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# BAKHTIN'S CARNIVALESQUE: A GAUGE OF DIALOGISM IN SOVIET AND POST- SOVIET CINEMA

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BAKHTIN'S CARNIVALESQUE: A GAUGE OF DIALOGISM IN SOVIET AND  
POST-SOVIET CINEMA

A dissertation submitted in partial fulfillment of the requirements for the degree of  
Doctor of Philosophy, at Virginia Commonwealth University.

by

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## Abstract

## BAKHTIN'S CARNIVALESQUE: A GAUGE OF DIALOGISM IN SOVIET AND POST-SOVIET CINEMA

By Randy K. Davis, PhD.

A dissertation submitted in partial fulfillment of the requirements for the degree of Doctor of Philosophy, at Virginia Commonwealth University.

Virginia Commonwealth University, 2014

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This dissertation examines fifteen films produced in seven political eras from 1926 thru 2008 in Soviet / Post-Soviet Russia. Its aim is to determine if the cinematic presence of Bakhtin's ten signifiers of the carnivalesque (parody, death, grotesque display, satirical humor, billingsgate, metaphor, fearlessness, madness, the mask, and the interior infinite) increase in their significance with the historical progression from a totalitarian State (e.g., USSR under Stalin) to a federal semi-residential constitutional republic (e.g., The Russian Federation under Yeltsin - Putin). In this study, the carnivalesque signifiers act as a gauge of dialogism, the presence of which is indicative of some cinematic freedom of expression. The implication being, that in totalitarian States, a progressive relaxation of censorship in cinema (and conversely, an increase in cinematic freedom of expression) is indicative of a move towards a more representative form of governance, (e.g., the collapse of the totalitarian State).

The fifteen films analyzed in this study include: Battleship Potemkin (1925), End of St. Petersburg (1927), Chapaev (1934), Ivan the Terrible, Part II (1946, released in



1958), Spring on Zarechnaya Street (1956), The Cranes are Flying (1957), Stalker (1979), Siberiade (1979), The Legend of Suram Fortress (1984), Repentance (1984, released in 1987), Cold Summer of 1953 (1987), Little Vera (1988), Burnt by the Sun (1994), House of Fools (2002) and Russian Ark (2002). All fifteen films were produced in the Soviet/Post-Soviet space and directed by Russian filmmakers; hence, the films portray a distinctly Russian perspective on reality. These films emphasize various carnivalesque features including the reversal of conventional hierarchies, usually promoting the disprivileged masses to the top, thus turning them into heroes at the expense of traditional power structures.

## Preface

My interest in the Soviet Union began when as a little boy my mother bought home a copy of National Geographic with a picture of St. Basil's Cathedral on its front cover. In the late sixties and early seventies, my mother worked as a maid for an affluent doctor and his family. Whenever the doctor's wife threw out outdated copies of National Geographic, my mother rescued them and brought them home for my brother, sister and me to read. I remember being mesmerized by the picture of St. Basil's Cathedral. Upon further examination of the magazine, I discovered the main article of the issue, "An American in Mockba Russia's Capital" written by Thomas T. Hammond, PhD. I did not read the article (at least not in 1969) but I did spend a great deal of time examining the photographs, which portrayed a glitzy, glamorized version of the Soviet Union. In fact for a time, I looked at those photographs continuously and fantasized about traveling to the USSR and seeing St. Basil's Cathedral in person. Eventually, the March 1966 copy of the National Geographic fell victim to my Mother's archiving ritual. Every few months, she gathered all the old outdated copies of National Geographic, boxed them and placed them in our attic for safe keeping. She then brought home new outdated copies for us to look at. I say "look at" because I don't think my brother, sister or I ever really read them and I don't remember for sure if my siblings even looked at them, but I did. I looked at every copy she brought home but of all of them, the photograph of St. Basil's Cathedral and the pictures of Moscow remained vividly in my memory.

More than thirty years later in 2000, after my father's death, my mother asked me to help her clean out her attic and while doing so, I found the boxes of National Geographic magazines she had stored there. Immediately, I remembered the March 1966

copy and frantically searched the boxes hoping to find it. Eventually, I found it. St. Basil's Cathedral looked exactly as I remembered it but by this time the Soviet Union had collapsed and the glitzy photographs of Moscow looked more like the product of propaganda than authentic photojournalism. In addition, I had also lived and worked in both Bosnia and Kosovo and had made several friends from the new Russian Federation. I had attempted to travel to Russia on several occasions but I was never successful in obtaining a visa so the closest I got to Moscow was Kiev, in the Ukraine. That being said, finding the March 1966 copy with the photograph of St. Basil's Cathedral had the same mesmerizing effect on me that it had thirty years earlier and I began on my own to learn the Russian language and to study Soviet history.

While working in Bosnia, I became interested in photography and videography and began capturing post-war scenes of Bosnia, Kosovo and later Afghanistan on film. In 2008, I decided to return to the university and formally study documentary filmmaking and world cinema. After earning a second bachelor's degree in international studies with a concentration in world cinema (VCU), a graduate certificate in documentary filmmaking (GWU) and a Masters of Science degree in multimedia journalism (VCU), in 2010 I entered VCU's interdisciplinary doctorate program in Media, Art and Text. My focus of study has been film as documentary and more specifically, Soviet and Post-Soviet film. Hence, while enrolled in graduate school I began taking formal academic courses in Soviet/Post-Soviet history, Soviet society through film, film theory and film criticism. It was in one such course that I was introduced to the Russian literary critic and philosopher Mikhail Bakhtin and his concept of the Carnavalesque.

# Introduction

While Bakhtin's major works involve literary criticism and the carnivalization of literature, a closer reading of his oeuvre revealed that Bakhtin had a broader definition of "text", including not just literary works but also artistic works such as paintings and musical compositions. Moreover, since Bakhtin's major work on the carnivalization of literature, Rabelais and His World was written in the late 1930's during the Stalin era and his concept of the Carnavalesque is in many ways an inversion of Stalin's prescribed Socialist Realist aesthetic, the idea occurred to me that it would be interesting to analyze Soviet and Post-Soviet cinema through the lens of Bakhtin. Bakhtin himself however, focused primarily on literature and never directed his theory of the Carnivalization of literature towards film theory or cinema. And while various researchers have applied his concepts of the chronotope (Sobchack) and the "solemnity of humor" (Chen) – a carnival variant – to film, none have isolated the carnivalesque signifiers, analyzed films for their presence and then use them as a gauge of dialogism, which I have attempted to do in this study.

Hence, my aim in this study is to analyze fifteen Soviet/Post-Soviet films to determine if the cinematic presence of Bakhtin's ten carnivalesque signifiers increases with the historical progression from a totalitarian State to a federal semi-residential constitutional republic. I have identified the ten carnivalesque signifiers as: parody, death, grotesque display, satirical humor, billingsgate, metaphor, fearlessness, madness, the mask, and the interior infinite. The carnivalesque signifiers act as voices, each functioning as a vocal perspective imaged and displayed on the screen through the medium of film. Accordingly, the ten carnivalesque signifiers both singularly and

together act as a gauge of dialogism, the presence of which is indicative of varying degrees of cinematic freedom of expression. The implication being, that in totalitarian States, a progressive relaxation of censorship in cinema (and conversely, an increase in cinematic freedom of expression) is indicative of a move away from totalitarianism towards a more representative form of governance. To be put in perspective, for the purpose of this study “a progressive relaxation of censorship in cinema” refers to the films that Soviet and Post-Soviet censors allowed to be screened in the Soviet Union and the new Russian Federation by mass Russian audiences.

The overall benefit of this study is that with it, I feel I have identified a method of cultural and political analysis that probes State regulated cinema. In countries with State regulated and financially supported cinema, the State owned studios finance the production of films but the State censors are the officials who decide which films are screened and which are shelved. One must remember that in totalitarian or Communist States the major function of cinema is not to entertain but to educate and indoctrinate the populace in the political policies of the regime in power; the State appointed censors represent the interests the regime that appoints them. Notwithstanding, in such States there is always a dialectical tension between the political demands placed on the artist and the artist’s intent. In regards to cinema, the State censors are the last obstacle that a director must traverse to have his or her film screened in mass by the public. So in essence, films that are released and even those shelved films that are later allowed to be screened are hypothetically hybrids between the State censors’ politically correct aesthetic and the artist-director’s intent. That being said, the analysis of films in countries with State regulated cinema across regime changes or political eras using Bakhtin’s

carnavalesque signifiers as a gauge of dialogism and the methodology that I introduce in this study, can indicate whether or not artistic expression is increasing or tightening. The formula is as follows: an increase in the cinematic presence of carnivalesque signifiers equals an increase in dialogism in cinema, which in turn equals an increase in cinematic freedom of expression. An increase in cinematic freedom of expression tends to parallel political freedom of expression, which indicates a move towards more democratic forms of governance. The inverse is also true, however: a decrease in the cinematic presence of carnivalesque signifiers equals a decrease in dialogism in cinema, which in turn equals a decrease or tightening of cinematic freedom of expression. Thus, a decrease in cinematic freedom of expression tends to parallel a tightening of political freedom of expression, indicating the maintenance of the status quo or the move towards a more repressive form of governance. To this end, the methodology that I have developed for this study can be used as a predictive tool in the analysis of political organs and institutions as well as of cultural trends.

In brief, Chapter I will be dedicated to outlining Bakhtin's concept of the Carnavalesque, isolating and identifying the ten carnivalesque signifiers, and explaining how they relate to Bakhtin's concept of the grotesque body. In Chapter II, I will discuss the major Soviet aesthetic views of reality including Bakhtin's concept of dialogism. The discussions of the relevant aesthetic views of reality that existed alongside Bakhtin's concepts of the Carnavalesque and dialogism are necessary in order to grasp the complexity of the artistic environment in which Bakhtin was working. In addition, the discussion focused on Socialist Realism is especially relevant in that it was the official aesthetic doctrine of the Soviet State. Only with its inclusion, can one see how truly

radical and insubordinate Bakhtin's concepts were in the Stalinist era and the Post-Soviet eras that followed. In Chapter III, I introduce Agamben's concept of the *homo sacer* and explain why it is important to this study. Agamben defines "homo sacer" as "he who can be killed but not sacrificed." For the purpose of this study and in regards to Soviet and Post-Soviet cinema the *homo sacer* and the protagonist are usually one and the same entity. Once the *homo sacer* is identified in each of the fifteen films, the "source" (antagonist) that reduces the protagonist to the state of the *homo sacer* will be identified. This is of vital importance because as the Soviet Union progresses from a totalitarian State (under Stalin) to a federal semi-residential constitutional republic (under Yeltsin-Putin), I postulate that the "source" (antagonist) changes from an "enemy of the State" to the "State" itself. In Chapter IV, I reinterpret Bakhtin's literary theory as film theory and explain how his concepts of the Carnavalesque and dialogism can be used as a lens to analyze film. In Chapter V, I analyze each of the fifteen films and document the specific scenes that are demonstrative of the carnivalesque signifiers. And finally, in Chapter VI, I present my conclusions and the application of my methodology to other State cinemas.

## **Chapter I**

### **Rabelais and His World – Bakhtin’s Concept of the Carnavalesque**

Mikhail Bakhtin was a Russian literary critic and theorist. His work is the result of two interacting forces: it is at once a reaction to the repressions of Stalinism while simultaneously being the product of Marxist critical theory. There are many varieties of Marxist criticism, all of which have two things in common: first, they place texts in historical context and study the degree to which those texts attempt to change that context to have an effect on history; second, Marxist critics assume that history is unfinished and that our interpretations "should and will help push it in one direction or another, slow it down or speed it up" (Robbins 376-77). That being said, Bakhtin's form of Marxist criticism varied greatly from the officially sanctioned Marxist criticism of the Stalinist era. Josef Stalin believed that writers should be "engineers of human souls". Accordingly, literary views that were in line with Stalin's prevailed. Speaking at the 1934 First Congress of the Union of Soviet Writers, the Soviet author Maxim Gorky stated "As the principal hero of our books we should choose labour..." (Gorky 54). This was the same writer's congress that proclaimed Socialist Realism the official doctrine by which all artists in the Soviet Union would be judged.

Notwithstanding, Bakhtin's Marxist theory differed greatly from that of the three dominant Marxist theorists who presided over the 1934 First Soviet Writers' Congress: Maxim Gorky, Andrei Zhdanov and Nikolai Bukharin. It coincided more favorably with the Marxist criticism of Leon Trotsky and Georg Lukács.

Trotsky was concerned about the direction in which Marxist aesthetic theory appeared to be moving and warned emphatically of the danger of cultural sterility,



pointing out the fallacy of an assumed connection between "the quality of a literary work and the quality of its author's politics" (Murfin 365).

Georg Lukács was a Hungarian "idealist" critic who converted to Marxism in 1919, and who later in 1933 immigrated to the Soviet Union. Lukács was not a staunch supporter of socialist realism, conversely appreciating "prerevolutionary, realistic novels that broadly reflected cultural 'totalities' - and were populated with characters representing human 'types' of the author's place and time" (Murfin 366). Lukács wrote:

The artist invents situations and develops modes of expression through which he can invest private passions with a significance extending beyond the life of the individual. In this creative approach lies the secret for exalting the individual to the typical - not with loss of individuality in a character but with the intensification of his individuality. An individual's awareness - like an emotion intensified to the extreme - provides the potential for disclosing capacities which remain embryonic or exist only as intentions or potentialities in real life. (Robin 58)

Like Bakhtin, both Trotsky and Lukács practiced a subtler form of Marxist criticism that strayed away from the Socialist Realist views of the strident Marxist critics of the Stalinist era. Furthermore, Lukács's description of "exalting the individual to the typical..." sounds much like Bakhtin's carnivalesque signifier "the infinite interior" which I will expound upon later in this chapter.

In forming his literary theory, Bakhtin first identifies three fundamental roots of the novelistic genre: the *epic*, the *rhetorical*, and the *carnivalistic* (Problems of Dostoevsky's Poetics 109). It is the third, the carnivalistic, upon which he bases his literary theory. In this vein, his subtle form of Marxist literary criticism unfolds as a process, beginning with the serio-comical – the starting point of the carnivalesque line of the novel (as exemplified in Rabelais's work) – and culminating with the dialogic novel of which he identifies Dostoevsky as its progenitor.

Bakhtin believed that the three basic characteristics common to all genres entering the realm of the serio-comical were: (1) that they used the "living present" as their starting point for understanding, evaluating, and shaping reality; (2) the genres of the serio-comical did not rely on *legend* and did not legitimize themselves through it, they *consciously* relied on *experience* and *free invention*, and (3) all these genres were deliberately multi-styled and hetero-voiced in nature (Bakhtin Problems of Dostoevsky's Poetics 108). As Bakhtin states:

Literature that was influenced - directly and without mediation, or indirectly, through a series of intermediate links - by one or another variant of carnivalistic folklore (ancient or medieval) we shall call *carnivalized literature*. The realm of the serio-comical constitutes the first example of such literature. (Problems of Dostoevsky's Poetics 107)

Bakhtin thus identifies the *Socratic dialogue* and *Menippean* satire as two genres from the serio-comical realm that are of ultimate importance in shaping his progression from the carnivalesque towards the dialogic.

Bakhtin states that carnival started out not as a literary phenomenon but rather as a "syncretic pageantry of a ritualistic sort" that was practiced up until the second half of the seventeenth century (i.e., the Middle Ages and in the Renaissance), after which it becomes a purely literary tradition (Problems of Dostoevsky's Poetics 122).

He identified four categories of carnival; categories that as he states are "sensuous ritual-pageant 'thoughts'" experienced and played out in carnival by and for its participants. They are: (1) "free and familiar contact among people" as opposed to the "all-powerful socio-hierarchical relationships of noncarnival life" (2) eccentricity, which "permits - in concretely sensuous form - the latent sides of human nature to reveal and express themselves" (3) carnivalistic *mésalliances* - the unification, wedding, and the

bringing together of "the sacred with the profane, the lofty with the low, the great with the insignificant, the wise with the stupid"; and (4) profanation – "carnivalistic blasphemies, a whole system of carnivalistic debasings and bringings down to earth, carnivalistic obscenities linked with the reproductive power of the earth and the body, carnivalistic parodies on sacred texts and sayings, etc." (Problems of Dostoevsky's Poetics 23). Bakhtin identifies the carnivalistic act most permeated with the four carnival categories as the "mock crowning and subsequent decrowning of the carnival king"; as he states, "Under this ritual act of decrowning a king lies the very core of the carnival sense of the world - *the pathos of shifts and changes, of death and renewal*" (Problems of Dostoevsky's Poetics 124-125).

It is from these four categories, with the primary carnivalistic act being *crowning* and *decrowning*, that a carnivalesque language emerged:

Carnival has worked out an entire language of symbolic concretely sensuous forms – from large and complex mass actions to individual carnivalistic gestures. This language, in a differentiated and even (as in any language) articulate way, gave expression to a unified (but complex) carnival sense of the world, permeating all its forms. This language cannot be translated in any full or adequate way into a verbal language, and much less into a language of abstract concepts, but it is amenable to a certain transposition into a language of artistic images that has something in common with its concretely sensuous nature; that is, it can be transposed into the language of literature. We are calling this transposition of carnival into the language of literature the carnivalization of literature. (Problems of Dostoevsky's Poetics 122)

It is around the "carnivalization of literature" that Bakhtin forms his concept of the Carnavalesque, basing his formalization on the 16<sup>th</sup> century comic masterpiece Gargantua and Pantagruel, written by the French Renaissance writer, François Rabelais (1494-1553). In his book Rabelais and His World, Bakhtin outlines his concept of the Carnavalesque and identifies the Grotesque Realism of the Medieval Period and the

Renaissance as the period and cultural movement whence it came. Bakhtin believed that the Grotesque Realism of the Middle Ages grew out of the medieval culture of folk humor that was manifested in Medieval society via the carnival. Hence, Bakhtin's concept of the Carnavalesque is based on the carnival and carnival spirit of the Middle Ages

The striving toward renewal and a new birth, "the thirst for a new youth" pervaded the carnival spirit of the Middle Ages and found a multiform expression in concrete sensual elements of folk culture, both in ritual and spectacle. This was the second, festive life of the Middle Ages.  
(Rabelais and His World 57)

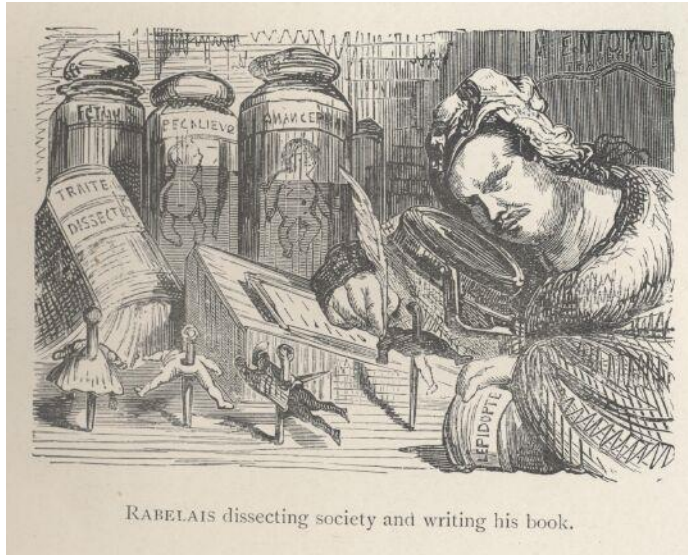
The significance of Rabelais's comic masterpiece Gargantua and Pantagruel for Bakhtin was that in it, Rabelais utilized folk culture and folk carnival humor to portray a view of life that was in direct opposition to the official dictums of his (Rabelais's) times. Rabelais thus strove to reveal the true meaning of his times for the people. And for Bakhtin, who was living through the Stalinization of Russian folklore, of repression and the Great Purge, Rabelais became extremely significant.

Contrary to the Socialist Realist doctrine, Bakhtin's concept of the Carnavalesque represented the unofficial aesthetic of artistic expression during the Soviet period of the late 1930s. The only common element between Socialist Realism and Bakhtin's concept of the Carnavalesque was the use of folklore and "the folk" as a metaphor. The Stalinization of folklore and socialist realist doctrine forced Soviet artists to produce heroes that were pristine, adoring and intelligent models of the new Soviet man. By contrast, Bakhtin's folkloric heroes were blasphemous, cunning, coarse, dirty and physically agile, (i.e., Harlequinesque).

In postulating his concept of the Carnavalesque using Rabelais's Gargantua and Pantagruel as a model, Bakhtin first identifies folk carnival humor (laughter) as its central theme. He postulates that of its many manifestations, folk carnival humor is found in one of three forms: (1) ritual spectacles – consisting of carnival pageants and comic shows, (2) comic verbal compositions – both oral and written parodies, and (3) assorted genres of billingsgate – including popular blazons, oaths, and curses (Rabelais and His World 5). Within its three manifestations and upon a thorough review of Bakhtin's concept of the Carnavalesque, I have identified and singled out ten themes or thematic procedures that are indicative of the Carnavalesque (grotesque realism) and prevalent in the dialogic novel. I have labeled these themes “carnavalesque signifiers”, they are: parody, death, grotesque display, satirical humor, billingsgate, metaphor, fearlessness, madness, the mask, and the infinite interior. With the exception of “the infinite interior” the remaining nine signifiers are a product of the Medieval and Renaissance Grotesque. They spring from the “living carnival” of the Middle Ages. The “infinite interior” is a discovery of romantic grotesque literature; it is strictly literary in nature. In regards to the originality of this study, I must reiterate that the ten carnavalesque signifiers are the product of my (not Bakhtin's) interpretation of Bakhtin's concept of the Carnavalesque.

## Bakhtin's Ten Carnavalesque Signifiers

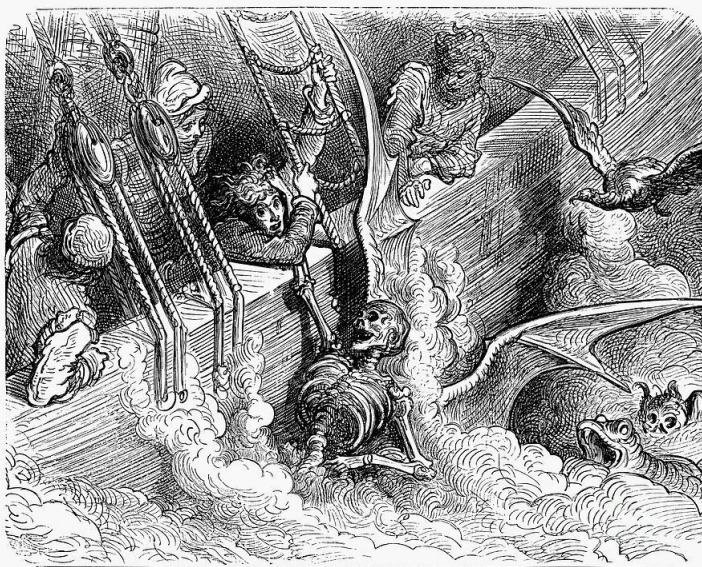
Figure 1 Gustave Doré, Gargantua and Pantagruel



(Figure 1 Rabelais dissecting society and writing his book)

has as its goal - *degradation*. It brings down to earth and turns its subject(s) into flesh; yet it also has the goal of *regeneration* (Rabelais 20-21). In Medieval times, parody took the form of both oral and written comic verbal compositions. Additionally, parody often took the form of the miracle play both ecclesiastical and secular.

Figure 2 Gustave Doré, Gargantua and Pantagruel



(1) Parody, Bakhtin defines as the vehicle by which "a second life, a second world of folk culture is thus constructed..." (Rabelais and His World 11). Hence, parody like the other signifiers (with the exception of the 'interior infinite')

(2) Death, for Bakhtin connotes transfiguration and renewal. As he writes: "The theme of death as renewal, the combination of death and birth, and the pictures of gay death

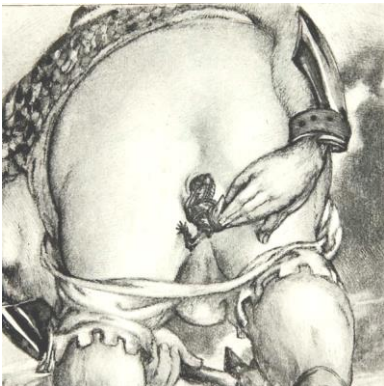
play an important part in the system of grotesque imagery in Rabelais's novel" (Rabelais and His World 51). Hence, in grotesque imagery, death as an instrument of revival, change and renewal is indicative of the Carnavalesque, festive spirit of the Middle Ages.

