possible that the emotional impact of this development suspends such a reflexive interpretation.

Finally, the airplane accident is so highly unlikely, infernal, and yet so inconsequential to *Breaking Bad*'s central story line that it cannot be explained by intradiegetic causalities alone. Instead, it suggests a metaphorical reading that can be understood as an authorial comment about the main character. Throughout the five seasons of the show, Walter White is characterized as a master of manipulation. He makes Jesse, his own wife Skyler, and others complicit in his plans and retains firm control over them with an effective combination of lies and emotional manipulation. Although Walt is ultimately triumphant on his path to corruption, his actions terrify and traumatize the characters linked to him. That is to say, Walt is himself a destructive force in the lives of these characters. Not only is his path the central causal-progenerative movement that gives birth to branching side plots with tragic outcomes, but Walt's ambition and intellect are also the central causal-manipulative force affecting the fictional world. The airplane accident over Albuquerque is a hyperbolic manifestation of this destructive force, taking shape self-reflexively along a coincidental path provided through authorial manipulation.

According to Dannenberg, plotting devices that highlight the manipulative force of the author work against the principle of immersion. By drawing attention away from the causal autonomy of the narrative world and towards the acts of its poetic design, they arguably lead to the reader's expulsion from the fictional world (Dannenberg 2008, 23f). However, 'immersive' and 'expulsive' modes of narration and interest need not be regarded as mutually exclusive. Jason Mittell suggests that viewers of complex television are also interested in the idiosyncratic narrative rules established by a particular show, its "operational aesthetic". The pleasure drawn from this more reflexive level of narrative comprehension arguably contributes to the appeal of complex television, in addition to the interest paid to the intradiegetic logic of the story (Mittell 2015, 41–53, and 2006). In *Breaking Bad*, the plotting fluctuates between intradiegetic causation and self-reflexive moments that explicitly address and reward the viewers' operational engagement. In this process, it also uses metaphorical strategies to create semantically rich situations that provide for particularly salient moments of convergence not only between intradiegetic paths but also between intradiegetic causality and operational logic.

4. Conclusion

As my analysis has shown, the image-schematic plotting principles and the three models of causation discussed by Dannenberg provide a fruitful instrument for the analysis of serial plotting strategies in contemporary

television drama. This suggests not only that narrative comprehension in literature and audiovisual storytelling rely strongly on the links that readers and viewers forge between different situations, but also that effects such as suspense and immersion rely on the cognitive salience of image-schematic *plotting principles* employed in this process. The types of connections made seem very similar across different modes of narration. But while closed narratives strive toward a singular re-integration of paths in a concluding moment of convergence, serialized narration habitually leaves some paths unresolved, and relies on convergent resolutions to make the remaining mystery even more salient. Whereas the classical coincidence plot seems to be characterized by a symmetrical and complete convergence of paths, serial convergences tend to be 'imperfect' or 'unsymmetrical', shifting the balance of different forces rather than settling everything in place. While all shows develop particular strategies of *polylinear plotting* to create causal coherence on an intradiegetic level, *Breaking Bad* shows that this can be done rather playfully to suggest self-reflexive and metaphorical readings.

Notes

1. The fundamental role of metaphor is discussed throughout this volume. Similarly, cognitive narratologists explore the role of narrative thinking as a part of the human condition. For example, David Herman suggests narrative is "a basic human strategy for coming to terms with time, process, and change" (2009, 2), drawing attention to the same fundamental concepts explored in conceptual metaphor theory.
2. This is most visible in the structuralist distinction between the syntagmatic and paradigmatic organization of language, that is, the principles of combination and substitution, also referred to as metonomy and metaphor by Roman Jakobson (1956). Understood as the *combination* of events, narrative would appear to be a *syntagmatic* principle. Although this dichotomy is no longer prevalent, narratologists still tend to treat metaphor as a matter of style and expression located on the level of *discourse*, analytically separate from the raw events on the *story* level.
3. Plot is not defined consistently throughout narrative theory. The notion of plot explored here overlaps with but is different from the distinction between story (or *fabula*, the natural order of events) and plot (*sjuzet*, their order of representation) made in structuralist/formalist models. Rather, it encompasses the design and organization of the events, as well as the logical relationships between them thus implied (e.g., causality), and the aesthetic experience provided by this structure (e.g., suspense) (cf. Dannenberg 2005). By extension, "plotting" can refer both to the composition of this structure and to the integration of the different elements into a coherent "plot" during narrative comprehension (cf. Dannenberg 2008, 13).
4. The earliest reported uses of *plot* refer to a "piece of ground". The meaning of *plan, scheme* also relies on analogy with French *complot*. See *Oxford English Dictionary*, 3rd edition (September 2014), s.v. "plot" and *Online Etymology Dictionary*, s.v. "plot", http://www.etymonline.com/index.php?term=plot.
5. In the case of Propp's genre-specific study of Russian folk tales, such broader interpretations are problematic, cf., Bordwell (1988).

6. In contrast to this classical principle, Dannenberg shows that postmodern novels deliberately draw attention to the authorial manipulations of the plot, highlighting the fictional status of the text.
7. This model is described as "flexi-narrative" by Nelson (1997, chap. 2) and as the dominant mode of narration found in "complex TV" or the "prime time serial" by Mittell (2006, 2015) and Newman (2006), respectively. I have discussed this structure in more detail in Armbrust (2012, 2013).
8. Since they play a fundamental role in our experience of space, Dannenberg suggests windows and portals as an extension of the "orientational feats" that provide the source domain for spatial metaphors, as listed in Johnson (1987); see Dannenberg (2008, 49f).

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