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Human Trafficking as motif in fictional reflexive documentary filmmaking: *A Performance-Based Research Study.*

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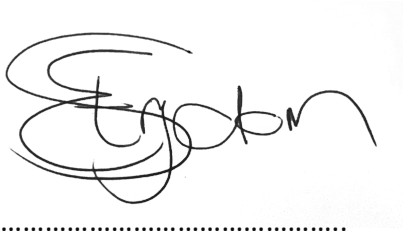
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ABSTRACT

Human trafficking, especially amongst women and girls, is not a new phenomenon. The trafficking industry has transformed into a global, demand-driven industry with a demand for slavery and commercial sex, with the primary driving force being poverty, with a direct link to the exploitation of people with a lack of education and employment opportunities (Jinnah 2013). Currently, a growing movement, whether in the form of printed or social media, is exposing human trafficking as a real concern. Proper reporting has helped change the general public's perspective to realising that trafficking is real and impacts people's lives daily in nearly every region of the world.

A documentary film is also often defined as a *slice of life* piece of art, with the option of being narrative based (Dirks 2017). The modern documentary genre makes use of set interviews with narration, planned cinematography, re-enactments, fictional storytelling inspired by factual events and an immense effort at post-production with regards to editing, graphic-effects, music and sound design. Ultimately this leads to directors having more control over what is shot and finally showcased (Hibbard 2015). Under the documentary genre of filmmaking, Bill Nichols¹ establishes six modes in which individuals may create their documentary, setting conventions that these films may implement leaving specific expectations with the viewers. The study made use of a reflexive mode² of documentary filmmaking.

The primary outcome of this study is the production of a reflexive documentary inspired by the narrative of Grizelda Grootboom, a survivor of human trafficking in South Africa, with the aim of creating human trafficking awareness. The formal properties that is incorporated in the production is compiled using a Practice-based Research approach developed by Richard Blyth³.

¹ Bill Nichols is an American film critic, best known for his pioneering work as founder of the cotemporary study of documentary film (Nichols 2010).

² Reflexive documentaries address issues of realism, taking on a form of physical and emotional realism through continuity editing, narrative structure and clear coherent character development, yet the focus is rather on the relationship between the filmmaker and their audience than the relationship between the filmmaker and the subject at hand (Nichols 2010).

³ In a 2014 video as part of the D'Lab: Centre for Creative Practice Research at RMIT University (Australia), Prof Richard Blythe, Lecturer, Reader and Personal Chair in Complex Systems, gave a presentation entitled "*Framework for Practice-Based PhDs*" (Blythe 2016) where Blythe identifies five steps for students to incorporate into their Practice-Based PhDs (or Masters studies).

The practical outcome takes the form of a short film, inspired by actual events, namely by the life of Grizelda Grootboom, a human trafficking survivor, as it is told in her autobiography, *EXIT!*. Due to the leniency given by the reflexive mode of documentary filmmaking, the film's synopsis is inspired by the autobiography, although not factually accurate to the novel, throughout the film.

Etsoa!'s narrative is based on the life of fictional human trafficking survivor, Nthabiseng Matsuma, currently in a rehabilitation facility, writing an autobiography. The filmmaker aimed to stay true to the theoretical knowledge obtained in preceding chapters of this study, ensuring that the three major problems and the three stages of human trafficking are addressed.

Key terms: Human Trafficking, Reflexive Documentary, Filmmaking, Performance-based research, Practice-based research, Slavery, Inspired by actual events, Film production, Cinematography, Editing, Exit, Grizelda Grootboom

DECLARATION

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Section A: Introduction.

Chapter 1:

Introduction and Orientation

1.1 Introduction:

“Nothing happens just because we are aware of modern-day slavery, but nothing will ever happen until we are. Slavery is wrong. You know it, we know it. We’ve officially known it since 1863, but here’s something you might not know, slavery still exists. We want every man, woman and child out there to know that there are 27 million living in shadows, in brothels, in factories, in quarries, working as slaves, in 161 countries. We are here to shine a light on slavery, no more bondage, no more sex trafficking, no more child labourers. No more, starting now” (Haugen 2019).

Slavery is defined generally as a civil relationship where one person has complete power over another and controls their life, especially with regard to being forced to complete work, most often without reasonable payment. Thus, human trafficking is nothing more than modern-day slavery; exploiting victims sexually against their own free will.

When attempting to research human trafficking, one must grasp the difference between sex work and trafficking. When engaging in sexual activity for a reward, usually financial, it is categorized as sex work. *Trafficking*, as opposed to the statement mentioned above, refers to the exploitation of people, sexual in nature, against their will. Thus, the individual’s willingness to sexually interact and the reward connected to the sexual intercourse determines whether it is sex work or a trafficking offence (Delpont 2007).

1.2 Human Trafficking:

Activities such as soliciting, procuring and brothel-keeping, related to prostitution might still be illegal in South Africa¹. Yet, the policing thereof has intensely relaxed in the past few

¹ “On July 29, 2013, South Africa’s President, Jacob Zuma, signed into law the country’s first comprehensive legislation on human trafficking, the Prevention and Combating of Trafficking in Persons Bill (PCTPB), which, among other goals, seeks to implement South Africa’s international obligations with respect to the problem. The legislation criminalizes various acts that constitute or relate to trafficking in persons and imposes harsh

years, dating as far back as 1995 (O’Connell Davidson & Sanchez Taylor 1995). Human trafficking, especially amongst women and girls, is not a new phenomenon and has taken many forms since then (Jinnah 2013: 112). Jinnah defines *human trafficking* as “a complex, multifaceted phenomenon involving multiple stakeholders at institutional and commercial level.” The trafficking industry has transformed into a global, demand-driven sector with a demand for slavery and commercial sex. The primary driving force is poverty, directly linked to the exploitation of people with a lack of education and employment opportunities. Consequently, the growing demand for cheap labour and an ever-increasing globalised sex industry goes hand in hand (Jinnah 2013).

South Africa’s legal stance concerning human trafficking is stipulated in *the Prevention and Combating of Trafficking in Persons Act of 2013*, in addition it is available on *the National Policy Framework 2006*. Still, it remains un-operational to date, as supporting notions have not yet been passed. According to the Act, an individual is guilty of trafficking if they deliver, recruit, transport, transfer, harbour, sell, exchange, and lease or receive another individual within or across the borders of the Republic of South Africa for the primary purposes of misuse through means of fraud, deception, kidnapping or the abuse of power or vulnerability (Delpont 2007).

Currently, a growing movement, whether in the form of printed or social media, exposes human trafficking as a real concern not only from a human rights perspective, but also from a national security perspective. Merely fifteen years ago, human trafficking was an unspoken taboo topic world-wide, often misrepresented, and sensationalised. Fortunately, a remarkable shift has occurred in true agenda-setting and public interest reporting about human trafficking. Proper reporting has helped change the general public’s perspective in realising that trafficking is real and impact people’s lives daily in nearly every region of the world. Human trafficking patterns are constantly sprouting in new and evolving ways, and the media’s attentiveness helps keep the general public informed. With the pursuit of conducting more research, the general public will have a better understanding of how the crime works, identifying and helping victims, and ultimately preventing the crime from happening (United States Department of State, 2018). Therefore, the researcher favours a study that culminates in a final film inspired by actual events that will create more awareness in a local pane, with immense advantages.

penalties for violations. Among the offenses enumerated in the legislation are that trafficking persons are punishable by a maximum of life imprisonment” (*Id.* § 4) (Goitom 2013: 9).

1.3 The Documentary genre:

A *documentary* is a piece of written, printed or electronic information, which provides evidence of events (Bernard & Yorke 1993). A documentary film is also often defined as a “slice of life” piece of art, with the option of being narrative-based, although always factual (Dirks 2017). According to Snyman² the criteria for a documentary program includes that the footage consists of information and evidence which is actual and recorded on camera as it happens in reality, and that the relevant notes accompanying the footage are filed. The content must be objective, honest, truthful and in no manner misleading to the audience. Any viewpoint which does not objectively reflect the facts should not form part of the documentary. The birth of motion pictures in 1896 left audiences in awe with fascination and wonderment. For the first time, audiences could see moving images on the screen, leading to the first motion picture producers and directors of fiction film³. This led to the development of factual films. Governments recognised the potential of using film as an informative medium of communicating relevant happenings. Initially, these films took the form of newsreels⁴, for example luring citizens to the cinema to see their men in action during World War I. It was not long before the documentary film⁵ developed into a recognised genre, with a far broader scope than simple newsreels. Documentaries became true-life stories incorporated with viewer perspectives and interpretation, leaving directors able to deliver social commentary on their

² Attie Snyman is a television producer and director who has won numerous awards. His production company, Forté Africa Productions, has produced many television programme series and documentaries for various South African and overseas television channels and broadcasters. He is also an independent consultant for the corporate sector, specialising in promotional and media campaigns (Snyman 2007).

³ The history of early films is often contested, but the Lumière brothers’ short films, released in 1895, can be regarded as the first films which were presented to a public audience. These films such as *Workers leaving the factory* and *The Arrival of the Train* can be classified as documentaries. *Workers leaving the factory* is a silent short film in black-and-white projecting men and women leaving after a day of work at the factory. In 1896 *The Arrival of a Train* documented a group of people standing in a straight line along the railway station waiting for a train which is heading in their direction. Once the train stops, the doors open and the people on the platform help the passengers get off (IMDb 2018).

⁴ Newsreels began in 1895 with the purpose of giving audience members in the first theatres a moving picture version of newsworthy events, including sports and politics (Fielding 2010).

⁵ The first documentary feature film, *Nanook of the North* (1922), was a silent documentary where filmmaker, Rober Flaherty spent one year documenting a man and his family living in the Arctic Circle (IMDb 2018).

subjects. Since the 1960s, the television industry has grown immensely, bringing documentary films home to the viewer. For the first time, millions of viewers who had never been introduced to this filmmaking genre could view these documentaries. This made producing documentaries more accessible and practical (Snyman 2007).

The *cinéma vérité*⁶ (documentary) genre came to life in the 1960s during the *French New Wave*⁷ movement, partially due to the technical advances of visual and audio equipment becoming more portable⁸. The *cinéma vérité* genre only used on-location picture, audio, and lighting. In contrast, the modern documentary genre uses set interviews with narration, planned cinematography and an immense effort at post-production with regards to editing, graphic effects, music and sound design. Ultimately this leads to directors having more control over what is shot and finally showcased (Hibbard 2015).

The *Sociological documentary* genre⁹ is a problematic documentary because of the number of subjects. This subgenre's primary focus is to know that it has to do with human-related content. Sociology is the study of humanity's complete science, physiological and psychological aspects. This includes topics such as human behaviour, drama, pain and suffering. To summarise, it is about people, their behaviour and the meaning of their lives. A *social documentary* seeks awareness and explanation for human behaviour, morality and social

⁶ *Cinema Verité* is a French film movement from the 1960s which portrayed people in real-life situations with authentic dialogue and natural reactions. The director would firstly record actual conversations and interviews, whereafter the visual material is filmed to fit the sound. It is not to be confused with Direct Cinema which is also a documentary genre, but the presence of the camera does not alter the outcome of the events, better described as raw documentary (Gell-Man 2017).

⁷ The *French New Wave* was a group of directors who placed emphasis on invigorating cinematic narrative, rejecting traditional linear tropes of storytelling; creating a new language for film. The *French New Wave* became a vibrant influence on international cinema, which is still being experienced today (Parnell 2016).

⁸The earliest video cameras had to be connected to a magnetic tape mechanism in order to operate, but this limitation did not kill the interest amongst consumers. In 1982 Sony released the first Betamax camera for news stations, and entered the portable era for video cameras. In 1985 Panasonic released the VHS camcorder which eventually replaced the Betamax. In 2000 Sony developed a recording format supporting high-definition and three years later they released a tapeless digital recorder, leading to the development of the Sony XDCAMs we use today (LiveWatch 2018).

⁹ The Sociological documentary genre investigates human beings, their behavior and responses and what gives meaning to their lives. Sociological documentaries ask questions which seek explanation with regards to social cause and effect. Popular themes include substance abuse, trauma and poverty (Snyman 2007).

cause and effect. Popular themes are poverty¹⁰, substance abuse¹¹ and, in the case of the proposed study, human trafficking¹². Combining drama and documentary is a prevalent form of documentary. The dramatization's goal¹³ is to recreate and reconstruct details of specific events or incidents. The emphasis is on dramatic reconstruction, where actors re-enact events and interpret the past events' characters. However, it is essential to distinguish between a *Drama-documentary* and a *documentary-drama*. Both consist of dramatised scenes, however, their balance regarding fact and fiction differs. A dramatised reconstruction of events is used when vital authentic footage does not exist. However, the topic of the documentary will determine to what extent these dramatised scenes are used. Documentaries of such a nature is always a combination of actual footage, re-enactments, archive photographs and interviews.

On the other hand, a documentary-drama relies solely on dramatised scenes based on a fictional story, which only refers to conceivable circumstances, characters, and events. The impression of a documentary film is created, leaving the impression of authenticity, although it is fictional. A documentary-drama is a feature film rather than a documentary film (Snyman 2007).

1.3.1 The modes of documentary filmmaking:

Under this filmmaking genre, Bill Nichols¹⁴ establishes six modes in which individuals may create their documentary, setting conventions that these films may implement that leave specific expectations with the viewers. The order of the various modes arose chronologically, due to disapproval among auteurs with the previous mode of operation, bearing in mind that individuals have the ongoing urge and desire to represent the world's actuality in new and refreshing ways, and to keep up with circumstances that are continually changing. Although

¹⁰ *Down and Out in America* (1986) is the earliest produced documentary on poverty, investigating the influence the recession in the mid-1980s had on farm workers in Minnesota. Directed by Lee Grant (IMDb 2018).

¹¹ *Crack USA: County under Siege* (1989) The first found documentary film on substance abuse investigating Florida's Palm Beach County, revealing the growing crack epidemic in the United States (IMDb 2018).

¹² The first documentary found on human trafficking is titled *Human Trafficking* (2005) and is directed by Christian Duguay with the aim of showing naïve audiences that sexual slavery is not a thing of the past (IMDb 2018).

¹³ The re-enactment of an actual event in a play or film (Gell-Man 2017).

¹⁴ Bill Nichols is an American film critic, best known for his pioneering work as founder of the cotemporary study of documentary film (Nichols 2010).

viewers and filmmakers often perceive “new” as a form of improvement, Nichols argues that that is not the case with the six modes of documentary. “A new mode carries a different emphasis and implications. It will eventually prove vulnerable, in turn, to criticism for limitations that yet another mode of representation promises to overcome” (Nichols 2010).

These six modes are poetic, expository, observational, participatory, reflexive and performative documentary. The mode that the proposed study will be making use of is a reflexive mode¹⁵ of documentary filmmaking.

1.4 The proposed study:

The primary outcome of the proposed study is the production of a reflexive documentary inspired by the narrative of Grizelda Grootboom.

Grootboom¹⁶ is a survivor of human trafficking in South Africa. The formal properties incorporated in the production will be compiled using a performance-based research approach, that will be discussed later.

1.5 Research problem and objectives:

How might a reflective documentary film create awareness of human trafficking amongst teenagers¹⁷ worldwide?

¹⁵ Reflexive documentaries address issues of realism, taking on a form of physical and emotional realism through continuity editing, narrative structure and clear coherent character development, yet the focus is rather on the relationship between the filmmaker and its audience than the relationship between the filmmaker and the subject at hand (Nichols 2010). The above-mentioned definition leaves the filmmaker with the prerogative to change the facts of the subject at hand, as the reflexive mode of documentary filmmaking is merely an inspiration open to own interpretation of factual events by the proposed filmmaker.

¹⁶ Grizelda is currently travelling the world in order to fight human trafficking and help women be removed from the sex slave industry. She is also currently studying Human Rights Law in Canada and is of means that society should be doing more to protect the victims of human trafficking, thus the researcher regards Grootboom as an expert in her field.

¹⁷ Although the reflexive documentary-style film is based on Grootboom’s adult years, the focus of this project is on educating teenagers, as a preventative approach in combatting Human Trafficking, by creating awareness amongst the youth as early as possible.

Critical questions are:

- What is slavery, and more specific, human trafficking and its relevance to teenagers in Southern Africa?
- What is the practice-based research methodology, and how can it be applied to the filmmaking process?
- What is the process of creating a narrative for a film based on true-life stories?
- What is reflexive documentary-style filmmaking and how to apply it to a current relevant issue?

Research objectives:

- To create a narrative film on human trafficking with the primary goal of creating awareness amongst teenagers of the causes of human trafficking.
- To research slavery, more specifically human trafficking, the causes and effect thereof.
- The research methodology and design with regards to practice-based research and quantitative research will be discussed, and the possible value of the study indicated.
- To undertake literary research on documentary-style filmmaking and how it can be used to undertake practice-based research and to create a fictional film inspired by real-life events.

1.6 Research design and research methodology:

The proposed study makes use of the literature study and practice-based research methodologies. The study is divided into the following four sections: Section A: Introduction, Section B: Literature Reviews, Section C: Performance-based Research Project, Section D: Reflections and Conclusion.

In a 2014 video as part of the D'Lab: Centre for Creative Practice Research at RMIT University (Australia), Richard Blythe gave a presentation entitled "Framework for Practice-Based PhDs" (Blythe 2016), where Blythe identifies five steps for students to incorporate into their practice-based PhDs (or masters studies). These steps will be fully implemented to the proposed study in Chapter 5 of the proposed thesis.

The first step in the framework is to identify the practice in which the proposed study will occur. It is important to note that practices commonly consist of a series of projects over a specific duration of time, which Blythe calls the "basis for the PhD reflection" (Blythe: 00:54). The emphasis is on the links between projects as part of this reflection.



Fig 1.1: Blythe's Five Steps, a Practice-based Research Model

During 2015, as part of completing the researcher's Honours degree, a paper titled "The relevance of the Grotesque on the Viewing Experience in the 21st century" was completed and provoked interest in the viewing experience. Film, as well as the way audiences perceive film, have drastically changed since 1896. During these times, merely the cinematography and the fact that images were moving was perceived as astonishing. Moviegoers went to the cinema to experience this new medium of entertainment, rather than the specific film being shown (Van den Oever¹⁸ 2000). By focusing on the viewer and how a film is experienced, a filmmaker can create a relevant, captivating watchworthy movie. . captivating the audience's attention through 'making visible' by 'making strange' is not a new technique. This technique dates back as far as 1913, when Russian literary critic, Victor Shklovsky¹⁹, devised a term called 'defamiliarization'²⁰ in his essay *Film as Art* (van den Oever 2000). To study the process of defamiliarization, a term derived from Annie van den Oever in *Ostranenie* (van den Oever 2010), one first has to determine how a sense of the familiarity of things enters one's mind. People worldwide spend a significant amount of time in front of a television screen where they

¹⁸ Professor Annie van den Oever is director of the Master in Film Studies at the University of Groningen and founding editor of the international book series *The Key Debates* (Stream Source Ltd 2017).

¹⁹ Russian literary critic and novelist. He was a major voice of Formalism, a critical school that had great influence in Russian literature in the 1920s (Gell-Man 2015).

²⁰ A term derived from Annie van den Oever in *Ostranenie* (van den Oever 2010).

are told narrative stories. If these audio-visual stories are so successful, the viewer can comprehend what he/she is viewing.

Furthermore, the viewing material is comprehended because it appeals to a perceptive-cognitive knowledge acquired in real life. Automatization is the inevitable development of the medium not being as exciting as it was initially to the viewer. New technologies and techniques de-automatize the viewer, which leads to re-sensitizing the viewing experience.

An example of de-automizing the viewer is a close-up shot. Portraying images in an enlarged form was perceived as an astonishing and entertaining phenomenon in 1901, but by 1909 critics were quoted calling this out of proportion image ‘absurd’ (van den Oever 2000).

Through studying Van den Oever’s work, one can also assume that desensitising the viewer, leaves viewers wanting more, which will be the researcher’s goal during the proposed study.



Fig.1.2: Blythe’s Five Steps, a Practice-based Research Model, Step 1

Blythe requires a broad overview of the subject being studied before implementing it into the student’s work. This is done by studying short films based on true stories, with human trafficking as the central theme at hand. Due to the high volume of movies available, the researcher will narrow the search down to films released in the last decade, when the research was conducted (2010-2020).

In Blythe’s Practice-based PhD framework, step two is grouping projects into groups according to different variables.



Fig.1.3: Blythe's Five Steps, a Practice-based Research Model, Step 2

An example of this grouping is provided where the variable(s) used, familiar resemblance, aims to describe “the sorts of characteristics and, if you like, the DNA of each project, which links it to the next project in a way that we can recognize some similarity but also the individuality of each project” (Blythe 2016: 01:41). The grouping of projects should serve as being useful in providing insights into the practice at hand. These grouping consequently brings insights into the current trends and historical development of a practice over time.

Practical implementation of step 2 will require cataloguing the studied films mentioned above. Among others, the grouping will include the various films' release date. Catalogues will be narrowed down regarding similarities to what the proposed study aims to accomplish. The cataloguing will most probably have subcategories, such as films inspired by true stories, with the theme revolving around sex trafficking as a form of human trafficking.

Blythe's framework design notes step three as *the identification of urges*.



Fig.1.4: Blythe's Five Steps, a Practice-based Research Model, Step 3

“An urge is an interesting term because it refers to something that is perhaps not yet completely explicable, it is not necessarily describable in words, but it is a tendency that drives the practice in a particular direction . . . it drives towards singularities and it is this very combination of the drive and the singularity that makes . . . and produces new knowledge through the identification and articulation of singularities rather than general raw theories” (Blyth: 03:48). Reflecting on the specific characteristics of the practice will assist in identifying what Blythe calls “urge lines”, “fascination lines”, “and the wonder that is at work” or “the idea of some familiar theme that runs through sets of projects” (Blythe 03:58). This active method of reflection allows artistic researchers to document the historical development of a practice and the development, sustainability, and relevance of urges and singularities within a specific practice over time. By studying previous and current modern trends within a practice, the artistic researcher can make a more informed choice in selecting the proposed artistic project as part of a dissertation, based on the needs identified through the reflective processes.