**Figure 3 François Desprez  
Gargantua and Pantagruel**



(3) The Grotesque Display, Bakhtin points out "reflects a phenomenon in transformation, an as yet unfinished metamorphosis, of death and birth, growth and becoming" (Rabelais Rabelais and His World 24). Accordingly, Bakhtin asserts that the imagery of grotesque display has two determining traits: its relation to time and ambivalence equally "we find both poles of transformation, the old and the new, the dying and the procreating, the beginning and the end of the metamorphosis" (Rabelais and His World 24). In its carnival form, grotesque display was manifested mainly by way of clowns and fools, both of which figure prominently in Rabelais's novel and both being "characteristic of the medieval culture of humor" (Rabelais and His World 8).

**Figure 4 Louis Icart,  
Gargantua and Pantagruel**



(4) Satirical Humor. As Bakhtin asserts throughout his book on Rabelais, laughter is the behavior upon which the medieval culture of humor sprang. Of satirical humor, he states:

It can be said that medieval culture of humor which accompanied the feasts was a "satiric" drama, a fourth drama, after the "tragic trilogy" of official Christian cult and theology to which it corresponded but was at the same time in opposition. Like the antique "satyric" drama, so also the medieval culture of laughter was the drama of bodily life (copulation, birth, growth, eating, drinking, defecation). (Rabelais and His World 88)



According to Bakhtin, the satirist's laughter is positive and the satirist places himself alongside his mockery. Satirical humor produces ambivalent laughter and "expresses the point of view of the whole world; he who is laughing also belongs to it" (Rabelais and His World 12).

**Figure 5 Gustave Doré,  
Gargantua and Pantagruel**



(5) The Billingsgate consists of curses, oaths, popular blazons, abusive language, insulting words and expressions. Both the ideal and real temporary suspension of hierarchical rank during carnival time created a special type of communication not possible in everyday life, "This led to the creation of special forms of marketplace speech and gesture, frank and free, permitting no distance between those who came in contact with each other and liberating

*(Figure 5 "The altercation waxed hot in words; which moved the gaping hoydens of the Scottish Parisians to run from all parts thereof.")*

from norms of etiquette and decency imposed at other times" (Rabelais and His World 10). This is the form billingsgate took in the marketplace and the living carnivals of the Middle Ages. It is important however, to understand the essential role billingsgate plays in understanding grotesque literature, including Rabelais's. As with many of the Carnavalesque signifiers, the grotesque concept of the body forms the basis of billingsgate "Abuse exercises a direct influence on the language and the images of this literature and is closely related to all other forms of 'degradation' and 'down to earth' in grotesque and Renaissance literature" (Rabelais and His World 26-27).



**Figure 6 Gustave Doré,  
Gargantua and Pantagruel**



(6) Metaphor, in its carnivalesque form is used as an instrument to convey the "principal of regeneration." Bakhtin takes examples from Cervantes' Don Quixote to illustrate the metaphorical image typical of the grotesque carnival "The gay principle of regeneration can also be seen, to a lesser extent, in the windmills (giants), inns (castles), flocks of rams and sheep (armies of knights), innkeepers (lords of the castle), prostitutes (noble ladies), and so forth" (Rabelais and His

*(Figure 6 "Is there any greater pain of the teeth than when the dogs have you by the legs?")*

World 22). The metaphorical image in essence, forms the carnival aspect of the material body.

**Figure 7 Gustave Doré, Gargantua and Pantagruel**



(7) Fearlessness, Bakhtin believed, results in complete liberty and the images of folk culture "are absolutely fearless and communicate this fearlessness to all (Rabelais and His

(Above: Figure 7 "Thus went out those valiant champions on their adventure.")

World 39). Bakhtin believed Rabelais's novel to be the most fearless book in world literature (Rabelais and His World 39) In Gargantua and Pantagruel, fear is destroyed at its origin and everything associated with it is transformed into gaiety. Bakhtin points out that fear "is the extreme expression of narrow-minded and stupid seriousness, which is defeated by laughter" hence, only in a completely fearless world can complete liberty be possible (Rabelais and His World 47).

**Figure 8 Gustave Doré, Gargantua and Pantagruel**

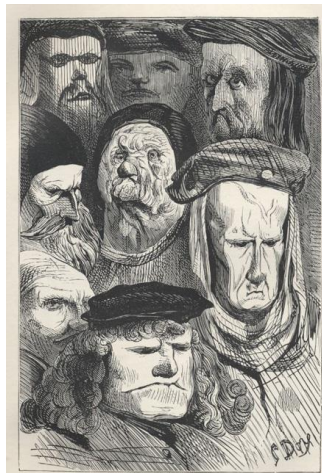


"The furred law cats scrambling after the crowns from Panurge's purse."

(Figure 8 "The furred law cats scrambling after the crowns from Panurge's purse.")

madness. (Rabelais and His World 39).

In grotesque literature, madness is used "to escape the false 'truth of this world' in order



"By sucking very much at the purses of the pleading parties, they to the suits already begot form, heads, feet, claws, beaks, teeth," etc.

to look at the world with eyes free from this 'truth'" (Rabelais and His World 49).

(9) The Mask, is one of the more important and most complex themes of folk culture:

(Above: Figure 9 Gustave Doré, Gargantua and Pantagruel "By sucking very 'much' at the purses of the pleading parties, they to the suits already begot form, head, feet, claws, beaks, teeth," &c.)

The mask is connected with the joy of change and reincarnation, with gay relativity and with the merry negation of uniformity and similarity; it rejects conformity to oneself. The mask is related to transition, metamorphoses, the violation of the natural boundaries, to mockery and familiar nicknames. It contains the playful element of life; it is based on a peculiar interrelation of reality and image, characteristic of the most ancient rituals and spectacles. Let us point out that such manifestations as parodies, caricatures, grimaces, eccentric postures, and the comic gestures are per se derived from the mask. It reveals the essence of the grotesque. (Rabelais and His World 39-41).

Figure 10 J.B. Baillière, 1838



(10) The Interior Infinite – of this

signifier, Bakhtin states: "This *interior infinite* of the individual was unknown to the medieval and the Renaissance grotesque; the discovery made by the Romanticists was made possible by their

use of the grotesque method and of its power to liberate from dogmatism, completeness, and limitation" (Rabelais and his World 44). Unlike the preceding nine signifiers, the "interior infinite" is not a product of the Medieval folk culture of humor. It is a strictly literary convention of Romanticism "- that of the interior subjective man with his depth, complexity, and inexhaustible resources" (Rabelais and His World 44).

Since the (living) carnival served as the basis for the genres of the serio-comical realm, the above ten carnivalesque signifiers can also be found (to some extent) in the Socratic dialogue and the Menippea. But as Bakhtin asserts that, "From the second half of the seventeenth century on, carnival almost completely ceases to be a direct source of

carnivalization, ceding its place to the influence of already carnivalized literature; in this way carnivalization becomes a purely literary tradition" (Problems of Dostoevsky's Poetics 131). Thus emerged the Carnavalesque literature of the Medieval period and the Renaissance, with Rabelais and Cervantes as its two primary novelists.

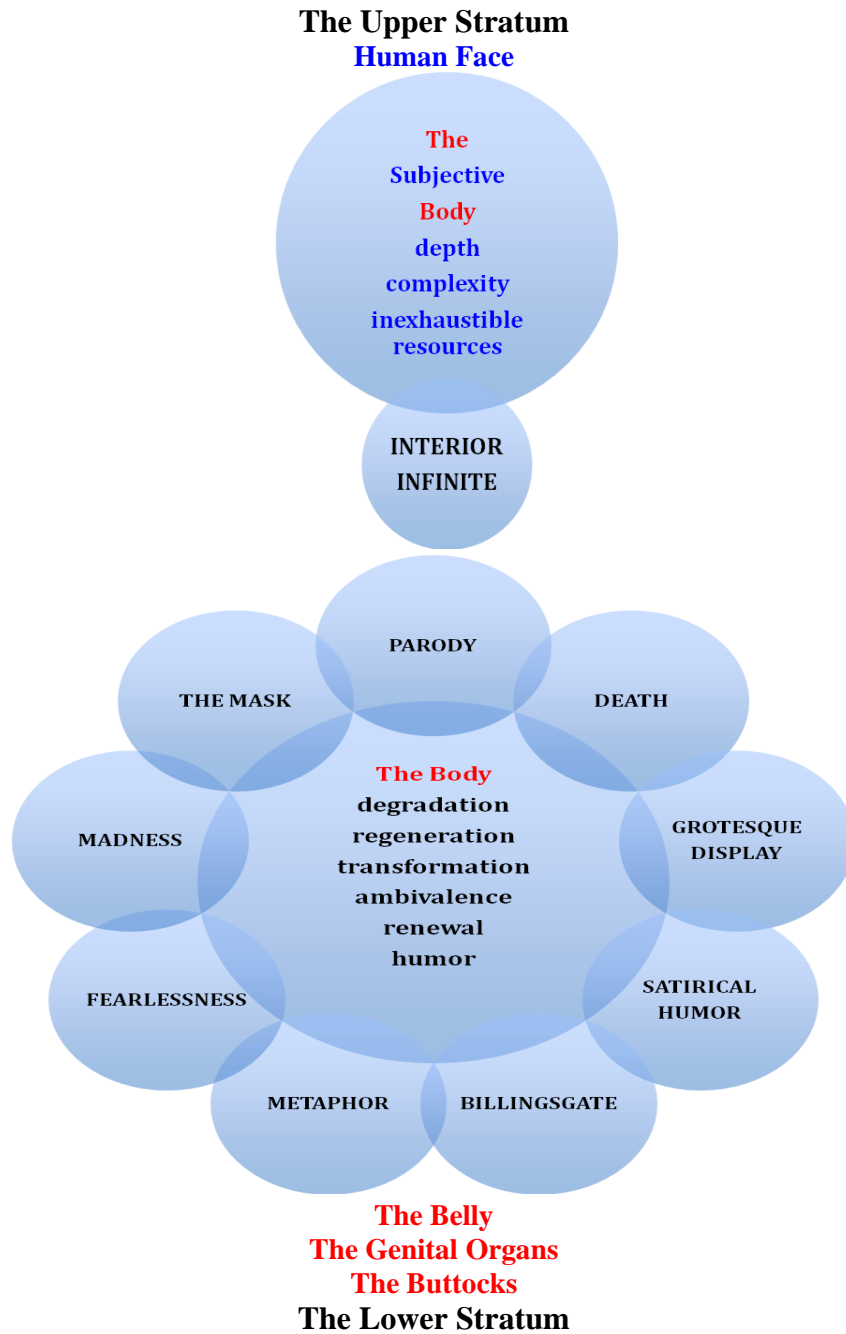
As is evident, the first nine signifiers (the exception being "interior infinite") combine and overlap to form a complete picture of the Medieval culture of folk humor. For example, the signifier "parody" can contain within it any or all of the remaining eight signifiers: death, grotesque display, satirical humor, billingsgate, metaphor, fearlessness, madness, and the mask. These nine signifiers were not only prevalent in Medieval folk culture but in Medieval and Renaissance literature as well. The "interior infinite", a product of the Romantic grotesque literary tradition, is an interior state and is included because of its focus on the individual and the value it places on the upper stratum, the subjective body. Bakhtin's description of this Romanticist's discovery (i.e., interior infinite) has much in common with the subtle Marxist critic Lukács's description of character "types". What distinguishes the interior infinite from the remaining nine signifiers is that its focus is on the interior subjective body, whereas the remaining nine signifiers have as their focus the outward physical body, especially the "lower stratum" of the body, e.g. the genital organs, the belly, and the buttocks. And of these nine signifiers, they all have six common goals. They instigate degradation, regeneration, transformation, ambivalence, renewal and humor.

The grotesque body, as we have often stressed, is a body in the act of becoming. It is never finished, never completed: it is continually built, created, and builds and creates another body. Moreover, the body swallows the world and is itself swallowed by the world. Eating, drinking, defecation and other elimination (sweating, blowing of the nose, sneezing), as well as copulation, pregnancy, dismemberment, swallowing up by another body – all these acts are performed on

the confines of the body and the outer world, or on the confines of the old and new body. In all these events, the beginning and end of life are closely linked and interwoven. (Rabelais and His World 317).

These ten signifiers – the upper stratum consisting of the interior infinite and the lower stratum consisting of parody, death, grotesque display, satirical humor, billingsgate, metaphor, fearlessness, madness, and the mask – together form the skeleton of Bakhtin's concept of the Carnivalesque. The “Grotesque Body” (see Chart #1 below) is my visualization of the ten carnivalesque signifiers and their relation to the human body – it is in turn, a graphic representation of Bakhtin's concept of the Carnivalesque.

# The Grotesque Body



(Chart #1 R.K. Davis 2013)

## **Chapter II: Soviet and Post-Soviet Aesthetic Views of Reality**

The Russian Revolution is a collective term referring to two revolutions that took place in Russia in 1917. The first revolution of February 1917 took place in the context of substantial military losses during World War I (1914-18) and resulted in Tsar Nicholas II's abdication. After this, a dual power structure emerged: the Provisional Government and the Petrograd Soviet. The Provisional Government was a thirteen-man committee consisting of members of the Progressive Bloc, and representatives of other leftist groups. The Provisional Government claimed unlimited power and set as its goal to reestablish state and public order throughout Russia.

The Petrograd Soviet consisted of workshop and factory delegates, the leaders of dissident military units, and socialist and democratic party representatives. The Petrograd Soviet had as its goal "the organization of popular forces and the struggle for the final consolidation of the people's government in Russia" (Dmytryshyn 41). The two revolutionary bodies had vastly different goals and conflicts between the two ensued.

This interim period was characterized by frequent protests, strikes, and mutinies. When the Provisional Government chose to continue Russia's participation in World War I, the Bolsheviks and other socialist groups campaigned for Russia's withdrawal and turned worker militias under their control into the Red Guard (later to become the Red Army). In the second revolution that occurred in October of 1917, The Bolsheviks, led by Vladimir Lenin and the Petrograd Soviets, overthrew the Provisional Government in Petrograd (now St. Petersburg) and appointed themselves as leaders of various government ministries thus creating the Bolshevik (Communist) government. The



Bolsheviks then proceeded to seize control of the countryside and established the Cheka (Lenin's political police) to suppress dissent. As Dmytryshyn has argued, "The Bolshevik triumph in Russia was a product of three fundamental factors: first, the Bolsheviks' ability to capitalize on the mistakes and ridicule the policy of their opponents; second, their readiness to appropriate popular policies of other parties; and third, their determination to translate to the Russian people in simple terms the meaning of 'the Bolshevik program' for Russia" (62).

On March 3, 1918, representing the new Bolshevik regime, Gregory Sokolnikov signed the Treaty of Brest-Litovsk with Germany ending Russia's participation in World War I "signing of the Treaty of Brest-Litovsk, while repulsive to Russian Communists and non-Communists alike, provided Lenin with a territorial base on which to introduce unhindered further revolutionary experiments" (Dmytryshyn 83).

The Bolsheviks' withdrawing Russia from the war, in addition to their efforts to create a new society based on Marxist-Leninist teachings was met with resistance, both foreign and domestic. In 1918 shortly after the revolution, civil war erupted between the "Red" (Bolshevik) and "White" (anti-Bolshevik) factions. The Russian Civil War continued to the end of 1920, with the Bolsheviks claiming victory.

After their military victories, the Bolsheviks were faced with the daunting task of educating the Russian populace in its Marxist-Leninist philosophy. Identifying "popular culture" and its control as a means to this end, the Bolsheviks formed a propaganda machine consisting of three main forces: the educational establishment, the avant-garde and the Proletarian Culture movement – Proletcult (Stites 39).



## **The Proletcult and Russian Avant-Garde Movements**

While not downplaying the importance of the educational establishment and its role in spreading Bolshevik propaganda to the Russian masses, for the purposes of this analysis, I will direct my attention to the Russian Avant-garde and Proletcult movements, since they pertain generally to the arts and more specifically to cinema, which is the focus of this study. Initially, both these groups were sympathetic to the Revolution and the Bolsheviks (Communist Party) but both groups eventually fell out of favor with both Lenin and Stalin. Lenin's attacks against the Proletcult led to its demise in 1923 and Stalin effectively suppressed the avant-gardists with his policy of Socialist Realism.

In regards to literature, most of the Russian writers – along with the Russian intelligentsia – assumed a negative stance towards the Bolsheviks and the new Communist regime. Many of them left the country and joined émigré groups in Paris, Berlin or Prague “Those writers who chose to stay in Russia following the Bolshevik coup were divided into two groups: outspoken opponents of the new regime, and apolitical supporters of the revolution” (Dmytryshyn 132).

In 1917, the literary group Proletcult was founded, “... it combined notions of the prewar elitists who preached high culture, the Left Bolsheviks who dreamed of a new (though vaguely defined) revolutionary proletarian culture, and the workers themselves who wanted these and other things as well” (Stites 40). Proletcult's goal was to develop a new literature by and for the workers (the proletariat). Accordingly, they strove to create a “political art.” Three of Proletcult's major voices were: Alexander Bogdanov (1873-1928), Aleksei Gastev (1882-1939), and Sergey Platonov (1860-1933).

Alexander Bogdanov was a physician, scientist, economist, novelist, poet, philosopher and Marxist revolutionary and at one time, Lenin's second in command (Dmytryshyn 122). Bogdanov's Marxist philosophy attempted to reconstruct Marxism along modern epistemological lines (Rowley, no pagination). In his Tektology: Universal Organization Science (published in Russia between 1912 and 1917), Bogdanov proposed that all human, biological and physical sciences could be unified by viewing them "as systems of relationships and by seeking the organizing principles that underlie all systems (Rowley). Moreover, as author of the "organizational theory" of society, Bogdanov devised a moray of visions and metaphors for the role the new proletarian art was to play:

Art, he said, is the higher organization of the social experience, the most powerful means for the concentration of the collective forces of the new class. Art is a perfect organization of the class struggle. It is a radically collectivized labor. In it the notion of private property and personality cannot exist. It is a supreme stage of mass proletarian labor. (Todorov 48)

Interestingly enough, Bogdanov's conception of art coincides with the modernist concept of "Mass Man", whose responsibility it was to reconstruct a new world, "His (Mass Man's) communal body accomplishes a radical feat or labor by erecting the final work – the New World" (Todorov 46). For Bogdanov, art should concern itself with the dictates of building the "New World"; its erector – Mass Man in his communal body. This, he felt, is accomplished through large-scale industry and mass production. Comradeship thus becomes an important factor in Bogdanov's equation for the reconstruction of a new world. Human corporality must become the ready substance of comradeship.

Bogdanov reasoned that blood was the substance that should be shared and exchanged between comrades, resulting in the flow of comradeship directly into the

bodies of proletarians. He founded Russia's pioneering Institute for Blood Transfusion, which served both medical and political purposes "Blood transfusion as the subject of science becomes a means for homogenizing a united collective political agent: the proletariat" (Todorov 49). Ironically, Bogdanov died in support of his beliefs. He attempted to exchange his blood with an incompatible donor. He died as a result of his body's rejection of the incompatible blood type.

All three artists (Bogdanov, Gastev and Platonov) discussed in this section believed that the goal of revolutionary artists and their art was to reconstruct a new world. However, all three differed in both their approach and focus. Whereas Bogdanov's focus was on "organizational theory" and the underlining communal threads needed for the homogenization of Mass Man, Aleksei Gastev, both a poet and labor activist, focused his attention on "scientific management" and the means by which to remake the human body into the proletarian Body "Hence the works of Gastev have to be read as blueprints that project the formation of the future world and the man who inhabits it" (Todorov 70). Gastev's book Poetry of the Worker's Blow (1918), was one of the first books published in the Proletcult book series (Hellebust 504) and his poetry extolled industrialization, proclaiming the epoch of a new type of human, one tempered by the all-embracing mechanization of everyday life.

Sergey Platonov was a historian who led the St. Petersburg school of imperial historiography both before and after the Revolution. Platonov's focus was on the earth itself as an incubator for revolution:

Influenced directly by Gastev and his ferro-concrete verses that cut through and plow the ground of poetry, Platonov glorifies the Earth as a machine of a special construction. He demonstrates in his prose the grand political commitment of the

Earth and its specific service to the revolution. The Earth is the vehicle proper of the universal revolution. (Todorov 74)

In his prose, Platonov portrays the earth as both planet and globe. The double metaphor is evident in his novel The Foundation Pit:

<i>As Planet</i>	<i>As Globe</i>
“After all, the whole earthly sphere, all its softness, will soon be taken in precise, iron hands.” (Platonov 84)	“Having said this Chiklin shoved his spade down into the top soft layer of the earth concentrating downwards his apathetic-thoughtful face. Voshchev also began to burrow deep into the soil, letting all his strength into the spade.” (Platonov 21)

The earth, planet and globe figure prominently in the arts and letters of the Proletcult: the *earth* being symbolic of a theater for Revolution, the *globe* implying geopolitical planning and the *planet* as spaceship (Todorov 74).

Lenin initially supported the aims of the Proletcult but as many of its members began to insist on its independence from the Party, Lenin’s support changed to antagonism. By 1920, the aims of the Proletcult in regards to art collided with Lenin’s aims regarding the Party. The Proletcult, having been founded in late 1917, by 1920 had effectively created a political Proletarian art with its own ideology, organizational structure and action program, all of which were independent of the Party (Todorov 102). Thus, an attack against the Proletcult and its members became inevitable. Lenin both devised and led this attack himself.

Herein lies the irony of Lenin’s revolutionary victory and the consequences it had for the Russian people and for world at large. On the one hand, Lenin instigated proletarian modernization by embracing the political ideas of the time. On the other, he achieved Bolshevization (modernization) via the Revolution. And finally and ironically,

after achieving modernization, he devised a Party policy that arrested the development of modernization.

Accordingly, ideas such as Bogdanov's Mass Man utopia could no longer be tolerated:

This art was suffocated by Lenin because it did not give in to Bolshevization and did not conform to Party interests. The political modernism of Bogdanov became harmful, because Lenin had already turned the political idea into a Party idea and the proletariat had to build not a world, but a Party. Bogdanov charged the proletariat with ontological interests. Lenin charged it with ideological ones. Modernization as the meaning of political art manifests intuitions of a world. Ideology as the meaning of Party art manifests intuitions of a power. (Todorov 47)

Under Party policy, no organization that was ideologically and structurally independent of the Party could exist. Hence in 1920, Lenin suppressed the ideologists of Proletcult and expelled them from the Party. By 1923, the Proletcult was disbanded altogether. Fortunately, the experimental twenties had not yet come to an end. Unfortunately, they would end with Stalin.

The disbanding of Proletcult coincided with official abandonment of War Communism and the implementation of the New Economic Policy (NEP). War Communism was a political and economic system adopted by the Bolsheviks during the Russian Civil War. It lasted from 1918 to 1921 with the intended goal of keeping towns stocked with food as well as providing the Red Army with a ready arsenal and food supply. War Communism had four distinct characteristics: (1) it endeavored to inaugurate a Communist society in Russia (2) it contributed heavily to economic disorganization in both agriculture and industry (3) it rapidly established complete government control over the entire production and distribution apparatus and, (4) it was the agent of violent conflict between the peasantry and the Bolshevik regime (Dmytryshyn 102-108). War

Communism resulted in two antagonistic outcomes: on the one hand, it tipped the scales in the Bolshevik's favor during the Civil War by providing the conditions that kept the Red Army well supplied, while simultaneously depriving the Russian bourgeoisie and by default, the Mensheviks of their land, property and much needed resources; on the other hand, the peasants and the workers were tiring of the excessive demands that War Communism was requiring from them. This growing opposition made it clear to both the Bolsheviks and to Lenin that War Communism as a permanent political system was doomed to failure. Thus, "A retreat to capitalism in the form of the New Economic Policy (NEP) became the only avenue of escape for the Bolsheviks" (Dmytryshyn 111).

Though intended to raise the economy of the country after the Civil War, the NEP had an unintended impact on literature and the arts. The return to a capitalist economy, though limited, and the restoration of private trade enabled the reestablishment of private book printing and distribution facilities. This resulted in the appearance of new literary journals and the reappearance of writers who had fallen out of grace with the Party.