Filtering will be accomplished by narrowing down the categories mentioned above even further to identify any specific recurring urges. One cannot at this stage predict what the literature studies and Blythe's step 1 & 2 will result in.

After finding the urges, the fourth step is to reflect on how these trends in step three relate to other similar practices.

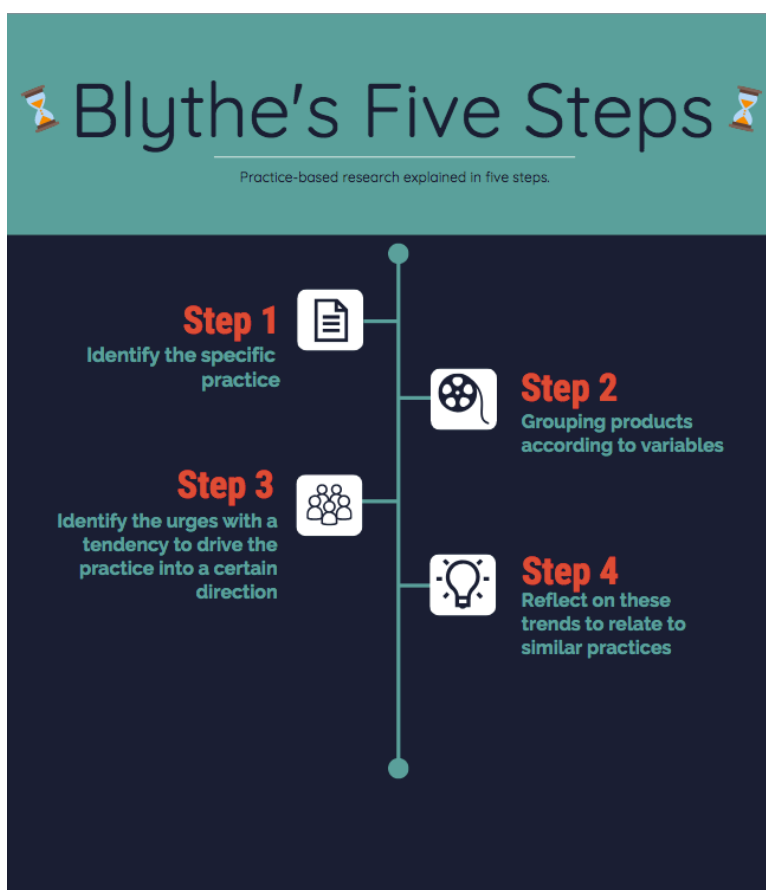


Fig.1.5: Blythe's Five Steps, a Practice-based Research Model, Step 4

This step aims to contextualise the proposed artistic practice within a broader spectrum of related practices. Furthermore, by reflecting on these trends identified in the previous steps, a platform is created where inter-practice relationships can occur. The artistic researcher does not reflect only on their work or the projects associated with their specific practice, but as Blythe states: “there is a responsibility, from a research point-of-view, in terms of how a creative practice works, to begin to associate these key moments and the work itself with other projects and other communities that are critical in terms of the practitioner’s own thinking about their practice and their work” (Blythe 2016: 06:25).

The fifth and final step in Blythe’s framework relates to the *exhibition of the projects* that form part of the artistic researcher’s study. Refer to Fig 1.1: Blythe’s Five Steps, a Practice-based Research Model.

There are three critical features of this phase in the proposed study, which includes (1) the presentation of projects, (2) a dissertation accompanying as research output, and lastly (3) the examination of the final post-graduate degree. The presentation of the artistic project should be assessed by an examination panel and peers, who produce work within the same practice or form part of the disciplinary community wherein the practice is rooted.

The proposed study’s fifth step will consist of a short film, presumably based on the defamiliarization process described by Van Den Oever (2010), with the focus on creating

awareness of human trafficking in Southern Africa. The proposed study will make a short film inspired by Grizelda Grootboom's narrative, implementing modern-day technology with which the viewer can easily associate. The film will attempt to leave viewers with an understanding of these victims, knowing that it is not their fault.

Research that is primarily practice, rather than theoretical, is called 'practice-based' and is applied by artists, designers, filmmakers, and theatre practitioners. Creative output can be produced, or a practice undertaken as an integral part of the research process, with the condition that a theoretical explanation supporting a practice accompanies it. A thesis rising from practice-based research is expected to show original research supporting the creative outcome (Candy 2006). The film will be accompanied by a theoretical dissertation supporting the creative project.

1.7 Value of the research:

The researcher's aim of the proposed study is to create awareness of human trafficking through a reflexive documentary-style, modern fiction film inspired by the actual events that Grizelda Grootboom (a human trafficking survivor) went through.

By creating a short film for the community, women are more aware of which precautions to take and where to seek help. The proposed study will be of great value to bring attention, compassion, and resources to the plight of victims of trafficking. The proposed filmmaker will aim to produce a reflexive documentary-drama short film with the primary goal to create awareness of human trafficking, by raising concerns in our society, which, according to the US Department of State (2018), will help shape the evolving attitudes, perceptions, and policies regarding trafficking.

The filmmaking process will enable the researcher to become a master in the field, specifically the production and post-production phase of filmmaking, consequently allowing her to pass her knowledge to other aspiring filmmakers, specifically at the University of the Free State. The fields of study that would benefit from the proposed research include Psychology, Languages, Drama and Theatre Arts, and Social Sciences.

Section B: Literature Reviews

Chapter 2:

Theme specific literature study on slavery with the main focus on human trafficking

2.1 Introduction

This chapter is motivated due to the complex and complicated nature of the subject matter. Slavery is generally defined as a civil relationship where one person has complete power over another and controls their life, especially with regard to being forced to complete work, most often without reasonable payment. The human rights organisation *Anti-Slavery International* defines slavery as “being forced to work, often under threat; being owned or controlled by someone else; being dehumanised or bought and sold as property; and being physically constrained or having restrictions placed on free movement” (Aylmer 2005).

Historically, the first form of enslavement in Africa involved putting prisoners of war, criminals and debtors in service, causing them to lose their freedom. During the time of deprivation, families volunteered to become slaves in return for daily meals. The slave owners had a social obligation towards their slaves, and the slaves had minimal human rights, such as the ability to purchase property or even their freedom (Aylmer, 2005).

2.2 The impact of the slave trade on Africa

The *Transatlantic Slave Trade*²¹ had an immense impact on Europe and the Americas, causing abundant wealth to the traders and their respective countries. From the sixteenth to the nineteenth century, there was a definite decrease in the population growth rate in Africa

²¹ Millions of Africans were enslaved and transported to Europe and the Americas from the sixteenth to the nineteenth century, due to a high demand for labour on farmsteads. Over the course of a few years an international trading system was established, where Europeans and North American countries exchanged merchandise for slaves from Africa (Ogunsola, 2000). Slavery, or rather Human Trafficking and Colonialism is directly linked. For further reading, refer to research by Beatri Kruger, Marcel van der Watt, Ajwang' Warria, Monique Emser etc (in South Africa) illustrating some of these complexities and connections.

(Aylmer, 2005). When Eltis (2001) was posed the question as to why the slaves were always African, he responded by stating that generally slaves were not enslaved from their home countries, and European countries had access to ocean-going technology which gave them access to remote people and to relocate them against their will. During the early modern period, Africans were generally less educated than European citizens, with a much narrower sense of their rights regarding enslavement, explaining the rise of the transatlantic slave trade. The earliest form of slavery in African countries comes down to a differing social status and identity (Eltis, 2001). One can, however, not ignore the fact that there are African slaves who empowered themselves by trading amongst fellow captives and derived wealth by the trade (Aylmer, 2005).

2.3 The long-term effect of the slave trade in Africa

Professor Nathan Nunn²² completed a paper at the University of Illinois, stating that Africa delivered poor economic performance during the last half of the twentieth century. The main explanation for Africa's current underdevelopment is its historical extraction account due to colonialism and slave trade. Approximately twelve million African citizens were enslaved during the transatlantic slave trade alone. Unlike any other slave trades predating the transatlantic slave trade, individuals were enslaved by people of similar ethnicities, with harmful consequences, such as political and social instability, as well as ethnic fragmentation. Nunn (2008) states that there is a direct link between countries that were initially underdeveloped and contributed to slave trades and countries that endure underdevelopment in the twenty-first century. He concludes by stating that the data is consistent with history, proving that the past slave trades inhibited larger ethnic groups' foundation, leading to ethnic fractionalization, resulting in underdeveloped political and social structures (Nunn, 2008).

2.4 Human Trafficking defined as a form of enslavement

²² Nathan Nunn is a Canadian economist and the Frederic E. Abbe Professor of Economics at Harvard University. Being one of the world's most prominent economic historians, he is perhaps best known for his research on the long-term effects of slave trade on Africa (Nunn, 2008).

Based on the definitions mentioned above, human trafficking is nothing more than modern-day slavery, exploiting victims sexually against their own free will. Molema (2013) states that the main purpose of human trafficking is profit-making through another human being's loss of power. Although the act of trafficking humans includes an extensive list of practices, such as various types of forced labour, the focus is on sexual exploitation, which includes prostitution and sex work, as Molema's (2013:23) research proved that 79% of trafficked women are used for sex work. In comparison, 18% is used for forced labour of any other nature.

To comprehend the full nature and extent of human trafficking, one must understand the difference between trafficking and traditional slavery, as well as the difference between sex work and trafficking. Slavery is apparent when one human subjects himself solely to the will of another human being, making the slave the property of the master. Slavery is described as "the most extreme expression of the power human beings possess over their fellow human beings, representing the most direct attack on the essence of the human personality and dignity" (Molema 2013: 62).

The difference between sex work and trafficking comes down to the difference in reward. When engaging in sexual activity for a reward, usually financial in nature, it is categorized as sex work. *Trafficking*, as opposed to the statement mentioned above, refers to the exploitation of people, sexual of nature, against their will. Thus, the individual's willingness to sexually interact and the reward connected to the sexual intercourse determines whether it is sex work or a trafficking offence (Delpont 2007).

The trafficking of women over country borders for commercial sexual exploitation increased during the nineteenth century when young women were brought from Europe into South Africa to work as prostitutes for the mine workers. Simultaneously, many African girls were taken to Europe, where they were forced to work as sex slaves in French ports (Molema 2013:63)

During the 1990s, developments regarding the AIDS pandemic, the feminist movement and child sex tourism created a renewed interest in human trafficking globally. There was found that no agreements had been adopted between 1950 and 1990, yet countries were pressured into reapproving the 1950 convention, which was signed by 1996. However, it was lacking and outdated, as it noted that trafficking was solely undertaken for the sexual exploitation of women (Molema 2013: 63).

Activities such as soliciting, procuring and brothel-keeping, related to prostitution might still be illegal in South Africa^{23, 24}. Yet, the policing thereof has intensely relaxed in the past few years, dating as far back as 1995 (Davidson & Taylor 1995). Human trafficking, especially amongst women and girls, is not a new phenomenon and has taken many forms since then (Jinnah 2013: 112). According to Molema (2013), the most troubling factor in this regard is the increase in the internationalisation of the sale of children, as well as the prostitution and pornography of children. Jinnah (2013) defines *human trafficking* as “a complex, multifaceted phenomenon involving multiple stakeholders at the institutional and commercial level.” The trafficking industry has transformed into a global, demand-driven sector with a demand for slavery and commercial sex. The primary driving force is poverty, directly linked to the exploitation of people with a lack of education and employment opportunities. Consequently, the growing demand for cheap labour and an ever-increasing globalised sex industry goes hand in hand (Jinnah 2013).

South Africa’s legal stance regarding human trafficking is stipulated in *the Prevention and Combating of Trafficking in Persons Act of 2013*. Still, it remains unoperational to date as supporting notions have not yet been passed. According to the act, an individual is guilty of trafficking if they deliver, recruit, transport, transfer, harbour, sell, exchange, and lease or receive another individual within or across the borders of the Republic of South Africa for the primary purposes of misuse through means of fraud, deception, kidnapping or the abuse of power or vulnerability (Delpont 2007). The absence of legislation in this regard results into human trafficking being prosecuted as part of various common-law crimes, such as kidnapping, rape and assault, as the Constitution of the Republic of South Africa, 1996, states that “No one may be subjected to slavery, servitude and forced labour” (Molema 2013:3).

²³ Nina Molema completed her doctorate in the field of Law in June 2013, titled “Combating human trafficking in South Africa: A comparative legal study” making her an updated and current expert in the field of human trafficking in South Africa.

²⁴ “On July 29, 2013, South Africa’s President, Jacob Zuma, signed into law the country’s first comprehensive legislation on human trafficking, the Prevention and Combating of Trafficking in Persons Bill (PCTPB), which, among other goals, seeks to implement South Africa’s international obligations with respect to the problem. The legislation criminalizes various acts that constitute or relate to trafficking in persons and imposes harsh penalties for violations. Among the offenses enumerated in the legislation are that trafficking persons are punishable by a maximum of life imprisonment” (*Id.* § 4) (Goitom 2013: 9).

Despite the legislation currently in place, human trafficking presently continues to grow, with research proving that it is intensified due to constant issues such as poverty and gender inequality. New problems are arising and include globalisation and information technology, enabling more effective communication between traffickers and their victims, as well as anonymous sales transactions, which according to Molema (2013:63) currently makes it easy for the human trafficking industry to be more common than any other noted time in history.

According to Molema (2013: 68), trafficking has three major problems at hand, which create a snowball effect following each other, namely an economic crisis, a health problem and, lastly, a legal problem. Firstly, most females being trafficked are lured with false promises of monetary gain, leading to the risk of infection with HIV, which causes a health problem. Lastly, these victims are seen as inferior, creating gender and cultural discrimination, stripping them of their human rights.

The current victims of human trafficking are the hardest to identify due to the exchange's clandestineness. A possible visible indicator of victimisation is people under the constant surveillance of their employer, as well as if no outside communication is allowed without the employer being present. The authorities may have saved former victims who survived trafficking, and these victims may have escaped or may have been bought by the clients of the traffickers. These survivors suffer the experience long after they have regained their freedom. They may be infected with diseases such as sexually transmitted infections and Human Immunodeficiency Virus Infection, and acquired immune deficiency syndrome (HIV/AIDS), as well as carry the burden of permanent damage caused by physical violence and psychological damage such as Post-Traumatic Stress Disorder (PTSD) (Molema 2013:68).

2.5 The stages of Human Trafficking:

When researching human trafficking, one can identify three stages: recruitment, transportation, and exploitation. Recruitment is usually succeeded by using false promises about high-income employment or kidnapping. Victims are often desperate and respond to false promises of employment advertisements in the media for jobs which require limited skills, which leads to a trafficker deceiving the victim into thinking they are travelling abroad to fill a particular position, only to realise the full exploitive nature of the position upon arrival (Molema 2013:68).

After recruitment, transportation follows, where the victim is removed from their familiar surroundings, whether the transportation is legal or illegal, leaving victims vulnerable and defenceless. By removing the victims from their familiar surroundings, traffickers guarantee that victims are left without a support system. The new surroundings often have a different native tongue, and often the victims are left without the necessary legal documentation to enter their new surroundings (Molema 2013:68).

The third phase of human trafficking is exploitation, which is the prime purpose of trafficking. After being transported, the victim grasps that the trafficker lured them under false pretences. If the victim had any funds or legal documentation such as a passport, it is confiscated by the trafficker. Suppose victims are trafficked to work in the sex industry. In that case, they are usually drugged and raped upon arrival after the trafficker exploits the victim for financial wealth, sexual satisfaction or both until the victim is of no further use to the trafficker, which is when they are disposed of (Molema 2013: 69).

During a symposium at UNISA in Pretoria, 2018, Grizelda Grootboom, a human trafficking survivor shared her story, confirming the stages mentioned above. During the apartheid government in South Africa, Grootboom and her father lived on the streets, continually relocating between shelter homes. After the death of her father, she went searching for her mother in Khayelitsha at the age of nine. Her mother had in the meantime remarried and denied Grootboom as her daughter. Still, she let Grizelda stay with them in the informal settlement of Khayelitsha, where she had no support system or understanding of the native tongue. Her mother sent her to fetch water one afternoon. On her way, she was gang-raped by four men in the neighbourhood. Upon arrival at home, she was beaten up for not returning with the water she was sent to collect. “My mom beat me up. She didn’t care about the blood stains,” said Grizelda during the interview. These events led to Grizelda choosing a life on Cape Town’s streets, rather than returning to her mother. At the age of eighteen, Grizelda met a woman who promised her a better life in Johannesburg (UNISA 2018).

“We went to Yeoville. I still remember the house she took me to. It smelled so clean. Gave me so much hope life was about to change. I was woken up with a kick in my stomach. Kicked, undressed, dark tape on my eyes, injected with crystal meth. In my mind, I was thinking this house is getting robbed. This went on for twelve days. Different men would come into my room and sleep with me, and every client was another ecstasy, it was another drug, just over and over. I got out of the house looking like a prostitute, smelling like a drug addict. I then walked all the way from Yeoville to Park Station half-naked. No time wasted, I got myself a client, got myself a fix and joined the rest of the girls in Berea. Of course, I was welcomed

by a pimp. If you are new, first thing you are taken by a pimp. And I told myself I am going to work so hard and please my pimp, so I can just get a fix every sixteen minutes because crystal meth and cocaine was all I could feel. This was from age eighteen until twenty-six” (UNISA 2018). At the age of twenty-six, Grizelda found out she was pregnant. Six months into her pregnancy, Grootboom refused a client and was forced into abortion. Three hours after the procedure took place, her pimp sent her back to work. Upon refusal, she was “beat up so badly that I collapsed. I was found on Bree Street in Johannesburg and taken to the hospital. When I woke up several weeks later, both my body and mind were damaged. In the hospital, I was visited by a nun who prayed for me while I was there, and took me to a Catholic rehabilitation centre for drug addicts” (Grootboom 2016: 133) (UNISA 2018).

“In those first three weeks of rehabilitation, not taking coke or any other drugs, and not having sex was not too difficult for me, because I had made up my mind to change. I still had my cigarettes and weed, and my heart was aching for change” (Grootboom 2016: 133). She admits contemplating suicide during those times, and while becoming sober she “mostly just wanted to die” (Grootboom 2016: 133).

Grizelda is currently studying Human Rights Law and is of the opinion that society should be doing more to protect the victims of human trafficking. “I am now advocating for woman’s rights and against the abuse of women and children. I am doing this because I once woke up in a hospital bed after being beaten, drugged and enslaved. And I said to myself that for the rest of my life, I would fight to make sure other girls did not go through what I experienced” (Grootboom 2016: 190). “There needs to be a law that protects women, where women can just walk freely. We need that, that change needs to come,” said Grootboom. “We have enough stories, it’s time to fix these stories. I’m here fighting, creating policies and structures for victims to get a safe house” (UNISA 2018).

2.6 The media involvement in human trafficking:

Tarryn Hinton²⁵ spoke at the symposium mentioned above at UNISA in Pretoria, 2018, about the media's role, which main focus, according to her, is to inform, educate and entertain. “The challenge with educating and informing is if you don’t really understand what it is you are trying to tell your audience, they cannot convey that message.” The media needs to be able

²⁵ Legal Advisor to Media Monitoring Africa and Coordinator of the Wits Honours Course: Reporting on Children in the Media

to report trafficking, and Hinton wants to ensure that that happens. According to Hinton (UNISA 2018), in many instances when people think of trafficking in the media, they refer to cases abroad, not focussing on our own country and its trafficking crisis. She wants to change how human trafficking is being reported in the media. Melanie Hamman (2011) is of the opinion that journalists should “seek truth and report it as fully as possible, act independently and minimize harm.” Broadcasters are required to comply with the *Broadcasting Complaints Commission of South Africa (BCCSA)*. At the same time, all printed media are overseen by the South African Press Council's Constitution, which compiles journalists to obey the press code in place (Hamman 2011).

Unfortunately, ethical and legal dilemmas arise when attempting to report cases in this regard. According to Hamman (2011), the media should be equipped to report about human trafficking and child protection accurately and responsibly, with the intent to educate the public. Just like the rest of society, the media is obliged to live by the Bill of Rights of the South African Constitution, to respond with the minor's best interest at heart.

Section 154(3) of the Criminal Procedure Act states that “No person shall publish, in any matter whatever, information which reveals or may reveal the identity of the accused under the age of eighteen years, or of a witness at criminal proceedings who is under the age of eighteen years.” This act includes the reporting of rape victims. The media has a responsibility to adhere to the act mentioned above, while raising awareness of child trafficking, seeing as the media is a powerful instrument for changing the way people view and discuss current issues around them (Hamman 2011).

If human trafficking remains an unspoken topic, the crime will remain unreported and victims, mostly women and children, will continue to be victimised (Hamman 2011). Currently (as per the date of the article), the lack of accurate and precise data regarding human trafficking is one of the main issues in fighting it in South Africa. Therefore, a reason that there is insufficient reporting of incidents in this regard is often due to the matter not being identified as human trafficking, but rather as cases of kidnapping, rape, and assault (Hamman 2011). By creating a platform where precise and accurate reporting of these cases is possible, the media will inform the public while gathering information on the crime simultaneously; the extent of it, where it takes place and who is targeted (Hamman 2011).

STOP (Stop Trafficking of People), an anti-human trafficking organisation, predicted that 100 000 citizens would fall victim to human trafficking during the Soccer World Cup in 2010. Yet, only five victims were reported during that time. By failing to acknowledge the existence of such cases, Hamman (2011) suggests that South Africa's media is hindering efforts

to combat this form of modern slavery. The non-existence of data on human trafficking makes it harder to report and easier to continue spreading myths in this regard.

The media should collaborate with the authorities such as stakeholders, border police and government law to combat trafficking. The media is known to solely reproduce facts and figures, while playing a pivotal role in investigating and exposing trafficking incidents (Cooray 2014).

The media often victimises and endangers the victims of trafficking by exposing them to the public and portraying them as stereotypical weak and naïve citizens (Cooray 2014).

According to Cooray (2014), the media should reach specific outcomes to contribute to the fight against human trafficking. The first objective is to increase awareness of the various types of human trafficking. The second objective is to train and educate journalists to identify strategies to run anti-trafficking initiatives. Thirdly, means should be identified to educate the public through the use of social media campaigns. Lastly, an international platform should be put in place to marginalise a solution for reporting human trafficking, rather than the current discreditable misrepresentation.

2.7 Human Trafficking awareness:

In a message from the United Nations Secretary-General, Antonio Guterres, on the World Day against Trafficking in Persons on 30 July 2018, Guterres stated that, “Trafficking in persons is a vile crime that feeds on inequalities, instability and conflict. Human traffickers profit from people’s hopes and despair. They prey on the vulnerable and rob them of their fundamental rights. Children and young people, migrants and refugees are especially susceptible. Women and girls are targeted again and again. Human trafficking takes many forms and knows no borders. Human traffickers too often operate with impunity, with their crimes receiving not nearly enough attention. This must change. Let us come together and build a future where this crime does not exist” (Guterres 2018).

To assist in creating the future mentioned above, one must comprehend that the victims are never to blame and often do not accept themselves as victims. These victims would often rather blame themselves for the victimisation they undergo. There are various methods to control these victims, including abuse; sexual, psychological, and physical of nature, intimidation, debt bondage, confinement, withholding of essential living necessities and threats of being deported or having their passports confiscated. The trafficker commonly forces victims to deliver documentation stating fabricated social and medical histories, out of fear of

the police and government officials, and for the safekeeping of their loved ones (Anthony, 2017).

According to Professor Sonja Verwey (2016)²⁶ “our role as educators is to inspire our students to make the world a better place by reflecting on issues such as human trafficking.”

Currently, a growing movement, whether in the form of printed or social media, exposes human trafficking as a real concern not only from a human rights perspective but also from a national security perspective. Merely fifteen years ago, human trafficking was an unspoken taboo topic worldwide, often misrepresented and sensationalised. Fortunately, a remarkable shift has occurred in true agenda-setting and public-interest reporting about human trafficking. Proper reporting has helped change the general public’s perspective in realising that trafficking is real and impact people’s lives daily in nearly every region of the world. Human trafficking patterns are constantly sprouting in new and evolving ways, and the media’s attentiveness helps keep the general public informed. In pursuit of conducting more research, the general public will better understand how the crime works, identifying and supporting victims, and ultimately preventing the crime from happening (United States Department of State, 2018). Therefore, the researcher contends that the proposed study in the form of a film inspired by actual events will create more awareness in a local pane, with immense advantages.

2.1 Conclusion:

To conclude the chapter on human trafficking, one can agree with Mr Richard Ots²⁷ that trafficking is the most significant human rights battle of modern times, especially when studying the figures of Verwey’s survey; current estimates indicate that the number of slaves (irrespective of the nature of slavery) around the world range between 15 and 30 million people, which is higher than ever before (Vervey 2016). Fortunately, there is a growing movement concerned with creating awareness and the fight against human trafficking with the cooperation of The Department of Justice and Constitutional Development, the media, educators, society as well as survivors of human trafficking such as Grootboom (2018) who states, “I am now

²⁶ Professor Verwey, current Head of Department of Strategic Communication at the University of Johannesburg, conducted a Human Trafficking Awareness survey alongside her lecturing colleagues Caroline Azionya and Anna Oksitycz. The data collected was collected from people between the ages of 12 – 25, who predominantly grew up in the city of Gauteng, 16.4% of participants grew up in rural areas of the Gauteng province. According to Verwey (2016), most concerning result from the study was that 78% of participants were not aware that most human trafficking victims in South Africa are in fact South African citizens, and not immigrants.

²⁷ Richard Ots, Chief of Mission, International Organization of Migration in South Africa.

advocating for women's rights and against the abuse of women and children. I am doing this because I once woke up in a hospital bed after being beaten, drugged and enslaved. And I said to myself that for the rest of my life I would fight to make sure other girls did not go through what I experienced".

Chapter 3:

Medium-specific literature study on the documentary genre, with the main focus on the making of reflexive documentaries.

3.1 Introduction:

A documentary is “a piece of written, printed or electronic matter that provides information or evidence of events.” Documentaries deal with a world of shared experience. A documentary's subject is non-fictional and visual, tactile or an object we interact with. It is taken from the real world and part of life's actuality (Nichols 1991).

Due to the many variations in modes, there is much debate over what defines a ‘documentary’ film. The documentary program's criteria include that the footage consists of information and evidence that is actual, and recorded by on camera as it happens in reality, and that the relevant notes accompanying the footage are filed. The content must be objective, honest, truthful and in no manner misleading to the audience. Any viewpoint that does not accurately reflect the facts should not form part of the documentary (Snyman 2007).

3.2 Documentary defined:

Although this study will assess the six most commonly accepted modes of documentary as a form as described by Bill Nichols (2010), foremost, we need a standard definition of the term ‘documentary’. Documentary generally falls under the subcategory of non-fiction; a form of storytelling that makes statements or observations about the factual historical world, rather than a fictitious world of fiction (Nelmes 1996). The preconceived notion that a documentary film must primarily make use of literal, actual footage, such as images and sounds recorded accurately as they happened, is undoubtedly true in some cases. Nonetheless, it is entirely possible for a film consisting predominantly of reconstructed or re-enacted scenes to be considered a documentary film. Documentaries of this nature have been categorized in subgenres of this genre of filmmaking over time. According to Nelmes (1996), the critical defining factor is that the film in question makes proclamations and allegations about the real-world, providing evidence to prove these proclamations and allegations through means of audio-visual material. This statement remains unchanged more than a decade later, when Nichols (2010) states that a documentary is not merely a reproduction of the reality, but rather

a representation of the world we already occupy and perceive. This ‘assertive’ stance and ‘evidential’ foundation of a documentary film do not necessarily mean that documentaries are explicitly laid out as ‘arguments’ (Nelmes 1996).

Nichols further states that the difference in subgenres of documentary-style filmmaking comes to light by how the viewer judges it. A precise reproduction of facts is judged according to accuracy and a lack of subjectivity, where a representation of facts, reconstructing events and making use of re-enactments is judged by the “nature of pleasure it offers, the value of the insight or knowledge it provides, and the quality of the orientation or disposition, tone or perspective it instils. Documentary films use various techniques, depending on the aim and purpose of the film. These techniques include explicit arguments, allusive or associative connections between things, dramatic reconstruction, and different levels of filmmaker ‘intervention’ in the reality they are interpreting” (Nelmes 1996).

3.3 The rise of the documentary genre:

The invention of motion pictures in 1896, left audiences in awe with fascination and wonderment. For the first time audiences could see moving images on a screen, leading to the birth of the first motion picture producers and directors of fiction films (Snyman, 2007). Arguably, these first filmmakers' actualities were simultaneously the first documentary films, such as the Lumière Brothers in France and Sagar Mitchell and James Kenyon in the UK. The camera was used primarily to capture a slice of life mechanically. Films of this nature are of fundamental significance, for film historians and historians in general: they document the specificities of a particular milieu (Nelmes 1996). A simple, straightforward representation of reality was initially perceived as innovative and unique. Even the most straightforward films, such as *The Arrival of a Train* (1895), illustrate documentary films with directorial intervention.

Nichols is, therefore, of the opinion that it is problematic to pinpoint the rise of the documentary film genre to its ‘mythic origin’ in early cinema (Nichols 2001). One cannot construct a simple timeline dating the earliest non-fictional actuality films to modern documentaries with a more complex structure, since such a direct examination of history tends to ignore other factors such as using film technology for scientific rather than cinematic purposes. With the above in mind, one can learn a lot from exploring how these proto-documentaries, as Nelmes (1996) refers to them, regarding their similarities or differences from other forms of non-fictional films.

Noel Carroll (2003) refers to these films as ‘paradigmatic documentaries’, meaning that they are an example of the form – “their original exhibition context was one of novelty and wonderment.” Dai Vaughan (1999) notes that Georges Melies²⁸, who was present at the first-ever screening of *Workers Leaving the Lumiere Factory* in Paris in 1895, emphasises details such as rustling leaves in the background of the film. Despite future commentators emphasising that those first viewers were naïve, dating as far back as 1895, viewers were fascinated by the cinema's ability to document the appearance of reality accurately. Although we can now look back on these ‘proto-documentaries’ with thoughts of peculiarity, their recordings of a slice of life, with its unrefined appearance, is undoubtedly accompanied by contextualising remarks from the exhibitor. Nothing other than voice-over narration visible in a modern-day documentary. Nelmes (1996) and Vaughan (1999) state that perceiving these early day documentary films as simplistic recordings would not be accurate. Nevertheless, they are not suggesting that these films are the same kind of documentaries we view today. Tom Gunning (1995) states that even these early actuality films must be seen in a context of “an aesthetic of astonishment, where self-conscious display and connections to the spectacle of the magic theatre are foregrounded despite the often-quotidian content of the films themselves.”

These early films lead to the development of factual films. Governments recognised the potential of using film as an informative medium of communicating important happenings. Initially, these films took the form of newsreels, for example luring citizens to the cinema to see their men in action during World War I, (Snyman, 2007). Although these ‘proto-documentaries’, as referred to by Nelmes (1996), carry historical importance, these factual films lack “the decisive creative shaping” that differentiates documentary films from other types of non-fictional films. The first recognisable type of documentary film is visible in Robert Flaherty's works. He successfully directed and produced *Nanook of the North* (1922), where dramatic narrative structures were initially urged on actual material, moving the documentary genre into a recognisable type of documentary form. Later, he also directed *Moana* (1926) and *Man of Aran* (1934). Flaherty's work was seen as important, yet simultaneously controversial for its methods. Rather than merely recording reality, Flaherty created films with a dramatically structured, clear narrative goal and preconceived expectations for the viewer. He focuses on real people and their circumstances, drawing attention to certain individual lifestyles' allegorical resonance. In *Nanook of the North* (1922), for example, Flaherty engaged

²⁸ George Melies was a French illusionist and leading film director in the earliest days of cinema, responsible for many technical and narrative developments.

himself in the indigenous Inuit culture's lifestyle, spending a year living with them. His method undoubtedly suggests participant observation, where the filmmaker records his observations as objective as possible. However, when creating the film itself, Flaherty was not reluctant to the idea of fabricating events. For example, he constructed an igloo with an open side to allow the filming of interior shots, and Nanook not hunting with the actual modern weapon used, but using a traditional harpoon for filming the hunting scenes. The relatives in *Nanook of the North*, *Man of Aran* and *Louisiana Story* (1948), for example, are not blood-related; they were 'cast' because they suited Flaherty's concept of what makes a good Inupiaq, Irish or Cajun family (Nelmes 1996). Documentaries became true-life stories incorporated with viewer perspectives and interpretation, leaving directors able to deliver social commentary on their subjects (Snyman 2007).

In *Moana* (1926), one notes the persons of Polynesian origin performing rituals in front of the camera long after they have stopped performing these rituals in their modern-day lives. Methods of re-enactment are unavoidable when creating a documentary, especially in Flaherty's era of location-filming with a hand-held camera (Nelmes 1996). However, the justifiable use of reconstruction links into debates about drama and re-enactment, which raises the spectre of ethics: is it ever admissible for a documentary filmmaker to fabricate things to achieve the 'higher' aim of revealing the 'inner truth' of the subject matter? Flaherty was certainly of the opinion that it is, in fact, admissible to reconstruct his observation to reach what he perceived as the essence of what he was showcasing (Nelmes 1996).

A dramatised reconstruction of events is used when vital authentic footage does not exist. However, the topic of the documentary will determine to what extent these dramatised scenes are used. Documentaries of such a nature are always a combination of actual footage, re-enactments, archive photographs and interviews (Snyman 2007).

Whether documentary filmmakers were producing historical documentaries, nature programs or documentaries of a political nature, they are scrutinized for the ethics applied to their practices. For the most part, documentary filmmakers rely on individual judgement and guidance when applying ethics to their film. A clear understanding of the documentary filmmakers' obligation toward their subjects has proven challenging over the past few years, especially with the various documentary modes deriving rapidly (Aufderheide, Chandra & Jaszi, 2009).

3.4 The ethics involved in documentary filmmaking:

According to Jaszi (2009), pure facts being retold have no ethics. “It’s increasingly entertainment. To look at a homicide that happened seven years ago and look at who did it—it’s good entertainment. It has no ethical or redemptive value. It’s not increasing anyone’s knowledge.”

Aufderheide, Chandra & Jaszi (2009) ask the following questions with regards to ethics and documentary filmmaking: “When documentary filmmakers do have to make their own ethical decisions, how do they reason? What are their concerns? How much do their own reasoning processes correlate with existing journalism codes?” Ethical norms have become more critical, especially with the production of documentary films dealing with ethical norms becoming more generalised.

Documentary filmmakers believe in assessing a case of ethics on an individual case-by-case basis, yet they agreed to general principles. They are of the opinion that their work should never harm their subjects, although the filmmaker has more social, and in some cases, economic power than the subjects involved. Aufderheide (2009) emphasises that they work for a notion of “do no harm” and “protect the vulnerable.” “We want to have a human relationship with our subjects,” said Gordon Quinn (2014), “but there are boundaries that should not be crossed. For example, any kind of romantic relationship would be unacceptable. You always have to be aware of the power that you as a filmmaker have in relationship to your subject.”

Steven Ascher (2007) is of the opinion that “revealing a subject’s weaknesses or positions that the audience is likely to find laughable or repellent, can be justified when they are taking advantage of other people or when they are so completely convinced of their own rightness, they would be happy with their portrayal”, and further states, “You don’t owe them more than that.” Due to the power difference between the filmmaker and their subject, some filmmakers make unilateral decisions, usually to exclude material showing empathy towards the subjects. “It’s important to lift up people who tell their stories, as opposed to making them victims. It’s a moral decision not to enter their lives to only show how poor they are” (Ascher 2009).

Filmmakers try to assure that their footage is not reused by other filmmakers, firstly as it may represent their work in a different context, deriving from the truth. Secondly, as said by Quinn (2014), “That is part of how you generate revenue as a filmmaker, it’s a case-by-case example. Who is it and how they are using it is also important, because as a small independent filmmaker you are personally accountable. It’s your reputation. If you abuse this, then you

won't get access to people for the next project." Irrespective of the project's nature, filmmakers usually insist on their subjects signing a release form that allows the documentarians to have complete editorial control and ownership of the footage. Yet, filmmakers commonly feel that it is inhumane to refuse a subject to withdraw from the project, whatever the reason therefore, although they have signed the release form (Aufderheide, Chandra & Jaszi 2009). Aufderheide stated that a more personal approach towards subjects prevents this from happening. "We are not journalists; we are going to spend years with you. Our code of ethics is very different. A journalist wouldn't show you the footage. We will show you the film before it is finished. I want you to sign the release, but we will really listen to you. But ultimately it has to be our decision." Aufderheide further notes that "If there is something that you can't live with then we'll discuss it, we will have the argument and real dialogue. In the end, if I can't convince you, then we'll take it out. (Aufderheide, Chandra & Jaszi 2009)"

When using subjects, the question of payment undoubtedly arises. Journalists forbid payment out of fear of receiving tainted information. Filmmakers such as Aufderheide, Chandra & Jaszi (2009) are of the opinion that payment establishes the power differential between the documentarian and the subjects, and serves to cover expenses made by the subject to participate. Jaszi (2009) is of the opinion that payment should also be considered on an individual case-by-case basis. Occasionally, documentarians shared the film's profits with the subjects, although it was not part of the agreement from the start. After the film *Hoop Dreams* (1994) became a big success, Gordon Quinn (2014) stated that Kartemquin Films shared the profits, based on the amount of screen time they had, with every speaking role in the documentary. He felt that it was the right thing to do because their lives and stories created the film's success.

Documentarians are obligated to provide the truth to their viewers, even if their methods deliberately produce a misrepresentation of the truth. Their primary relationship towards their viewers is defined as professional, yet more abstract than the relationship with their subject; with an ethical obligation to provide honest and authentic stories, yet a primary factor in the post-production process: "In the edit room . . . you decide what your film is going to be, you have to put your traditional issues of friendship aside. You have to serve the truth" (Ascher 2007).

Although documentary films generally claim to revolve around the truth, the nature of what defines a documentary film has expanded drastically, blurring the line between a documentary and a narrative film (Fomina 2014). With regards to misrepresentations of the truth, the question of whether or not it is ethical to stage or re-enact events arises. According

to Mosher (2011), staging is generally not allowed in the traditional documentary film genre. Still, it is usually used in reflexive documentaries, to demonstrate the “fallibility of testimony and to question the truths of non-fiction filmmaking.” Filmmakers have to make creative choices regarding entertainment value and how they present the characters (Fomina 2014). Pryluck (1986) states that artistic decisions will always have ethical consequences and vice versa.

With regards to ethics, filmmakers find themselves without standardised norms or standards. There is a need for a sustained and public discussion of ethics, as well as a commonplace to share questions and report concerns about the documentary filmmaking industry (Aufderheide, Chandra and Jaszi 2009). One should acknowledge that the field of documentary films is immense. Techniques applied in documentary films, as well as the styles and topics thereof, vary dramatically. In this broad range, documentarians are guided by personal standards. Their thought process is based on intentions and the execution of techniques, including re-enactments. Filmmakers need to evaluate the circumstances and possible outcomes and make decisions accordingly. Moreover, as ethics in documentary filmmaking are seen as subjective, filmmakers are not unanimous regarding their obligations towards subjects and viewers (Fomina 2014). A credible documentary code of ethics must develop from a shared understanding of values, standards, and practices, especially since this filmmaking genre shows rapid growth tendencies (Aufderheide, Chandra & Jaszi 2009).

Since the 1960s the television industry has grown immensely, bringing documentary films home to the viewer. For the first time, millions of viewers who had never been introduced to this filmmaking genre could view these documentaries. This made producing documentaries more practical and straightforward (Snyman 2007).

A newly directed and produced documentary should be unique. To determine the topic's uniqueness, Snyman provides a list of questions. The first question is if anyone has produced a similar documentary. Secondly, he asks what is unusual or exciting about the researcher's topic, and lastly, he questions whether it will impact the audience member (Snyman 2007). Every documentary produced has its signature or voice, which lends itself to an auteur theory of cinema (Nichols 2010). The Sociological documentary is problematic because of the number of subjects it covers. This subgenre's main focus is to know that it has to do with human-related content. In the *Concise Oxford Dictionary*, sociology is defined as the “whole science of man; physiological and psychological science of man”. This definition includes topics such as human behaviour, drama, pain and suffering.

To summarize, it is about humans, their behaviour, and the meaning of their lives. A social documentary seeks awareness and explanation for human behaviour, morality and social cause and effect. Popular themes are poverty, substance abuse and, in the case of the proposed study, human trafficking (Snyman 2007).

Combining drama and documentary is a prevalent form of documentary. The dramatisation's goal is to recreate and reconstruct details of certain events or incidents. The emphasis is on dramatic reconstruction, where actors re-enact events and interpret characters involved in past events. However, it is essential to distinguish between a *Drama-documentary* and a *documentary-drama*. Both consist of dramatised scenes; however, their balance regarding fact and fiction differs (Snyman 2007).

On the one hand, a documentary-drama relies solely on dramatised scenes based on a fictional story, which only refers to conceivable circumstances, characters, and events. The impression of a documentary film is created, leaving the impression of authenticity, although it is fictional. A documentary-drama is a feature film rather than a documentary film (Snyman 2007).

3.5 The modes of documentary filmmaking:

Under the documentary filmmaking genre, Bill Nichols establishes six modes in which individuals may create their documentary film, whether it is a drama-documentary or a documentary-drama, setting conventions that these films may implement leaving specific expectations with the viewers. The order of the various modes arose chronologically, due to disapproval among auteurs with the previous mode of operation, bearing in mind that individuals have the ongoing urge and desire to represent the actuality of the world in new and refreshing ways, and to keep up with circumstances that are continually changing. Although viewers and filmmakers often perceive “new” as a form of improvement, Nichols argues that that is not the case with the six modes of documentary. “A new mode carries a different of emphasis and implications. It will eventually prove vulnerable, in turn, to criticism for limitations that yet another mode of representation promises to overcome” (Nichols 2010).

These modes are continually evolving and are not mutually exclusive; they can and in most cases do overlap across the history of documentary as a form of filmmaking, and often

co-exist within the same documentary (Nelmes 1996). The six modes are known as the poetic²⁹, expository³⁰, observational³¹, participatory³², reflexive³³, and performative documentary filmmaking mode (Nichols 2010). The possibility exists that a single documentary film can make use of expository, poetic, and observational techniques simultaneously, as suits its purpose at any given time, and generalising, the first four modes are categorised as drama-documentaries. In comparison, the last two modes are categorised as documentary-dramas, given the artistic elements. When investigating these modes in a roughly chronological sense, this is a way of constructing history in a unique form. One mode followed on another, leaving audiences more enticed with documentary filmmaking's evolving genre. How practitioners and audiences engage with different documentary forms keeps this art form vibrant (Nelmes 1996).

For creating the proposed documentary film, the researcher will be studying and applying mainly the reflexive and performative mode, referring to elements of a documentary-drama, which go hand in hand with each other. Here one finds that characters playing a social role have always been unavoidable to the documentary film. However, the extent to which these subjects are perceived to perform to the cameras may differ. These perceived subjective shots is not a new technique created by reflexive or performative documentary filmmakers;

²⁹ "The poetic mode sacrifices the conventions of continuity editing and the sense of a very specific location in time and place that follows from it to explore associations and patterns that involve temporal rhythms and spatial junctions." The mode began in coherence with modernism with the aim of representing reality fragmented, with subjective impressions and associations (Nichols 2010).