While almost totally destroying the popular literature and theatrical arts of the past, the Russian Revolution garnered a new form within the arts that has come to be known as the Russian Avant-garde. Stites states:

Many of the artistic avant-garde were dedicated revolutionaries who genuinely wanted to reach the masses with their new art. But they also fiercely desired aesthetic self-expression in a revolutionary idiom. Avant-garde experiment released a free flight of magnificent fantasy which delighted the creators and the cognoscenti, but only occasionally the mass public. Futurist and transrational poetry, constructivist theater and art, machinery orchestras, innovative cinematography, and geometric forms of the dance – all predating the revolution – rose up to challenge the older styles in high culture in a vigorous aesthetic and generational revolt. (39)

From Stites's assertion, three important truths concerning the Russian Avant-garde

become evident. First, he defines what the “art” of the Russian Avant-garde included: poetry, theater, art, music, cinema, and dance. Second, he points out that these forms predated the revolution, but because of the revolution they resurfaced in the form of “revolutionary art”. An example of how this art, “rose up to challenge the older styles in high culture...” is demonstrated in works of the avant-garde musicians who challenged the classical compositions of pre-revolutionary composers such as Mikhail Glinka and Pyotr Tchaikovsky with their experimentations with machine music, electronic sonorities and factory whistle concerts (Stites 46). Third, he points out that the “art” of the avant-gardists delighted only those who produced it (i.e., the avant-gardists themselves) and the art connoisseurs. The masses in general did not respond well to the experimental futuristic art or the political propaganda of the avant-gardists, preferring “art” that offered pure entertainment. Consequently, the avant-garde artists began to experience many of the same problems faced by the members of the Proletcult “The 1920s was an era of uneasy coexistence and constant struggle among the ruling communists, the avant-garde, and ‘the people’ over what constituted culture and popular culture” (Stites 40-41).

Because Soviet and Post-Soviet cinema is the focus of this study, I will now turn my attention to the Soviet avant-garde filmmakers, many of whom found themselves in the same boat as the avant-gardists of other art forms and members of the Proletcult such as Bogdanov.

In regards to the cinema of this period, Stites states: “During the 1920s – the golden age of Soviet cinema – the rulers of the country whose primary desire was for ‘films of persuasion’ faced two major obstacles: avant-garde filmmakers who wanted to create a new cinematic art; and popular audiences who wanted entertainment” (55). Like

Bogdanov and the more prevalent members of the Proletcult such as Gastev and Platonov, the avant-garde filmmakers strove to create a “political cinema” whereas Lenin and the Bolshevik leaders needed a ‘Party cinema’ that is, a cinema that would educate the masses in the Marxist view of class system, economic order and most of all political power.

Some Marxist revolutionaries, like Trotsky, believed that the revolution was only a transitional period, the final goal being true Socialism and the Socialist State. As Trotsky stated, “Our policy in art, during a transitional period, can and must be to help the various groups and schools of art which have come over to the Revolution to grasp correctly the historic meaning of the Revolution, and to allow them complete freedom of self-determination in the field of art, after putting before them the categorical standard of being for or against the Revolution” (14). He believed that “Socialist art will grow out of the art of this transition period” (229). This brings up an interesting question: is Socialist art a “political art” or a “Party art”? A follow up question would be: is this even a valid question since Russia never became a truly Socialist State? Instead it became a totalitarian State and in totalitarian States “Party art” is always the rule. Because the avant-garde filmmakers strove and succeeded in creating a political cinema their fate in Soviet Russian was more or less written as will become evident. However, for the purpose of this present study, which is to apply Bakhtin’s theory of the carnivalization of literature as film theory, it is important to introduce their theories of montage, which all of the avant-garde filmmakers believed to be the essence of cinema.

The five most celebrated Soviet Avant-garde filmmakers are: Vsevolod Pudovkin (1893 – 1953), Alexander Dovzhenko (1894 – 1956), Dziga Vertov (1896 –



1954), Sergei Eisenstein (1898 – 1948) and Lev Kuleshov (1899 – 1977). Each of these directors differed in his use of montage as a conveyance of meaning; yet viewed together, they provide an intertextual genesis upon which all Soviet and Post-Soviet directors that followed would draw.

## **Theories of Montage**

While the films of only two of the five directors (Pudovkin, and Eisenstein) are included in this study, I feel it necessary – if only briefly – to expound upon all five directors, which I believe will result in a comprehensive picture of Soviet montage as practiced by the avant-garde filmmakers, who I will now begin referring to as the “Soviet” avant-garde filmmakers since pre-revolutionary Russia became the Union of Soviet Socialist Republics (USSR) in 1922.

I will initiate my exploration of the Soviet avant-garde directors’ theories of montage with the theories of Lev Kuleshov.

### **Lev Kuleshov (1899 – 1977)**

Lev Kuleshov was greatly influenced by all things American. He owned a Ford sports car and was often seen driving it through the poverty stricken streets of Moscow. Both openly pro-American and discretely anti-Soviet, he strategically joined the communist party and escaped Stalin’s purges.

As Kuleshov wrote in a 1917 article “To make a picture the director must compose the separate filmed fragments, disordered and disjointed, into a single whole and juxtapose these separate moments into a more advantageous, integral and rhythmical sequence, just as a child constructs a whole word or phrase from separate scattered blocks of letters” (Kuleshov, “The Tasks of the Artist in Cinema” 41). Kuleshov was of course referring to “montage.” Post 1917, when the Communist government was encouraging a burgeoning film industry, Russian filmmakers had neither the equipment nor film stock to make their films. In consequence, they experimented with montage (editing) using film

footage already in existence. In 1919, the Soviet People's Commissar, Anatoli

Lunacharsky wrote:

In the present impoverished state of the Russian economy we cannot count on producing films of a purely artistic, literary or even scientifically objective character and competing with foreign firms or replacing Russian private films. For the present, while trade is significantly restricted, we might perhaps borrow this kind of material from films that have already been made or imported from abroad; but this situation will not of course last forever. (47)

The found footage used in these experiments ranged from pre-revolutionary melodramas to Hollywood imports (Jones, no pagination). A crucial moment in Russian film development was the smuggling of D.W. Griffiths film Intolerance (1916) into Russia. Kuleshov and his film students re-ran the film repeatedly and consequently re-edited it themselves. In doing so, they discovered the varying effects on an audience's perception that can be produced by changing the sequence of shots.

Kuleshov took his research a step further. He used a segment of footage of the famous Russian actor Ivan Mozzhukhin, cutting the same shot in three different sequences. In the first sequence, he juxtaposed Mozzhukhin's face with a bowl of soup; in the second, with a girl playing; and the third, with a dead woman. Russian audiences praised Mozzhukhin's range of expression – believing he showed hunger when he saw the soup, experienced joy at seeing his daughter play and felt grief at his mother's death. In actuality, Muzzhukhin's face in all three sequences was from the same shot shown repeatedly.

Based on Pavlovian physiology, this effect on an audience's perception produced by montage (cutting) has come to be known as "the Kuleshov Effect." In its simplest form, the "Kuleshov Effect" is simply the effect produced by the editing technique of crosscutting. Although Hollywood film directors before Kuleshov had used this

technique in the United States, he was the first to use it in Soviet Russia. Kuleshov described the essence of montage as follows:

Very few filmmakers (apart from the Americans) have realized that in cinema this method of expressing an artistic idea is provided by the rhythmical succession of individual still frames or short sequences conveying movement – that is what is technically known as montage. Montage is to cinema what colour composition is to painting or a harmonic sequence of sounds is to music. (“The Art of Cinema” 46)

By 1922, Kuleshov had defined what cinema should consist of and the role montage played in its creation. He theorized that cinema should be “natural” that is cinema which is not “amateurishly psychological” or “...fixes theatrical action, but natural cinema that is regularly ordered in time and space, a cinema that fixes organized human and natural raw material and organizes the viewer’s attention at the moment of projection through montage” (Kuleshov “Art, Contemporary Life and Cinema” 69).

Lastly, it is interesting to note that during his montage experiments, Kuleshov destroyed the archives of rare silent films that included the archives of the pre-revolutionary filmmakers Yevgeni Bauer and Aleksandr Khanzhonkov and many privately nationalized studios, thus clearing the way for his own documentaries and feature films (see Shelokhonov).

### **Vsevolod Pudovkin (1893 – 1953)**

Vsevolod Pudovkin was one of Kuleshov’s many exceptional film students. Pudovkin went on to further Kuleshov’s experiments in montage, thus developing a montage theory and technique of his own. Pudovkin theorized that it is the context of actors, not their acting, that moves audiences, and context is established (via montage) by

linking their actions to exterior objects (Jones). Whereas Kuleshov focused on the “sequence” in which shots were placed to create a “natural cinema” that was precise in time and space; Pudovkin focused on the “linkage” of shots; he “unrolled” an idea by linking single shots together – called by Eisenstein, the “epic” principle (Eisenstein 37-49).

Like Eisenstein (discussed later in this chapter), Pudovkin believed that the impression an audience receives is not based on the logical sequence of the shots but on the collision and conflict between them. As he states, “I underline once more that, when he includes in his compositional work conflict and collision, the director’s work moves beyond the bounds of simple designation or description” (Pudovkin 265-266). But unlike Eisenstein whose montage techniques produced dissonance, Pudovkin’s montage sequences are more lyrical and do not break up but enhance his narrative “In fact, it’s Pudovkin who is the true ancestor of the modern Hollywood film” (Jones). Pudovkin’s film, End of St. Petersburg (1927), is one of the fifteen films analyzed in this study.

### **Alexander Dovzhenko**

Dovzhenko is the least overt theorist of the five avant-garde filmmakers covered in this chapter. The remaining four (Kuleshov, Pudovkin, Vertov, and Eisenstein) were all his contemporaries and were applying their theories (published) on montage to their films. Being Ukrainian by birth, Dovzhenko felt it important to chronicle the plights of the Ukrainian peasant class, drawing voluminously from his own life as well as indigenous folklore. In contradistinction to Eisenstein’s, his montage appeals more to the emotions than the intellect. This is clearly evident in his film Earth (1930). In addition, in

contradistinction of Pudovkin’s montage style that focused on the “context” of the actors and the “linkage” of shots, Dovzhenko “gives each shot an intensity, an inner movement, and an independence from context that invariably set it in contrast with its neighbors” (Fujiwara).

### **Dziga Vertov**

The three quotes below give the essence of Dziga Vertov’s beliefs about the virtues of the camera (the “Kino-eye”) and what it meant to both Marxism and cinema:

<i>Quotes from Dziga Vertov</i>		
The establishing of a class bond that is visual (Kino-eye) and auditory (radio-ear) between the proletarians of all nations and all lands, based on the platform of the communist decoding of the world – this is our objective (Vertov <u>Kino-Eye: The Writings of Dziga Vertov</u> 50)	We cannot improve the making of our eye, but we can endlessly perfect the camera. The weakness of the human eye is manifest. We affirm the kino-eye. (Vertov <u>Kino-Eye: The Writings of Dziga Vertov</u> 15-16)	I am a mechanical eye. I, a machine, show you the world as only I can see it. (Vertov <u>Kino-Eye: The Writings of Dziga Vertov</u> 17)

Vertov believed in the supremacy of the camera (Kino-eye) over the human eye. He viewed the camera as a neutral machine that recorded (without bias) images of the world as it really was, thus his famous quote – “life caught unaware.” Vertov also believed that “The camera lens was a machine that could be perfected bit by bit, to seize the world in its entirety and organize visual chaos into a coherent, objective set of pictures”; he felt “that his Kino-Eye principle was a method of ‘communist’ (or ‘true Marxist’) deciphering of the world...” (Dawson, no pagination). Vertov strove to record

reality and considered all his films to be documentaries; the reality he recorded being his personal vision of “Soviet” reality.

His concept of a self-reflective cinema – occurring when the viewer identifies himself with the filmmaking process – employed an encyclopedia of montage effects: nonconventional camera angles, montage editing, stroboscopic editing, multiple exposures, fast cutting, freeze frames, split screens, reverse motion, shock cuts, pixilation and reverse motion – “anything and everything to demonstrate that cinema was not a means to tell a story but a machine art produced with a mechanically improved, all-seeing eye” (Hoberman, no pagination).

Eisenstein often criticized Vertov and condemned his use of many of the above-mentioned editing techniques. Referring to Vertov’s use of slow motion, Eisenstein states: “Or, more often, it is used simply for formalist jackstraws and unmotivated camera mischief as in Vertov’s *Man with the Movie-Camera*” (Eisenstein 43).

As mentioned previously, all five avant-garde filmmakers were contemporaries, often criticizing, debating and collaborating with one another. Of the five, Eisenstein and his film form has been most studied and elaborated upon by film scholars. I shall now turn my attention to Eisenstein, his theories of montage and film form.

## Eisenstein's Dialectical Approach to Film Form

Film theorists and historians consider Sergei Eisenstein the “Father of Montage.” He is most noted for his silent films, which include Strike (1924), Battleship Potemkin (1926), and October (1927). However, his three historical epics: Alexander Nevsky (1938), Ivan the Terrible, Part I (1944) and Ivan the Terrible, Part II (1944, released in 1958) deserve recognition as well.

The genesis of Eisenstein's approach to film form lies in his fascination with audience response and how it could be provoked towards an emotional response. “For Eisenstein (as for Marx, and Brecht, and Godard), art should raise class-consciousness and transform the viewer, ideally causing the audience to take up arms against their sea of troubles as soon as they leave the theatre” (Shaw, no pagination).

In his 1931 essay “A Dialectic Approach to Film Form,” Eisenstein clarified what he was striving for cinematically. At the center of his “film form” is “conflict,” which results from “being” – the consistent evolution resulting from the interaction of two contradictory opposites, and “synthesis” – deriving from the struggle between thesis and antithesis (Eisenstein 45). “Just as the conflict of classes drove history – with the bourgeoisie as thesis clashing with the proletariat as antithesis to yield the triumphant progressive synthesis of the classless society – so, too, (famously, in *Strike!*) shot A of the workers' rebellion being put down is juxtaposed with shot B of cattle being slaughtered and the synthesis yields the symbolic meaning C, that the workers are cattle” (Shaw). Eisenstein identified “conflict” as “the fundamental principle for the existence of every artwork and every art-form – for art is always conflict: (1) according to its social mission, (2) according to its nature and (3) according to its methodology” (Eisenstein 46).



Moreover, for Eisenstein conflict was the driving principle of both the single shot and of montage, which he described as “the nerve of cinema” (Eisenstein 48). Adhering to a “dramatic” principle of montage wherein montage was considered an idea that resulted from the collision of independent shots, Eisenstein stipulated that “each sequential element is perceived not *next* to the other, but on *top* of the other” (Eisenstein 49).

He identified ten types of conflict that are found within single shots as well as between colliding shots (montage) and thus make up “film form” they are:

1. Graphic conflict
2. Conflict of planes
3. Conflict of volumes
4. Spatial conflict
5. Light conflict
6. Tempo conflict
7. Conflict between matter and viewpoint
8. Conflict between matter and its spatial nature
9. Conflict between an event and its temporal nature, and
10. Conflict between the whole *optical* complex and a quite different sphere.  
(Eisenstein 54)

Eisenstein thus invented an “intellectual” montage, that while highly captivating, was not well received by Soviet audiences or the Communist leadership. Both his contemporaries and government leaders often accused him of formalism. Hence, while a fervent Marxist and ideologue, in the end Eisenstein proved to be more of an artist. That being said, his ideology comes through not so much in his “film form” (editing and montage) as in the actual content (imagery) of his films. And it is his “content” that I will analyze in his two films Battleship Potemkin and Ivan the Terrible, Part II, included in this study.

Eisenstein - like many of his contemporaries (Pudovkin and Vertov in particular) - was a dedicated revolutionary and seriously wanted to impress Soviet audiences with his ideological message. However, what he – and again like many of his contemporaries –

ended up producing was a “political art” that did not necessarily fulfill the needs of the Communist Party. Notwithstanding, all five Avant-garde filmmakers eventually fell afoul of the Communist leadership.

In 1922, Joseph Stalin was appointed to the post of general secretary of the Communist party’s Central Committee. Following Lenin’s death in 1924, Stalin was able to consolidate power by eliminating his rivals and by 1928, he was the unchallenged leader of the Soviet Union. In addition to his political policies – which included discontinuing the NEP and initiating the First Five Year Plan, with the accelerated goal of industrialization – in 1934, Stalin officially proclaimed Social Realism the standard by which all art would be judged. As a result, the Soviet avant-garde filmmakers all found their work either suppressed or heavily censored. That being the case, Eisenstein still managed to make his film, Ivan the Terrible, Part II in 1946 (though released in 1958 after Stalin’s death). Ivan the Terrible, Part II, along with Tengiz Abudze’s Repentance (1984, released in 1987) are scathing indictments on the personality cult of Stalin. But to fully understand the impact Socialist Realist doctrine had on cinema and on the arts in general, as well as to get a clear picture of where Bakhtin fits into the equation and the implications of his work to both the literature and cinema, a brief description of Socialist Realism would be helpful.

## Socialist Realism

Lenin, the precursor wrote:

Literature must become party literature. Down with non-party writers. Down with the superman-writer. The literary work must become a building block of the organized, planned, united ... party work. Writers must necessarily enter the party organizations. Publishing houses, reading rooms, libraries – all of these must come under party control. In defining the borders between party and anti-party writing, the criterion must be the party program ... its statute. (“Partiinaia Organizatsiia I Partiinaia Literatura 14-19)

Lenin’s attack and indictment of the Proletcult and by extension on its “political art” was merely a precursor of what was to come under Stalin. “What Lenin wanted in 1905 was actually accomplished in 1932 at the writers’ conference, where formalism (read modernism) was totally liquidated and the omnipotence of the new Party truth in art was proclaimed” (Todorov 102).

The Stalinist Era lasted from 1928 (by this time he had consolidated his power base) until his death on March 5, 1953. The British philosopher Jonathan Glover describes the Stalinist era as follows: “Stalin’s rule was the powerful modern version of the ancient practice of tyranny... What distinguishes the Soviet terror from its predecessors is the role of an ideology, or system of beliefs” (252). In regards to the arts and cinema, in particular, that ideology (aesthetic) was state-sponsored Socialist Realism – adopted at the 1934 First All-Union Congress of Soviet Writers. Included in the Congress’s statutes was this classic definition:

Socialist realism, the basic method of Soviet literature and literary criticism, demands of the sincere writer a historically concrete presentation of reality in its revolutionary development. Thus the veracity and the historically concrete aspect of the artistic representation of reality have to be allied to the task of ideological change and the education of workers in the spirit of socialism. Socialist Realism guarantees to creative art an extraordinary opportunity to manifest any artistic initiative and a choice of various forms, styles and genres. The victory of socialism, the rapid growth of productive forces unprecedented in the history of

humanity, the burgeoning process of the liquidation of classes, the elimination of all possibilities of exploitation of man by man and the elimination of the contrasts between city and countryside, and, finally, the progress of science and culture, create limitless possibilities for a qualitative and quantitative increase in creative forces and for the expansion of all types of art and literature. (Robin 11)

While the Congress was geared primarily to Soviet writers and to the novel, its statutes were intended for all artists, including poets, playwrights, painters, composers, architects and most importantly, filmmakers. In a conversation with Anatoly Lunacharsky, Lenin was quoted as saying: "You must remember always that of all the arts the most important for us is the cinema" ("Directives on the Film Business"). Lenin is believed to be making a functional rather than an artistic judgment. Nonetheless, I quoted his statement here in anticipation of the application of Bakhtin's literary theory to cinema, which I will revisit in Chapter IV.

Conversely, the socialist realist doctrine was intended to foster a stylistic unity within the arts, which portrayed "one leader, one party, one aesthetic" (Holquist "Prologue" xvii). In other words, it was intended to portray a "Party" not a "Political" art. It was not by chance that in 1934 – the year of the First Congress of the Union of Soviet Writers – that Bakhtin became concerned with the genre of the novel, thus beginning his penetrating study of "grotesque realism" from which he extracted his concept of the Carnavalesque, which according to Holquist is "...a point-by-point inversion of categories used in the thirties to define Socialist Realism" ("Prologue" xvii).

## Bakhtin's Dialogism (The Polyphonic Novel)

One of the early influences on Bakhtin's theoretical development was Neo-Kantianism, the dominant philosophical tradition in Europe during the late teens and early 1920s. Holquist summarizes Neo-Kantianism as follow:

In Kant's view, his predecessors had either, like Leibniz, overemphasized the role of ideas, thus diminishing the role of the world outside the mind; or, like Locke, they had gone too far in the opposite direction and by sensualizing concepts had made the mind merely a receptor of information provided by sensations from the world. Kant's breakthrough was to insist on the necessary interaction – the *dialogue* as Bakhtin would come to interpret it – between mind and world. (Dialogism: Bakhtin and his World 3-4).

We can now see the embryonic beginnings of Bakhtin's concept of dialogism.

In his early writings, which include essays such as "Toward a Philosophy of the Deed" and "Author and Hero in Aesthetic Activity," Bakhtin's understanding of perception as an act of "authoring" brings him even closer to Kant "in so far as he rethinks the problem of wholeness in terms of what is an essentially *aesthetic* operation" (Holquist Dialogism: Bakhtin and his World 7).

Thus far, I have followed Bakhtin as he progressed through the serio-comic genres (e.g., the Socratic dialogue and the Menippea) – during the age of antiquity; through the carnivalization of literature wherein he lays out his concept of the Carnavalesque – during the Renaissance; finally arriving at his concept of dialogism via the polyphonic novel – characterizing the 19th century to the present; the whole of which completes his literary theory. It is evident that Bakhtin's literary theory is a progressive one. Whereas the ten carnivalesque signifiers (which I have identified and teased out of Bakhtin's conception of the Carnavalesque) are present to some extent in the Socratic dialogue and the Menippea (in a somewhat monologic form), they take on a multi-voiced

nature and become polyphonic in Rabelais's work, and not surprisingly they appear to an even greater extent in Dostoevsky's novels. In this vein, Bakhtin states "Shakespeare, along with Rabelais, Cervantes, Grimmelshausen and others, belongs to that line of development in European literature in which the early buds of polyphony ripened, and whose great culminator, in this respect, Dostoevsky was to become" (Problems of Dostoevsky's Poetics 34).

Just as Bakhtin uses Rabelais's book Gargantua and Pantagruel to illustrate his concept of the Carnavalesque, he similarly uses Dostoevsky's polyphonic novels as an illustration when putting forth his concept of dialogism. As Bakhtin's literary theory is a progressive one, his concept the Carnavalesque parallels his concept of polyphony.

Bakhtin did assert however that "... the comparison we draw between Dostoevsky's novel and polyphony is meant as a graphic analogy, nothing more" (Bakhtin Problems of Dostoevsky's Poetics 22). In his book The Dialogic Imagination, Bakhtin contrasts the dialogic voice with the monologic or single voice in literature. For Bakhtin, the dialogic approach engages in a continual *dialogue* with multiple voices, whereas the monologic approach attempts to blend all voices into one official voice, the voice of the State, which prompts no response only obedience.

Dialogue, then, consists of an utterance (word), a response, and the relation between the two. In Bakhtin's concept of dialogue, the utterance itself is never original, it is always an answer, even if the question is not verbally asked:

An utterance, then, is a border phenomenon. It takes place between speakers, and is, therefore, drenched in social factors. This means that the utterance is also on the border between what is said and what is not said, since, as a social phenomenon *par excellence*, the utterance is shaped by speakers who assume that the values of their particular community are shared, and thus do not need to be spelled out in what they say. (Holquist, Dialogism: Bakhtin and His World 61)

Bakhtin employs the terms “Addressivity” and “Answerability” in relation to an utterance, which “is always addressed to someone and anticipates, can generate, a response, anticipates an answer” (Irving, no pagination). Discourse – made up of strings or chains of utterances – is then fundamentally dialogic and historically contingent; that is, positioned within and inseparable from a community, a history, a place (Irving). As Bakhtin states: “The word lives, as it were on the boundary between its own context and another, alien, context,” (The Dialogic Imagination 284).

Bakhtin also used the term “heteroglossia” (literally “many languagedness”) in his discussion of dialogism. In describing Bakhtin’s usage of the term, Stam states: “Every apparently unified linguistic or social community is characterized by heteroglossia, whereby language becomes the space of confrontation of differently oriented social accents, as diverse ‘sociolinguistic consciousnesses’ fight it out on the terrain of language” (8).

However, according to Bakhtinian scholar Michael Holquist, “dialogism” is a term that Bakhtin himself never used (Dialogism: Bakhtin and his World 15). In this study, I will use the term “dialogism” in conjunction with “polyphony,” a term that Bakhtin did use to describe his concept of “multiple voices” in continuous dialog, the concept central to his dialogical approach. Dialogism, then, encompasses both heteroglossia (many languidness) and polyphony (multiple voices), and involves the interaction (often conflict) of those voices.