³⁰ The expository mode assembles fragments of history into an argumentative frame, rather than an aesthetic viewpoint. The viewer is addressed directly through means of narration or subtitles, proposing a standpoint or argument, relying on informative logic. Voice-of-God commentary is often found in this mode (Nichols 2010).

³¹ The observational mode changed the poetic and expository approach by simply observing what was happening in front of the camera without intervening. The presence of the camera on the scene is testimony to its presence in the historical world. It confirms a feeling of commitment and engagement with the immediate events, especially as it occurs (Nichols 2010).

³² In this mode, the researcher goes into the field, actively participating in the lives of others with the aim of gaining a real feeling of what life is like given a specific context, whereafter the researcher reflects on the experience using methods of sociology or anthropology. It creates a sense of how the situation alters as a result of the filmmaker being participatory in the given circumstances (Nichols 2010).

³³ The motto that a documentary film is only as good as its content is compelling is being called into question by the reflexive mode. This mode addresses issues of realism, taking a form of physical, emotional and psychological realism. The reflexive mode uses and challenges techniques such as continuity editing, character development and narrative structure (Nichols 2010).

from the very first actuality films, through what is perceived as purely observational films such as primary documentaries³⁴, right up to modern films, the notion of a self-conscious performance is noted (Nelmes 1996).

3.6 The narrative of a documentary film

Documentary-style filmmakers often urge to tell strong, character-driven stories, using Aristotle's 5-part structure, aiming to create a narrative film that keeps viewers enticed throughout the film. Factual filmmakers cannot create characters or plot points; they have to search for material in actual events or situations. "The documentarist has a passion for what he finds in images and sounds which always seem to him more meaningful than anything he can invent," Bernard (2018). "It is in selecting and arranging his findings that he expresses himself." If the proposed film is seen as a documentary, irrespective of its nature, rather than propaganda, it should result in good journalism, while telling a compelling story. Storytelling through a documentary film does not primarily make use of narration (Bernard 2018). A documentary-drama is seen as a re-enactment of the events that took place, allowing the audience to visualize the story at hand chronologically. A film of this nature can convey emotion through personal character experiences and keep the audience intrigued throughout the film, instead of traditional documentary films that lack emotion, leaving their subjects distanced from the audience (Marasco 2015). The observational mode of documentary filmmaking is also story-driven, by observing the events in front of the filmmaker, he implements a "fly on the wall" technique of filming. Still, during post-production, he carefully selects only important content that will chronologically tell the story as it truly happened. Creating a story through storytelling elements separates a film from merely visual material documenting a person, place or event. The filmmaker's responsibility is to give meaning to the documented footage, while staying true to the journalistic integrity a documentary filmmaker has to adhere to, without set rules and regulations (Bernard 2018). Other than a drama-documentary, which relies mainly on the actual footage accumulated by the filmmaker, a documentary-drama relies on various elements such as the acting ability of its actors, the camera skills of the cinematographer, the editing ability and the creativity of the editor, as well as the research put into the creation of the film and the budget available (Marasco 2015).

³⁴ The modes of documentary films as discussed previously (3.5) are often referred to as primary documentaries.

Critics, however, are of meaning that the elements mentioned above distort the boundaries between fact and fiction, sacrificing factual accuracy for the sake of entertainment value. Nevertheless, drama-documentaries are not a new phenomenon, as *Nanook of the North* (1926), discussed earlier in this chapter, is reconstructed mainly as a result of “technological impediments to observation”. After that, both dramatists and journalists have developed variations of this filmmaking style, making use of Nichols’ reflexive and performative mode of documentary-style filmmaking (Rosenthal 2005).

3.7 The reflexive mode of narrating a documentary film:

The reflexive mode is a mode that attempts to offer commentary on the representation of its subjects. A reflexive documentary uses techniques that encourage the viewer to question the documentary genre's very idea as a mode, rather than a set genre with set expectations from the viewer. This documentary form is removed from the detached, such as the observational and poetic mode, or the straightforward didactic, such as the expository mode (Piper 2014).

Nelmes (1996) states that the reflexive and performative modes of documentaries are where the most captivating and ground-breaking work is being produced. The reflexive mode of documentary filmmaking is where the actual process of representation, and reinterpretation becomes a feature, rather than merely documenting factual events. The performative mode can be seen as a subcategory of the reflexive mode, and is therefore not solely regarded as an independent mode. Documentaries will always be concerned with the facts, the real world and the people who inhabit it, making the concept of performance within these films seem opposed to previous perceptions of what documentary films are defined as. Bruzzi (2006) notes that documentary films using techniques such as construction, reflexivity and drawing attention to a performance of some extent is not a new concept. However, she does note that an important aspect to consider is the context it is used in. She is of the opinion that director Nick Broomfield, whose reflexive film will be discussed later on, is ‘acting out a documentary’. Still, he had the full prerogative to change facts and the form of events as his film is merely based on facts, rather than a re-enactment of true-life events. His films are concerned with the documentarist's role and his interaction as the filmmaker with the subjects being filmed. “His mere presence suggests that the observer is no longer detached or objective, and his ‘performance’ as a documentary filmmaker, draws attention to the performances of his subjects.” This statement implies that his films are ultimately about the filmmaker and the process behind creating the film, rather than telling the truth (Bruzzi 2006).

The reflexive mode can be seen as most Brechtian³⁵ of the modes; documentaries of this nature does not revolve around the relationship between the filmmaker and the subject, but rather the filmmaker and its audience. In the case of the proposed study, it will rely on the filmmaker's relationship with South African teenagers, which will be the target audience of the proposed reflexive documentary film. Along with the reflexive mode, the performative mode, deriving from the 1980s, places emphasis on the truth as a relative term, choosing to be subjective rather than objective (Moore 2015).

The Leader, His Driver and the Driver's Wife (1991)³⁶ investigates the documentary about the South African white supremacist leader Eugene Terreblanche. Nick Broomfield, director of the film, deliberately makes use of miscommunication and portrayal of 'flaws' in the filming process to emphasise the "ludicrousness of Terreblanche, his beliefs, and his inflated sense of his own importance (Nelmes 1996)". This form of exposure would not have been possible without Broomfield's clear-cut 'performative' strategies.

The documentary film's reflexive mode brings into question that a documentary film is only as good as the persuasive nature of its content. Unlike its predecessors, the reflexive mode also pays attention to how the content is presented, rather than merely focussing on its content.

Performative documentaries also ask questions about what the acquired knowledge result in (Swales 2014). The performative mode relies on the relationship between the filmmaker and its subject, while the reflexive mode questions the principles used by traditional documentary filmmakers, and the social representation thereof. The above-mentioned research confirms the researcher's previous statement that the reflexive and performative modes of documentary filmmaking should be incorporated, rather than isolated from one another to give the viewers the best possible viewing experience; in terms of portraying exact content while ensuring it is done using informative, creative and ground-breaking methods.

³⁵ Bertolt Brecht, German playwright and director, had no admiration for the commercial "bourgeois" theatre of his era. He noticed that audiences were being manipulated by theatrics such as a set, smart lighting, an imaginary fourth wall and emotional acting techniques. He developed a theory named *Verfremdungseffekt*, also known as an alienation effect. The effect replaces theatrics and emotional manipulation in the theatre by breaking the "fourth wall" and exposing the theatrics used in entertaining ways. Many alienation techniques have been incorporated into contemporary films, with the aim of entertaining viewers while using critical and appealing techniques in order to create art (Bogad 2012).

³⁶ A case study on *The leader, his driver and the driver's wife* (1991) is an appropriate choice as it is made mostly focusing on the reflexive mode of documentary as well as the fact that it is a South African documentary based on actual South African events, as with the proposed documentary film.

An example of a reflexive documentary film integrating the performative documentary mode is *Aileen: Life and Death of a Serial Killer* (2002), director Nick Broomfield's second documentary based on the life of, now-deceased, Aileen Carol Wuornos, a prostitute on trial for killing six men in Florida State. This sequel to *Aileen Wuornos, the selling of a serial killer* (1992), a reflexive documentary film, looks into the Wuornos trial, including testimony from the filmmaker, Aileen Wuornos herself (IMDb 2003).

Broomfield had an investigative approach to the film, patiently getting to know his subject and following the trails picked up along the way to wherever it led him. He shares his thoughts on this journey while taking viewers on a Brechtian filmmaking experience, as discussed earlier (McComb 2010). Broomfield leaves viewers astonished when he takes the witness stand in Wuornos' trial himself, portraying himself as a character in his film.

The film follows a chronological order of events, opening with Broomfield himself providing details essential to the rest of the film. He explains his involvement in the film and ends with Wuornos' execution (McComb 2010).

He uses a traditional cinema verité style of cinematography, which was found to be extremely useful. Joan Churchill, the camera operator, catches every essential detail on camera, adding black humour to the film while providing facts. During post-production, faces were often obscured, and people remained anonymous, as their identity did not contribute to the facts at hand (McComb 2010). Dan McComb, a documentary film reviewer, is of the opinion that "there's something magical about inviting people to share your thoughts while making a film the way Broomfield does."

After the release of *Aileen: Life and Death of a Serial Killer*, a biographical crime-drama, based on Wuornos' story, was released as a full feature film. The Oscar-winning *Monster* (2003), written and directed by Patty Jenkins, received enormous appraisals for its portrayal of Wuornos' story. However, Broomfield was concerned that the murders that took place have turned into a "commercial circus" (Catapano 2007).

Before *Monster* (2003), the documentaries had very different viewpoints than the documentary-drama at hand. *Aileen Wuornos, the selling of a serial killer* (1992), initially took a sympathetic view to Wuornos's claims that she acted purely out of self-defence (Catapano 2007). A decade later in *Aileen: Life and Death of a Serial Killer* (2002), during her last interview,³⁷ she was of means that radio waves were controlling her mind. Irrespective, she

³⁷ Nick Broomfield, director of the film conducts the interviews with the subject himself, displaying the relationship between the filmmaker and its subject, true to the performative mode of documentary.

was executed in Florida State (IMDb 2003). Director Broomfield is of the opinion that she was suicidal and longing for the state to end her misery (Bradshaw 2004).

Monster (2003) disagrees with Wuornos's theory of self-defence in true documentary-drama style, and does not portray her as a feminist. The men killed in the film differ from belief, but not of status; they are all men with money and power, opposed to Wuornos, although not all of them are abusing rapists (Bradshaw 2004).

Critics claim that Charlize Theron was perfectly cast for Aileen Wuornos's role. She gave an eerily brilliant and well-observed impersonation of Wuornos's trials and tribulations. She portrays Wuornos as sad and harmless until she engages in a romantic relationship with Shelby, played by Christina Ricci (Bradshaw 2004).

The director, Patty Jenkins, explains her interpretation of Aileen Wuornos as an ordinary person who rationalised the advantages of killing and allowed it to become a habit. She further states that the gender reversal at hand is vital. If the film dealt with a male serial killer murdering prostitutes, it would be seen as a pleasurable act, but in Aileen's case, the murder's take place due to financial reasons. Jenkins' portrayal was not intended to be that of a Hannibal Lecter or Robert Succo figure. Her film has harsh clarity, eliminating any illusions, coupled with a gripping sense of drama (Bradshaw 2004).

3.8 The relationship between the filmmaker and the subject:

Irrespective of the documentary mode, it remains essential to be impartial and objective when creating a documentary film. The Concise Oxford Dictionary describes "objective" as "exhibiting actual facts uncoloured by feelings and opinions." It also describes "impartial" as "not partial, unprejudiced, and fair" (Snyman 2007). Other crucial factors to consider when creating a documentary film are fairness, balance, and accuracy.

Documentaries which reflect a producer's viewpoint cannot be seen as an actual documentary. Instead, it should be regarded as propaganda. It is the researcher, director, and producer's responsibility to ensure that the subject being researched, as well as the interviewees, are acknowledged and respected. It is harmful to the producer's reputation if a distorted documentary is delivered (Snyman 2007).

When producing human-interest documentaries, such as the Sociological genre, Snyman (2007) states that an honest and empathetic approach is always a necessity. The goal is to let the camera be the observer; how the subjects act under specific circumstances in a particular environment. A director or producer should not get personally involved, although

empathy relates to the relationship between the characters and the director. The subjects must be aware of what the director wants to achieve, and also that they will by no means be humiliated in any way. The final showcase should reflect the truth with dignity and respect towards the characters involved. Without a proper structure, a documentary film would dissolve into a chaotic storytelling attempt. To create an artistic and truthful product, the pre-production process is critical. According to Snyman (2007), the main elements to follow in order to achieve this are an introduction, development, and closure.

The introduction must lure the viewers' interest from the start. It should be interesting and a true reflection of what can be expected. An introduction usually includes a hypothesis, a cause for the hypothesis, an introduction of the characters, conflict identification, time-, period- and place setting. The second element of a documentary is development. In the case of the specific sociological documentary, character development and real-life action are applicable. Throughout this phase, the narrative should include conflict, pain, suffering, a strive for success, and the battle to survive. "The action of real people raises the action through time, development and intensity towards a climax." The third and final element of a documentary is closure, where a resolution is always present. The closure must have relation to the hypothesis, explaining whether the hypothesis is correct, and motivated accordingly. A conclusion must be reached that the truth has been revealed and the film can be regarded as truthful and objective (Snyman 2007).

When referring to documentaries, the treatment consists of a formula on how the producer will produce the documentary. Fundamental elements consist of a topic, an aim and a hypothesis. As previously discussed, the topic must be pinpointed, to keep the producer focused on the relevant issue, rather than a general idea of interest. The aim expresses what the filmmaker wants to say about the topic and the filmmaker's angle regarding the topic. Documentary filmmaking is a dynamic rather than a fixed, stagnant process. The fixed nature of this process could result in the filmmaker, as producer, having to change their focus regarding the film's aim. The hypothesis is a statement made by the filmmaker, either supported or not supported. The hypothesis' result will indicate the direction the documentary will take (Snyman 2007).

With the above-mentioned elements in place, a treatment can be written. Firstly, a hypothesis is essential to any film. Following this is a brief paragraph stating the topic, describing the background information to the viewer to understand what the documentary film is about. Thirdly, Snyman (2007) requires a paragraph introducing your narrative and simultaneously capturing the audience's attention. The development phase follows where an

explanation of the actions, character development, interviews, re-enactments and visual media is present. It is crucial to explain how these elements will form a unit and contribute to the story's chronological narration. Next, an explanation about the production process is put together, containing the approach, shooting- and editing style, and the production elements to be used such as lighting, narration and visual media. Lastly, closure is needed where the director informs the reader on a hypothesis on how the documentary might end, composing a preconceived resolution (Snyman 2007).

Snyman (2007), is further of the opinion that the basic principle for scriptwriting for documentary narration stays the same, no matter the type, style and approach of the film. The purpose of a script as a voice-over narration is to set the stage and get the story going, to link scenes in terms of relevance, while informing the viewer and explaining important information. It can also provide closure and a resolution at the end of the film.

3.9 Conclusion:

In conclusion, one can agree with Nelmes (1996) that the subject of documentary filmmaking, in all its manifestations, is an extensive and flexible category of filmmaking. “It is important to think about the documentary not so much as a discrete and monolithic category, which simply ‘captures’ reality, but as a diverse set of practices that seeks to critique and, at its best, transform reality.”

Chapter 4:

The Performance-based research as methodology

4.1 Introduction:

Creative practices, labelled as practice-based research, has recently posed problems in terms of validity, rigour, and originality. Practitioners, however, often elect to present their creative practice as research, which contributes to the persistent uncertainty about the role of creative practice concerning the requirements for making contributions to knowledge within research (Nierderrer & Roworth-Stokes 2007). This chapter aims to present an argument for practice-based research and discuss an appropriate method for practice-based research within the performative research paradigm, and then apply the methodology in section C of the study.

4.2 The performance-based research paradigm:

Traditionally, conservative research is often presented through standard, scientific examination. The research approach is based on the belief that understanding comes from explicit knowledge in abstract theories that can be tested and used to form a conclusion. Knowledge is obtained through an objective methodological program of study. This approach has provided such notable insights, that it is often hard to imagine how any research insights might come from any other means, however, the need for a more practical research approach has recently come to light (Marshall & Newton 2000). The initial reaction amongst academics was to combine practice with scientific analysis to create a holistic academic research model. Therefore, a practice-based research program needed to be developed by the practice and scientific communities involved with this type of research. This research was then contextualised and theorised with a related analytic paper once the practice-based work was complete. This approach was in direct contrast with the attempts to have the practice-based component potentially accepted as a valid research outcome in its own right. Suppose the work inevitably requires a written paper accompanying it to explain it. In that case, this indirectly characterises the practical work itself as lacking in validity, rigour, originality and contributing to academic knowledge. In this sense, practice-based work is viewed as equal to scientific

experimentation, but this process merely provides the practice-based data upon which the traditional research is based (Marshall & Newton 2000).

Practice-based research is a form of investigation undertaken to gain new knowledge, partly employing practice and the outcomes of that practice. In a doctoral thesis, claims of originality and contribution to knowledge may be demonstrated through creative outcomes in the form of music, digital media, designs, performances, and exhibitions. The significance and context of the claims may be described in words, but a full understanding can only be acquired directly to the outcome itself (Candy 2006).

In the United Kingdom, the Arts and Humanities Research Council (AHRC 2000) define research primarily in terms of research processes rather than outputs. This definition is built around three key features: firstly, a series of research questions or problems must be addressed through the course of the research, and objectives in terms of seeking to enhance knowledge and insight relating to the questions or problems to be addressed. Secondly, the researcher must specify why it is of any importance that these particular questions or problems are addressed (contextualise the research by noting other research projects in the same area of study), and what specific contribution this project will make to the advancement of creativity and knowledge in this specific field of study. Finally, the researcher must specify the research methods for addressing and answering the research questions or problems. The rationale for the chosen research methods must be made clear and why they provide the most appropriate means by which to answer the research questions (Candy 2006).

4.3 Performance-based research methodology and application:

Richard Blythe³⁸, a professor in Architecture and Dean of the School of Architecture and Design at RMIT University in Melbourne Australia, completed his PhD on the Methodology of Design/Practice-based research, wherein he has identified five steps for students to incorporate into their practice-based post-graduate studies (Blythe, R. 2014). These components are included in this study: Refer to Fig 1.1: Blythe's Five Steps, a Practice-based Research Model.

³⁸ Richard Blythe is a professor in Architecture and Dean of the School of Architecture and Design at RMIT University in Melbourne, Australia.

4.3.1 Step 1: Identifying the specific practice:

Blythe states that the first step in the research design (Refer to Fig. 1.2) is to identify the specific practice under investigation. It is important to note that practices are usually made up out of a series of projects and/or products over a specific period. These projects are often peer-evaluated, and they carry academic and creative merit. Blythe suggests that an overview of the work already conducted before the post-graduate study forms a backdrop for the intended PhD and the projects and/or products that form part of their embedded practice. It is also important and worth noting that these projects and/or products continue after completing the proposed PhD study. The PhD study should not disrupt or interfere with the practice and how it functions. This Blythe calls the “basis for the PhD reflection”. It is also stressed that the links between projects and/or products should be noted as part of this reflection.

4.3.2 Step 2: Grouping projects according to variables:

Grouping projects and/or products into sets according to different variables is the second step in Blythe’s Practice-based framework (Refer to Fig. 1.3). An example on this grouping is provided where the variable(s) used, familiar resemblance, aims to describe “the sorts of characteristics and, if you like, the DNA of each project, which links it to the next project in a way that we can recognize some similarity but also the individuality of each project” (Blythe, R. 2014).

The grouping of products/projects into sets should not be absolute, but useful and provide insights into the practice itself. These groupings, therefore, shed light on the current trends and historical development of a practice over a period of time. The back-cataloguing of projects happen throughout the post-graduate study. Therefore, the reflection does not only include projects that have been completed at the start of the PhD, but also ongoing and future projects still in development. This is referred to by Blythe as “dynamic reflection”. In the case of this study, projects and performances from the last 50 years (1965 – present) will be listed as dynamic reflection.

4.3.3 Step 3: The identification of urges:

The third step in Blythe's framework design is "the identification of urges" (Refer to Fig. 1.4). "An urge is an interesting term because it refers to something that is perhaps not yet completely explicable, it is not necessarily describable in words, but it is a tendency that drives the practice in a particular direction . . . it drives towards singularities, and it is this very combination of the drive and the singularity that makes . . . and produces new knowledge through the identification and articulation of singularities rather than general raw theories" (Blythe, R. 2014). Therefore, it is able for the post-graduate candidate to trace a lineage of projects that drive towards specific characteristics of the practice being studied. Identifying these urges that drive towards specific singularities provides valuable insight in terms of the past, present and future trends within a specific practice. The identification is also useful in terms of the documentation of trends that are underdeveloped and trends that might have become over-emphasized to a point where the market has become saturated. The urges, or even the singularities, identified open up new avenues of study specifically focused on the practice being investigated. "For every practice, there is some notion of wonder, an interest in something that compels the creative practitioner to move in a certain direction and that movement, the direction of that movement, tends to be consistent between projects and this is what becomes, if you like, the 'handwriting' of the practice" (Blythe, R. 2014). Reflecting on the body of work and the specific characteristics of the practice help in identifying what Blythe calls "urge lines", "fascination lines", "the wonder that is at work" or "the idea of some familiar theme(s) that runs through sets of projects". This form of dynamic reflection allows artist-researchers with the opportunity to document, not only the historical development of a practice, but also the development, sustainability and relevance of urges and singularities within a specific practice over a period of time. By looking at the past and current trends within a practice, artist-researchers are able to make more informed choices in terms of selection of artistic projects in development, based on the needs identified through the reflective processes employed. Key moments in the development of a practice can come to the foreground and possibly explain the current state of a practice.

A miniature case study investigating each film in terms of specific practical criteria will now further filter productions to determine formal urges arising from each film. The categories chosen to complete the case studies were pre-production, production, and post-production, as every phase of the filmmaking process needs to be included to comprehend the film as a

complete product. Each phase is divided into subcategories. The subcategories and their content are derived primarily from the works of David Bordwell and Kristin Thompson's.³⁹

The pre-production phase is divided into five subcategories, namely story and plot, cause and effect, time and space, subjectivity vs objectivity and the form of narration. When studying the production category, subcategories such as Mise-en-scène, cinematography and sound is investigated. Lastly, post-production is studied under the subcategory of editing and the graphic design elements that are applied. A generic table for each film has been put together to ensure that the case studies all occur according to a set standard, without allowing subjectivity to obstruct the researcher's view.

Pre-Production	Production	Post-production
1. Narrative Form <ul style="list-style-type: none"> - Story & Plot - Cause & Effect: Time & Space <ul style="list-style-type: none"> • Temporal order • Temporal duration • Temporal frequency - Narration 	1. Mise-en-scène <ul style="list-style-type: none"> - Setting - Costume & Make-Up - Lighting <ul style="list-style-type: none"> • Highlights • Quality • Direction • Colour - Staging and Performance 2. Cinematography <ul style="list-style-type: none"> - Framing - Camera Movement 3. Sound <ul style="list-style-type: none"> - Diegetic Sound - Non-Diegetic Sound 	1. Editing <ul style="list-style-type: none"> - Dimensions <ul style="list-style-type: none"> • Graphic relations • Rhythmic relations • Spatial relations • Temporal relations - Continuity editing vs. Alternatives

Table 1: A generic table set-up for the identification of formal urges.

³⁹ Bordwell and Thompson are both professors of Film Studies at the University of Wisconsin Madison, each with a Masters and Doctorate degree in Film. Co-Authors of *Film History: An Introduction, Minding Movies: Observations of the Art, Craft and Business of Filmmaking, The Classical Hollywood Cinema: Film Style and Mode of Production to 1960* and *Film Art: An Introduction*, with ten editions already published. The above-mentioned published works, credit these authors as knowledgeable in the field of film studies.

4.3.3.1 The pre-production phase:

When discussing the pre-production phase of filmmaking, it is inevitable to study the narrative form. A narrative is described by Bordwell and Thompson (2013: 42) as “a chain of events linked by cause and effect and occurring in time and space.” A narrative typically begins with a situation, leading to a series of changes with inevitable effect, leading to a new situation to arise, leading to the narrative's conclusion. The audiences' engagement with the narrative relies on their engagement with the causes and effects present, within the given time and space (Bordwell & Thompson 2013).

4.3.3.1.1 Story and Plot:

The story is referred to as the chain of events in chronological order, but it can be presented in various ways. The portrayal of the story is described as the plot. A single story can have multiple possibilities of a plot; each having a different effect on the audience. The audience has direct insights into the plot the author and director decided on, but has viewed the film in its entirety to understand the underlying story. If a plot withholds crucial information from the audience right up to the ending of a film, the filmmakers could be planning a sequel to the film or want the audience members to ponder on their conclusions (Bordwell & Thompson 2013).

4.3.3.1.2 The Narrative:

The narrative is dependent on changes created by cause and effect. Change is often caused by characters, who react to events which bring about change. Characters are, in most cases, people. These characters need to consist of particular traits such as attitudes, means, habits, and psychological drives to be viewed as three-dimensional or well-rounded characters. These characters can then drive the cause and effect of a narrative. However, it is important to note that not all causes and effect in a narrative originate within a character. In film genres such as adventure films, natural disasters such as an earthquake or a tidal wave can precipitate a series of actions on behalf of the characters (Bordwell & Thompson 2013).

a) Cause and Effect

Cause and effect are inevitable in a film's narrative, but one must consider that they take place in a given time and place. A filmmaker must decide how to treat the present temporal order, the temporal duration and the temporal frequency.

i Temporal Order

A film's temporal order refers to the order in which the story is told. The filmmaker can decide to tell the story precisely as it happened in chronological order, or use flashbacks or flashforwards. Most often, a story is only told once throughout a film, but in some cases, a flashback to a previously viewed scene or a repetition of some sort could contribute to the film's narrative.

ii Temporal Duration

The temporal duration refers to the period over which the story's duration stretches. The plot might unfold over several years, or only take up to a couple of hours. "The sum of all these slices of story duration yields to an overall plot duration" (Bordwell & Thompson 2013: 65).

iii Temporal Frequency

Most often, a story is only told once throughout a film, but in some cases, a flashback to a previously viewed scene or a repetition of some sort could contribute to the film's narrative.

b) Space

Space is mostly an essential factor when studying the narrative of a film. In most cases, the story space's locale is also that of the plot space, but in some cases, the plot leads the audience into imagining story spaces that are never revealed (Bordwell & Thompson 2013).

c) The form of narration

The form of narration, which is the last subcategory in pre-production, refers to how essential information is conveyed to the audience. The visual narration of a film can take several forms. It can be omniscient, giving audience members an unrestricted third-person view of the film's cause and effects. It could be restricted, revealing only information to the audience as the character learns it.

The narrator can take the form of first-person narration, usually a character in the film, or a person who is not a character, generally in the form of voice-over narration. Direct address style of narration is often found in documentary-style films, where the character breaks out of character to directly address the audience (Bordwell & Thompson 2013).

4.3.3.2 The Production phase:

The second phase of filmmaking is the production phase, where one has to primarily study the subcategories of mise-en-scène, cinematography and sound (Bordwell & Thompson 2013).

4.3.3.2.1 Mise-en-scène:

Mise-en-scène, originally derived from French, directly translated means “putting into the scene”. Mise-en-scène appears in the film frame, divided into subsections, namely, setting, lighting, costume and make-up, and staging and performance (Bordwell & Thompson 2013: 43).

a) Setting

Since the earliest days of cinema, critics and audiences have understood that setting plays a more active role in cinema than theatre. Bazin (2014) explains that the actors are of utmost importance and performance cannot exist without actors in the theatre. Still, on-screen, the setting can create narrative expectations, plot twists and heighten the dramatic effect. The filmmaker can select an existing locale for the action to take place or construct the setting. Concerning documentary-style historical films, it is vital to stay true to authenticity when aiming to stage a scene (Bordwell & Thompson 2013).

b) Costume and Make-up

As found in the setting, the costume and make-up used in a film can have a great variety of specific functions in the film’s overall form, when coordinated with the setting and period. The costume and make-up in a film can contribute to the film’s plot and narrative; a costume can become a motif, enhancing characterization, and tracking changes in attitude. Costumes may also be used purely for their graphic qualities (Bordwell & Thompson 2013).

In the early days of cinema, make-up was an essential part of the actors’ preparation to appear on camera. As the actors’ faces did not register well on film stocks and would appear washed out, make-up was applied only for practical purposes. Over time, a wide-range of possibilities has emerged to use make-up in film. Today, in realistic films, make-up is usually applied to appear unnoticed while accentuating the actor’s facial expressive qualities. And since the camera may record fine details, such as blemishes, wrinkles and sagging skin, which

one wouldn't necessarily find noticeable in ordinary life, make-up is applied to cover those undesirable features (Bordwell & Thompson 2013).

Just as in the case with costumes, make-up can be used to create character traits or motivate the plot action. An example of the above-mentioned is actors changing to look like historical personages, or for genres such as the horror and science fiction genre, where rubber and silicone compounds are used to create bumps, bulges, additional layers of skin, cuts and bruises (Bordwell & Thompson 2013).

c) Lighting

According to Bordwell & Thompson (2013), the third component when studying *mise-en-scène* is lighting. The manipulation of lighting contributes to the impact that the image created on-screen has on the audience. If the filmmaker wants to stay true to filmmaking's artistic element, lighting is more than simply illuminating the setting for the audience to see the action. Lighter and darker areas within the frame assists in creating the overall composition of each shot and guide the audience's attention to specific objects or actions that are taking place. For optimal control over the lighting, a filmmaker will typically work with lighting that is as purely white as possible. By placing a filter in front of the light source, the filmmaker can change the colour of the on-screen illumination in any manner.

d) Staging and Performance

When investigating the last component of *mise-en-scène*, namely staging and performance, one has to consider an actor's performance as two-dimensional; individualized and stylised. This technique leads to unique characters being created without becoming overly exaggerated or underplayed.

Characters need to be well-rounded, as referred to previously when discussing narrative form. Additional aspects such as a distinctive appearance, personality, facial expressions, and gestures lead to stylizing characters to fit into the setting created for them (Bordwell & Thompson 2013).

4.3.3.2.2 Cinematography:

The second subcategory when studying the production phase of filmmaking is cinematography; the process of capturing moving images on film, as described by Bordwell & Thompson (2013). Cinematographic properties of each shot in a film are controlled by the director of photography (DOP), or better known as the cinematographer, who modifies the camera's basic neutrality and the appearance of the finished image which the audience sees (Bordwell & Thompson 2013).

In this study, the focus on cinematography is on how the researcher, as an audience member, perceives the film, because, for example, one cannot judge which lenses, iris settings or shutter speed was used. Additionally, the proposed film will be shot with an Electronic News Device (ENG), namely a SONY NXCAM video camera, thus, it is not important to study the various intricate technical aspects available for film cameras. The framing and camera movement will be the only subheadings under cinematography's subcategory.

4.3.3.2.3 Framing:

Firstly, framing refers to a shot's specific composition, or as Pickett (2003) describes it "the manner in which subjects and objects are surrounded by the boundaries or perimeter of the film image...". Selecting the frame is a fundamental act of filmmaking. By choosing the frame, the director conveys the story to the audience while giving attention to the composition, rhythm and perspective. When referring to the lens as part of a cinematographer's tools available, it is essential to note that it is not the physical lens being referred to. A cinematographer is instead interested in how the various lenses render images differently, as it is a powerful visual storytelling method. An example thereof is focal length. Lenses with a short focal length will provide a wide field of view, and vice versa with lenses with long focal lenses providing a narrow field-of-view. Each lens has its function and use. A long lens compresses space, while a wide lens expands and distorts space, each contributing towards the narrative of a film in their own way (Bordwell & Thompson 2013).

4.3.3.2.4 Camera Movement:

The second applicable subheading of interest to the cinematographer is camera movement. The frame's capability to be mobile is referred to as camera movement, which is of interest to filmmakers because it can reveal information about the setting, or allows the filmmaker to shift the audience's attention to a specific object. Camera movements can make images appear sharper and more vibrant, and add volume compared to still framings.

There are several camera movement variations, each with a different effect on-screen. The panorama movement, most often referred to as a pan movement, swivels the camera on a vertical axis instead of the tilt movement that moves the camera on a horizontal axis. For a tracking shot, a dolly⁴⁰ or a crane⁴¹ is usually used, although body-mounted camera units⁴² are also often implemented. A body-mounted camera can reach places which are difficult for a dolly. Each device has its specific purpose and reason for implementing. In some cases, for example, a filmmaker prefers a bumpy image opposed to a smooth one, where a hand-held camera would be used (Bordwell & Thompson 2013).

4.3.3.2.5 Sound:

The third and final subcategory in the production phase of filmmaking is sound. Walter Murch (2009) said that “in the same way that painting or looking at paintings makes you see the world differently, listening to interestingly arranged sounds makes you hear differently.” Sound enables film to add an audio aspect to an otherwise only visual entertainment form.

Director Sergei Eisenstein referred to the engagement of hearing as a “synchronization of senses” (Bordwell & Thompson 2003: 68). With the technology of sound recording at hand, filmmakers are able to manipulate sound as they would use colour or shapes in films to contribute to the narrative of the film (Murch 2009).

⁴⁰ A platform on a roller or wheels used to transport cameras in order to change direction when engaged in live-action production.

⁴¹ A device resembling a mechanical arm to which the camera is attached in order for the camera to glide over rough terrain, moving virtually in any direction.

⁴² A device allowing the camera operator to steer the camera while walking, installed with stabilizing mechanisms, creating a feel of gliding or floating when viewing the footage filmed.

In terms of the purpose of the proposed film, one merely has to investigate the use of diegetic and non-diegetic sound. Diegetic sound refers to sound visible on-screen or implied to be present by the film's action, such as the voices of the characters and sounds made by objects in the story space. Diegetic sound can be on-screen or off-screen, depending on whether its source is within the specific frame or outside the particular frame. Non-diegetic sound, on the other hand, refers to sound which is neither visible on-screen, nor has there been implied that it is present in the action such a commentary from a narrator. These sound effects are added for dramatic effect, and background music is used to heighten the atmosphere of a specific scene. Non-diegetic sound is represented as deriving from outside the story space.

4.3.3.3 The Post-Production Phase:

The third and final phase of filmmaking is the post-production phase, under which Bordwell & Thompson (2013) state that one has to primarily study editing. Editing is defined as assembling various shots in a specific desired order, trimming them until they are the precise length with the editor's computer software of choice. Continuity editing, which is the most common editing style, will be examined alongside the alternative styles for continuity editing.

Lastly, when researching the category of editing, four relations arise that need to be studied individually: graphic relations, rhythmic relations, spatial relations and temporal relations.

During the decade of 1900 -1910, filmmakers developed an editing approach based on narrative continuity. A continuity style of editing aims to clearly and smoothly portray narrative content over the course of a selection of shots. Each visible moment in the film contributes to the flow of storytelling (Bordwell & Thompson 2013).

Opposed to continuity editing, modern filmmaking lends itself to various other editing styles, which is divided into first, graphic and rhythmic possibilities and, secondly, spatial and temporal discontinuity. Films with an abstract nature will often be found joining two individual shots together purely for graphic and rhythmic purposes, irrespective of the narrative and independent of the time and space they inherently represent.

Regarding spatial and temporal discontinuity, one may find that the filmmaker wants to create a feeling of uncertainty with the audience, and deliberately creates discontinuity (Bordwell & Thompson 2013).

4.3.3.3.1 Graphic Relations:

The graphic relations between shots refer to a montage connecting two shots with the same graphic quality. This is useful when relating two otherwise disconnected scenes or establishing a relationship between two scenes. By ending one shot with a frame containing the same compositional elements, such as shape, colour and size, as the beginning frame of the next shot, a connection is automatically drawn between the two shots with a smooth transition (Etkin 2006).

4.3.3.3.2 Rhythmic Relations:

In the case of rhythmic relations, shots are assembled according to a rhythmic pattern, most commonly dictated by music. The dialogue is suppressed, and the musical relationship between the sound and the shot becomes prominent (Etkin 2006).

4.3.3.3.3 Spatial Relations:

Editing controls graphics and rhythm, and allows the filmmaker to construct a film space. Opening a scene with a shot establishing a setting, followed by a scene with characters, helps portray the context in which the characters are found (Bordwell & Thompson 2013). Other editing techniques used to convey spatial relations are the shot/reverse shot⁴³ and the eye-line match⁴⁴ (Etkin 2003).

4.3.3.3.4 Temporal Relations:

The temporal relations from one shot to another help control the action presented in a film. It controls the order of the presentation of events, controlling chronology, and affects the

⁴³ An editing technique making use of various shots, assembled together in such a manner that it alternates characters, usually to portray both sides of a conversation being filmed.

⁴⁴ A shot of a character specifically looking at something, followed by a shot of the character or object the initial character was looking at, is referred to as an eye-line match, which allows the camera to temporarily become the character's eyes.

relationship between the story and the plot (Bordwell & Thompson 2013). Editing techniques used to assist with this is match on action⁴⁵, flashforwards⁴⁶ or parallel editing⁴⁷ (Etkin 2003).

4.4 Step 4: Reflect on trends to relate similar practices:

Next, the artist-researcher reflects on how these trends relate to other similar practices (Refer to Fig. 1.5). This fourth step in the research design aims to further contextualize the practice under investigation into a broader spectrum of related practices. It additionally creates a platform for the establishment of inter-practice relationships. As such, the artist-researcher does not reflect on only their work or the projects associated with their specific practice, but as Blythe states: “there is a responsibility, from a research point-of-view, in terms of how a creative practice works, to begin to associate these key moments and the work itself with other projects and other communities that are critical in terms of the practitioner’s own thinking about their practice and their work” (Blythe, R. 2014:84).

Therefore, this reflection aims to give a clearer understanding of how projects within the identified practice relate to projects in other similar practices. Understanding the communities that practice may lead to a better understanding of how practices influence each other and how work relationships between different practices can be established or strengthened. Blythe emphasizes that this reflection could include various presentational sources such as photographs, drawings, texts and other media-rich formats. Understanding the communities that practice within a disciplinary context also allows the artist-researcher to tri-polarize findings. “In any robust disciplinary community, at any one time, there are usually three different positions being held by groups of practitioners in those disciplines” (Blythe, R. 2014:88-89).

Blythe continues by stressing that a single position regarding a practice points to a monopoly in the practice, which in turn highlights a shared stance held by practitioners within

⁴⁵ An editing technique which cuts two alternative views of the same action together at the same moment in the film allowing audiences to see the same event from different angles.

⁴⁶ A flashforward occurs when the editing creates a reordering of events by moving the editing from the present to future events, and then returning to the present.

⁴⁷ The technique of parallel editing is used to showcase multiple lines of action simultaneously, although they are taking place at various places. Different sequences are commonly shown together to convey a connection between the shots to the audience members and to add suspense to the scene.

the discipline as evidence that tensions between positions are minimal or even absent. This could lead to a situation where the discipline reaches a point where it becomes challenging for the community to “move forward in creative and vital ways” (Blythe, R. 2014:92). Therefore, tension within the creative community can be regarded as a catalyst for new projects that highlight opposing views, and move the creative practice forward. Oppositional poles (situations where only two opposite positions are held) also challenge these two stances (i.e. they “cancel each other out”). Tri-polar positions are deemed to be the most productive, as they facilitate the establishment of a dialogue between communities within a practice with different standpoints. These, often opposing stances, allows the artist-researcher to further differentiate his / her specific practice from the community of practice within which it is embedded. By better understanding the community of practice, and through dialogue (either intra- or intercommunity based), the artist-researcher can establish the boundaries of the practice itself and the boundaries of the community of practice at large.

PhD studies conducted utilizing a performance-based framework, thus, contribute to expanding these established community boundaries to incorporate new knowledge or ways of working into the disciplinary scope. This expansion of boundaries is critical to the PhD study, as it contributes to the knowledge base of the discipline in general, and the specific practices and communities defined through the study. PhD studies utilizing a performance-based framework as an ongoing body of work provide an “inside-out” perspective on the practice under investigation, by bringing critical and formative moments to the foreground, as well as ways in which shifts in the creative practice have influenced, not only the specific practice, but the community of practice it forms part of. Therefore, the explication of the findings from performance-based PhDs is a vital component of the outcome of the study, and not merely the documentation of the activities within a practice.

4.5 Step 5: The exhibition of the project deriving from step 1-4:

The fifth and final step in the framework proposed by Blythe relates to the “exhibition of the projects” which form part of the postgraduate study (Refer to Fig. 1.6). Three key features of this phase in the study are (1) the presentation of projects, (2) the accompanying dissertation as research output, and (3) the examination of the final dissertation. The presentation of projects should be viewed by an examination panel and by peers who either produce work within the same practice or those who form part of the bigger disciplinary community the practice is imbedded in.

Blythe notes that performance-based postgraduate studies are usually made up of electronic documents (e-documents), including the dissertation, an electronic, digital copy of the exhibition or performance, and an electronic, digital replica of the examination panel's findings. By making performance-based postgraduate studies digitally accessible, current and future research relating to the specific practice or to the community of the practice enhances the accessibility of performance-based postgraduate studies. It gives examiners and fellow researchers access to the exhibition they might not attend in person. Therefore, Blythe's proposed framework has embedded archiving procedures that could be used to establish a database of performance-based projects and postgraduate studies that employ similar performance-based methods and strategies within a specific artistic practice. The exhibition of projects happens in co-presences via internet streaming services, hosted on a performance-based research database, with relation to this study.

4.6 Conclusion

After studying Richard Blythe's Five Steps, a Practice-based Research Model, and the works of David Bordwell and Kristin Thompson in terms of the pre-production, production and post-production phases of the filmmaking process, a need was identified to comprehend the film as a complete product, and the researcher is confident to apply this newly obtained knowledge practically in Chapter 5, to create a practical outcome in the form of a reflexive documentary short film based on Grizelda Grootboom, a human trafficking survivor's autobiography.

Section C: Performance-based Research Project

Chapter 5:

The Performance-based research implementation

5.1 Introduction:

This chapter is based on the earlier literature reviews, providing a foundation for the study's proposed practical and performance-based component. This performance-based component will thoroughly be described, implementing the knowledge gained in Chapter 4 and a report on the execution of Blythe's Five Steps, followed by evaluating the findings. As indicated in Chapter 1, the creative performance-based outcomes are implemented and motivated through a reflexive documentary short film titled *Etsoa!*

5.2 Practical implementation of Blythe's Five Steps:

5.2.1 Practical Implementation of Step 1: Identifying the specific practice:

Concerning this study, a descriptive research approach is used to sketch the reflection of the case study. The proposed case study will be presented in the form of a short documentary-drama filmed in conjunction with the Drama and Theatre Arts department at the University of the Free State in Bloemfontein, South Africa. However, the practice of docu-drama filmmaking is a much larger practice, which includes films from around the world. The proposed case study will also form part of this more extensive filmmaking practice. In an attempt to create a list of movies with strong similarities and parallel themes to the proposed documentary film, the IMDb⁴⁸ database was used to compile a list of short films with the following broad attributes/characteristics:

- based on true stories
- with human trafficking as the central theme at hand

Due to the abundance of thematically relevant films, the researcher narrowed the list down to movies released in the decade preceding the research (2010-2020). The following list is presented in alphabetical order.

⁴⁸ Although IMDb (Internet Movie Data base) is not an accredited academic database, it is however the largest movie data base from which a list of films from this specific mode of filmmaking can be compiled.