In this vein, I will begin by deconstructing Bakhtin's definition of polyphony:

*A plurality of independent and unmerged voices and consciousnesses, a genuine polyphony of fully valid voices is in fact the chief characteristic of Dostoevsky's novels. What unfolds in his works is not a multitude of*

characters and fates in a single objective world, illuminated by a single authorial consciousness; rather a *plurality of consciousnesses, with equal rights and each with its own world*, combine but are not merged in the unity of the event. (Bakhtin, Problems of Dostoevsky's Poetics 6)

When analyzed more closely, this definition produces the following three themes:

"unmerged voices," "a plurality of consciousnesses" and finally, "the unity of the event."

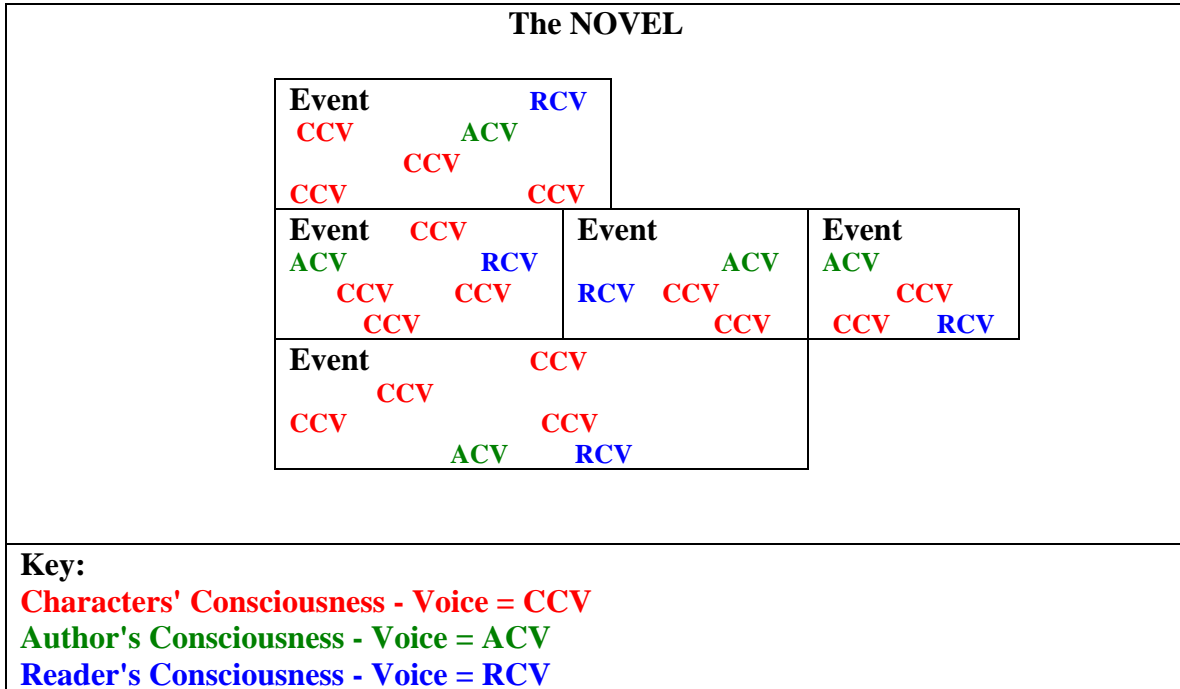
I will focus first on the third theme, "the unity of the event" and work backwards. In Dostoevsky's creative world, it is the "event" that binds inner men one to another (Bakhtin Problems of Dostoevsky's Poetics 13); in other words, it is within the "event" that exists "unmerged voices" and "a plurality of consciousnesses" (See Chart #2 below).

In Problems of Dostoevsky's Poetics, Bakhtin asserts that the author's discourse about a character is organized as discourse about "someone who is actually present," someone who can actually hear and is capable of answering him (the author) (63). The author is not just writing about his characters, he is in actual dialog with them as they are with each other. As Bakhtin states in Problems of Dostoevsky's Poetics, "Dostoevsky, like Goethe's Prometheus, creates not voiceless slaves (as does Zeus) but free people, capable of standing alongside their creator, capable of not agreeing with him and even of rebelling against him" (6). And let us not forget, that in the dialogic novel, the reader also participates in the dialog (Morson and Emerson 247 – 51). It then follows that in the dialogic novel – characterized by its polyphony – the author, characters and reader all participate in the discourse, interacting with each other and often conflicting. This is truly what Bakhtin means in regards to the dialogism.



## Dialogism via The Polyphonic Novel

### The AUTHOR



(Chart #2 R.K. Davis 2013)

In Chart 2, the overall box represents the polyphonic novel containing several “events” (plots). Within each “event” there are several character consciousnesses, an authorial consciousness and the reader’s consciousness. Each consciousness has its own independent voice and its own point of view, thus creating a polyphony of equally weighted unmerged voices “The author of a novel may unfold several different plots, but each will be merely one version of a more encompassing story: the narrative of how an author (as a dialogic, non-psychological self) constructs a relation with his heroes (as others)” (Holquist, *Dialogism: Bakhtin and his World* 30). According to this view, the author then is both inside and outside of his literary work.

With regards to the structure of the polyphonic novel, Bakhtin states:

A character's word about himself and his world is just as fully weighted as the author's word usually is; it is not subordinated to the character's objectified image as merely one of his characteristics, nor does it serve as a

mouthpiece for the author's voice. It possesses extraordinary independence in the structure of the work; it sounds, as it were *alongside* the author's word and in a special way combines both with it and with the full and equally valid voices of other characters. (Problems of Dostoevsky's Poetics 7)

Moreover, in polyphonic novels, the characters are not instruments for the author to state his views, but rather, they have consciousnesses of their own that are free and independent of the author's consciousness. Conversely, the author stands alongside his characters, whose ideas and opinions may even counter his own. The reader/viewer also possesses an independent consciousness:

Dostoevsky's novel is dialogic. It is constructed not as the whole of a single consciousness, absorbing other consciousnesses as objects into itself, but as a whole formed by the interaction of several consciousnesses, none of which entirely becomes an object for the other; this interaction provides no support for the viewer who would objectify an entire event according to some ordinary monologic category (thematically, lyrically or cognitively) - and this consequently makes the viewer also a participant. (Problems of Dostoevsky's Poetics 19)

Herein, the parallels between the Carnavalesque and the dialogic become clear. In both genres everyone becomes an equal participant. This is an important characteristic of the polyphonic novel and of polyphony in general: there is no point of view of a nonparticipating "third person". Both the reader/viewer and the author/director stand alongside the characters, participating and interacting with each other, the other characters and with the event, itself. In the polyphonic novel (and polyphony in general), nonparticipating "third persons" are not represented; allowing the author to take a new position, one above the monologic position (Bakhtin Problems of Dostoevsky's Poetics 18).

In constructing his polyphonic novels, Dostoevsky was not as much concerned with "ideas," as he was with "the unification of highly heterogeneous and incompatible

material – with the plurality of consciousness-centers not reduced to a single ideological common denominator..." (Problems of Dostoevsky's Poetics 17-24). Coexistence and interaction (spatial), not evolution (temporal) was fundamental in Dostoevsky's artistic visualization of the world. In his polyphonic novels, he sought to show all things simultaneously, coexisting side by side.

Thus Dostoevsky's world is the artistically organized coexistence and interaction of spiritual diversity, not stages in the evolution of a unified spirit. And thus, despite their different hierarchical emphasis, the worlds of the heroes and the planes of the novel, by virtue of the novel's very structure, lie side by side on a plane of coexistence (as do Dante's worlds) and of interaction (not present in Dante's formal polyphony); they are not placed one after the other, as stages of evolution. (Bakhtin Problems of Dostoevsky's Poetics 31)

In Dostoevsky's polyphony not only do the novel's individual consciousnesses (characters) stand side by side but those same consciousnesses (characters) stand side by side and coexist with the different planes of the novel itself. This polyphonic intertextuality can also exist between different authors (voices) of different literary movements, for example between Voltaire (the French Enlightenment), and Ponson du Terrail (the Gothic novel), Balzac (critical realism), and Tieck (Romantic movement). In Marxism and the Philosophy of Language, which officially cites Valentin Volosinov as its author but unofficially is believed by scholars to have been authored by Bakhtin, this statement appears: "Moreover, a verbal performance of this kind also inevitably orients itself with respect to previous performances in the same sphere, both those by the same author and those by other authors" (95).

In his essay "Forms of Time and of the Chronotope in the Novel" (in The Dialogic Imagination), Bakhtin develops his concept of the literary "chronotope" "We will give the name *chronotope* (literally, 'time space' according to Bakhtin) to the

intrinsic connectedness of temporal and spatial relationships that are artistically expressed in literature” (84). The importance of the literary chronotope for Bakhtin is that it serves as a means of comprehending the various ways a novel’s spatiotemporal structures elicit the presence of autonomous worlds detached from their texts. Stam elaborates:

The chronotope mediates between two orders of experience and discourse: the historical and the artistic, providing fictional environments where historically specific constellations of power are made visible... These concrete spatiotemporal structures in the novel are correlatable with the real historical world but not equatable with it because they are always mediated by art. (11)

Although Bakhtin never applied any of his literary concepts to cinema, his dialogical theory, which includes his concept of the chronotope, fits nicely in the medium due to cinema’s dependence on visual imagery to convey meaning. Unlike the literary novel, cinema does not just convey spatiotemporal structures, it visualizes them on the screen.

It is evident that Bakhtin is inordinately drawn to the novel. This is because, for him, the novel displays a variety of discourses, knowledge of which he feels other genres attempt to suppress:

What marks the novel off as distinctive within the range of all possible genres (both literary and non-literary, as well as primary or secondary) is the novel’s peculiar ability to open a window in discourse from which the extraordinary variety of social languages can be perceived. The novel is able to create a workspace in which that variety is not only displayed, but in which it can become an active force in shaping cultural history. (Holquist, Dialogism 72)

I will not question Bakhtin regarding the importance of the novel and its place in the shaping of cultural history. In fact I entirely agree with him. However, I would take issue with Bakhtin concerning his argument that the literary novel has a distinct advantage over the other arts in shaping cultural history. I would argue that Velazquez’s

painting, “Las Meninas,” for example could be considered dialogic in the same way that a novel can be rendered polyphonic.

In regards to cinema, and especially Soviet cinema, we have only to be reminded of Lenin’s famous proclamation, “of all the arts, for us cinema is the most important,” to appreciate the importance of cinema to the Bolsheviks who were trying to establish an ideology in a country with a low rate of literacy.

Bakhtin describes dialogic interrelations in three different terms: polyphony, heteroglossia, and carnival and in three different works: polyphony in *Problems of Dostoevsky’s Poetics*; heteroglossia in *The Dialogic Imagination*, in the essay “Discourse in the Novel”; and the carnivalesque in *Rabelais and His World*. According to Stam, “Although there is no vertical hierarchy among Bakhtin’s interrelated conceptual categories, it is useful to regard ‘dialogism’ as a category that ‘horizontally’ embraces and comprehends the others” (12). While Bakhtin focuses exclusively on the literary novel, his in-depth analysis of dialogism does allow for its application to the performance arts and more specifically, to cinema.

In summary, Bakhtin's concept of dialogism as gleaned through Dostoevsky's polyphonic artistic thinking, consists of multiple consciousnesses (voices), coexisting side by side in free and equal dialogue. Bakhtin goes on to state that "The most important thing in Dostoevsky's polyphony is precisely what happens between various consciousnesses, that is, their interaction and interdependence" (*Problems of Dostoevsky’s Poetics* 36)

Bakhtin's concepts of the Carnavalesque and dialogism together form his literary theory, the one feeding off of the other. In this study, the ten carnivalesque signifiers will

be utilized as a gauge of dialogism in the analysis of fifteen Soviet and Post-Soviet films, to determine if the cinematic presence their carnivalesque signifiers increases with the historical progression from a totalitarian State to a federal semi-residential constitutional republic. In this vein, Bakhtin's literary theory will be reinterpreted as film theory in Chapter IV of this dissertation.

# **Chapter III:**

## **Agamben's Political Philosophy in Context: the Soviet/Post Soviet Space**

### **The "State of Exception" in Soviet and Post-Soviet History**

Giorgio Agamben's political philosophy is far reaching, but his concepts of "state of exception" and the "homo sacer" stand out as the most researched and written about amongst scholars. Agamben refers to times of crisis wherein an increased extension of power is exerted by a governing body as a "state of exception." He begins his examination by positing the German Jurist, Carl Schmitt's notable definition of the sovereign as "he who decides on the state of exception." However, whereas Schmitt believed that a "state of exception" was exactly that – an exception, which comes into play in times of crisis or out of necessity, Agamben followed Walter Benjamin's belief that the state of exception has become the rule rather than the exception "it not only appears increasingly as a technique of government rather than an exceptional measure, but it also lets its own nature as the constitutive paradigm of the juridical order come to light" (Agamben State of Exception 7).

Most importantly, Agamben examines how this extension of power by a governing body can affect individual rights and citizenship – which can be diminished or nullified altogether as a result of the exception. In his investigation of the effects on individuals, caused by states of exception, Agamben first explores what is meant by the word "life." In doing so, he adopts the two Greek terms: "... *zōē*, which expressed the simple fact of living common to all living beings (animals, men, or gods), and *bios*,

which indicated the form or way of living proper to an individual or a group” (Agamben Homo Sacer 1). It then follows that *zoē* is associated with nature and *bios* with culture.

It was at the point that *zoē* entered into the sphere of the polis, thus politicizing bare life that we have the birth of the modern state and of the biopolitical body. As Agamben asserts,

... the inclusion of bare life in the political realm constitutes the original – if concealed – nucleus of sovereign power. *It can even be said that the production of a biopolitical body is the original activity of sovereign power.* (Homo Sacer 6).

Therefore, for Agamben biopower and sovereignty are essentially intertwined.

Agamben goes on to state that politics exists because man is a living organism that, through language, both separates and opposes himself to his own bare life, while simultaneously maintaining himself to that bare life in an inclusion exclusion (Homo Sacer 8). And from “bare life” emerges the figure of the homo sacer (sacred man); the homo sacer is that “life”, which is left when all political rights have been revoked. Agamben’s concept of “bare life” regards life strictly from a political stance.

The state of exception (SOE) endows one person or government with the absolute voice of authority and power over a population (within its jurisdiction) extending beyond where the law existed previous to the SOE. As Agamben states, “The state of exception is not a special kind of law (like the law of war); rather, insofar as it is a suspension of the juridical order itself, it defines law’s threshold or limit concept” (State of Exception 4).

Agamben uses Hitler’s rule and the Nazi State as an example of a prolonged SOE:

... the entire Third Reich can be considered a state of exception that lasted twelve years. In this sense, modern totalitarianism can be defined as the establishment, by means of the state of exception, of a legal civil war that allows for the physical elimination not only of political adversaries but of entire categories of citizens who for some reason cannot be integrated into the political system. Since then, the voluntary creation of a permanent state of emergency (though perhaps not



declared in the technical sense) has become one of the essential practices of contemporary states, including so-called democratic ones. (State of Exception 2)

The political dominance over a population acquired through a SOE, places an individual, government or governing body in an all-powerful position, operating outside of the State's constitution and/or legal system. During these periods of extension of power, a specified voice (or voices) is considered valid and certain types of knowledge as privileged, while other voices are not only not considered valid, but also are not allowed to be heard altogether and even silenced. In these times, the production and distribution of knowledge is of great concern to the One or those few who are sovereign. Control over the acquisition and suppression of knowledge is of pivotal importance to sovereign powers. Thus, Agamben's two texts, Homo Sacer: Sovereign Power and Bare Life and State of Exception are concerned with how a SOE can become a prolonged state of being and more importantly, how a prolonged SOE operates to deprive people of their citizenship, thus reducing them to bare life (i.e., the homo sacer).

For Agamben, it is the concentration camp that provides the "in-between" spaces where *de facto* people are placed with no legal or political rights. Reduced to bare life, these people are not prisoners as such, but rather detainees who have been deprived of their citizenship "The only thing to which it could possibly be compared is the legal situation of the Jews in the Nazi Lager [camps], who, along with their citizenship, had lost every legal identity, but at least retained their identity as Jews" (State of Exception 4) In the camp, life and law are indistinguishable and bare life becomes the "... threshold in which law constantly passes over into fact and fact into law, and in which the two planes become indistinguishable" (Homo Sacer 171). In this respect, the camp (an invention of modernity) is analogous to the modern State – a prison camp. For Agamben, the fact that

the exception has become the rule in modern politics infers that no longer are only selected members of a population abandoned by law thus losing their legal status; but rather in contemporary times, we all have become the homo sacer:

If it is true that the figure proposed by our age is that of an unsacrificeable life that has nevertheless become capable of being killed to an unprecedented degree, then the bare life of *homo sacer* concerns us in a special way. Sacredness is a line of flight still present in contemporary politics, a line that is as such moving into zones increasingly vast and dark, to the point of ultimately coinciding with the biological life itself of citizens. If today there is no longer any one clear figure of the sacred man. It is perhaps because we are all virtually *homines sacri*.  
(Agamben Homo Sacer 114)

Placed in the context of this present study, which has as its focus Soviet and Post-Soviet cinema and by default Soviet and Post-Soviet history, Agamben's political philosophy in regards to the SOE and the homo sacer becomes vitally relevant.

In regards to Soviet and Post-Soviet history, two epochs are the focus for the remainder of this section: the Stalinist era and the Putin/Yeltsin era. These two eras are the historical beginning and ending eras of this study and it is the span between the two, which is central to the present investigation. That is, in this investigation I will analyze a minimum to two films from each of the seven eras, beginning with the Stalinist era (totalitarian State) and ending with the Putin/Yeltsin era (Semi-representative democracy), to determine if a progressive relaxation of freedom of cinematic expression parallels a move from totalitarianism to a more democratic form of governance. What this means in regards to Agamben's concepts of the SOE and the homo sacer can be stated in two parallel theses: (1) a relaxation of freedom of expression (and by proxy, control of knowledge) in a totalitarian state is indicative of a lessening of the organic SOE in that State, and (2) the entity or sovereign that renders the cinematic protagonist a homo sacer changes from an external (foreign) to an internal (domestic) source with a progressive

relaxation of the freedom of expression. For the present study, this second parallel thesis is of vital importance, because in totalitarian States, the States' propaganda machine will always identify the source of its population's hardships as being either an external (foreign) source or an internal (domestic) source other than itself. Thus, the extent to which a director is allowed to accurately identify the source of a protagonist's or population's reduction to bare life can also be used as a signifier of cinematic freedom of expression. I will elaborate more on the cinematic expression of the homo sacer and its relevance to this study later in this chapter. But first I will focus more closely on the SOE and its manifestations in Soviet and Post-Soviet history.

Agamben makes vital use of Adolf Hitler as a symbol of the sovereign (the one who "determines the exception") and of the concentration camps that were created as a result of his Nazi regime, in positing his conception of the SOE and of the homo sacer. In his conception, the prolonged SOE in Nazi Germany is analogous to the prolonged SOE in modern day governments (both totalitarian and democratic), which function as modern day prison camps. Yet the fall of Hitler's regime and of Nazi Germany were the product of outside forces, namely the Soviet Union and the Western Allied forces. So how would Agamben reconcile the fall or dissolution of a totalitarian government (e.g., the Soviet Union) – which was in an obvious prolonged SOE – from internal forces within its own borders? And what does the dissolution of a totalitarian government such as the Soviet Union, mean in regards to its *homines sacri*? And lastly, the most important question, which this study will attempt to answer; can the answers to the two previous questions be identified in a historically paralleled cinema? More specifically, in this study I will

attempt to trace the dissolution of the Soviet Union through its parallel cinema, thus using cinema (i.e., film) as a form of documentary.

The state of exception (SOE) in the Soviet Union did not begin with Stalin's rule. In actuality, it began with Lenin and the Bolsheviks during of the Russian Revolution. In August 1918, Lenin wrote a letter to the Bolsheviks in Penza instructing them to squelch the kulak (rich peasants) uprising without mercy:

- 1.) Hang (and I mean hang so that the *people can see*) not less than 100 known kulaks, rich men bloodsuckers.
  - 2.) Publish their names.
  - 3.) Take all their grain away from them.
  - 4.) Identify hostages as we described in our telegram yesterday.
- Do this so that for hundreds of miles around the people can see, tremble, know and cry: they are killing and will go on killing the bloodsucking kulaks. Cable that you have received this and carried out [your instructions]. Yours,  
Lenin.  
P.S. Find tougher people. (Volkogonov 69-70)

Here we already see the saplings of a SOE (with Lenin emerging as the sovereign who decides on the SOE) and the reduction of a category of people to bare life with the kulaks emerging as the *homines sacri*. First, the Kulaks are specifically targeted, second, they are robbed of their land and citizenship by a de facto governing body (the Bolsheviks) and lastly, they are killed. This begs the question:

“How can the dictatorship of one class – or more accurately one party – be reconciled with the principles of people's power, liberty and the equality of all citizens? It smacks of social racism” (Volkogonov 69).

This in essence, is the beginning of the politicization of a population.

Lenin served as the leader of the Russian Soviet Federative Socialist Republic from 1917 and later concurrently as Premier of the Soviet Union from 1922 until his death in 1924. He was succeeded by Stalin who served as the de facto leader of the Soviet Union until his own death in 1953.

Stalin's ascension to power brought with it a prolonged SOE that lasted the entirety his regime. Stalin however, brought the killing of innocent people to a new pitch. In the 1930s, he utilized population movements and instituted deliberate famine to destroy the kulaks. "In 1930 the Central Committee of the Communist Party decided to shift 'from a policy of restricting the exploiting tendencies of the kulaks to a policy of liquidating the kulaks as a class'" (Glover 238). But the kulaks were not the only victims of Stalin's mass killings. Party leaders were also purged:

Lenin's original Politburo of 1917 contained, apart from himself and Stalin, six other people: Trotsky, Kamenev, Zinoviev, Bukharin, Rykov and Tomsky. Stalin had Trotsky assassinated in Mexico. He had Kamenev, Zinoviev, Bukharin and Rykov shot. Tomsky committed suicide when about to be arrested. Like the leaders of the French Revolution, most of the leaders of the Russian Revolution were themselves swallowed up, with the difference that in this case the swallowing was all arranged by the single survivor. (Glover 243)

In this respect, Stalin went a step further than Hitler, he reduced the members of his own Politburo to the state of the homo sacer. All in all, estimates place the deaths from 1937 to 1938 at a million plus executed, and an additional two million perished in the camps. These estimates represent only a fraction of the overall 20 million slain during Stalin's regime (Conquest 484-87). Stalin has clearly become the sovereign – he who decides on the exception.

In December of 1931, Lady Astor – the first female Member of Parliament in the British House of Commons – accompanied George Bernard Shaw on a guided tour of Moscow. On their trip, she had the opportunity to meet Stalin. Having a disdain for communism, she asked him a pivotal question:

How long will you keep killing people? Stalin's interpreter froze. But the Boss insisted on hearing the question and, without a pause, as though he had been expecting a question like that, replied to the naïve lady that "the process would continue as long as was necessary" to establish communist society. (Glover 252)

This is an example of a sovereign (e.g., Stalin) deciding on a prolonged SOE, one that would last at least another 22 years. In Book V Chapter XI of Politics, Aristotle wrote:

What has been already mentioned is as conducive as anything can be to preserve a tyranny; namely, to keep down those who are of an aspiring disposition, to take off those who will not submit, to allow no public meals, no clubs, no education, nothing at all, but to guard against everything that gives rise to high spirits or mutual confidence; nor to suffer the learned meeting of those who are at leisure to hold conversation with each other; and to endeavor by every means possible to keep all the people strangers to each other.

While Aristotle's comment on tyranny can be applied to Stalinist terror with very little adaptation, Soviet terror differed from the terror of tyrants such as Caligula, Genghis Khan, Henry VIII, Ivan IV or Maximilien Robespierre in that Soviet terror was predicated on a system of beliefs, an ideology whereas the former were not:

No doubt the beliefs were in part a mask for the interests of those in power, but it is a simplification to see Soviet Marxism in this Marxist way. As Solzhenitsyn said, it was ideology which suspended the moral restraints which held back even Macbeth and Iago... (Glover 252)

Nikolai Bukharin coined the phrase "the manufacturing of Communist man out of the human material of the capitalist age," which appeared in his book The Economics of the Transition Period (Glover 254). Both Lenin and Stalin believed that the New Soviet Man could be manufactured out of human material. Their idealism that people could be changed or politicalized in this way paved the way for a relentless consequentialism that discouraged moral restraint, leading to the emergence of a society of homines sacri in Soviet Russia. The "redesigning" of the population included not just ideological methods of brainwashing, but also biological ones (as exemplified in Bogdanov's blood transfusion experiments, which led to his death). Nothing was spared in the effort to produce the "new man."