Film	Director	Year
13 th Floor: Sex Trafficking - Audrey	PurePath	2012
10 Seconds	David Perry	2011
Adulterated	Lisa Gabriel	2013
Awareness	Joshua Ortiz	2015
Behind the Door	Thomas Meek	2017
Cexilla	Miguel Ortega	2016
Chrysanthemum	Sagar Srivastava	2015
Commodity	Joel DeVisser	2015
Dear Sister	Nkanyiso Ncube	2011
Don't Get Tagged By Human Trafficking	Joseph Victor	2016
Don't Look Away	Stephen Morgan	2017
Emporium	Trevor Smith	2017
Esquecidos	Ali de Sousa	2016
Farm 1	Jonathan Lee Smith	2016
Final Stop	Bobby Grubic	2016
Gancho	Alexandru Levitschi	2016
Hold My Hand	Michael Dotson	2014
Human Trade	Mario Di Fiore	2015
Human Trafficking 101A - Amy	Leonele Alvarez	2020
In This Town	Andrew MacKenzie	2012
Insatiable	Aimee Torres	2012
Invisible III	Andre Heizer	2019
Katherine	Mark Ezovski	2014
Keeping the Promise	Sandy Parker	2014
Love's Just Business	James Warner	2015
Maja	Marie Monroe	2010

Modern Slave	Spencer Currie	2018
Monica	Dimitris Argyriou	2016
Ninety-Nine	Courtney Brown	2017
Nisa	Doug Archubald	2010
No Strings Attached	Natalie Pace	2018
Oblivious	Mikey Hardesty	2018
Oleander	Giles Foreman	2016
Our Daughters For Sale	Clara Jane Simpson	2012
Programmed	Nikita Belomestnykh	2017
Road to Recovery	Nic Penrake	2015
Robin Hood of the Bayous	Karin Kwiatkowski	2010
Rose	Tom Young	2013
San Diego Walks for Freedom: A21 Walk for Freedom	Mark Terry	2016
Silent Cargo	Adam Azimov	2011
Snowdrop	Jenny Gand	2013
Stop the Traffik	Paul Santana	2010
Stuck in Traffick	Sheree Diehl	2010
Taken to Sell	Jeff Centauri	2014
Tartus	Francisco Mineiro	2017
The Auction	Jack Percy	2016
The Leap	Karel van Bellingen	2015
The Package: A Tale of Human Trafficking	Antonio Flores	2011
The Palermo Protocol	Benjamin Jeff	2019
The Perfect Place	Chad Farmer	2012
The Poster Girl	Charmaine Lewis	2013
The Scarlet Cord Film	Simon Scionka	2016
The Silence II	Cleo Tellier	2015

The Unknown Girl	Albinas Kirkilas	2020
Unseen	Elizabeth Blake-Thomas	2019
Worth It	Marielle Cuccineelli	2018

Table 5.1: A list of short films, based on true stories, with human trafficking as the central theme at hand, with a release date between 2010 and 2020, according to IMDb, tabled in alphabetical order.

5.2.2 Practical Implementation of Step 2: Grouping projects according to variables:

In terms of this study, the projects from the previous table (Table 4.1) are grouped with the filtering criteria of projects with a thematic focus on sex trafficking in specific, tabled in alphabetical order:

Film	Director	Year
13 th Floor: Sex Trafficking - Audrey	PurePath	2012
Behind the Door	Thomas Meek	2017
Don't Look Away	Stephen Morgan	2017
Emporium	Trevor Smith	2017
Katherine	Mark Ezovski	2014
Modern Slave	Spencer Currie	2018
Oblivious	Mikey Hardesty	2018
Our Daughters For Sale	Clara Jane Simpson	2012
Road to Recovery	Nic Penrake	2015
Stuck in Traffick	Sheree Diehl	2010
The Poster Girl	Charmaine Lewis	2013
Worth It	Marielle Cuccineelli	2018

Table 5.2: A list of short films, based on true stories, with sex trafficking as the central theme, with a release date between 2010 and 2020, according to IMDb, tabled in alphabetical order.

In terms of this project, short films inspired by factual events, with the central theme being sex trafficking, are filtered regarding their availability for the researcher and the broader public to view within the public domain.

Film	Director	Year
13 th Floor: Sex Trafficking - Audrey	PurePath	2012
Behind the Door	Thomas Meek	2017
Oblivious	Mikey Hardesty	2018

Table 5.3: A list of short films, based on true stories, with sex trafficking as the central theme, with a release date between 2010 and 2020, according to IMDb, tabled in alphabetical order, which is freely available on the public domain, for the researcher and the broader public to view.

5.2.3 Practical Implementation of Step 3: The identification of urges:

With a reflective perspective on step three of Blythe’s steps in a practice-based research project, the researcher is now able to reflect on the urges which came to light and make determined decisions on which of these urges to implement in the proposed film that will be filmed during step five of Blythe’s model.

Following is four individual case studies, based on the above-obtained theoretical knowledge from the list of films derived from the first three steps in Blythe’s Practice-based Research Model (Table 5.3).

Due to the limited factual information about the list of films which is freely available, the researcher was obligated to narrow the search down, with a specific focus on the narrative form, the mise-en-scène of each film, and the editing styles.

5.2.3.1 13th Floor: Sex Trafficking – Audrey (2012)

5.2.3.1.1 Pre-Production Phase: Narrative Form, 13th Floor: Sex Trafficking – Audrey (2012)

“When you enter the elevator of a high-rise building, you will seldom find the button for the 13th floor. It is because of fear, superstition, or ignorance that we pretend it doesn't exist. The "13th floor" issues of abortion, sexual abuse, sex trafficking, and the sanctity of human life have become a widely unrecognized reality, accompanied by a basic fear of people, to honestly address these issues” (PurePath 2012:3).

13th Floor: Sex Trafficking – Audrey (2012) has a temporal duration of several years, with a screen time of only 3 minutes and 5 seconds, told in chronological temporal order. The

directorial company, PurePath, did not use any flashbacks or flashforwards to convey the story to the audience.

The film takes place inside an elevator, which becomes the plot space Bordwell (Bordwell & Thompson 2013) refers to, but not the story space. The story unfolds through a voice-over in the form of first-person narration, where the main character tells the story with the help of on-screen text.

5.2.3.1.2 Production Phase: Mise-en-Scène, *13th Floor: Sex Trafficking – Audrey* (2012)

When discussing the short film production phase at hand, one must first study the Mise-en-scène. As stated above, the film takes place inside an elevator, so one can assume that the filmmaker decided to select an existing locale for the action to take place to heighten the dramatic effect (Bazin 2014).

Costume and make-up are not relevant for this specific film, as the subject is shot in silhouette lighting throughout the film, leaving her costume and facial expressions invisible.

Lighting was implemented creatively, leaving the elevator well-lit, and the subject in silhouette. One can assume that one of the reasons for this form of lighting, was because the directorial team decided to keep the anonymity of the actress.

When discussing staging and performance, one has to give the directorial team credit for creating a well-rounded character in less than three minutes of screen-time, without any facial expressions or gestures. The directorial team relied on voice-over narration and post-production effects to stylise characters to fit into the setting created for them (Bordwell & Thompson 2013).

The cinematography of the film *13th Floor: Sex Trafficking – Audrey* (2012), is discussed in terms of framing and camera movement. Firstly, there was a lot of attention paid to depth of field, as the entire film is shot switching between the use of a deep focus technique, where the entire plane of imagery is in focus and a shallow focus technique, where only one plane of the image is in focus, while the rest of the image is out of focus (Maio 2019).

When filming *13th Floor: Sex Trafficking – Audrey* (2012), a clear directorial choice was made to switch between wide shots of the subject, portraying what the actress is doing, directly followed by closer shots of the same subject, contributing towards the emotion being portrayed.

Judging by the camera movement visible on-screen, it can be assumed that the film was shot without a dolly or a crane. One can assume that the film was shot entirely with a hand-

held camera. The instability and imbalance of the camera movement could be deliberate, leaving the viewer feeling as disillusioned and nauseous as the character.

The final point of discussion in the film's production phase is sound. According to Aaron Sorkin's (2019) definition of non-diegetic sound, it is any sound added by the sound editor in post-production, without the exception of voice-over narrations by the subject on-screen. *13th Floor: Sex Trafficking – Audrey* (2012) contains non-diegetic sound, and solely relies on non-diegetic sound in the form of voice-over narrations and background music.

5.2.3.1.3 Post-Production Phase: Editing, *13th Floor: Sex Trafficking – Audrey* (2012)

The editorial team chose to incorporate continuity editing during the post-production phase of this film; however, there was also made use of more modern techniques of editing, such as graphic relations, rhythmic relations and spatial relations.

Graphic relations, also referred to as graphic matches, are made between various sets of shots throughout the film, escalating in the pace at which these images are shown, also referred to as the rhythmic relation, based on the tempo of the background music, as the narrative reaches its climax.

The film's opening scene is an elevator opening, with the subject standing inside the elevator. By opening a scene with a shot establishing a setting, Bordwell and Thomas (2013) note that an editing technique known as spatial relation can be implemented.

One can assume that the director also chose to incorporate visual effects to the film during the post-production phase. These effects include lighting strobos, double vision, blurriness and coloured flashes, which contribute towards the assumed feeling of dizziness and nausea the filmmaker wants to leave with the viewer.

5.2.3.2 *Behind the Door* (2017)

5.2.3.2.1 Pre-Production Phase: Narrative Form, *Behind the Door* (2017)

The narrative is not very complicated and is visually-driven rather than verbally. Sarah, a human trafficking victim, portrayed by Meg Rodgers, is being held captive (IMDb 2019). However, the viewer does not know which events led to the situation she currently finds herself in. It is not disclosed for how long she has been captive, but it is clear that she is physically and emotionally at the verge of breaking point. When one of the men who regularly enters her

bedroom is distracted, she takes her chance to escape, while forcing her captors to adhere to her requests at gunpoint. The film has an open ending, and the viewers must decide for themselves what the outcome will be.

Behind the Door (2017) has a temporal duration of less than a day and is told using a screen time of 6 minutes and 33 seconds, in chronological temporal order. The director, Thomas Meek, did not use any flashbacks or flashforwards to tell the story. However, he did use repetition in the form of a repetitive close-up of a cross-chain worn by one of the male captors contributing to the film's narrative.

When referring to space, the locale of the story space of *Behind the Door* (2017) is also that of the plot space. The film's exact location is not clear, but one can assume that the film takes place on a riverbank in the United States of America, and occasionally, on a boat.

Lastly, when discussing the film's pre-production phase, one has to study the form of narration used. This short film's visual narration is restricted, using first-person narration, revealing only information to the viewer as the character learns of it, with no narrator present.

5.2.3.2.2 Production Phase: Mise-en-scène, *Behind the Door* (2017)

When discussing the short film production phase, one must first study the Mise-en-scène. As stated above, the locale is predominantly set next to an unknown river in the United States of America, assuming that Meek chose to stay true to the story the film is based on. However, information on the real events leading to this film's creation is not available.

The character's costume and make-up were realistic and authentic to the setting and weather conditions. A chain with a cross-pendant, worn by one of the captors, becomes a motif in the film, leaving the viewer to question his religious and moral belief system, which contradicts his actions.

Informed by Bordwell and Thompson (2013), the director did not use lighting for its artistic effect, but illuminated the viewer's setting to see the action. The film contains no evening or night scenes, making it easier for Meek to only make use of natural lighting.

Lastly, when discussing Mise-en-scène, it is noted that characters need to be well-rounded. Aspects such as a distinctive appearance, personality, facial expressions and gestures lead to stylizing characters to fit into the setting created for them (Bordwell & Thompson 2013), which was implemented by creating stereotype characters in *Behind the Door* (2017). The human trafficking victim appears tired, scared and hostile. Contrastingly, her captors seem

casual and relaxed, dressed according to the setting they are placed in, and armed at all times with firearms.

When referring to the cinematography, and more specifically the framing and camera movement used in *Behind the Door* (2017), there was little to no attention paid to depth of field, as the entire film is shot using a deep focus technique, where the whole plain of imagery is in focus (Maio 2019).

Meek made a directorial choice to switch between wide shots of the subject, directly followed by closer shots of the same subject to contribute to the emotion being portrayed or contribute to the film's narrative's subjective component. He further relied on point-of-view (POV) shots to reveal information about the film's female lead character.

Judging by the camera movement visible on-screen, it can be deduced that the film was shot without a dolly or a crane. Pan and tilt shots were presumably done using a standard tripod, and handheld shots for areas shot in confined spaces.

The final point of discussion in the film's production phase is sound. Regarding the non-diegetic sound, the only sound apparent is the background music at the beginning of the film. Once the movie started, the filmmaker did not use any other non-diegetic sound elements. The filmmaker also kept dialogue to the minimum, using only first-person narration, without using a narrator. Therefore, the narration is reflective of the artistic choice to produce the film as straight-forward as possible, using a simplistic camera work-style, focusing on telling the story and getting his message across.

5.2.3.2.3 Post-Production Phase: Editing, *Behind the Door* (2017)

Meek adopted a continuity style of editing, aiming to clearly and smoothly portray narrative content throughout. Each visible moment in the film contributes to storytelling (Bordwell & Thompson 2013).

Staying faithful to the film's simplistic narration, director, Thomas Meek, chose not to use graphic, rhythmic or spatial relations in the editing process. He did, however, implement temporal relations to control the pace of the film towards the climax.

5.2.3.3 *Oblivious* (2018)

5.2.3.3.1 Pre-Production Phase: Narrative Form, *Oblivious* (2018)

This short film revolves around a young girl, presumably about fourteen years old, stuck in a cycle of sex trafficking. With a chronologic temporal order of a single day in the victim's life, the film has an open ending and leaves the viewer to make their own assumptions with regards to the outcome of the film. The film has a screen duration of 6 minutes and 36 seconds.

True to Bordwell and Thompson's (2013) definition on a story and plot, *Oblivious*' (2018) narrative begins with a situation, leading up to a series of changes, inevitably leading to a new situation to arise, which led to the conclusion of the narrative. The story unfolds as a young girl uses various social media platforms to communicate with her sex trafficking clients and set up meetings. Once her manager, also referred to as her pimp in the urban dictionary, sends her off to her next job, a new situation arises. When she enters her client's hotel room, the narrative concludes, leaving the viewer to decide for themselves what the outcome will be.

Director, Mikey Hardesty, assumedly chose to keep the locale universal. Although the space is realistic, he never reveals specifically where the film is set, which could emphasize that sex trafficking amongst teenagers can happen anywhere in the world. However, one can conclude that the film is set in an American metropolis where there are neighbourhoods, large office buildings, motels and highways due to the actors' visual guide and the accents of the actors. The conclusion mentioned above can also emphasize that the myth about human trafficking only happening in rural areas of the world, and that the victims always come from situations of poverty, is false (Kelly 2019).

Lastly, when discussing the pre-production phase of *Oblivious* (2018), one must note that the narration is restricted, revealing only information to the audience as the character learns of it.

5.2.3.3.2 Production Phase: Mise-en-scène, *Oblivious* (2018)

Regarding the Mise-en-scène of *Oblivious* (2018), it is noted that the setting, costume, and make-up is realistic and loyal to the nature of the film and the staging and performances of each character. The young girl, whose name is never disclosed, is found in a stereotypical suburban household, dressed as a stereotypical teenager. The same is also true for her client.

The viewer never sees his face, and he is dressed as one would expect someone in the corporate industry to be dressed.

As with *Behind the Door* (2017), the assumption can be made that no artificial lighting was used for scenes which are shot during daylight. The lighting quality is good, and therefore, one can assume that Hardesty worked with lighting as purely white as possible (Bordwell & Thompson 2013). Lighting effects during the post-production phase were kept to the bare minimum if applied at all.

Staying true to the artistic element of filmmaking, lighting was skilfully used throughout the film to create the composition of each shot and guide the viewer's attention to specific objects or actions taking place (Bordwell & Thompson 2013).

The film won the Best Picture award at the Colourful Colorado Film Festival, and was also nominated for Best Cinematography (Hardesty 2018). These achievements are quite apparent when studying how the cinematographer applied excellent framing and camera movement in the film. Each shot, even scenes shot in tightly confined spaces, are steady and smooth. A shallow depth of field was used for more than just an artistic effect. Although never said, it was clearly implemented to specific scenes to guide the viewer's attention in a particular direction.

The film is visually grounded, rather than verbally; sound is implemented cleverly. Non-diegetic sound, such as background music, is cleverly incorporated throughout the film to enhance the film's overall dramatic feel. Diegetic sounds, such as footsteps and doors opening, were presumably enhanced to contribute to the director's intention to create emotion with the viewer.

5.2.3.3.3 Post-Production Phase: Editing, *Oblivious* (2018)

Oblivious (2018) was edited mainly using a continuity style of editing, ensuring that the film retells the chronologic order of events as they took place. However, some rhythmic relations are found, where shots are assembled according to a specific rhythmic pattern (Etkin 2006) based on the background music's rhythm.

5.2.4 Practical Implementation of Step 4: Reflect on trends to relate similar practices:

With a reflective perspective on step three of Blythe's steps in a practice-based research project, the researcher is now able to reflect on the urges which came to light while compiling the case studies above, and make intentional decisions on which of these urges to implement in the proposed film that will be filmed during step five of Blythe's model.

5.2.4.1 Reflexion on trends in terms of the proposed Pre-Production Phase, Narrative Form:

As is the case with all of the short films mentioned in Chapter 4, the proposed outcome's narrative will be a short film inspired by actual events, namely by the life of Grizelda Grootboom, a human trafficking survivor, as it is told in her autobiography, *EXIT!*.

The proposed film's narrative is based on the accounts of a human trafficking survivor who is in a rehabilitation facility, writing her autobiography. The relationships she build while sharing her heartfelt story with the world, as a human-trafficking survivor, does not affect only a specific age group, gender, race or religious denomination.

The film will have a two-part structure. The first part takes place in a rehabilitation facility, where the lead female character, inspired by Grizelda Grootboom, is currently residing. This part of the film's narrative will be revealed in chronological order and adhere to cause and effect, as explained by Bordwell & Thompson (2013), where change is "more often than not caused by how characters react to events which bring about change".

The second part of the film's structure will consist of flashbacks. Through the use of first-person narration, sketches and on-screen text, the human trafficking survivor narrates the process of composing her autobiography. This is done to educate the audience on the signs and dangers of human trafficking, and simultaneously prove to other human trafficking victims that there are ways of ending the vicious cycle they might find themselves trapped in. Due to the nature of the explicit and graphic content at hand, a deliberate choice is made to use imagery in the form of hand-drawn sketches and on-screen text to narrate the character's backstory, rather than a realistic representation of the events at hand. By implementing these tools, the researcher aims to make the film more inclusive to a large variety of audience members, without an age restriction restricting, so that younger viewers can be educated by the film.

To create a well-rounded character with a believable background story, the researcher will aim to make a film with a temporal order of at least eighteen years. The screen time will

not be longer than ten minutes, as none of the movies identified above had a screen time of longer than seven minutes.

As with *13th Floor: Sex Trafficking – Audrey* (2012), the proposed film will make use of first-person narration, but in the proposed film, the main character will narrate the story with the help of on-screen text and sketches.

Comparable to *Behind the Door* (2017) and *Oblivious* (2018), the proposed film will mainly rely on visuals to tell the story rather than dialogue.

5.2.4.2 Reflexion on trends in terms of the proposed Production Phase, Mise-en-scène:

As is the case with *Behind the Door* (2017) and *Oblivious* (2018), the proposed film will aim to remain faithful to the setting in which the narrative unfolds. Unlike the movie studied in Chapter 4, the proposed film's story and plot space will differ in some scenes, as the researcher plans to use flashbacks. The story space will be set in the rehabilitation facility instead of the plot space, including the rural neighbourhood where the victim grew up, and the big city she relocated to as a teenager.

Similar to *Behind the Door* (2017) and *Oblivious* (2018), the proposed film will stay realistic and authentic when choosing costumes and make-up. As the female lead character, who will be inspired by Grootboom, will be suffering from substance withdrawal, her make-up will correlate to that of someone with withdrawal symptoms.

The filmmaker will draw inspiration from the lighting techniques used in *Oblivious* (2018), where the researcher has concluded that no artificial lighting was used for scenes that are shot during daylight. As mentioned above, the lighting quality in the film is good, and therefore one can assume that the director, Mike Hardesty, worked with lighting as purely white as possible (Bordwell & Thompson 2013).

As was the case with *Oblivious* (2018), the proposed filmmaker will aim to create a good quality of framing and camera movement to the film, where even scenes shot in tightly confined spaces, are steady and smooth. A shallow depth of field won't merely be used for an artistic effect, but will also be implemented to specific scenes to guide the viewer's attention in a particular direction.

Judging by the artistic impact the cinematography of *Behind the Door* (2017) left on the researcher and proposed filmmaker, similar to director Thomas Meek, the researcher will aim to rely on point-of-view (POV) shots to reveal restricted information seen by the female lead in the film.

Like the directors of *Behind the Door* (2017), *Oblivious* (2018) and *Etsoa!* (2020), information will unfold through visuals instead of through dialogue, but as in the film *13th Floor: Sex Trafficking – Audrey* (2012), the researcher will also use first-person narration.

Non-diegetic sounds will mainly consist of background music, which will be composed specifically for the proposed film.

5.2.4.3 Reflexion on trends in terms of the proposed Post-Production Phase, Editing:

As was the case with all three films studied above, the use of continuity editing during the post-production phase of *Etsoa!* (2020) will be implemented. Temporal relations will be implemented similar to how the editor chose to implement it in *Behind the Door* (2017), to control the film's pace towards the climax. Similar to the editing style of the film *13th Floor: Sex Trafficking – Audrey* (2012), the researcher will also make use of more modern techniques of editing such as graphic relations, rhythmic relations and spatial relations. In this stage of the filmmaking process, the proposed filmmaker is still uncertain to which degree these techniques will be implemented.

5.2.5 Practical Implementation of Step 5: The exhibition of the project deriving from step 1-4:

The exhibition of the proposed project is completed in the form of an electronic shared online journal, also referred to as a blog, where anyone of interest can access the project's process, as documented by the researcher. The electronic shared online journal can be accessed by visiting the site below.