Additionally, this belief system made those who adhered to it question objective truth and this skepticism regarding objective truth led to its abandonment

The abandonment of objective truth as a legal goal was disastrous for those whose lives were destroyed by their “confessions.” The abandonment of objective truth in biology was disastrous for harvest. But these consequences, each so costly in lives, were not the full extent of the disaster. Abandoning the commitment to truth has drastic implications for moral identity. (Glover 280)

It can be argued that moral identity is what separates men from animals. Stalin’s and the Communists’ manipulation and propagandizing of objective truth and of knowledge in general had deleterious effects on Soviet society as a whole and eventually on Stalin, himself. As the Yugoslav Politician and theorist Milovan Djilas commented in his book Conversations with Stalin:

As with everyone, handsome is as handsome does. He became himself the slave of the despotism, the bureaucracy, the narrowness, and the servility that he imposed on his country. It is indeed true that no one can take freedom from another without losing his own. (133)

Stalin died on March 5, 1953 and was succeeded by Nikita Khrushchev. This started the era of de-Stalinization. The intervening periods (the Khrushchev, Brezhnev, the Interregnum and the Gorbachev eras) will be elaborated upon in chapter four. But in regards to Agamben and his conceptions of the SOE and the homo sacer, I will now discuss briefly the last era analyzed in this study, the Yeltsin-Putin one.

In the late 1980s, Mikhail Gorbachev’s policies of perestroika (restructuring) and glasnost (openness), resulted in a weakening of Soviet centralized authority in a number of the Soviet Republics. In 1991, the removal of Gorbachev from power in combination with nationalist movements in the Soviet Republics resulted in the collapse of the Soviet Union. All constituent Soviet Republics, including Azerbaijan, Armenia and Georgia gained independence after the Soviet Union’s dissolution. Chechnya (also a republic of

the former Soviet Union) remained a federal subject and its fight for independence – the Chechen Separatist Movement – is the topic of my discussion for the remainder of this section. The importance of the Russian-Chechen conflict to my overall research is that it serves as the focal point for imaging Russia in both Post-Soviet history and Post-Soviet cinema (cinema after 1991). The importance of viewing the conflict through the lens of Agamben is that his work can be utilized to analyze an important aspect of the conflict – the identification of the “other” in Post-Soviet society. But first, a brief history of the Russian-Chechen conflict.

In February 1944, the Soviet authorities under the orders of Stalin implemented a plan (code name “Lentil”) to deport the entire Ingush and Chechen populations including Communist functionaries to Central Asia. Having declared the Chechens a “traitor people” Stalin’s goal of ethnic cleansing was to be rid of the “troublesome” Chechens permanently replacing them with “more trustworthy Slavic elements” (Jaimoukha 58).

The deportation of the Chechens was brutal:

About 240,000 Chechens were deposited in camps in Kazakhstan and 71,000 in Kirghizia, with the rest scattered in Uzbekistan, Tajikistan, Irkutsk and the Yakut ASSR in Siberia. Those Chechens who dared to resist arrest were doomed to hard labour in concentration camps in Siberia, never to be rehabilitated. (Jaimoukha 58)

A quarter of the deportees perished as a result of the harsh conditions of exile (Kenez 296). In 1957, Khrushchev – now the new leader of the Soviet Union – allowed the Chechens to return to their homeland as part of his de-Stalinization campaign. However, upon return conflict ensued between the repatriated Chechens and those who had settled in their homes and taken their land. Although rehabilitated and allowed to return to their native land, the Chechens and the Ingush still lost economic resources, land, their civil



rights and they were the “targets of official and unofficial discrimination right until the late 1980s” (Jaimoukha 60). As Jaimoukha argues further:

With the introduction of the reformist policies of perestroika and glasnost by Gorbachev in the mid-1980s, people were allowed more freedom of expression. Bottled-up feelings of resentment were unleashed in Chechnya, and the Chechens began to assert their rights and demand to have more say in their republic. (61)

In August 1991, the RSFSR recognized Estonia and Latvia as independent countries. And in August of the same year, the Ukraine, Belarus and Moldavia all declared independence as well. It was then not surprising that in November 1991, the Chechen ex-general of the Soviet army, Dzhokhar Dudaev declared Chechnya independent and became its leader. Dudaev declaring himself leader of the insubordinate Chechen Republic reignited Russia’s age-old conflict with Chechnya. This conflict eventually led to the First Chechen War.

In December 1994, Boris Yeltsin (now president of the new Russian Federation) ordered an invasion of Chechnya and sent 40,000 troops into the Chechen capital of Grozny. The Russian soldiers however, were ill prepared for the fierce resistance of the Chechen fighters and the invasion was a disaster. While the Russian army outnumbered and had superior equipment than the Chechen fighters, it took several weeks to capture Grozny and its capture was not the end of the war

The war became even bloodier; the rebels established themselves in the mountains and initiated guerrilla warfare. The response of the Russians was abominable: the soldiers killed civilians indiscriminately, looted, and raped. They tortured captured Chechen fighters, demolished entire villages, and executed people without trial. (Kenez 296)

Although Dudaev was eventually killed by the Russian army, they failed to squash the Chechen insurgency and in essence lost the war. In 1996, Yeltsin was forced to sign a

peace agreement with Aslan Maskhadov, the new Chechen leader, promising aid for reconstruction and greater autonomy, but not full independence.

While Yeltsin's signing of the peace agreement with Maskhadov ended (temporarily) the first war in Chechnya, it did not end conflict within the country itself. In a free election, Maskhadov was elected president in January 1997. Maskhadov however, could not maintain order or control the anarchy that was engulfing in his country. He had not received the aid Russia had promised for reconstruction and could not control the kidnapping of Russians and foreigners, counterfeiting, banditry, money laundering and leanings towards radical Islam that was taking hold over the semi-autonomous State.

In August 1999, a group of radical Chechens invaded Dagestan. The Russian government was now able to portray a war as a defensive measure. Russia saw the issue not as the independence of Chechnya but as an attempt by radical Chechens to create an Islamic State, which would mean the disintegration of the new Russian Federation. In addition, in September there were a number of bombings of apartment complexes in and around Moscow.

The bombings had far-reaching effects on Russian public opinion regarding mobilizing for war. This time the war was popular. Putin's promise to take drastic action, and his nationalist rhetoric greatly contributed to this popularity and helped him win the election in the following year. (Kenez 298)

After intensive air and land attacks starting in late August, the assault on Grozny began in early December of 1999. The Russian army was better equipped and more organized during this second war. Russian troops were able to seized Grozny in early February 2000. Both sides suffered heavy casualties and while Vladimir Putin (now acting President) claimed victory, the second war in Chechnya basically ended in a deadlock.

Because of the deaths of hundreds of ethnic Russians during these two wars, the Russians came to demonize all Chechens and the Chechens in turn hated the Russians. Thus, the Chechen wars provide an interesting segue into the imaging of Post-Soviet Russia in Post-Soviet cinema

The Chechen wars introduce interesting complexities to the concept of “othering,” because the Chechen conflict is a civil war – citizens of the Russian Federation in rebellion against the federation. It differs from the Russian Civil War, however, in that its origins are ethnic and religious rather than class-based and ideological. (Youngblood 208-209)

In summary, in 1944 Stalin attempted to do to the Chechens what he had done to the Kulaks in 1930, liquating them as a class by deporting them to the most inhospitable regions of the Soviet Union, reducing them to the state of homo sacer. In 1991, the Chechens having already been politicalized by Stalin, sought their independence from the new Russian Federation based not on class-based ideology (i.e., Marxism) but rather on ethno-geo-religious grounds. And both Yeltsin and Putin responded (as sovereigns do) by invading their autonomous republic with the goal of bringing them under the political jurisdiction of the new Russian Federation. Again the Chechens were reduced to bare life, but the Chechens emerged as a new order of homo sacer. A type of homines sacri that refuses to be subjugated by what they consider an outside force – Russia. And while they are viewed as the “other” by the Russian Federation, they in turn view the Russian Federation as the “other”. In essence, the Chechens have reduced the Russian Federation to that of bare life, the sovereign has now become the homo sacer – that which can be killed (by the Chechens). This situation would have never been tolerated by Stalin in his era. Whatever else can be said of Putin, in *his* era, in regards to the Chechens, he has been reduced to the homo sacer – he can (and would) be killed (by the Chechens). This New

Russian Federation is in and of itself demonstrative of a move away from totalitarianism. In what follows I will attempt to demonstrate this new “movement” through the lens of cinema.

## The “Homo Sacer” in Soviet and Post Soviet Cinema

As noted above, the term “homo sacer” is defined as “he who can be killed but not sacrificed.” For the purpose of this study and in regards to Soviet and Post-Soviet cinema: (1) the homo sacer (protagonist) will be identified in each of the fifteen films analyzed, and (2) in each film, the “source” (antagonist) that reduces the protagonist to the state of the homo sacer will be identified. This is of vital importance because as the Soviet Union progresses from a totalitarian State (under Stalin) to a federal semi-residential constitutional republic (under Yeltsin-Putin), I postulate that the “source” (antagonist) changes from an “enemy of the State” to the “State” itself. For example, in the Stalinist hit film Chapaev (1934), Chapaev – the commander of the Red Army – is the protagonist of the film. He is in battle against the Colonel of the counterrevolutionary army – the White Army. The White Army Colonel is the “source” (antagonist), who is trying to reduce Chapaev to the state of the homo sacer. The White Army Colonel represents the “enemy of the State” and Chapaev and the Red Army represent the Bolshevik State. The structure of this film is politically correct for the Stalinist era. Conversely, in the Brezhnev era, in the film Stalker (1979), the Stalker is the protagonist of the film, except in this case it is the Soviet State itself that becomes the “source” (antagonist). It is the Soviet State that is trying to keep the Stalker, and the Soviet populace at large, from entering the *zone* and reaching “the room” where one’s innermost dreams are manifested. In this case, it is the Soviet State itself that has reduced the Stalker and his two companions, the Writer and the Professor, to the state of the homo sacer. Hence, the “source” in Soviet cinema that is attempting to reduce the protagonist (Soviet populace) to the state of homo sacer has changed from an “enemy of the State” to

the “State” itself. And this change has occurred with the historical “movement” from the Stalinist era to the Brezhnev era; in other words, with the historical “movement” away from a totalitarian regime to a freer form of governance.

In the present study, Agamben’s concept of the homo sacer (and its “source”) will be used along with Bakhtin’s ten carnivalesque signifiers to chart the historical and corresponding cinematic “movement” from a totalitarian political system to a quasi-democratic form of government.

## **Chapter IV: The Narrative Voice: Bakhtin's Literary Theory Reinterpreted as Film Theory**

As mentioned above, I have extrapolated ten carnivalesque signifiers from Bakhtin's concept of the Carnavalesque as posited in his book Rabelais and His World. I am also using the ten carnivalesque signifiers as a gauge of dialogism. I am in essence, extrapolating Bakhtinian concepts and employing them beyond his original point of reference, which is literature and more specifically, the literary novel. Bakhtin to my knowledge (based on an extensive literature review and a reading of his oeuvre) never addressed the topic of cinema or film as a medium. This appears remarkable in that he lived and theorized at a time when cinema was considered an extremely important medium for spreading ideological propaganda in the Soviet Union. Having been born in Orel, Russia in 1895, he lived through the Russian Revolution, the Russian Civil War, the Stalinist era, the Khrushchev era and having died in 1975 at the age of 79, he lived through most of the Brezhnev era. It is a fact that during the Stalinist era Bakhtin could not have freely written or applied his dialogic concepts to film since they do not conform to the Socialist Realist doctrine officially sanctioned during that period. After all, Bakhtin had already been arrested and exiled. He would have surely faced a far worse fate had he openly applied his theories to film or cultural history.

I contend however, that Bakhtin's theory of dialogism does lend itself well to cinema studies. His conception of dialogism encompasses a glimpse into and a perspective of the individual and by extension, of both literary writers and film directors. I agree with Stam who states that "The 'rightness' of a Bakhtinian approach to film

derives, I would suggest, not only from the nature of the field and the nature of the medium but also from the ‘migratory’ cross-disciplinary drift of the Bakhtinian method” (16-17). And Bakhtin’s method of viewing the world dialogically through its texts, as demonstrated in his definition of text – “The ‘implied’ text: if the word ‘text’ is understood in the broad sense – as any coherent complex of signs then even the study of art (the study of music, the theory and history of fine arts) deals with texts (works of art)” (Bakhtin Speech Genres and Other Late Essays 104) – authorizes the extrapolation of his theories to media, which he himself did not address. Bakhtin’s belief that all cultural utterances are a form of “text” eases the progress from literary theory to cinema studies:

Bakhtin’s view of all language, including artistic language, as exhibiting conflicting utterances and as inflected both by other similar ‘utterances’ and by social context suggests valuable reading strategies that are as valid for film and media texts as they are for the novel. Bakhtin’s metaphors for textual processes, moreover, are both aural (‘the orchestration of voices’) and visual (‘the multiplicity of focuses’), which further facilitates the passage from a verbal medium like literature to an audiovisual medium such as film. (Stam 18-19)

To date, the definitive study that applies Bakhtinian theory to film appears in an essay by the American film theorist, Vivian Sobchack. In “Lounge Time: Postwar Crises and the Chronotope of Film Noir,” Sobchack applies Bakhtin’s concept of the chronotope to the film noir genre. Her focus is on the cinematic spatiotemporal features of film noir wherein the Post-World War II crisis in sexual and economic identity in American culture found visual expression on the screen: “These are the recurrent and determinate premises of film noir and they emerge from common places in wartime and post-war American culture that, transported to the screen, gain hyperbolized presence and over determined meaning” (Sobchack 130). Stam explains this further: “The chronotope of noir, Sobchack argues, perversely celebrates the repressed hysteria of a postwar cultural



moment where domestic and economic coherence were fractured, spatializing and concretizing a ‘freedom’ at once attractive, frightening, and ultimately illusory” (12).

My aim in this study is to determine if the cinematic presence of Bakhtin’s ten carnivalesque signifiers – which I have extrapolated from Bakhtin’s concept of the Carnavalesque – increase with the historical progression from a totalitarian State (e.g., USSR under Stalin) to a federal semi-residential constitutional republic (e.g., The Russian Federation under Yeltsin - Putin). As a reminder, the ten carnivalesque signifiers are: parody, death, grotesque display, satirical humor, billingsgate, metaphor, fearlessness, madness, the mask, and the interior infinite. The ten carnivalesque signifiers act as voices, vocal perspectives imaged and displayed on the silver screen through the medium of film.

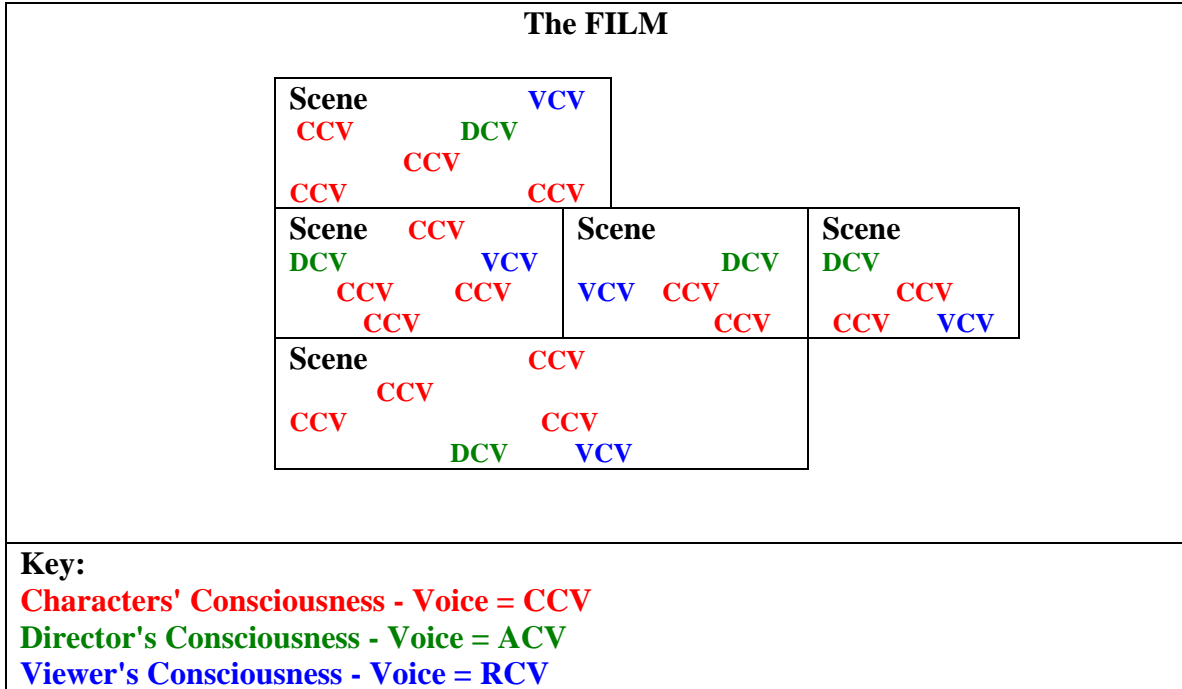
Before laying out my methodology for applying Bakhtin’s concepts of the Carnavalesque and dialogism to Soviet and Post-Soviet cinema, I will put forth my visual conception of a dialogical film using Bakhtin’s conception of a polyphonic novel. Chart #3 (below), is virtually identical to Chart #2 on page 46, labeled ‘Dialogism via the Polyphonic Novel’ with the following substitutions: the overall box represents the polyphonic film containing several “scenes” (plots); within each “scene” there are several character consciousnesses, a directorial consciousness and the viewer’s consciousness. Hence: “novel” becomes “film,” “event” becomes “scene” and “author” becomes “director”.

Like Bakhtin’s concept of the polyphonic novel, each consciousness has its own independent voice and its own point of view, thus creating a polyphony of equally

weighted unmerged voices, and again like in Bakhtin's concept of the polyphonic novel, the director is both inside and outside of his cinematic work.

### Dialogism via The Polyphonic Film

#### The DIRECTOR



(Chart #3 R.K. Davis 2013)

## **Methodology**

Premise #1: The Carnavalesque Signifiers are:

- (1) Parody
- (2) Death
- (3) Grotesques Display
- (4) Satirical Humor
- (5) Billingsgate
- (6) Metaphor
- (7) Fearlessness
- (8) Madness
- (9) The Mask
- (10) The Infinite Interior

Premise #2: The ten carnivalesque signifiers act as voices and, both singularly and together, act as a gauge for dialogism.

Premise #3: The presence of one or more of the ten carnivalesque signifiers is indicative of an easing of cinematic censorship, thus resulting in an increase of cinematic freedom of expression (the level or degree of freedom of expression is dependent on the intensity and frequency of occurrence of the signifiers).

Premise #4: In cinema, a change in the “source” of the “homo sacer” from an “enemy of the State: to the “State” itself, is indicative of an easing of cinematic censorship, again resulting in an increase of cinematic freedom of expression.

### **The Ten Carnavalesque Signifiers**

I have extrapolated the ten carnivalesque signifiers from Bakhtin’s concept of the Carnavalesque. They are defined in Chapter I. Based on a close reading of Bakhtin’s oeuvre I have deduced that the ten carnivalesque signifiers are encapsulated in Bakhtin’s

theory of dialogism, each acting as an individual voice with a perspective of its own. Hence their combined presence is indicative of dialogism. For a film to be considered dialogic, all ten signifiers do not have to be present. One or more in any combination can be adequate for a determination of dialogism. It is important to state however, that these signifiers can be present without being carnivalesque in nature. For example, the signifier “parody” is utilized in a scene from the Stalinist era film Chapaev, wherein Chapaev uses potatoes to explain military strategy. This usage of “parody” does not conform to Bakhtin’s carnivalesque conception of the term. “Parody,” as it appears in this scene, would not be considered a carnivalesque signifier but rather a Socialist Realist signifier (since Social Realism was the officially sanctioned aesthetic of the Soviet State from 1934 onward, I will consider signifiers that are not carnivalesque take the form of the Socialist Realist aesthetic, meaning a signifier that speaks for the Soviet State).

Based on a close reading (viewing) of each of the fifteen films, I will identify the scenes from each film that are demonstrative of a carnivalesque signifier and give a brief description of the scene (see Chart #4 below). I have also included the time code of each scene so that it can be easily located. In addition, scenes from the films that contain a signifier in its “Socialist Realist” (i.e., State sanctioned) form will also be pointed out and described on the chart. The chart will also contain the film’s title, director, year of release, era of release, and the number of scenes that contain both carnivalesque and Socialist Realist signifiers. Each film will have a separate chart (referred to as its “Dialogical Chart”) and a brief summary located at the end of the analysis explaining my findings for that specific film. The dialogical charts and the readings (of the films) will

appear in the next chapter – Chapter V: “Soviet and Post-Soviet Cinema in Its Historical Context.”

### **The Homo Sacer**

As stated in Chapter III, the term “homo sacer” is defined as “he who can be killed but not sacrificed.” In each film: (1) the homo sacer (protagonist in most cases) will be identified and, (2) the “source” (antagonist in most cases) that reduces the protagonist to the state of the homo sacer will also be identified and documented. There is a place on the dialogical chart for both the “homo sacer” and its “source.” The importance of identifying the “homo sacer” and its “source” is that if the “source” (antagonist) changes from an “enemy of the State” to the “State” itself, one can infer that State censorship is allowing for an increase of cinematic freedom of expression, which is at the heart of this study.

### **Polyphony – Whose Voice Is It?**

The whole of Bakhtin’s conception of dialogism encompasses “voice” – a polyphony of unmerged but equal voices. In regards to the ten carnivalesque signifiers, it is of vital importance that once identified, to ascribe to them a “voice” i.e., to identify “whose voice is speaking?” Bakhtin identifies three *major* voices in his polyphonic novel: the authorial voice, the characters’ voices, and the voice of the reader. Some literary theorists however, argue that there may exist a narrator’s voice in addition to the authorial voice. In terms of cinema, I have identified seven “voices” that clamor to be heard: the voice of the director, the voice of the State, the voice of the tribe (a folkloric

voice and/or a cultural voice), the voice of the hero (protagonists), the voice of the narrator (seen and unseen), the voice of the camera, and the voice of the “other”. Unlike the polyphonic novel which proclaims a reader’s voice, I have not included a “viewer’s” voice since film unlike literature, is based on actual visual images wherein the viewer actually sees the imagery projected on a screen and cannot physically project himself or herself onto the screen. A viewer can and does have a voice but that voice cannot be documented.

For each scene (where appropriate) that is demonstrative of a signifier (either carnivalesque or otherwise), I will attempt to identify its vocal source. The culmination of voices identified with their signifier counterpart assists in determining the extent to which a film can be considered polyphonic, in essence dialogic.

In summary, (1) I will first identify and document the scenes in the fifteen films that are demonstrative of a carnivalesque signifier and its corresponding voice (2) additionally, I will identify the homo sacer in the film and its source (3) I will document and chart the numerical frequency of the carnivalesque signifiers over the seven historical periods covered in the study to determine whether or not the cinematic appearance of the ten carnivalesque signifiers increases from the Stalinist era to the Yeltsin-Putin era. The analysis of the films will be carried out in Chapter V: “Soviet and Post-Soviet Cinema in Its Historical Context.”

Chapter V will contain seven sections (one section for each of the seven eras covered in this study). Each section will begin with a brief synopsis of the film being analyzed and finally the film’s individual dialogical chart (Chart #4, as described above). My conclusions will appear in Chapter VI: “Conclusions.” And lastly, Chart #5 (below)

provides an overall view of the eras covered, film titles, and names of directors. It can and should be used as a reference when reading the film analyses (Dialogical Charts #1-15) in Chapter V.

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart)

<b>Film:</b>		<b>Director:</b>	<b>Year of Release:</b>
<b>Era:</b>		<b># of Carnavalesque Scenes</b>	<b># of State (Voice) Scenes</b>
<b>Homo Sacer:</b>		<b>Source of the Homo Sacer</b>	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>			

\*S1 = Scene 1, etc.