<https://hesterstrydom.wixsite.com/mysite-1>

5.3 Conclusion:

After studying three short films based on true stories, with the main theme being sex trafficking, namely *13th Floor: Sex Trafficking – Audrey* (2012), *Behind the Door* (2017) and *Oblivious* (2018), the researcher has found several similarities, as well as differences in the pre-production, production and post-production phases of the various films. Each short movie's specific traits (that inspired the researcher) were utilised to help the researcher create

a creative outcome in the form of a short film, falling under the genre of reflexive documentary, like the short film entitled *Etsoa!* (2020), as indicated in the first chapter of this dissertation.

Section D: Reflections and Conclusion.

Chapter 6:

Conclusion.

6.1 Introduction:

This chapter will record the findings made during the study and its value. The results of the study will be discussed, as well as the implications thereof for future work and research questions.

6.1.1 Research problem and questions:

The proposed study's primary outcome was to produce a fictional reflexive documentary short film inspired by Grizelda Grootboom's autobiography to create awareness of human trafficking. The formal properties incorporated in the production were compiled using a performance-based research approach, that is to be reflected later in this chapter.

By creating a short film for the South African community, women are made more aware of which precautions to take to prevent becoming victims of human trafficking and seek help. The study's creative outcome hopes to bring attention, compassion, and resources to the plight of trafficked persons, by raising concerns in our society. According to the US Department of State (2018), it will help shape the evolving attitudes, perceptions, and policies regarding trafficking.

In this chapter, the researcher will answer all of the research problems, and objectives asked when initially conducting the research. The initial research problem and purpose was noted as follow: "How might a reflective documentary film create awareness of human trafficking amongst teenagers worldwide?"

This study aimed to reach the following research objectives:

- To create a narrative film on human trafficking with the primary goal of creating awareness amongst teenagers of the causes of human trafficking.
- To research slavery, more specifically human trafficking, the cause and effect thereof.
- The research methodology and design with regards to practice-based research and quantitative research will be discussed, and the possible value of the research indicated.

- To undertake literary research on documentary-style filmmaking and how it can be used to undertake practice-based research and create a fictional film inspired by real-life events.

6.2.1 Research problem and question: Theme specific literature study on slavery with the main focus on human trafficking:

- What is slavery and, more specifically, human trafficking and its relevance to teenagers in Southern Africa?

When researching human trafficking, one has to investigate slavery, as human trafficking is merely a modern form of slavery. Slavery is generally defined as a civil relationship where one person has complete power over another and controls their life, especially in being forced to complete work, most often without reasonable payment. The human rights organisation *Anti-Slavery International* defines slavery as “being forced to work, often under threat; being owned or controlled by someone else; being dehumanised or bought and sold as property; and being physically constrained or having restrictions placed on free movement” (Aylmer 2005:42).

Molema (2013) states that the primary main purpose of human trafficking is profitmaking through another human being’s loss of power. Moreover, trafficking humans include an extensive list of practices, such as various types of forced labour. This study focused on sexual exploitation, which includes prostitution and sex work, as Molema’s (2013:23) research proved that 79% of trafficked women are used for sex work. In comparison, 18% is used for forced labour of any other nature.

According to Molema (2013: 68), trafficking has three major problems at hand, which create a snowball effect following each other, namely an economic crisis, a health problem, and lastly, a legal problem. Firstly, most females who are trafficked are lured with false promises of monetary gain, leading to the risk of infection with HIV, which causes a health problem. Lastly, these victims are seen as inferior, creating gender and cultural discrimination, and stripping them of their human rights.

The problems mentioned above occur during the three stages of human trafficking, namely recruitment, transportation, and exploitation.

According to Tarryn Hinton⁴⁹ the media needs to be able to factually report on trafficking, regarding the problems it causes and its stages, focussing on our own country, rather than referring to trafficking cases taking place abroad. If human trafficking remains an unspoken topic, the crime will remain unreported and victims, mostly women and children, will continue to be victimised (Hamman 2011). This affirms the researcher's decision to create awareness of human trafficking. According to Verwey (2016),⁵⁰ "our role as educators is to inspire our students to make the world a better place by reflecting on issues such as human trafficking."

Merely fifteen years ago, human trafficking was an unspoken taboo topic worldwide, often misrepresented, and sensationalised. Fortunately, a remarkable shift has occurred in true agenda-setting and public-interest reporting about human trafficking. Proper reporting has helped change the general public's perspective in realising that trafficking is real and impact people's lives daily in nearly every region of the world.

Fortunately, there is a growing movement around creating awareness and the fight against human trafficking with the cooperation of *The Department of Justice and Constitutional Development*, the media, educators, society, and human trafficking survivors such as Grootboom (2018). Grootboom states, "I am now advocating for woman's rights and against the abuse of woman and children. I am doing this because I once woke up in a hospital bed after being beaten, drugged and enslaved. And I said to myself that for the rest of my life, I would fight to make sure other girls did not go through what I experienced".

6.2.2 Research problem and question: Medium-specific literature study on the documentary genre, with the main focus on the making of reflexive documentaries:

- What is the process of creating a narrative for a film based on true-life stories?

A documentary is "a piece of written, printed or electronic matter that provides information or evidence of events." Documentaries deal with a world of shared experience. A

⁴⁹ Legal Advisor to Media Monitoring Africa and Coordinator of the Wits Honours Course: Reporting on Children in the Media

⁵⁰ Professor Verwey, current Head of Department of Strategic Communication at the University of Johannesburg, conducted a Human Trafficking Awareness survey alongside her lecturing colleagues Caroline Azionya and Anna Oksitycz. The data collected was collected from people between the ages of 12 – 25, who predominantly grew up in the city of Gauteng, 16.4% of participants grew up in rural areas of the Gauteng province. According to Verwey (2016), most concerning result from the study was that 78% of participants were not aware that most human trafficking victims in South Africa are in fact South African citizens, and not immigrants.

documentary is non-fictional and visual, tactile or an object we interact with. It is taken from the real world and is part of life's actuality (Nichols 1991).

Due to the many variations in modes, there is much debate over what defines a 'documentary' film. The documentary program's criteria include that the footage consists of information and evidence that is actual, and recorded on camera as it happens in reality, and that the relevant notes accompanying the footage are filed. The content must be objective, honest, truthful and in no manner misleading to the audience. Any viewpoint that does not accurately reflect the facts should not form part of the documentary (Snyman 2007).

Under the documentary filmmaking genre, Bill Nichols establishes six modes in which individuals may create their documentary film, setting conventions that these films may implement and leaving specific expectations with the viewers. However, the researcher chose to implement a reflexive mode⁵¹ of documentary filmmaking. The reflexive mode attempts to offer commentary on representing their subjects. A reflexive documentary uses techniques that encourage the viewer to question the documentary genre's very idea as a mode, rather than a set genre with set expectations from the viewer. This documentary form is removed from the detached, such as the observational and poetic mode, or the straightforward didactic, such as the expository mode (Piper 2014).

Bruzzi (2006) notes that documentary films using construction, reflexivity and drawing attention to a performance of some extent is not a new concept. She notes that Broomfield⁵² is 'acting out a documentary', but he has the full prerogative to change facts and the form of events, as his film is merely based on facts, rather than a re-enactment of true-life events.

The documentary film's reflexive mode brings into question that a documentary film is only as good as the persuasive nature of its content. Unlike its predecessors, the reflexive mode also pays attention to how the content is presented, rather than just focussing on its content.

6.2.3 Research problem and question: Implementing Blythe's practice-based theory.

What did the process of creating a narrative for a film based on a true-life story entail?

⁵¹ The motto that "a documentary film is only as good as its content is compelling" is being called into question by the reflexive mode. This mode addresses issues of realism, taking a form of physical, emotional and psychological realism. The reflexive mode uses and challenges techniques such as continuity editing, character development and narrative structure (Nichols 2010).

⁵² A master in the field of directing reflexive documentaries such as *The Leader, His Driver and the Driver's Wife* (1991).

Practice-based research is a form of investigation undertaken to gain new knowledge, partly by means of practice and the outcomes of that practice. In a doctoral thesis, claims of originality and contribution to knowledge may be demonstrated through creative outcomes in the form of music, digital media, designs, performances, and exhibitions. The significance and context of the claims may be described in words, but a full understanding can only be acquired with direct reference to the outcome itself (Candy 2006).

Richard Blythe⁵³, a professor in Architecture and Dean of the School of Architecture and Design at RMIT University in Melbourne Australia, completed his PhD on the Methodology of Design/Practice-based research wherein he has identified five steps for students to incorporate into their practice-based post-graduate studies (Blythe, R. 2014). As such, these competent are included in this study: Refer to Fig 1.1: Blythe's Five Steps, a Practice-based Research Model.

6.2.3.1 Step 1: Identifying the specific practice:

Blythe states that the first step in the research design (Refer to Fig. 1.2) is to identify the specific practice which will be under investigation. To table a list of films identical to the proposed film at hand, the researcher searched IMDb⁵⁴ for a list of short films, based on true stories, with human trafficking as the central theme at hand. Due to the high volume of films at hand when the research was conducted, the researcher narrowed the search down to movies released in the last decade (2010-2020).

6.2.3.2 Step 2: Grouping projects according to variables:

Grouping projects and/or products into sets according to different variables is the second step in Blythe's Practice-Based framework (Refer to Fig. 1.3). An example of this grouping is provided where the variable(s) used (familiar resemblance) aims to describe "the sorts of characteristics and, if you like, the DNA of each project, which links it to the next

⁵³ Richard Blythe is a professor in Architecture and Dean of the School of Architecture and Design at RMIT University in Melbourne, Australia.

⁵⁴ Although IMDb (Internet Movie Data base) is not an accredited academic database, it is however the largest movie data base from which a list of films from this specific mode of filmmaking can be compiled.

project in a way that we can recognize some similarity but also the individuality of each project” (Blythe, R. 2014).

In terms of this study, the selected projects deriving from step 1 of Blythe’s Practice-based Research (Table 4.1) are grouped with the specific filtering criteria of projects with a thematic focus on sex trafficking. The selected short films, inspired by factual events with the central theme being sex trafficking, were filtered further in terms of their availability for the researcher and the broader public to view within the public domain.

6.2.3.3 Step 3: The identification of urges:

The third step in Blythe’s framework design identifies *urges* (Refer to Fig. 1.4). “An urge is an interesting term because it refers to something that is perhaps not yet completely explicable, it is not necessarily describable in words, but it is a tendency that drives the practice in a particular direction . . . it drives towards singularities, and it is this very combination of the drive and the singularity that makes . . . and produces new knowledge through the identification and articulation of singularities rather than general raw theories”.

“For every practice, there is some notion of wonder, an interest in something . . . that compels the creative practitioner to move in a certain direction and that movement, the direction of that movement, tends to be consistent between projects, and this is what becomes, if you like, the ‘handwriting’ of the practice” (Blythe, R. 2014).

A miniature case study investigating each film in terms of specific practical criteria was implemented to filter productions further to determine formal urges arising from each film. The categories chosen to complete the case studies were pre-production, production, and post-production. Every phase of the filmmaking process needs to be included to comprehend the film as a complete product. Each phase is divided into subcategories (See Table 4.4). The subcategories and their content are derived primarily from David Bordwell and Kristin Thompson's works.⁵⁵

⁵⁵ Bordwell and Thompson are both professors of Film Studies at the University of Wisconsin Madison, each with a Masters and Doctorate degree in Film. Co-Authors of *Film History: An Introduction*, *Minding Movies: Observations of the Art, Craft and Business of Filmmaking*, *The Classical Hollywood Cinema: Film Style and Mode of Production to 1960* and *Film Art: An Introduction*, with ten editions already published. The above-mentioned published works, credit these authors as knowledgeable in the field of film studies.

6.2.3.4 Step 4: Reflect on trends to relate similar practices:

Next, the artist-researcher reflects how these trends relate to other similar practices (Refer to Fig. 1.5). This fourth step in the research design aims to further contextualize the practice under investigation into a broader spectrum of related practices. It also creates a platform for the establishment of inter-practice relationships. As such, the artist-researcher does not reflect only on their work, or the projects associated with their specific practice, but as Blythe states, “there is a responsibility, from a research point-of-view . . . , in terms of how a creative practice works, to begin to associate these key moments and the work itself with other projects and other communities that are critical in terms of the practitioner’s own thinking about their practice and their work” (Blythe, R. 2014).

Therefore, this reflection aims to clarify how projects within the identified practice relate to projects in other similar practices. “Understanding the communities that practice” may lead to a better understanding of how practices influence each other and how working relationships between different practices can be established or strengthened.

With a reflective perspective on step three of Blythe’s steps in a practice-based research project, the researcher was able to reflect on the urges which came to light and make determined decisions on which of these urges to implement in the proposed film that will be filmed during step five of Blythe’s model.

Based on the above-mentioned theoretical knowledge, three individual case studies on the list of films deriving from the first three steps in Blythe’s Practice-based Research Model (Table 5.3) were conducted.

After studying three short films based on true stories, with the main theme being sex trafficking, namely *13th Floor: Sex Trafficking – Audrey* (2012), *Behind the Door* (2017) and *Oblivious* (2018), the researcher has found several similarities, as well as differences in the pre-production, production and post-production phases of the various films. Each short film’s specific traits, which inspired the researcher, were implemented in Section C of the study. The above-mentioned case studies aided the researcher to create a creative outcome, as indicated in Chapter 1.

6.2.3.4.1 Reflexion on the practical implementation of Blythe's Practice-based theory in terms of *Etsoa!*'s Pre-Production Phase:

The practical outcome takes the form of a short film, inspired by actual events, namely by the life of Grizelda Grootboom, a human trafficking survivor, as it is told in her autobiography, *EXIT!*. Due to the leniency given by the reflexive mode of documentary filmmaking, the film's synopsis is inspired by the autobiography, although not factually accurate to the novel, throughout the film.

Etsoa!'s narrative is based on the life of fictional human trafficking survivor, Nthabiseng Matsuma, currently in a rehabilitation facility, writing an autobiography. The filmmaker aimed to stay true to the theoretical knowledge obtained in preceding chapters of this study, ensuring that the three major problems and the three stages of human trafficking are addressed.

Due to the graphic nature of the content at hand and the target audience being teenagers, the filmmaker made a directorial choice regarding the story's visual interpretation and plot. A re-enactment of the presumably graphical content at hand was seen as unsuitable; thus, the researcher decided to use sketches and voice-overs to portray scenes containing abuse, whether in the form of substance, verbal or sexual abuse. This was also seen as a method of de-automatizing the viewer, which leads to resensitising the viewing experience (Van den Oever 2000), under the assumption that desensitising the viewer, leaves viewers wanting more, which was the researcher's goal throughout the theoretical, as well as the practical outcome of this study. By implementing these storytelling tools, the researcher aims to make the film more inclusive to a large variety of audience members, without an age restriction restricting younger viewers from being educated by the film.

Like most films studied in Chapter 4, the researcher aimed to rely on visual storytelling, rather than verbal. While writing the screenplay, it became apparent that it would be very challenging not to rely on verbal storytelling if the filmmaker wanted viewers to comprehend the full extent of the human trafficking survivor at hand's story. The filmmaker decided to rely on first-person narration, similar to some films studied in previous chapters.

With the intent of keeping the viewer intrigued and making sure that the film's entertainment value is of the same standard as its educational value, the filmmaker decided not to use a linear, realistic storytelling method. The film has a two-part structure. The first part takes place in a rehabilitation facility, where the lead female character, inspired by Grizelda Grootboom, is currently residing. This part of the film's narrative is revealed in chronological

order, and as promised in Chapter 5, adheres to the term of cause and effect as explained by Bordwell & Thompson (2013), where change is “more often than not caused by characters, who react to events which bring about change”.

The second part of the film’s structure consists of flashbacks. Using first-person narration, sketches and on-screen text, the human trafficking survivor narrates the process of composing her autobiography, to educate the audience on the signs and dangers of human trafficking. Simultaneously, it demonstrates to other human trafficking victims that there are ways of ending the vicious cycle wherein they might find themselves trapped.

To create a well-rounded character, with a believable background story, the film has a temporal order of eighteen years, but with a twelve-minute screen time.

As seen in Chapter 4, when discussing *13th Floor: Sex Trafficking – Audrey* (2012), *Etsoa!* (2020), also made use of first-person narration. The main character, Nthabiseng, narrates the story with on-screen text and hand-drawn sketches, which resembles what Nthabiseng sees in her mind.

Like the films studied in Chapter 4, with specific reference to *Behind the Door* (2017) and *Oblivious* (2018), *Etsoa!* (2020) relies mainly on visuals to tell the story, rather than dialogue.

The music used to accompany the on-screen visuals was composed and recorded specifically for the film, by the Eunice High School’s band in Bloemfontein, and their musical director, Jaco Spies.

Regarding the choice of language chosen for the short film’s screenplay, the filmmaker aimed to reach as many viewers as possible. A directorial decision was made that for the short film to reach as many viewers as possible, specifically in South Africa, the language used in *Etsoa!* should reflect that. Therefore, the film incorporates various languages; English when Nthabiseng, the female lead character, is narrating her autobiography, and a mixture of Sesotho and Xhosa when she interacts with her psychologist and fellow patients at the rehabilitation facility.

6.2.3.4.2 Reflexion on the practical implementation of Blythe’s Practice-based theory in terms of *Etsoa!*’s Production Phase:

Aiming to stay true to the original setting in which the narrative takes place, as was the case with several other short films studied in previous chapters, *Etsoa!* refers to the cities in which Grizelda Grootboom’s original story took place. However, the filmmaker chose not to

specifically reveal where the rehabilitation facility, in which the film is set, is situated, making it more universal for the viewer.

The filmmaker chose to keep the costumes and make-up as realistic and authentic as possible, similar to *Behind the Door* (2017) and *Oblivious* (2018). Research showed that patients at most South African rehabilitation facilities were permitted to wear comfortable clothing. Victims suffering from substance abuse withdrawal had dark circles around their eyes, which was accomplished by applying minimal dark shades of make-up to the actress portraying the role of Nthabiseng. With the use of the make-up application, the filmmaker wanted to establish a sense of growth and healing within the character by slowly reducing the application, illustrating the shift towards becoming a healthier human being.

The use of lighting was inspired by several films studied in the previous chapters. The researcher and director of *Etsoa!* (2020) decided to work with lighting as purely white as possible (Bordwell & Thompson 2013). However, an exception to the rule did occur when shooting the artist who was used to draw the sketches for *Etsoa!*. To shoot these sketches, the filmmaker referred to readings on the process of creating good quality lighting for stop-motion videography.

A stop-Motion expert, Courtney Purchon (2020), states that studio lighting works most effective for creating stop-motion videography. The aim is to create an environment which the filmmaker can control, for the videography to remain consistent throughout the project. Purchon (2020) notes that a videographer needs at least two artificial lighting sources to avoid unwanted shadows, which was implemented accordingly by the filmmaker, using the studio at the Visual Media Hub of the University of the Free State.

As was the case with *Oblivious* (2018), the researcher and director of *Etsoa!* (2020) aimed to create a good quality of framing and camera movement to the film, where shots were steady and smooth throughout the film. A shallow depth of field was implemented to contribute towards the film's aesthetic, and executed in specific scenes to guide the viewer's attention in a particular direction. Additionally, as decided on in previous chapters, point-of-view (POV) shots were used to reveal the film characters' restricted information.

Lastly, when referring to the production-phase of the short film at hand, sound played a significant role in creating an outcome of high quality. The researcher attempted to keep diegetic sound to a minimal, and instead tell the story through visuals. The limited diegetic sound used was mainly implemented for dialogue scenes between the lead character, Nthabiseng, and her psychologist. The advantage was that all of those scenes were shot in an environment that the filmmaker could control with exterior noise, keeping the sound quality as

consistent as possible. Non-diegetic sound was used for background music, as well as voice-over narrations. The filmmaker chose to outsource the sound production, and appointed a professional music composer to compose music specifically for *Etsoa!*. To keep the film as realistic and authentic as possible, the background music was created using drums, marimbas and other musical elements loyal to the African culture.

6.2.3.4.3 Reflexion on the practical implementation of Blythe's Practice-based theory in terms of *Etsoa!*'s Post-Production Phase:

As was the case with all of the films studied and referenced in Chapter 4, the filmmaker used continuity editing during the post-production phase of *Etsoa!*. The post-production process of the short film used modern editing techniques such as graphic relations, rhythmic relations, and spatial relations.

Graphic relations were used in montages, connecting different images from Nthabiseng's thoughts or dreams. These images were linked according to a particular rhythmic pattern, dictated by music. Spatial relations were used when shooting dialogue scenes between Nthabiseng and her psychologist, specifically when a character is looking at something, followed by a shot of the character or object the initial character was looking at, namely the psychologist. Lastly, spatial relations were also incorporated by using various wide shots to establish the film's setting, which was taken with a drone. Drone footage was a directorial choice to contribute to Van den Oever's defamiliarization technique (2010).

6.2.3.5 Step 5: The exhibition of the projects:

The fifth and final step in the framework proposed by Blythe relates to the *exhibition of the projects*, which form part of the postgraduate study (Refer to Fig. 1.6). Three key features of this phase in the study are (1) the presentation of projects, (2) the accompanying dissertation as research output, and (3) the examination of the final dissertation. The presentation of projects should be viewed by an examination panel and by peers who either produce work within the same practice, or those who form part of the bigger disciplinary community the practice is embedded in. The first two features of this phase can be found in an electronic shared online journal, also referred to as a blog, where anyone of interest can access the project's process, as documented by the researcher. Instructions on how to access this electronic shared online journal can be found in Chapter 5.

6.3. Trustworthiness of the study:

According to Irene Korstjens⁵⁶ and Albine Moser⁵⁷ (2018:120), the quality criteria for all qualitative research are credibility, dependability, confirmability, and transferability. The following section will explain how these standards were applied to ensure the trustworthiness of the thesis at hand.

6.3.1 Credibility and Reflexivity:

Any research study's credibility is concerned with the aspect of truth-value. According to Korstjens and Mosner (2018), a research study needs to represent plausible information to obtain confidence in the research findings' truth. Credibility is established through data saturation, i.e. by collecting and analysing data on an ongoing basis. Furthermore, it is increased by providing external experts in the relevant field of study with opportunities to review and verify evidence (Mills et al., 2012).

The researcher and director of the film *Etsoa!* (2020) established credibility within the research study by gaining theoretical knowledge of slavery, human trafficking, documentary filmmaking, and a practice-based research approach from various reliable sources. After that, the theoretical knowledge was practically applied by following a practice-based approach and implementing Bordwell & Thompson's (2013) guide to the process of filmmaking. The practical component of the theoretical study at hand was recorded, noted, and published on an electronic database⁵⁸, providing evidence of activity records and the final outcome that the study promised to deliver.

6.3.2 Dependability:

When aiming to produce reliable and dependable research outputs, a crucial concern is to ensure that the research has an element of reproducibility. Therefore, the research output's dependability is critical; determining the research output's stability and reproducibility (Mills et al., 2012).

⁵⁶ Irene Korstjens is a senior lecturer and researcher at the Research Centre Midwifery Science, Zuyd University Faculty of Health (ResearchGate 2021).

⁵⁷ Albine Moser is a senior researcher at Maastricht University along with being the programme director, senior researcher and principal lecturer at Zuyd University of Applied Sciences (LinkedIn 2021).

⁵⁸ <https://hesterstrydom.wixsite.com/mysite-1>

By collecting various forms of data and consulting multiple sources of theoretical and practical experts in the field, the researcher was able to view data points from multiple perspectives to minimise biases. This research study's practical component mainly dealt with reflexive filmmaking, focusing on telling the story of a human trafficking survivor, Grizelda Grootboom. Although the short film produced was merely inspired by true events, and not a precise retelling of the factual events, being able to consult with the subject on whom the narrative was based, in essence, created a trail of dependability and reliability. It ensured that the short film produced reflects an objective, rather than a subjective, viewpoint on the reality that a human trafficking survivor faces. Having drawn inspiration for *Etsoa!* (2020) from an acquaintance residing in Cape Town, South Africa, it emphasised the research's reliability and the importance of creating awareness amongst teenagers about the dangers of the subject at hand.

6.3.3 Confirmability:

Confirmability is the process of verifying the truthfulness and meaning of the research design focusses on providing evidence that the data analysis, resulting findings and conclusions of a research study are derived from reflective, existing data, and grounded in the researcher's perceptions (Korstjens and Mosner 2018).

The researcher and director of the film *Etsoa!* (2020), recorded the theoretical study's practical component at hand and noted and published evidence of activity records on an electronic database. This research output's theoretical and practical component is freely available to any interested parties.

6.3.4 Transferability:

According to Golafshani (2003), transferability is a term that encompasses reliability and validity in qualitative research. It has come to denote the validity and reliability of a qualitative study. He elaborates by saying that when referring to research, transferability is the degree to which the research can be applied in other contexts and studies. In the *SAGE Encyclopaedia of Action Research* by David Coghlan and Mary Brydon-Miller (2014), it is stated that transferability is achieved by communicating any research findings in writing or practically applying the results delivered by the research study elsewhere, in a different field of study or context.

In terms of transferability, the research methodology used in this research study can be applied in any interest field. By following Blythe's Practice-based Model, titled, "*Framework for Practice-Based PhDs*" (Blythe 2016), where he identifies five steps for students to incorporate into their practice-based research studies, any researcher can deliver a practical outcome by identifying a specific practice, in any field, followed by a grouping of products according to variables, and identifying urges with a tendency to drive the practice in a particular direction. After finding relevant urges, the researcher can reflect on these trends to relate to similar practices and, finally, use the newly obtained knowledge to create a practical component, accompanied by a written dissertation as a research output.

When referring to transferability in terms of a creative research output, as in this study, Bordwell and Thompson (2013) provides a researcher and aspiring filmmaker with a complete guide on the practical implementation of all the elements involved in creating a film, whether it is a full-length film or a short film as produced in this research study.

6.4 Limitations of the study:

According to James Price (2004), the limitations of a research study are those characteristics of design or methodology that affect or influence the interpretation of your research findings. Limitations can be seen as any constraints on generalizability and applications to practice, resulting from the method the researcher initially chose to design the study.

Any limitations experienced during the research process, left the researcher able to make recommendations for further research to be done, which will be discussed later in this chapter.

6.4.1 Covid-19

Probably the most significant challenge the researcher and director of *Etsoa!* (2020) had to face was the Covid-19 pandemic⁵⁹. By the time the pandemic reached South Africa, the film's pre-production phase had been completed and the production phase scheduled. However, in March 2020, President Cyril Rhamaphosa announced that the country was

⁵⁹ According to the *World Health Organization* (2020) the Coronavirus disease (COVID-19) is an infectious disease caused by a newly discovered virus.

declared in a state of disaster. As part of the *Disaster Management Act, 2020: Regulations issued in terms of Section 27(2)*, (Dlamini-Zuma, 2020) a nationwide Level 5 Lockdown was implemented, preventing the film's production from continuing.

In June 2020, South Africa moved from a Level 5 Lockdown to a Level 3 Lockdown, making the production process possible, given that the production team adheres to the laws in this regard. Social distancing⁶⁰ rules and regulations always had to be adhered to, because according to the *World Health Organization (2020)*, the virus spreads predominantly among people in close contact, in other words, within 6 feet, or 2 meters from each other, for a prolonged period. The practical implications of the Covid-19 virus for the practical component of this research study implied that the camera crew was limited to only the researcher and one other crew member, who always wore a face mask and ensured that social distancing took place. While rehearsing, the actors also wore face masks and were obligated to measure their body temperature before entering the rehearsal facilities. Once the filming took place, only two actors per scene were allowed close to each other after removing their face masks, and the camera crew remained at least 6 feet, or 2 meters, away from each other and the actors.

6.5 Recommendations for further research:

6.5.1 Human Trafficking in Africa:

Concerning this study, the researcher's main focus was to conduct research in order to create an outcome that could be used to create awareness of human trafficking, with a specific focus on South Africa. However, there is still a lack of research conducted about creating awareness about the slave trade, specifically human trafficking, for sexual abuse amongst women and children in the rest of Africa, and more specifically in the rest of sub-Saharan Africa. According to Truong (2011), poverty and human trafficking in sub-Saharan Africa "will only cease when they are adequately addressed as two intermingled issues, which nurture

⁶⁰ Social distancing can be defined as keeping a safe distance of at least 6 feet, or 2 meters, between yourself and other people who are not from your household, both indoors and outdoors. Social distancing, in combination with various other preventive actions, is said to help reduce the spread of COVID-19. These preventative measures include wearing a mask which covers your mouth and nose when you are in public spaces, as well as deliberately avoiding touching your face, and frequently washing your hands with soap and water for at least 20 seconds.

each other and plunge vulnerable persons into deep deprivation and exploitation.” Due to a lack of knowledge and economic stability in many of these countries, parents send their children away at a very young age, with the hope of creating a better future for them. Truong (2011) further notes that the parents often give their consent to human traffickers to employ their children, without being aware of the full extent of their approval. These traffickers are often relatives or friends who have gained the parents’ trust over time, ensuring that the transaction will occur according to their plan.

This study implemented the process of creating a reflexive documentary short film, which is available on a digital platform to create awareness of human trafficking. According to a study conducted by Silver (2018), sub-Saharan Africa has the lowest amount of internet usage than any other geographic regions of the world. Bearing that in mind, most of sub-Saharan Africa’s population will not be able to view this film, thus it cannot be used to enhance awareness of the topic in these areas. This leaves room for further research on finding an effective way of creating awareness of human trafficking in countries with conditions of extreme poverty.

6.5.2 The documentary genre of filmmaking:

After researching documentary filmmaking, and the various styles and modes thereof, it became clear to the researcher that there is a misconception about the definition of modern documentary filmmaking. Throughout researching the different styles and forms of documentary filmmaking, it became apparent that limited sources are available. The most viable published readings available on the topic are by Carol (2003), Snyman (2007) and Nichols (2010), of which the latest published works is almost a decade old. It became apparent that the public's general perception remains that documentary filmmaking is merely *cinéma vérité*.⁶¹

Apart from Nick Broomfield's reflexive documentaries, the researcher was unable to find any other reflexive documentaries adhering to its full definition on any digital platform.

⁶¹ *Cinema Verité* is a French film movement from the 1960s which portrayed people in real-life situations with authentic dialogue and natural reactions. The director would firstly record actual conversations and interviews, whereafter the visual material is filmed to fit the sound. It is not to be confused with Direct Cinema which is also a documentary genre, but the presence of the camera does not alter the outcome of the events, better described as raw documentary (Gell-Man 2017).

This leaves room for more modern publishing on the various subgenres and modes of documentary filmmaking, accompanied by examples of such works.

6.5.3 Limited availability of films:

While conducting performance-based research, the researcher found that although several films with human trafficking as the central theme have been made, not all of these short films are accessible on the public domain. This is problematic, as filmmakers cannot compare films to gain knowledge on the filmmaking process, and viewers cannot be made aware of the issues at hand by watching insightful movies. It could be advisable to set up a database containing films, whether it is a short film or full-length film, with human trafficking as a theme, on a platform, where anyone interested can access it.

6.5 Conclusion:

The primary research question of this study was to research (1) human trafficking, (2) documentary-style filmmaking, and (3) the research methodology and design with regards to practice-based research and quantitative research to create a narrative film on human trafficking with the primary goal of creating awareness of human trafficking amongst teenagers, especially in South Africa. This outcome was achieved, and a reflexive documentary short film titled *Etsoa!* was produced.

The Corona Virus (COVID-19), which led to a national lockdown and social uncertainty, forced the general public to become more literate in terms of the internet and the benefits of using digital platforms. Currently, secondary and tertiary institutions are relying on digital platforms to complete the academic calendar year, ensuring that most teenagers, the specific target group for the study conducted, will have access to the digital platform on which *Etsoa!* is accessible. However, the film will be made accessible to as many interested schools in South Africa as possible, who does not have free access to the internet, on a Digital Video Disc (DVD).

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Addendum A:

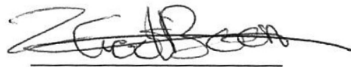
Letter of consent from Ms. Grizelda Grootboom:

23 January 2018

To whom it may concern:

I, Grizelda Grootboom, hereby give consent to student E. Strydom (student nr. 2009041894) and M. Kamper (student nr. 2004062994) to use my auto-biography as a survivor of human trafficking as inspiration as a narrative for a short film and theatre production in completion of their post-graduate studies with the aim of raising human trafficking awareness in South Africa.

Please don't hesitate to contact me should you have any queries or questions in this regard.



G. Grootboom

grizelda@survivorexist.org

Addendum B:

Screenplay: ETSOA!

INT. REHAB FACILITY - NTHABISENG'S ROOM - MORNING

Nthabiseng, a traumatized young woman, is asleep on her bed, restless - clearly in the midst of a nightmare.

NIGHTMARE MONTAGE:

- Nthabiseng and a group of patients are playing drums during drumming classes at the rehabilitation facility;
- A lady sitting on a park bench, sketching. Young Nthabiseng walks by; she is mesmerized with the lady's drawing;
- Nthabiseng playing drums with the following sketches in the background:
 - Nthabiseng's drunk father;
 - Young Nthabiseng and her friend, Lea, being left at the shelter;
 - Nthabiseng cleaning her mother's house.
- Nthabiseng and other patients shaping clay figures during a craft activity at the rehabilitation facility;
- Nthabiseng and a fellow patient exercising outside;
- Nthabiseng playing drums with the following sketches in the background:
 - Her father walking away, leaving her abandoned;
 - Nthabiseng crying;
- The lady sketching, hands young Nthabiseng a sketch pad to draw on;
- Nthabiseng playing drums with the following sketches in the background:
 - A telephone;
 - A moving train;
 - Nthabiseng hugging her friend, with a car in the foreground;
 - Nthabiseng cleaning her mother's house.
- While she is drawing, young Nthabiseng smiles at the lady;
- Nthabiseng and other patients playing drums;
- Nthabiseng speaking to a psychologist: "And that's the only thing I remember until I woke up here."

Nthabiseng wakes up from her nightmare, sweaty and short of breath. She sighs, she gets up and runs out of the room.

INT. REHAB FACILITY - CORRIDOR - MORNING

Nthabiseng runs to the bathroom. In her mind's eye, she sees flashes of a sketch illustrating a rape scene in her mind.

INT. REHAB FACILITY - BATHROOM - MORNING

Nthabiseng enters the bathroom and hastily closes the door behind her.

INT. REHAB FACILITY - NTHABISENG'S ROOM - MORNING

Nthabiseng sits on her bed. As she is writing the prologue of her autobiography, the words develop into animated sketches.

INTERCUT between Nthabiseng sketching and various animated drawings - accompanied by Nthabiseng's voice over(V.O).

NTHABISENG (V.O)

I am Nthabiseng Matchuma. I survived a life of human trafficking. I had a happy home until it was taken away from me; until my world fell apart.

Animation: Portrait of a girl, smiling.

After eighteen years of being trapped in the world of drugs and prostitution, I found an exit.

Animation: Portrait of a girl, her smile turns into a frown, with tears rolling down her cheeks.

INT. REHAB FACILITY - POTTERY STUDIO - MORNING

Nthabiseng is molding a male (father) figure with clay. As she looks at the figure, she hears sounds resembling physical abuse. She emotionally smashes the "father" figure into pieces.

INT. REHAB FACILITY - PSYCHOLOGIST'S OFFICE - DAY

Nthabiseng is sitting across the table from the psychologist, she is doodling on a sketchpad.

INTERCUT between the conversation and various animated drawings.

NTHABISENG

My mom left me with my drunken dad when I was still a baby. He did his best to take care of me, even under the influence. After we lost our house, my dad found a shelter for us to stay in. We spent the next two nights there, but I think he just tried to find somewhere safe to leave me.

Animation: Her father walking away.

On the third day while I was at the shelter playing with my friend Lea, he left for the day and never came back... At eight years old, I had been abandoned.

Animation: Two young girls standing alone outside the shelter.

THERAPIST

Tell me more about Lea.

NTHABISENG

She was the only friend I ever had. She knew all about surviving on the streets. Lea was the one who found out where my mother was. I was nine when I joined her and her new family.

Animation: Young Nthabiseng washing the floors.

I thought she would be happy to see me, that she would want to take care of me. But I quickly became their cleaner, not their daughter. Every day I had to do chores inside.

Animation: Young Nthabiseng fetching water from the communal tap.

INT. REHAB FACILITY - NTHABISENG'S ROOM - DAY

Nthabiseng is writing at her desk, with sketches placed next to her.

INTERCUT between Nthabiseng writing, exterior exercising and various animated drawings.

NTHABISENG (V.O)

When I went to fetch water from the communal tap I got to play outside, and mostly got to see Lea, that was nice.

Animation: Young Nthabiseng and Lea are playing outside.

One day it got late as we were playing near the tap. As it got darker, the streets got emptier.

Nthabiseng is exercising outside.

Older boys in the community were watching me and Lea play with two of our new friends. They walked over to us. One of the boys put a knife to Lea's side and forced us to walk to an empty shack near the community clinic.

Animation: A sketch insinuating that four young girls are being raped.

Four small girls, each raped, in turns, by four big boys. I was the youngest, I was last.

INT. REHAB FACILITY - PSYCHOLOGIST'S OFFICE - DAY

Nthabiseng, clearly angry, is sitting across from the psychologist, scribbling on a sketchpad.

INTERCUT between the conversation and various animated drawings.

THERAPIST

So, you left home after the rape incident?

NTHABISENG

I had no choice. When I came home, my mom started hitting me and said "When you're out at that time it's like you asked for it." I was so angry with her.

Animation: A self portrait of Nthabiseng crying.

INT. REHAB FACILITY - ACTIVITY ROOM - DAY

A group of patients playing drums lead by a coach.

INTERCUT between Nthabiseng writing her autobiography at a desk in the study hall and various animated sketches.

NTHABISENG (V.O)

By the age of eighteen I was a real street survivor. I knew how to steal and defend myself, but I wanted to find a job and create a new life for myself. So, I was very excited when Ntombi contacted me.

Animation: A telephone ringing.

She was a university student, actually making something of her life! She said I should come and stay with her in Joburg until I found my way, even sent money for a train ticket.

Animation: A travelling train.

INT. REHAB FACILITY - ACTIVITY ROOM - DAY

A group of patients playing drums lead by a coach.

INTERCUT between Nthabiseng writing at the desk in her room and her exercising outside

NTHBISENG (V.O)

When I arrived at the station in Joburg I smoked some weed while waiting for Ntombi. Two hours later she arrived with a male friend. She gave me a hug.

Animation: Ntombi hugging Nthabiseng.

I got into the car and her friend drove us to a townhouse. Ntombi said I should go inside and settle in while she goes to buy groceries. I fell asleep for about three hours and never saw Ntombi again.

Nthabiseng exercising outside.

Animation: A car driving.

I was woken up by men hitting and punching me, stripping me naked and putting masking tape around my eyes. One guy punched me in the stomach. I tried to scream, but he gave me ecstasy and injections in my legs and thighs. He told me that because I'm new in Joburg, I must be fresh with no experience and that he was happy to teach me.

Animation: Nthabiseng being tied up, injected and beaten.

INT. REHAB FACILITY - PSYCHOLOGIST'S OFFICE - DAY

Nthabiseng is sitting on a couch beside the psychologist. As per usual, she is doodling on a sketchpad while answering the psychologist's questions.

INTERCUT between their conversation and various animated drawings.

THERAPIST

But ironically the rape continued on your search for freedom in Johannesburg.

NTHABISENG

Jip, that's also how I entered prostitution, it became an escape for my situation. For two weeks different men would come in and do what they wanted with me every single day. Until a younger girl was brought in and I was swapped with her, and thrown out of the house.

Animation: Men entering and leaving a bedroom. Nthabiseng's hands and legs are tied to the bed.

INT. REHAB FACILITY - STUDY HALL - DAY

Nthabiseng is sitting at the desk in her room, typing on her laptop.

NTHABISENG (V.O)

I was making a fair living for myself, until I got pregnant... I never used condoms; the combination of drugs and alcohol impaired my judgement.

Animation: A 'positive' pregnancy test.

I tried to keep it a secret, it interfered with my job security and my living arrangements, but I didn't want to give up the baby.

Animation: Different sketches of the baby developing.

INT. REHAB FACILITY - PSYCHOLOGIST'S OFFICE - DAY

A vulnerable and sad Nthabiseng is sitting across the table from the psychologist. As she shares her story with the psychologist, she scribbles on her sketchpad.

INTERCUT between their conversation and various animated drawings.

NTHABISENG

Six months into my pregnancy I couldn't hide my belly anymore. My pimp said that he had a solution for me.

Animation: A baby growing in Nthabiseng's womb.

Abortion. He had complete control over my life; he wasn't thinking about my life, my heart or what is best for me.

Animation: Nthabiseng tied up on a bed.

THERAPIST

You wanted to keep the baby?

NTHABISENG

Yes. I really wanted to change, make a better life for me and the baby, be the mother I never had. When I protested, I was tied up and drugged. The abortion was done that same day, forcefully. That same evening, I was told to take a client. As I was sitting in a bar, I saw this guy coming towards me. Something in my aching gut just said "No". Saying no to a pimp is signing your own death. When I said it out loud the club bouncers beat me up so badly that I collapsed.

Animation: Nthabiseng tied up on a bed with a scalpel next to her pregnant belly.

They probably gave me injections to put me out, because I can't remember anything after that. And that's the last thing I remember before waking up here.

INT. CHURCH - DAY

Nthabiseng attending a church service. The congregation is singing while Nthabiseng stares in front of her. As the song ends, the pastor walks onto the stage.

PASTOR

Let us pray.

At the pastor prays, Nthabiseng closes her eyes.

PASTOR

Lord thank you for bringing us together
and giving us this day.

In her mind's eye, she is seeing various animated drawings:

- A sketch of a pastor sitting next to her with his hand on her lap.
- A flashback of young Nthabiseng drawing at the park bench, smiling while looking at her sketch.

PASTOR

Help us to fulfill our purpose on earth
knowing that your hand is upon us.

In her mind's eye, she is seeing various animated flashbacks:

- Nthabiseng smiling during a drumming session at the rehabilitation facility;
- Nthabiseng smiling during an arts and crafts session at the rehabilitation facility.

PASTOR

Give us the guidance to distinguish
between good and evil. In Jesus name,
Amen.

INT. UNIVERSITY - LECTURE ROOM - DAY

Reading from her autobiography, Nthabiseng addresses a class of students at a University.

NTHABISENG

I am Nthabiseng Matchuma. I have survived a life of human trafficking. I had a happy home until it was taken away from me; until my world fell apart. After eighteen years of being trapped in the world of drugs and prostitution, I found an exit, an etsoa...

Nthabiseng's face crossfades into the face of Grizelda Grootboom⁶², the inspiration behind *Etsoa!*.

⁶² Grizelda Grootboom is a human trafficking survivor, originally from Cape Town, South Africa. After being abandoned by both her parents at the age of nine, she lived a life filled with prostitution, drug addiction and poverty. Fortunately, Grizelda's horrific story came to an end and she is currently an activist fighting human trafficking.

Addendum C:

Declaration of linguistic revision.



Quinton Oosthuizen

LANGUAGE PRACTITIONER
(B.Tech Language Practice – CUT)

DECLARATION

28 January 2021

To whom it may concern

This serves to inform you that I have linguistically revised, in English, the thesis of Esté Strydom, and that all necessary changes to the document were made.

You are more than welcome to contact me should you require any further information.

Kind regards

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