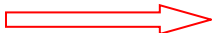
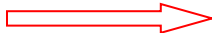
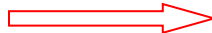
Carnavalesque Signifiers	Bakhtin	The State
<b>(1) Parody</b>	*S1(Time Code) S2 S3	*S1(Time Code) S2 S3
<b>(2) Death</b>	S1 S2 S3	S1 S2 S3
<b>(3) Grotesque Display</b>	S1 S2 S3	S1 S2 S3
<b>(4) Satirical Humor</b>	S1 S2 S3	S1 S2 S3
<b>(5) Billingsgate</b>	S1 S2 S3	S S2 S3
<b>(6) Metaphor</b>	S1 S S3	S1 S2 S3
<b>(7) Fearlessness</b>	S1 S2 S3	S1 S2 S3
<b>(8) Madness</b>	S1 S2 S3	S1 S2 S3
<b>(9) The Mask</b>	S1 S2 S3	S1 S2 S3
<b>(10) The Interior Infinite</b>	S1 S2 S3	S1 S2 S3
<b>Summary</b>		

(Chart #4 R.K. Davis 2014)



(Chart #5 R.K. Davis 2014)

**Soviet / Post-Soviet Eras**

<b>Russian Cinema</b>						
<b>Soviet Era 1917 – 1991</b>					<b>Post Soviet Era</b>	
Stalin Era 1928 – 1953		Khrushchev Era 1953 – 1964	Brezhnev Era 1964 – 1982	Andropov – Chernenko Era 1982 – 1985	Gorbachev Era 1985 – 1991	Yeltsin – Putin Era 1991 – 2008
<b>Russian Avant-garde (Pre-1934)</b> <i>Carnavalesque Themes</i> ~Parody ~Death ~Grotesque Display ~Satirical Humor ~Billingsgate ~Metaphor ~Fearlessness ~Madness ~The Mask ~Interior Infinite ~ <b>Dialogism</b>	<b>Socialist Realism (1934)</b> <i>No Carnavalesque Themes Present</i>	<b>The Thaw</b>	<b>Stagnation</b>	<b>Interregnum</b>	<b>Perestroika (Glasnost) Collapse of USSR</b>	<b>Russian Federation Created</b> <i>Carnavalesque Themes Present</i> +Parody +Death +Grotesque Display +Satirical Humor +Billingsgate +Metaphor +Fearlessness +Madness +The Mask +Interior Infinite + <b>Dialogism</b>
Homo Sacer (External Antagonist)			Homo Sacer (Internal Antagonist – The Soviet State)			
<u>Battleship Potemkin</u> (1925) Sergei Eisenstein	<u>Chapaev</u> (1934) Georgi & Sergei Vasilev	<u>Spring on Zarechnaya Street</u> (1956) Marlen Khutsiyev Feliks Mironer	<u>Stalker</u> (1979) Andrei Tarkovsky	<u>The Legend of Suram Fortress</u> (1984) Sergei Parajanov	<u>Cold Summer of 1953</u> (1987) Aleksandr Proshkin	<u>Burnt by the Sun</u> (1994) Nikita Mikhalkov  <u>House of Fools</u> (2002) Andrei Konchalovsky  <u>Russian Ark</u> (2002) Alexander Sokurov
<u>End of St. Petersburg</u> (1927) <a href="#">Vsevolod Pudovkin</a>	<u>Ivan the Terrible, Part II</u> (1946) Sergei Eisenstein (Released in 1958)	<u>The Cranes are Flying</u> (1957) Mikhail Kalatozov	<u>Siberiade</u> (2 Parts) (1979) Andrei Konchalovsky	<u>Repentance</u> (1984) Tengiz Abuladze (released in 1987)	<u>Little Vera</u> (1988) Vasili Pichul	
<b>Socialist Realism</b> Voice of the State = Truth					<b>Dialogism (Heteroglossia)</b> Counter Voice = Truth	
						

# Chapter V: Soviet and Post-Soviet Cinema in Its Historical Context

In this chapter, I will examine fifteen films produced in seven political eras from 1926 thru 2008 in Soviet and Post-Soviet Russia.

Hence, I will attempt to answer the following questions:

- (1) Is one of more of the ten carnivalesque signifiers (parody, death, grotesque display, satirical humor, billingsgate, metaphor, fearlessness, madness, the mask, and the interior infinite) present?
- (2) Is the signifier(s) representative of the carnivalesque (grotesque realism) or representative of the voice of the State?
- (3) Is there a counter voice(s) (dialogism) present; if so, whose voice is it (e.g., director, the State, tribe, hero, narrator, camera, or the “other”).
- (4) Does the “source” (antagonist) that reduces the protagonist to the state of homo sacer change from an “enemy of the State” to the “State” itself. And if so, in what era does this change takes place?
- (5) Does dialogism in Soviet and Post-Soviet cinema increase with the historical progression from the Stalinist era to the Yeltsin-Putin era (from 1928 – 2008)?

The fifteen films analyzed in this study include: Battleship Potemkin (1925), End of St Petersburg (1927), Chapaev (1934), Ivan the Terrible, Part II (1946, released in 1958), Spring on Zarechnaya Street (1956), The Cranes are Flying (1957), Stalker (1979), Siberiade (1979), The Legend of Suram Fortress (1984), Repentance (1984, released in 1987), Cold Summer of 1953 (1987), Little Vera (1988), Burnt by the Sun (1994), House

of Fools (2002) and Russian Ark (2002). All fifteen films were produced in the Soviet/Post-Soviet space and directed by Russian filmmakers.

## Historical Overview and Film Selection

**The Stalinist Era (1928-1953).** In the Stalinist Era, Party ideology ruled. In regards to the arts and cinema in particular that ideology was state sponsored Socialist Realism, which was adopted at the 1934 First All-Union Congress of Soviet Writers. Prior to 1934, the major Soviet film directors belonged to the Russian avant-garde. As stated in Chapter II, these directors made montage the foundation of their work. As Richard Stites argues:

The films of the avant-garde – Eisenstein, Pudovkin, Kuleshov, Vertov, and Dovzhenko – are known the world over and have been studied as pioneering masterpieces of the directorial art: shooting, *mise-en-scène*, and especially the cutting and assembly of the film, known as montage or editing... No thinking filmgoer can remain unmoved by Eisenstein's *Battleship Potemkin* (more popular abroad than in Russia), Podovkin's *End of St. Petersburg*, or Dovzhenko's *Earth* – to name only three. But the masses did not respond with enthusiasm to the language of montage because of its conceptual and stylistic difficulties. (55)

I selected two of the three films referenced by Stites as cinematic representations of the Russian avant-garde. Battleship Potemkin was selected because it exemplifies Eisenstein's use of montage to glorify the power of the masses. End of St. Petersburg was selected because, in contrast to Battleship Potemkin, it focuses on the courage and resilience of the individual. Eisenstein and Pudovkin were contemporaries who held divergent views concerning the function of montage. Both films however, are formidable classics of the Russian avant-garde and together form an interesting juxtaposition of two revolutionary thinkers.

With regards to Socialist Realism, Stites goes on to state,

Commercial popular writing and avant-garde literature as well as the mysticism and eroticism of the old regime were rejected in favor of a single literary art that would teach the people and serve the state. After such terms as "Proletarian realism" and "revolutionary romanticism" were rejected, it came to be called "socialist realism," a syncretic blend of theories inspired by Gorky's *Mother*,

Furmanov's *Chapaev*, Gladkov's *Cement* (1925), and Fadeev's *The Rout* (1927). (67)

The two films selected as cinematic representations of Socialist Realism in the Stalin era include the film version of Furmanov's novel by the same name, Chapaev; selected because Stalin loved it and reportedly watched it at least thirty-eight times (Youngblood 38), like its literary counterpart, it is considered by film scholars to represent of the Socialist Realist aesthetic "Not only was *Chapaev* the most popular film of the 1930s, it was also the paradigm for a 'movie for the millions,' a film that was entertaining and politically sound at the same time" (Youngblood 29). My reason for selecting Eisenstein's Ivan the Terrible, Part II was the exact opposite of my choice of Chapaev, Stalin did not like it.

Ivan the Terrible, Part II was produced in 1946 during the Stalin Era but shelved until 1958 (Khrushchev Era), ten years after Eisenstein's death and five years after Stalin's death. It serves as an example of the artistic repression suffered by the avant-garde filmmakers in the Stalinist era and simultaneously as a beacon of the future films produced during Khrushchev's "Thaw"

**The Khrushchev Era (1953-1964).** In February 1956, after being elected first secretary by the Twentieth Party Congress, Nikita Khrushchev gave a so-called secret speech wherein he "denounced Stalin's autocratic rule, his terror, his falsification of history, and blamed him for the reverses the country had suffered at the outset of World War II" (Kenez 192). The Khrushchev era of de-Stalinization came to be known as the "Thaw"

Immediately after Stalin's death Soviet intellectual life experienced a period that came to be called, after a novella published by Ilia Ehrenburg in early 1954, the "thaw." By the mid-1950s many of the old restrictions were lifted, and every

component of Soviet culture benefited. Works produced by writers and film directors reasserted the significance of the individual, the reality of emotional life, and thereby extended the private sphere. (Kenez 191)

The cinematic works which are considered most representative of the Thaw Era are four films depicting World War II: The Cranes are Flying, The Ballad of a Soldier, The Fate of a Man, and Ivan's Childhood (Youngblood 117-118). Of the above four, one was chosen for this study: Mikhail Kalatozov's The Cranes are Flying.

I selected The Cranes are Flying because it is considered by film historians as “the key film of the Thaw ‘New Wave’” (Christie 158). As Soviet critic Lev Anninsky also stated “[the Thaw in cinema] started with Cranes” (Youngblood 118). The second film that I selected as representative of this era is Spring on Zarechnaya Street. I chose this film because of its focus on the “individual” as opposed to the “collective” and as a contrast to the film Little Vera, which I selected as one of two films that is representative of the Gorbachev Era.

**The Brezhnev Era (1964-1982).** Characterized as the period of “Stagnation” this era saw the return of greater control over artistic expression

Although Leonid Brezhnev was not a known quantity to filmmakers, politically astute directors understood that a return to greater cultural control was likely. Like Stalin, whom Brezhnev admired in many ways, Brezhnev preferred straightforward, representational art, and he sought to harness the arts in pursuit of the state's goals. (Youngblood 142)

The two films chosen as representative of this era are Andrei Tarkovsky's Stalker and Andrei Konchalovsky's Siberiade. Stalker, a “stark masterpiece” (Stites 173), was selected because it is in many ways an allegory for the “Stagnation” which characterized the Brezhnev Era, as suggested in Gilles Deleuze's allegorical description of the film “...*Stalker* returns the environment to the opacity of an indeterminate zone, and the seed

to the morbidity of something aborting, a close door” (75). Siberiade – a multi-generational epic released in 1979, the same year as Stalker – was selected because of its mass screening by Soviet viewers before its withdrawal due to Konchalovsky’s emigration to the United States. Its withdrawal is another indication of the political stagnation of the arts during this period.

**The Andropov-Chernenko Era (1982-1985).** As an interregnum, this was a period of transition from Brezhnev’s era of stagnation to Gorbachev’s glasnost (openness) and perestroika (restructuring). Of this brief era, Kenez states:

The details of the complex political struggles that took place within the highest leadership are not altogether clear, but it is obvious that there was a faction more conscious of the failings of the system and therefore more willing to experiment with reforms, a sort of reformist party, and another group of old men for whom reforms seemed dangerous. Matters had to be settled by compromise. While the seemingly more daring Andropov received the top job, the number two man remained Brezhnev’s closest associate, Konstantin Chernenko. (244)

This era saw the brief tenures of two ailing Soviet leaders; Yuri Andropov’s rule lasted only fifteen months and when he died in February 1984, the 73-year-old Chernenko was elected first secretary with Mikhail Gorbachev as his second in command. The films selected as representative of this era are Tengiz Abuladze’s Repentance and Sergei Parajanov’s The Legend of Suram Fortress. Repentance, produced in 1984 but not released until 1987 during the Gorbachev Era, was selected because of its scathing critique of Stalinism. Stites describes Repentance as follows: “The most famous of the ‘unshelved’ films, Tengiz Abuladze’s *Repentance* (1984, 1986) was a landmark in political filmmaking, a beautifully wrought allegorical indictment of terror and dictatorship and of those who maintain silence in the face of evil” (185). The relaxation of censorship that allowed Abuladze to make a film promoting an underlying Georgian

nationalist cause is indicative of further movement towards the dissolution of the Soviet State. Sergei Parajanov's The Legend of Suram Fortress is a film version of a popular Georgian folk-tale that centers on a young boy who is imprisoned within the walls of a fortress to prevent it from disintegrating. I've chosen it because like Repentance, it was produced in 1984 in the Soviet republic of Georgia. The year 1984 is a year of transition in the interregnum itself; Andropov died on February 9, 1984, and was succeeded by Chernenko on February 13 of the same year. The interregnum period served both as a transition in political leadership in addition to a transition between eras (i.e., between Brezhnev's "stagnation" and Gorbachev's "perestroika"). And like Abuladze, Parajanov is a Georgian. This is important because the Georgian republic was one of the first former republics to declare its independence from the Soviet Union in April 1991. Both these films, produced in 1984, show an extensive relaxation of censorship in a republic that was brewing with a nationalist cause.

**The Gorbachev Era (1985-1991)**, was characterized by Gorbachev's policies of glasnost and perestroika. However, despite the optimism of this era, the harsh realities of Soviet life became one of glasnost cinema's main preoccupations. As a consequence, a film genre emerged consisting of what was dubbed "chernukha" (daily life painted in black) films (Menashe 55). I selected Vasili Pichul's Little Vera for this study because it serves as the best example of the neo-realist (chernukha) genre: "this film, like many others, positions workers as part of the general Soviet problem, a degraded social order without culture, without soul, whose most prominent outward features are alcohol and violence" (Menashe 56). Pichul depicts Soviet life during the Gorbachev Era exactly as it was lived and experienced by many Soviet citizens. I selected Aleksandr Proshkin's Cold



Summer of 1953 because it elucidates the country's confusion after Stalin's death and, like Repentance, it illustrates the increasing relaxation of censorship that allowed Soviet directors to portray the country's confusion cinematically.

Both Little Vera, which depicts the bleakness of Soviet daily life, and Cold Summer of 1953, which is a graphic depiction of the country's attempt to come to grips with Stalin's legacy, exemplify a disintegrating Soviet State.

**The Yeltsin – Putin Era (1991-2008)**, marked the collapse of the Soviet Union and the formation of the new Russian Federation.

Our most enduring image of the confused days of August 19-21, 1991, is Yeltsin standing on top of an armed vehicle in front of the White House, the seat of the Russian government, defying his enemies. His courageous gesture provided a wonderful contrast to the confused men who, for a moment, thought that they were in charge. It was Yeltsin's finest moment. He was the hero of the hour, surrounded by people just as courageous as he was, people who refused to be frightened into accepting a return to the Soviet past. (Kenez 275)

Yeltsin served as the first president of the newly formed Russian Federation from 1991 to 1999. He began his presidency with what came to be known as "shock therapy". The principle behind this was that the old Soviet regime had to be destroyed immediately and unrestricted capitalism had to be adopted. This however, led to corruption, economic collapse and misery suffered by the majority of the Russian populace whose incomes fell by at least one third (Kenez 288).

In regards to cinema, "The first post-Soviet years were as bleak as the last years of the Stalin era for Russian cinema and even worse for the cinemas of the newly independent states" (Youngblood 205). The poverty of the State limited the government's ability to support the arts and the film industries collapsed from the lack of funding. The collapse paralleled the collapse of the Soviet Union. Along with the economic disasters of

Yeltsin's presidency came the Chechnya problem (addressed more specifically in Chapter III).

In December 1999, Yeltsin announced his resignation as president of the Russian Federation. His resignation came as a surprise to both his country and to the rest of the world. Vladimir Putin, Yeltsin's chosen successor, became acting president and was officially elected to the post in March 2000. Among Putin's many challenges (including government corruption, and a modestly stabilizing economy), Chechnya was still on the front burner. Putin launched the second war in response to the Islamic International Peacekeeping Brigade's (IIPB), a terrorist group affiliated with the Chechen separatist movement, invasion of Dagestan. The second Chechen campaign began in 1999 and ended in 2000 with the de facto independence of the Chechen Republic of Ichkeria and the restoration of Russian federal control over Chechnya.

In his first years of governance, Putin increased presidential power over Russia's eighty-nine provinces, the oligarchs who were non-supporters and most importantly, over independent media. According to Kenez:

As the Kremlin succeeded in taking over big businesses, it used its newly acquired power to take over television networks, where criticism of the president has disappeared and independent candidates do not receive a hearing at election time. The situation in the printed media is not as dire, but here also the multiplicity of views that could be found in the early 1990s is no more. (302)

Against the backdrop of Putin's censorship of the Russian media, the film industry was in a state of transition from Soviet to Russian cinema. In terms of the present study, Nikita Mikhalkov's Burnt by the Sun, produced during Yeltsin's presidency, was selected because it picks up where Repentance leaves off – it is a direct (as oppose to allegorical) exposé of Stalin's Great Terror – and it is exemplary of Bakhtin's dialogic polyphonic

(counter) voice. Konchalovsky's House of Fools was selected because it presents the Chechen war as an allegory. I selected a third film, Russian Ark because the film director, Alexander Sokurov's disembodied voice is engaged in continuous dialog with both the main character and other characters throughout the film. It is an excellent example of Bakhtin's concept of dialogism in film form (as opposed to literary form). In addition, this film is unusual in that it was filmed using a single 96-minute Steadicam sequence shot. Both House of Fools and Russian Ark were produced in 2002 at the beginning of Putin's tenure as president of the New Russian Federation.

While Putin quelled the multiplicity of views (i.e., voices in the print and television media), neither he nor Yeltsin appeared to exert similar control over artistic expression in the cinema.

## **Battleship Potemkin (1925)**

The film Battleship Potemkin is a silent film released on December 24, 1925 in the Soviet Union. It was directed by Sergei Eisenstein and has a running time of only 75 minutes. The events in Battleship Potemkin are set against the 1905 mutiny wherein the ship's crew revolts against the officers of the Tsarist regime. The film is comprised of five episodes: "Men and Maggots," "Drama on the Deck," "A Dead Man Calls for Justice," "the Odessa Staircase" and "the Rendezvous with a Squadron."

In Battleship Potemkin, Eisenstein experiments with his theories of montage that resulted in a form of dialectical realism. During this pre-Socialist Realist period, Eisenstein enjoyed a considerable degree of artistic freedom yet he chose to incorporate Bolshevik ideology in his films.

The key scene in this film is the Odessa steps sequence. It is in this scene that Eisenstein demonstrates visually his theories of montage on the screen. In this famous scene, which has been endlessly discussed and written about, Eisenstein successfully manipulates the viewers' perception of time by extending the crowds descent down the Odessa steps several times longer than it would have taken in real time. Eisenstein believed that in this film, he had mastered his methods of montage.

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #1)

	<u>Battleship Potemkin</u>	<b>Director: Sergei Eisenstein</b>			<b>Year of Release: 1925</b>
<b>Era:</b>	Stalin Era (1922-1953)	<b># of Carnavalesque Scenes</b>	1	<b># Of State Scenes –</b> [Eisenstein's Revolutionary zeal]	23
<b>Homo Sacer:</b>	(1): Sailors of the Battleship Potemkin (2): Crowd on the Odessa Steps	<b>Source of the Homo Sacer:</b> (1): The Tsarist officers on the ship rendered the Sailors homines sacri. (Internal Source – The Tsarist Regime) (2): The Tsarist officers who fire on the crowd on the Odessa Steps rendered the crowd homines sacri. (Internal Source – The Tsarist Regime)			
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		Mainly the voice of the Director [Eisenstein is the prevalent voice], the voice of the Hero			

\*S = Scene

Carnavalesque Signifiers	Bakhtin	The State – in the form of the Bolsheviks. Eisenstein is specking for the State in Battleship Potemkin.
<b>(1) Parody</b>	None Present	<b>S1 (0:21:06):</b> The ship's priest appears, he purposefully resembles of the Biblical Moses. Subtitle states: "Dear Lord! Make the disobedient see reason!" The Priest is parodying the Biblical Moses. He is referred to as a "Sorcerer" and feigns death in order not to be killed by the sailors. (Voice of Eisenstein = VOE)  <b>S2 (0:23:02):</b> The ships crew mutiny against the Tsarist Officers (mutiny is a parody of the revolution) (VOE)
<b>(2) Death</b>	None Present	<b>S1 (0:28:01):</b> Death/murder of the mutiny leader, Vakulinchuk. (VOE)  <b>S2 (0:47:05)</b> Death/murder of the crowd on the Odessa steps.
<b>(3) Grotesque Display</b>	None Present	<b>S1 (0:45:59):</b> Man with no legs on the Odessa steps. Eisenstein was conveying the message that all were included in the revolution. (VOE)
<b>(4) Satirical Humor</b>	None Present	None Present
<b>(5) Billingsgate</b>	None Present	None Present

<p><b>(6) Metaphor</b></p>	<p>None Present</p>	<p><b>S1 (0:01:01):</b> Turbulent waters / raging sea is a metaphor the turbulent times of revolution, which is the film’s theme. (VOE)</p> <p><b>S2 (0:01:59):</b> Battleship Potemkin is itself a metaphor for Russia, the battleground of revolution. (VOE)</p> <p><b>S3 (0:02:06):</b> Sailors are in the orlop (lower deck) asleep, wrapped in their hammocks (which act as cocoons). Metaphor for the period of dormancy before the sailors break out of their cocoons and take action. (VOE)</p> <p><b>S4 ((0:06:08):</b> Maggots on rotted meat. Metaphor that the Tsarist regime (Ships officers) provides the Russian population (sailors) the bare minimum for survival. (VOE)</p> <p><b>S5 (9:14:02):</b> Sailor washes dishes and Reads an inscription on a plate which says “Give us this day our daily bread”. He angrily smashes the plate – Metaphor for the discontent of the sailors (Russian Populace) for not being provided with the bare essentials of life – food. Smashing the plate with the biblical inscription is also a metaphor for breaking with the Orthodox Christian religion. (VOE)</p> <p><b>S6 (0:19:08):</b> For the sailors refusal to eat the ship’s rotted food, the Tsarist Admiral orders the sailors on deck and states “I’ll shoot you all like dogs.” Metaphor for the Tsarist regime equating the Russian populace with animals. (VOE)</p> <p><b>S7 (0:20:30):</b> Admiral orders the officers to cover the sailors who are to be shoot with a canvas – thus taking away their identity. Hence, they have been reduced to the ‘homo sacer’ they can be killed but</p>
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		<p>not sacrificed. The order is given to fire into the “Canvas” – a faceless mass. (VOE)</p> <p><b>S8 (0:22:32):</b> The Tsarist soldiers on the ship refuse to follow the orders of the officers to shot the sailors – this is metaphor for mutiny in reverse. (VOE)</p> <p><b>S9 (0:32:14):</b> Deserted foggy harbor at dawn, metaphor for the death of Vakulinchuk. (VOE)</p> <p><b>S10 (0:39:31):</b> When workers began to rise in rebellion, a businessman smiles and states, “Smash the Jews.” The crowd silences him – Metaphor for the workers’/crowd’s non-tolerance of bigotry of any sort. (VOE)</p> <p><b>S11 (0:41:54):</b> The raising of the ‘red’ flag on Battleship Potemkin is a metaphor signaling that the mutiny begun on Potemkin has morphed into a revolutionary uprising on shore. (VOE)</p> <p><b>S12 (0:51:46)</b> Mother is shot protecting her infant in a carriage. When she falls to her death, she falls against the carriage thus pushing the infant in the carriage down the Odessa Steps. Metaphor – even innocent life isn’t safe against the Cossacks – the oppressors. (VOE)</p> <p><b>S13 (0:52:44):</b> Rapid montage sequence (tertium quid) of three statues of an angel throwing a punch. Metaphor for people to rise up against oppression.</p> <p><b>S14 (0:52:49):</b> Rapid montage sequence (tertium quid) of three lions: 1<sup>st</sup> is asleep, 2<sup>nd</sup> has awoken, and 3<sup>rd</sup> has risen. Metaphor for people to rise up against oppression. (VOE)</p> <p><b>S15 (0:54:50):</b> The sailors on Battleship</p>
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		<p>Potemkin decide to face the Tsar’s naval squadron. Eisenstein shows a calm sea at night. This is a metaphor for the ‘calm before the storm’. (VOE)</p> <p><b>S16 (1:07:15):</b> The Battleship Potemkin and the Tsar’s squadron past without firing a single shot. The subtitle reads “Above the heads of the Tsar’s admirals, thundered a brotherly hurrah.” Metaphor for brother’s united in revolution. (VOE)</p>
<b>(7) Fearlessness</b>	<b>S1 (0:48:38)</b> Woman confronts the Tsarist officers on the Odessa steps holding her injured son and begging the Cossacks (Subtitle) to stop firing on the crowd. A small crowd follows her. [Voice of the Hero]	None Present
<b>(8) Madness</b>	None Present	<p><b>S1 (0:46:42):</b> The haphazard fleeing of the crowd down the Odessa Steps.</p> <p><b>S2 (0:47:08):</b> The Tsarist soldiers’ descent down the steps, killing everyone in their path.</p>
<b>(9) The Mask</b>	None Present	None Present
<b>(10) The Interior Infinite</b>	None Present	None Present
<p><b>Summary:</b> As the chart conveys, Eisenstein uses metaphor as a propaganda device with the goal of exciting the audience to free themselves from their oppressors, which in 1925 was the enemies of Marxism and the revolution. The homines sacri in this film are the sailors on the Battleship Potemkin and the revolutionary crowd on the Odessa steps. The source of their reduction to <i>bare life</i> are the Tsars soldiers / Cossacks. In this film, at this time in Soviet history the ‘source’ is an internal threat. This film is monophonic. The major voice, with only one exception (Fearlessness S1) is Eisenstein’s.</p>		

(Chart #5 R.K. Davis 2014)



## **End of St. Petersburg (1927)**

Pudovkin's End of St. Petersburg, like Eisenstein's Battleship Potemkin is a propaganda film but unlike Battleship Potemkin it is more or less historically accurate in regards to the Russian Revolution. The four major characters that have an impact in this film are: the peasant from Penza (the Blond Man) who goes to St. Petersburg looking for work, the Communist who starts agitation in the Lebedev Factory, his wife (the Communist's Wife) and the factory Stock Shareholder turned General Manager (same person). None of the characters have proper names; Pudovkin has reduced them all to titles. Both Pudovkin and Eisenstein both believed in the Revolution and wanted to lend their voices to the revolutionary cause with their films.

End of St. Petersburg simply tells the story of the Blond Man, who comes to St. Petersburg looking for work in the factory. He encounters the first stirrings of the Revolution and is made by circumstances a part of it. Pudovkin graphically shows the Blonde Man's politicization by the stockbrokers, business owners and the Tsarist regime.

Unlike Battleship Potemkin, there is no key scene (e.g., the Odessa steps), Pudovkin rather focuses on the four previously mentioned characters and tells his story through their lives.

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #2)

<b>Film:</b>	<u>End of St. Petersburg</u>	<b>Director:</b> Vsevolod Pudovkin	<b>Year of Release:</b> 1927
<b>Era:</b>	Stalin Era (1928-1953)	<b># Of Carnavalesque Scenes</b>	1 # <b>Of State (Voice) Scenes -</b> 24 Primarily the voice of Pudovkin
<b>Homo Sacer: (HS)</b>	(1): People of Pulitov and Obukhov (2): Factory Workers (3): Populace of St. Petersburg (Women Rioting for bread) (4): Russian soldiers fighting/dying in WWI	<b>Source of the Homo Sacer (SHS):</b> (1): The Stockbrokers and Factory owners. (Internal Source)  (2): Same as #1 (3): The Coalition Government in St. Petersburg and #1 (Internal Source) (4): Same as #1 and #3	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		The primary voice is the director's – Pudovkin. Voice of the Narrator, the Tribe, Factory Owner, Camera, the Coalition Government	

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State – The voice of Pudovkin
(1) Parody	None Present	<p><b>S1 (0:21:57):</b> Lebedev Factory workers strike because the new Factory Manager (Metaphor S9) lengthens the workday. Parody for the Russian Revolution. (Voice of Pudovkin = VOP)</p> <p><b>S2 (0:36:25):</b> New Factory Manager pays the Blonde Man for giving him the address of the leaders of the strikers - being an informant. Parody of the Biblical Judas. (VOP)</p> <p><b>S3 (0:44:23 - 0:45:38):</b> Montage sequence - Parody of a decision to go to war made by government officials and the stockbrokers; Sequence begins with a canon rising in the air. A brocaded breast coat is shown with no face (Metaphor for government official). Several shots follow of men wearing brocaded waistcoats, white trousers and patent leather shoes are seated in chairs shown only from the waist down. Shots of men wearing suits and patent leather shoes (Metaphor for the stockbrokers) are</p>

		<p>shown sitting from the waist down. Shots of faceless government official giving instructions to the stockbrokers who remain faceless, combined with shot of his arm pointing off screen. There is a set of subtitles: #1(0:45:18): "War has been declared. And apart from the indicated benefits, this has one more..."</p> <p>#2 "Barricades have appeared in working class districts... By this war we'll save Russia from revolution." Montage ends with canon swinging to the left of screen and lowering. Thus war is used for the benefit of the government and the stockbrokers. (VOP)</p> <p><b>S4 (01:03:09):</b> Revolutionary leader is silhouetted with his right arm out stretched in the air in a simile of Lenin. This same shot is repeated at (01:20:25) after the attack and taking of the Winter Palace by the revolutionaries. (VOP)</p>
<b>(2) Death</b>	None Present	<p><b>S1 (0:51:05):</b> Death of Russian soldiers in the combat zone of WWI in the name of the Tsar. (VOP)</p> <p><b>S2 (01:21:43)</b> Communist's Wife finds husband (the Communist) dead in the street after the battle at the Winter Palace. (VOP)</p>
<b>(3) Grotesque Display</b>	None Present	None Present
<b>(4) Satirical Humor</b>	None Present	<b>S1 (0:05:53):</b> Subtitles: "And now one more proletarian must go to town to earn a living" Young blonde man shown working in the fields and then leaving to find work in town. Occurs after the birth of a 'daughter/female'. (Voice of the Narrator)
<b>(5) Billingsgate</b>	None Present	<b>S1 (0:40:07)</b> Subtitle "Get him out of here, Damn it!" Factory owner tell this to his workers in regards to the Blonde Man who has come to ask for the Communist's (who is from his village) release. (Voice of the Factory Owner)
<b>(6) Metaphor</b>	None Present	<b>S1 (0:05:30):</b> Birth of daughter metaphor for an empty burden - Subtitles:

	<p>"Daughter." "An extra mouth to feed." - mother cries. Daughters are not valued to the same extent as sons who can work the fields. (Voice of the Tribe)</p> <p><b>S2 (0:06:21):</b> Windmills turning.</p> <p><b>S3 (0:06:53):</b> Windmills shown across the countryside of Penza (inhabited by the poor peasants); this is contrasted to the smokestacks of the factories in St. Petersburg: <b>S4 (0:08:15).</b> (Voice of the Camera)</p> <p><b>S4 (0:06:39 - 0:08:13)</b> Young blond man and peasant woman are walking to town and encounter sand storm. <b>(0:07:24):</b> Montage begins after subtitle "St Petersburg" with statues of men on horses and the Winter Palace shown under water. Montage sequence ends with a sleeping noble man being driven in a coach drawn by horses <b>(0:08:07).</b> Metaphor, which shows the contrast between the poor couple walking from Penza to St. Petersburg, and the noble man in St. Petersburg riding in a horse drawn carriage. (VOP)</p> <p><b>S5 (0:09:15):</b> Factory Worker - subtitle - "Communist" Metaphor: Factory Worker = Communist, and</p> <p><b>S6 (0:09:25):</b> Man in a suit/leather gloves - Subtitle - "Factory Stockholder" Metaphor: Man in a suit = Stockholder [These two scenes follow each other.] (Voice of the Narrator)</p> <p><b>S7 (0:10:59 - 0:13: 00):</b> Montage sequence begins with subtitle "The people of Pulitov, Obukhov," Hundred of stockbrokers (men in suits and top hats) shown trading. Subtitles (2) "...bought and sold..." "...by the stock market." Metaphor - people reduced to commodities. (Voice of the Narrator)</p>
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		<p><b>S8 (0:14:21 - 0:14:58):</b> Factory Stockholder (S7) enters elevator with factory owner. The elevator begins going up. Montage sequence begins of elevator and factory owner conversing. Subtitle (1) "The workday needs to be lengthened" is told to the factory stockholder. Subtitle (2) "You'll be factory manager." Factory owner tells the factory stockholder (he is being promoting). Factory stockholder smiles as the elevator continues to rise.</p> <p><b>S9 (0:14:59)</b> Subtitle: "The people of Penza, or Novgorod, of Tver..." Poor people are shown sitting on the ground, jobless. Metaphor - as the Factory stockholder is promoted and rises, the common people of the towns remain poor. Wealth is not equally distributed. (VOP)</p> <p><b>S10 (0:49:06):</b> Man carrying a framed painting of Tsar Nicolas leading the workers into war. Metaphor of the Tsar leading Russia into WWI. (VOP)</p> <p><b>S11 (0:50:25):</b> Statue of Tsar Nicolas crying with pride after shots of Russian soldiers marching off to war. (Voice of the State)</p> <p><b>S12 (0:58:54):</b> Montage sequence begins with women rioting and looting for bread. Sequence ends with a baby crying. Metaphor for population being without the bare necessities. (Voice of the Tribe)</p> <p><b>S13 (0:59:37):</b> Montage sequence of steam blowing from steam engines. Metaphor indicating the a revolution is about to cap off. (Voice of the Camera)</p>
<b>(7) Fearlessness</b>	None Present	None Present
<b>(8) Madness</b>	<b>S1 (01:00:13 - 01:02:31)</b> Montage sequence of Bourgeoisie society wildly	<b>S1 (0:40:19):</b> Fight between Blonde Man and the new Factory Manager in the

	applauding the coalition government. They are 'drunk' with victory because Tsar Nicolas has been overthrown. Food and drink is emphasized. But WWI continues on with their support. This montage sequence is inter cut with shots of Russian soldiers dying on the battlefield. (Voice of the Coalition Government)	factory owner's office. Blonde Man is arrested. (VOP)
<b>(9) The Mask</b>	None Present	None Present
<b>(10) The Interior Infinite</b>	None Present	<p><b>S1 (0:05:30):</b> Look of sadness/disappointment on the father's, mother's and peasants' faces when they discover that the unborn child is a female. (Voice of the Tribe)</p> <p><b>S2 (01:23:21)</b> Wife of the 'Communist' (now dead) helps tend to the wounds of the Blonde Man who gave the authorities her husband's address. Both show empathy to the other. (VOP)</p>
<p><b>Summary:</b> <u>End of St. Petersburg</u> consists mostly of metaphorical scenes that have as their goal the influencing of the viewer to believe that the stockbrokers, factory owners, the Tsarist regime and the Coalition Government had politicized the proletariat – the workers. While there are several voices, the major voice is that of Pudovkin. And all the voices speak on behalf of the State (e.g., stockbrokers, factory owners, the Tsarist regime and the Coalition Government) which makes this film extremely monophonic. In addition, the source that renders that proletariat homines sacri is the an internal source – the State (as defined above).</p>		

(Chart #5 R.K. Davis 2014)

## Chapaev (1934)

Film theorists consider the film Chapaev a prime example of the Socialist Realist aesthetic. The film depicts a peasant (Chapaev) risen to commander in arms, who is guided by his mentor, the Commissar Furmanov in taming his emotions to better serve the Soviet State. Chapaev's relationship with Furmanov stands at the heart of the film and "the taming of emotions" is its central theme. The Chapaev/Furmanov relationship progresses through three stages: it begins with mistrust, progresses to friendship and finally ends with mutual respect. Furmanov sculpted Chapaev into the New Soviet Man by helping him tame his emotions, correct his demeanor and develop his intellect. The Vasilev Brothers and all their admirers referred to Chapaev as a "'victory over' or 'blow against' Formalism" (Christie 160). Formalism in the Stalinist era meant any *art* that did not conform to the Socialist Realist aesthetic or to Party politics. "Art for art's sake" was not tolerated by the Stalinist regime.

The film's directors Georgii Vasilev and Sergey Vasilev were not actually brothers. The two men became acquainted while working as film editors at Sovkino (later known as Lenfilm). Their first directorial debut was the documentary Heroic Deed Among the Ice (1928). It was their next film The Sleeping Beauty (1930), that they first credited themselves as the Vasilev Brothers. Both men (like Eisenstein and Pudovkin) won numerous honors and awards; the Stalin Prize was awarded to each of them. Their numerous awards in addition to the fact that they both escaped Stalin's purges is testimony that they adhered to the officially sanctioned Socialist Realist aesthetic and that their films conformed to the rigors of "Party art". Even so, both men died at very young ages: Sergei died at age 59 and Georgii died at the age of 46, their young deaths may be a

testament to the rigors that conforming to “Party art” placed on them.



## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #3)

<b>Film:</b>	Chapaev	<b>Director:</b> Georgii and Sergei Vasilev	<b>Year of Release:</b> 1934
<b>Era:</b>	Stalin Era (1928-1953)	<b># Of Carnavalesque Scenes</b>	2   <b># Of State (Voice) Scenes - Socialist Realist Aesthetic</b>   12
<b>Homo Sacer:</b>	There was no clear Homo Sacer in this film.	<b>Source of the Homo Sacer:</b> Adhering to the Socialist Realist aesthetic did not allow the Vasilev Brothers to make Chapaev and his fighters appear as homines sacri. But neither did they make the Colonel and the White Army appear as victors.	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		Voice of the State, Chapaev, Petrovich, the Vasilev Brothers	

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State – The Vasilev Brothers on behalf of the State.
<b>(1) Parody</b>	None Present	<p><b>S1 (0:09:45):</b> Using potatoes and cigarettes, Chapaev instructs his wounded Commander (in Furmanov's presence) on military strategy and the position a Commander should take to prevent himself from being wounded. However, Chapaev himself does not utilize this strategy, which the Commander points out to him. (Voice of Chapaev)</p> <p><b>S2 (0:15:14):</b> The Colonel of the White army is discussing his relationship with Petrovich (his attendant) with his Commissar. While they are having the conversation, the Colonel has his hand in his trousers and appears to be fondling himself. Both the Colonel and his Commissar who are White army soldiers are also dressed in uniforms that resemble the uniforms of German soldiers. This is a parody of the perverseness of the White army and their resemblance to the German soldiers of WWI. (Voice of the State).</p>
<b>(2) Death</b>	None Present	<p><b>S1 (0:56:50):</b> Chapaev shoots and kills a Red Army fighter who is trying to convince the other fighters to mutiny. Without being ordered to do so, another fighter shoots and kills a comrade who</p>

		<p>promoted mutiny. Those who are against the Revolution will be killed. (Voice of the State)</p> <p><b>S2 (1:29:30):</b> Petka is shot and killed at the river trying to escape from the White army.</p> <p><b>S3 (1:30:08):</b> It appears that Chapaev himself is killed by the White army trying to escape.</p> <p><b>S4: (1:31:08):</b> Petrovich kills the Colonel of the White Army in retribution for signing his brother's death warrant. (Voice of Petrovich – revenge)</p>
<b>(3) Grotesque Display</b>	None Present	None Present
<b>(4) Satirical Humor</b>	<p><b>S1 (0:06:12):</b> When a fighter surfaces from the river holding a rifle, Commissar Furmanov asks Chapaev what are his men doing in the water. Chapaev responds: they're taking a swim, it's too hot. In reality, Chapaev ordered the men in the river to retrieve their missing guns. (Voice of Chapaev)</p> <p><b>S2 (0:12:31):</b> Petka, after making sexual advances to Anka (female machine gunner), continues to teach her how to use the machine gun, he refers to parts of the machine gun as 'cheeks', Anka thinks he is making sexual innuendos when he is in fact referring to the machine gun. (Voice of the Vasilev Brothers)</p>	<p><b>S1 (0:35:10):</b> While giving a speech, one of Chapaev's men asked him who does he support: the Bolsheviks or the Communists. Chapaev does not know that the Bolsheviks are the Communists. So Chapaev answers that he is for the International. Then Furmanov asks him in jest, which one, the second or the third. Chapaev is confused and asks which one was Lenin for. When Furmanov states the third, Chapaev responds that he too is for the third International. (Voice of the State)</p>
<b>(5) Billingsgate</b>	None Present	None Present
<b>(6) Metaphor</b>	None Present	<p><b>S1 (0:16:14):</b> Two veterinarians complain to Furmanov that Chapaev threatened to kill them if they did not give a horse-quack documents certifying his as a doctor. Metaphor for Chapaev's illiteracy. (Voice of the State)</p> <p><b>S2 (0:25:56):</b> Furmanov (Chapaev's Political Commissar) arrests Chapaev's Commander for allowing his men to steal (a pig) from the villagers. Chapaev is</p>

		<p>upset and asks Furmanov who is charge of the division, you or I. Furmanov responds " You and I." This is a metaphor for the State's (Stalin) need for military commanders to submit to Party discipline and to the State. (Voice of the State)</p> <p><b>S3 (1:10:03)</b> Furmanov's departure and his parting embrace with Chapaev is a metaphor for bonding of brothers in arms in the Revolution. (Voice of the State)</p>
<b>(7) Fearlessness</b>	None Present	None Present
<b>(8) Madness</b>	None Present	None Present
<b>(9) The Mask</b>		<p><b>S1 (0:22:30):</b> The Colonel of the White Army sentences Petrovich's (his attendant) brother to death by flogging instead of being shot because he thinks that Petrovich cannot read the order. The Colonel wears the mask of friendship and decency to his loyal attendant of many years - Petrovich. But he is in fact deceitful. This is a metaphor of how the state would like the White army to be perceived by the Soviet public. (Voice of the State)</p> <p><b>S2 (0:43:40):</b> The Colonel of the White Army is playing Beethoven's 'Moonlight Sonata' on the piano as Petrovich appears to sway to the music. Petrovich is actually scrubbing the floor with his foot. He sees the note that the Colonel has signed and discovered that the Colonel condemned his brother to death by lashing with ramrods. Petrovich looks at the Colonel with pure disdain and then a broom falls to the floor and sounds like a gunshot. Again the Colonel wears the mask - he can play Beethoven on the Piano and yet gave a death sentence to Petrovich's (who was loyal to him since 1914) brother. In addition, the broom hitting the floor and sounding like a gunshot is a metaphor for what Petrovich now feels towards the Colonel. (Voice of</p>

		the State)
<b>(10) The Interior Infinite</b>	None Present	None Present
<p><b>Summary:</b> Chapaev is unquestionably a propaganda film. It uses Chapaev's relationship with his political Commissar Furmanov to instruct the Soviet public in how the New Soviet Man should look, act and think. However, Russian audiences made unofficial jokes, parodies, and games based on the Chapaev-Petka-Anka relationship (Stites 45), which resulted in the film being more entertaining than instructive. In a Bakhtinian sense this is an example of a 'viewer voice/consciousness' But in terms of this study, this 'viewer voice' is an a posteriori voice rendering it inapplicable to this study. There are however, two cases of satirical humor that is of a carnivalesque nature. The remainder of the signifiers is from voices representative of the Stalinist State.</p>		

(Chart #5 R.K. Davis 2014)

## **Ivan the Terrible, Part II (1946)**

Eisenstein made two Ivans, the first in 1944 and the second in 1946. In Ivan the Terrible, Part I, Eisenstein adheres to the Socialist Realist aesthetic but begins the process of individualizing and humanizing his characters, the character of Ivan in particular. In Part II, he uses the character of Ivan to mock Stalin and his “cult of the individual”. On February 25, 1956, in his Secret Speech to the 20<sup>th</sup> Congress of the Communist Party in denouncing Stalin, Nikita Khrushchev stated:

Stalin, who absolutely did not tolerate collegiality in leadership and in work, acted not through persuasion, but by imposing his concepts and demanding absolute submission to his opinion. Stalin originated the concept "enemy of the people." This term automatically made it unnecessary that the ideological errors of a man be proven. It made possible the use of the cruelest repression, against anyone who in any way disagreed with Stalin, against those who were only suspected of hostile intent, against those who had bad reputations.

Stalin was a very distrustful man, sickly suspicious. He could look at a man and say: "Why are your eyes so shifty today?" or "Why are you turning so much today and avoiding to look me directly in the eyes?" The sickly suspicion created in him a general distrust. Everywhere and in everything he saw "enemies," "two-facers" and "spies." (“The Cult of the Individual”)

It was the Stalin that Khrushchev described in 1956, that Eisenstein modeled Ivan the Terrible after in 1946. Needless to say, Ivan the Terrible, Part II was not released until after Stalin’s death 1958 during Khrushchev’s Thaw. The Soviet film director Mikhail Romm states:

The second part of *Ivan the Terrible* is a film about the tragedy of tyranny. It does not contain any open historical parallels, but the whole construction of the film suggests them, they form the context of practically every scene. Expressive to the point of being almost physically tangible, the atmosphere of murders, executions, disorders, anguish, cruelty, suspicion, trickery and treachery filled the first spectators of the film with a malaise bordering on panic, and one whose meaning they did not dare to put into words. (17)

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #4)

<b>Film:</b>	<u>Ivan the Terrible, Part II</u>	<b>Director:</b> Sergei Eisenstein	<b>Year of Release:</b> 1944/1958
<b>Era:</b>	Stalin Era (1928-1953)	<b># Of Carnavalesque Scenes</b>	3 <b># Of State (Voice) Scenes - Voice of Sergei Eisenstein</b> 13
<b>Homo Sacer: (HS)</b>	The Boyers - Ivan takes their land and kills them.	<b>Source of the Homo Sacer: (SHS)</b> Ivan the Terrible. For Eisenstein, Ivan (symbol for Stalin) is the sovereign who reduces the Boyers to the state of homo sacer. Internal source.	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		The main voice is that of the Director - Sergei Eisenstein, Voice of Ivan, Voice of Efrosinia,	

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State – Eisenstein is acting as the State
<b>(1) Parody</b>	<b>S1 (0:32:49):</b> Miracle play of the 'Fiery Furnace'. When the child asked what the play was about, Efrosinia explained "It is about how God's angel saved three boys, Hananiah, Azariah and Mishael from the fiery furnace in Chaldea. And it was done to them by a pagan tsar Nebuchadnezzar." The is a parody for Ivan as a 'pagan tsar'. (Voice of Eisenstein)	<p><b>S1 (0:09:04):</b> Ivan states, to safeguard the borders "I will exterminate all traitors." He creates the Oprichniki (the Cheka - secret police) run by Malyuta Skuratov and Fyodor Basmanov. Parody for Stalin (Ivan) and Beria (Malyuta) (Voice of Eisenstein)</p> <p><b>S2 (0:19:55):</b> Ivan states his fate is to create a great State. He proclaims himself alone. Parody for Stalin. (Voice of Ivan)</p> <p><b>S3 (0:27:50):</b> Malyuta (Beria) by order of Ivan (Stalin) executes two Boyers (relatives of Ivan): Kolychev-Umny and Kolychev-Nemyatys whom he has judged to be traitors by selling Russian land to foreigners. Malyuta beheads them. Parody for Beria carrying out Stalin's purge of those he perceived as his political opponents. (Voice of Eisenstein)</p> <p><b>S4 (0:29:25):</b> Malyuta and Fyodor stand behind Ivan after the execution of the Boyers and Ivan says "Not enough". Parody for Stalin's thirst to kill those he perceived as his enemies. (Voice of Eisenstein)</p>

		<p><b>S5 (0:54:53):</b> The Oprichniki dance for Ivan. Parody for Stalin's amusement of having his fiends dance and humiliate themselves in front of others. (Voice of Eisenstein)</p> <p><b>S6 (1:19:58):</b> After having Vladimir killed, Ivan proclaims that now his sword is free to shine against outsiders that encroach on Russia. Metaphor for Ivan's (Stalin's) need to continue his killing spree. (Voice of Eisenstein)</p>
<b>(2) Death</b>	None Present	<b>S1 (1:13:15):</b> Pyotr kills Vladimir (who is dressed as Tsar Ivan) in the cathedral thinking it is Ivan he is killing.
<b>(3) Grotesque Display</b>	None Present	None Present
<b>(4) Satirical Humor</b>	None Present	None Present
<b>(5) Billingsgate</b>	None Present	None Present
<b>(6) Metaphor</b>	None Present	<p><b>S1 (0:21:09):</b> Ivan refers to Malyuta [Metaphor for Beria (head of the Oprichniki - Secret Police)] as a dog. Malyuta responds that he is a faithful dog. Metaphor for Stalin's relationship with Beria. (Voice of Eisenstein)</p> <p><b>S2 (0:28:27):</b> Fyodor appears at the Boyers' execution (Parody S3) dressed like a woman. Metaphor for gender confusion during Stalin's reign. (Voice of Eisenstein)</p> <p><b>S3 (0:30:58):</b> Efosinia (Ivan's aunt) arrives and demands protection for the Boyers. She is wearing all black. Metaphor for an evil adversary she also looks like a man. (Voice of the State)</p> <p><b>S4 (0:42:17 - 0:46:24):</b> Efosinia appears in a black cowl when she is planning to kill Ivan. After the plan has been concluded, she sheds the black cowl and reveals a white cowl. She sings to Vladimir (her son) to calm him. Metaphor for the constant change of the faces deceit . (Voice of the State)</p>

		<b>S5 (1:02:25):</b> Waiter carrying black swans enters the feast. Metaphor for evil afoot. (Voice of Eisenstein)
<b>(7) Fearlessness</b>	None Present	None Present
<b>(8) Madness</b>	None Present	<b>S1 (1:17:37):</b> Efosinia sings in grief of the murder of her son, Vladimir. She continues to sing even as Vladimir is dragged from her arms. (Voice of the Efosinia)
<b>(9) The Mask</b>	<b>S1 (0:54:25):</b> Eisenstein changes from 'black and white' to a 'color' screen. Fyodor appears dressed as a women and wearing a female mask. (Voice of Eisenstein)  <b>S2 (1:04:53):</b> Ivan crowns Vladimir Tsar. Vladimir wears the royal regalia of the Tsar. (Voice of Ivan)	None Present
<b>(10) The Interior Infinite</b>	None Present	None Present
<b>Summary:</b> While Tsar Ivan's and his aunt Efosinia's voices are present in the film, the major voice in this film is its director - Eisenstein. In this film, Eisenstein is acting as the authorial voice that out sounds any other voice. Because of the strength of Eisenstein's voice, this film is rendered monophonic. Eisenstein does however, use the carnivalesque signifiers: parody and the mask. Though not documented on the chart, he also uses shadows to convey atmosphere of mistrust and deceit. Ivan who is symbolic of Stalin is the sovereign who renders the Boyers homines Sacri; for Eisenstein, Tsar Ivan (i.e., Stalin) is an internal source/threat.		

(Chart #5 R.K. Davis 2014)



## **Spring on Zarechnaya Street (1956)**

As mentioned above, the films of the “Thaw” emphasized emotions and compassion, depicting the working class as idealistically positive and industrialization as positively progressive. Spring on Zarechnaya Street is a prime example of films from this period. In this film, the camera lovingly pans the industrial city where the story takes place. The audience is given external glimpses of smokestacks lining the skyline and internal glimpses of workers productively smelting metals. The main character of this film, Tatyana Sergeevna (Nina Ivanova) who represents the intelligentsia, is a professional teacher. She has “culture” and is determined to impart this culture to her students who represent the Soviet working class. While her students are all optimistic about their futures, they do not hold education at the top of their agendas. This film is in essence, the portrayal of the Soviet working class trying to educate itself for its own betterment and the intelligentsia trying to understand the working class. The story is told as a love story involving the two main characters: Tatyana and Sasha Sovchenko (Nikolai Rybnikov). But most importantly, at the end of this film, the audience is left with the belief that Tatyana and Sasha will live a happy and fruitful life, in this sense “Spring” has come to Zarechnaya Street.

The film’s director, Marlen Khutsiyev, was born October 4, 1925 in Tbilisi Georgia. In 1937, his father, a Communist, was killed during Stalin’s purges. Khutsiyev graduated from the prestigious All-Union State Institute of Cinematography (VGIK) in 1952 and later served on its faculty. From 1952 to 1958, he worked at the Odessa film studio as a director. From 1965 onwards he worked as a director at Mosfilm. Spring on Zarechnaya Street was a Soviet box-office hit during the 1950s at its release.

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #5)

<b>Film:</b>	<u>Spring on Zarechnaya Street</u>	<b>Director:</b> Marlen Khutsiyev (Major) Feliks Mironer	<b>Year of Release:</b> 1956
<b>Era:</b>	The Thaw	<b># of Carnavalesque Scenes</b>	3 <b># of State (Voice) Scenes -</b> 9
<b>Homo Sacer:</b>	There is no homo sacer in this film.	<b>Source of the Homo Sacer:</b> The theme of this film is hope and reconciliation between the intelligentsia and the working class	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		There are two major voices present in this film: the voice of the State and the voices of the directors. However, Sasha's and the camera's voices are heard in the Interior Infinite.	

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State
<b>(1) Parody</b>	None Present	None Present
<b>(2) Death</b>	None Present	None Present
<b>(3) Grotesque Display</b>	None Present	None Present
<b>(4) Satirical Humor</b>	None Present	None Present
<b>(5) Billingsgate</b>	None Present	None Present
<b>(6) Metaphor</b>	None Present	<p><b>S1 (0:04:45):</b> Camera pans landscape and shows the rapid industrialization: smoke stacks, trains, and functioning factories. Metaphor for the Soviet Union's industrial progress. (Voice of the State)</p> <p><b>S2 (0:08:50):</b> A party is being held at the house of one of the student/workers. All the student/workers are well dressed and well spoken. There is plenty to eat and drink. Metaphor that the working class is the new Soviet middle class. (Voice of the State)</p> <p><b>S3 (0:13:08):</b> Tatyana is immediately provided a room for rent. The house and the room are spacious. Metaphor of housing availability during the 'Thaw'. Despite the fact that there existed an acute housing shortage in the Soviet Union during this period. (Voice of the State)</p>

		<p><b>S4 (0:16:04):</b> Evening Russian literature class is full of well dressed, well fed factory workers (students) who want to educate themselves. Metaphor for the working class wanting to educate and better itself. (Voice of the State)</p> <p><b>S5 (0:23:43):</b> Theme of Winter. The camera shows Zarechnaya street under snow, while Tatyana reads a poem with a winter theme. Metaphor for winter. (Voice of the directors)</p> <p><b>S6 (0:36:18):</b> Tatyana listens to a radio broadcast of Rachmaninoff for piano and orchestra with Sasha (factory worker), who cannot appreciate it. Metaphor for the schism between the worker class and the intelligencia. (Voice of the State)</p> <p><b>S7 (1:08:17):</b> Tatyana gets her own room. 2nd Metaphor for the availability of housing. Despite the fact that there existed an acute housing shortage in the Soviet Union during this period. (Voice of the State)</p> <p><b>S8 (1:11:18):</b>Tatyana visits the steel factory where her students work and begins to appreciate their lives. Metaphor of the intelligentsia beginning to understand the working class and their importance to the advanced industrialization of the Soviet Union. (Voice of the State)</p> <p><b>S9 (1:27:35):</b> Last scene of the film: Sasha visits Tatyana in her classroom and opens the window. The spring air blows her papers throughout the room. Without much dialog, Sasha and Tatyana reconcile to begin a relationship. Metaphor - the working class and the intelligencia are united, thus the theme of</p>
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		the film - Spring has come to Zarechnaya Street. (Voice of the directors)
<b>(7) Fearlessness</b>	None Present	None Present
<b>(8) Madness</b>	None Present	None Present
<b>(9) The Mask</b>	None Present	None Present
<b>(10) The Interior Infinite</b>	<p><b>S1 (0:36:18):</b> Tatyana listens to a radio broadcast of Rachmaninoff for piano and orchestra with Sasha (factory worker), who cannot appreciate it. (Metaphor S6) Camera shows the emotional effects the music has on Tatyana. (Voice of the Camera)</p> <p><b>S2 (0:54:56):</b> Sasha visits Tatyana in her classroom and reveals his inner his feelings for her. (Voice of Sasha)</p> <p><b>S3 (1:29:15):</b> Last scene of the film: Sasha visits Tatyana in her classroom. They look intensely at each other and it is understood that they will further their relation. Tatyana is left contemplating the future. (Voice of the directors)</p>	None Present
<p><b>Summary:</b> This film is strictly metaphorical in nature. The metaphor of the 'Thaw' pervades the entire film. The film also focuses on the inner states of many of the characters. The voice of the State is pronounced in regards to industrialization. The voice of the directors takes over when the film focuses on the relationships and feeling of the characters.</p>		

(Chart #5 R.K. Davis 2014)

## The Cranes Are Flying (1957)

Prior to Khrushchev's Thaw, Soviet film directors of the Stalinist era were only allowed to treat World War II – known in the Soviet Union as the Great Patriotic War – as a national victory. They were not allowed to portray on screen the human cost of the war. That changed with the “Thaw” wherein Soviet filmmakers began to show the psychological effects the war had on both the men and women who fought in it and the ones who remained at home waiting for their love ones to return. As Josephine Woll writes:

Khrushchev's speech at the Twentieth Party Congress unleashed a wave of memoirs by soldiers, partisans and former prisoners in Nazi camps, and of autobiographical fiction by writers who themselves had fought at the front... New phrases – “trench truth,” “deheroicizing” – entered common discourse. This revised history of the war, apparent in *The Cranes Are Flying* and *The house I Live In*, ascribed the defeat of Nazi Germany not to Kremlin leadership but to the Soviet people, and encompassed *all* the Soviet peoples, not just Russians, civilians in the rear as much as soldiers at the front. (63)

The story begins with the burgeoning love affair between Boris Borozdin (Alexei Batalov), a young engineer, and Veronica (Tatiana Samoilova). When war breaks out in 1941, Boris quickly volunteers. After his departure, Boris's cousin Mark rapes Veronica during a bombing raid. Veronica, although still in love with Boris, marries Mark. She along with Mark, Boris's father Fyodor and his sister Irina are evacuated to Siberia. Mark, who had been a promising pianist obtains a deferment from the military through fraudulent means. He is both a shirker and an unfaithful husband to Veronica. Boris however, is killed near Smolensk at the beginning of the war. Veronica learns of Boris's death from one of Boris's friends but refuses to accept the news. As the film draws to an

end, Veronica adopts an orphan, Borka (a diminutive for Boris), leaves Mark and waits in vain at the train station for Boris to return. It is only at the end of the film after she confirms Boris's death that she is able to come to terms with her loss and begins to heal.

Mikhail Kalatozov was born in Tbilisi Georgia in 1903. He was both an actor and cinematographer before he began directing. During World War II, Kalatozov directed a number of propaganda films in addition to spending some time in Los Angeles, California as a cultural attaché at the Soviet embassy. His exposure to Hollywood during this period of the war may very well have paved the way for his landmark film, The Cranes are Flying.

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #6)

<b>Film:</b>	The Cranes are Flying	<b>Director:</b> Mihkail Kalatozov	<b>Year of Release:</b> 1957
<b>Era:</b>	The Khrushchev Era	<b># Of Carnavalesque Scenes</b>	16   <b># Of State (Voice) Scenes</b>   7
<b>Homo Sacer:</b>	Boris, Veronica, Mark, Fyodor (Boris' father), Irina (Boris' sister), Mark, and the Soviet population	<b>Source of the Homo Sacer:</b> World War II (Germany) - Germany is an external source.	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other, viewer)</b>		The voices of Kalatozov – the director, camera, Veronica, Boris, Viewer, Fyodor – the counter voice, Cranes (hope and rebirth), Mark, Irina, Reality	

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State (Mihkail Kalatozov)
<b>(1) Parody</b>	<b>S1 (0:00:37):</b> At the films very beginning Boris and Veronica are happily skipping down a long embankment. This scene can be viewed as a Parody for the Wizard of Oz wherein Dorothy and company happily skips down the “yellow brick road” The scene can also be viewed as a metaphor for the expectation of a long and happy life. (Voice of the viewer – Me, this is my interpretation of this scene)	None Present
<b>(2) Death</b>	<b>S1 (0:54:47):</b> Throughout the rest of the film, Veronica (now evacuated to Siberia) wears black and appears to be in mourning. She is mourning her own death by marrying Mark and the death of Boris which has not consciously learned of yet. (Voice of Kalatozov)	<b>S1 (0:50:40):</b> Boris is killed trying to save a comrade. He hallucinates his wedding to Veronica as he dies. This is about the same time that Veronica is marrying Mark.
<b>(3) Grotesque Display</b>	None Present	None Present
<b>(4) Satirical Humor</b>	<b>S1 (0:13:19):</b> Veronica sings her “crane” song for Boris. "Cranes like ships sailing in the sky. White ones, grey ones with long beaks they fly." This is satirical Humor but can also be viewed as a metaphor for the air raids which are to come. (Voice of Veronica)  <b>S2 (0:14:10):</b> In discussing being drafted into the war, Veronica tells Boris that she	None Present

	<p>knows he will not be drafted because "All the smart ones will be exempt." Boris then responds "So only fools will fight." Boris knows that he has enlisted in the army, Veronica does not yet know. (Voice of Boris)</p> <p><b>S3 (0:23:08):</b> When two girls from the youth league bring Boris presents from the factory for his departure to War, they start to sing the Communist song of encouragement and Fyodor (Boris' father) sarcastically takes over the song: "Comrade Boris, fight to the last drop of blood, and beat the fascists! And we at the plant will meet and exceed our production quotas." (Voice of Fyodor – his is a counter voice)</p> <p><b>S4 (0:24:11):</b> One of the girls at Boris' send off party tells him that they sent her brother off to war yesterday and her Mother cried and cried. Fyodor then asks her if she cried. When she answered that she too cried, Fyodor asked her "On behalf of the Pant Committee?" The girl responds "On my own." This is satirical humor directed against the Communist propaganda machine. (Fyodor – Counter voice)</p>	
<b>(5) Billingsgate</b>	None Present	None Present
<b>(6) Metaphor</b>	<p><b>S1 (1:32:13):</b> Stephen, a returning soldier and Boris' friend gives a speech welcoming all the returning soldiers home. He also pays tribute to the soldiers who died in action and tells the crowd that "Time will pass. Towns and villages will be rebuilt. Our wounds will heal. But our fierce hatred of war will never diminish! We share the grief of those who cannot meet their loved one today, and we will do everything to insure that sweethearts are never again parted by war, that mothers need never again fear for their children's lives, that fathers need never again choke back hidden tears. We</p>	<p><b>S1 (0:01:07):</b> At the end of the embankment, Boris and Veronica see cranes flying in formation in the sky. Cranes are a metaphor for hope and rebirth. However a water truck passes them by and sprays water on the couple as they watch the cranes. This can be interpreted as a double metaphor - it will literally rain on the couple's parade (trouble is on the way). (Voice of Reality)</p> <p><b>S2 (1:29:36):</b> The war is over and the soldiers are returning home. Veronica was told by Vladimir (Boris' friend) that</p>



	<p>have won, and we shall live not to destroy, but to build a new life!"</p> <p>Veronica begins handing out her flowers to the returning soldiers and their love ones. The cranes are shown flying over Moscow (1:34:32) Veronica watches them for this time they are a metaphor of hope and rebirth. (Voice of the Cranes)</p>	<p>Boris is dead but she does not believe him. She has also left Mark. She is now at the train station in hopes that Boris is returning with the victors/soldiers. She is wearing white and carrying flowers, which is a metaphor for her wedding dress and her wedding day. The camera again shows her frantic state as she searches for Boris.</p> <p>(the voice of Veronica and the camera)</p>
<b>(7) Fearlessness</b>	<p><b>S1 (0:48:07):</b> Boris displays fearlessness on the battlefield in the face of war. He attempts to rescue a fallen comrade and is killed in the process. (Voice of Boris)</p>	<p>None Present</p>
<b>(8) Madness</b>	<p><b>S1 (1:08:29):</b> Veronica after hearing what Fyodor said about holding women who can't wait for their husbands and boyfriends in contempt, is shown running fanatically in the snow, alongside a train. She is planning to throw herself in front of the train. The camera uses different angles to show her confusion and disturbed state of mind. Yet she is still able to save a little orphan boy (Borka) from getting hit by a truck.</p> <p>(the voice of the camera).</p>	<p><b>S1 (0:42:10):</b> Mark makes sexual advances to Veronica and she repels him by continuously slapping him saying "Nyet (no)". Mark rapes Veronica.</p> <p><b>S2 (0:56:05):</b> Veronica (now evacuated in Siberia), repeats the verses to her song about cranes, "Cranes like ships sailing in the sky." and states "Those silly lines are stuck in my head." She then sees the mail carrier and states that if she can count up to 50, there'll be a letter for her (from Boris) and she walks in circles around the room counting. A women in the room state "Veronica, this is crazy." (Voice of reality)</p>
<b>(9) The Mask</b>	<p><b>S1 (0:38:05):</b> Mark wears the mask of the loyal nephew to Fyodor when he asks Mark to take care of Veronica. And Mark tells Fyodor that he and Boris have already discussed it. Mark has romantic feeling towards Veronica. Mark wears the mask of deceit.</p> <p><b>S2 (1:01:39):</b> Irina and Fyodor are both surgeons. They just finished an operation. Irina is hard persona and a flat facial affect, Fyodor tells her she should have been born a man. She responds "I feel pretty good as a woman." But, she wears the mask of a man. (Voice of Irina)</p>	<p><b>S1 (0:47:26)</b> Mark and Veronica announce to Boris' family that they are getting married. Veronica is wearing black and looks as if she is in mourning. Metaphor that she views wedding Mark as a funeral. Unbeknownst to her, Boris is also dying in the swamps. She wears the mask of the widow. (Voice of Veronica)</p>

	<p><b>S3 (1:20:58):</b> Fyodor finds out that Mark obtained an exemption from the war by fraudulently using his name. He rips off Mark's mask. Mark is now exposed as a coward. Mark pretends to be insulted and covers his cowardliness with the mask of the indignation. (Voice of Mark)</p>	
<p><b>(10) The Interior Infinite</b></p>	<p><b>S1 (0:29:10):</b> The camera pans the crowd at the train station where the men have gathered to be shipped off to war. A succession of individuals are shown saying goodbye to their sons, grandsons, lovers, etc. The camera follows Boris as he is frantically looking for Veronica, in order to say goodbye. This long shot exposes the emotional costs of the war. (the voice of the camera)</p> <p><b>S2 (0:30:47 - 0:33:08):</b> In turn, Veronica arrives at the station and is looking for Boris. The camera follows her through the crowd as she looks for Boris with desperation and inner confusion. (the voice of the camera)</p> <p><b>S3 (1:18:19):</b> Veronica finds Mark at Antonia's birthday party, he has stolen her squirrel that Boris left for her birthday present. She finds the note Boris placed in the squirrel and begins to read it, the voiceover of Boris takes over reading the letter while Veronica looks off screen in his direction – Boris' voice is off-screen/voiceover. (the voice of the dead Boris)</p> <p><b>S4 (1:31:27):</b> Veronica finds Stephan (Boris' friend) at the train station and he confirms that Boris is dead. Veronica is distraught. She walks through the crowd of returning soldiers being happily greeted by their love ones, holding her flower and crying.</p>	<p><b>S1: (1:04:39):</b> The soldier (Zakharov) is in the hospital and has just learned that his girlfriend didn't wait for him and has married someone else. He is in emotional distress. One of the other soldier/patients states "Broads like that are worse than fascists. They aim right at the heart." Veronica has the look of guilt on her face. Zakharov states that he wants to die and begins tearing at his bandages with his teeth. When Fyodor arrives (1:07:28) he tells the soldier that women like his girlfriend deserve only contempt and there can be no forgiveness for them. Veronica is shown (camera close-up) in deep contemplation. (Voice of Fyodor and the Camera)</p>

**Summary:** There are as many as ten voices in this film. The voice of the director (sometimes in the voice of the State), the voice of the camera(man) who is sometimes telling the story from his own point of view, the voices of Veronica and Boris (when Veronica reads Boris's letter (Infinite Interior – S3), among others. This is the first time that I have been consciously aware of my own voice as the viewer. Initially, I had thought that the viewers' voice could not be documented. It was while watching and analyzing this film that I consciously realized that I am a viewer and by analyzing and determining which scenes, voices, etc. belongs to whom and which should be included in the analysis, have given myself an active voice that *is* being documented just by my analysis and documentation of the films in the study. In addition, my voice as the viewer is also a counter voice which asks: what would have happened if Boris had not been killed and had returned home? Would he have still accepted Veronica knowing that she married Mark? Would he have accepted her orphaned child Borka or would he want to start a new family of his own consisting only of his biological children? This film is clearly polyphonic. The source of the homo sacer is both an internal and external one. Germany is an external source, whose war is causing Russian citizens to be killed, but Fyodor's satirical remarks also infers that the Soviet State's push to meet production quotas in Soviet factories (Satirical Humor S3 and S4) also contributed to rendering the Soviet population *homines sacri*. Soviet directors' cinematic treatment of State factories and their pushing of workers to meet quotas is also evident in Pudovkin's End of St. Petersburg, made at the beginning of the Stalinist era in 1927. This is quite interesting in that Khutsiyev's Spring on Zarechnaya Street made in 1956 gives a positive depiction of Soviet factories and factory workers, and one year later in this film there are already hints that Soviet factories and factory workers are becoming a the problem. It is also important to note that the number of carnivalesque signifiers went from zero (0) in Spring on Zarechnaya Street to sixteen (16) in The Cranes are Flying produced one year later in 1957. Yet both films passed the muster of the State censors and both were extremely popular with Soviet audiences. But the increased number of carnivalesque signifiers in The Cranes are Flying may be predictive of the State censors' future allowance of carnivalesque signifiers in films to come.

(Chart #5 R.K. Davis 2014)

## Stalker (1979)

Stalker was made and released during the Brezhnev Era and while there was no social crisis during this era, this period was characterized by the decaying Soviet system and was later labeled the “period of Stagnation” by Mikhail Gorbachev (Malia 352).

Suny writes:

What Communists had done well in the past – industrialize the country, turn peasants into workers, educate the illiterate, and improve the material life of the people – had created populations that no longer required the paternalistic, tutelary government of political elite out of touch with its own constituents. Communist parties and the socioeconomic and political systems they sought to preserve had not only become irrelevant, but obstacles to further development. (360)

If Suny’s assertion is utilized in deciphering Stalker, it becomes obvious that this film depicts the whole of the Soviet condition during this period of *zastoi* (stagnation) as its director Andrei Tarkovsky saw it. Stalker is based on a story published by the two prominent Soviet science fiction writers, Boris and Arkady Strugatsky titled ‘Roadside Picnic’ (Synessios 375). The film depicts the expedition of two men (the writer and the professor) led by a Stalker, who venture into the forbidden area known as the *zone*. Stalkers are those who act as both scavengers and serve as guides through the *zone* – an area cordoned off by the authorities (i.e., the State) to prevent access to the general populace. The *zone* is believed to have been the site of a fallen meteorite and as a result, has become a legendary place where one’s innermost dreams are manifested by visiting a special room within the site.

The impression one gets when watching the film is that the *zone* is the site of a nuclear explosion. This impression is further enhanced when the Stalker’s wife relates that their daughter (nicknamed Monkey) has birth defects due to his repeated exposure to

the *zone*. It is also revealed at the end of the film that Monkey is possibly psychic although this impression is open to interpretation.

The *zone* can be viewed as representing the Soviet space as it existed in the late 1970s; it is a desolate space, an industrial wasteland, littered with scrap metal, abandoned army tanks, an ambulance with mummified corpses and flowers in bloom with no scent. This was the state of Soviet society during the Brezhnev era. Like Soviet society of this period, the *zone* depicted a state of stagnation.

Andrei Tarkovsky (1932-1986) became a film director during the mid to late 1950s, during Khrushchev's Thaw. This period of relaxation of censorship allowed him access to American, European and Asian literature, music and films, more specifically the films of the French New Wave and the Italian neo-realists. From this foreign exposure, Tarkovsky assimilated the concept of the "auteur" propagated by the French New Wave and applied it to himself as a director. Like many of the Soviet directors included in this study, Tarkovsky also attended the prestigious All-Union State Institute of Cinematography (VGIK).

Tarkovsky infused his films with metaphysical themes: rain indoors, running water accompanied by fire, memory, dreams, childhood, and levitation. And to all these themes, he applied the "long take" often with characters reappearing in the foreground of the shot. As Tarkovsky asserted "Juxtaposing a person with an environment that is boundless, collating him with a countless number of people passing by close to him and far away, relating a person to the whole world: that is the meaning of cinema" (66).

Tarkovsky created what he called "sculpting in time," theorizing that what makes cinema unique is that it can alter the viewer's perception of time. He achieved this by his

use of the long take with few cuts. In this respect, Tarkovsky was the antithesis of the Soviet avant-garde filmmakers (especially Eisenstein) who viewed montage (cutting) as the “nerve” of cinema. Despite the “stagnation” of politics, culture and the arts during Brezhnev’s tenure, with Stalker, Tarkovsky carried what can be considered Kalatozov’s Soviet New Wave in cinema a step further.

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #7)

<b>Film:</b>	<u>Stalker</u>	<b>Director:</b> Andrei Tarkovsky		<b>Year of Release:</b> 1979
<b>Era:</b>	Brezhnev Era (1964-1982)	<b># Of Carnavalesque Scenes</b>	23	<b># Of State (Voice) Scenes</b>   7
<b>Homo Sacer:</b>	Stalker, Professor, Writer, Wife and Monkey, i.e. the Soviet general population	<b>Source of the Homo Sacer:</b> The authorities (the Soviet State) - tries to prevent its citizens from entering the zone - which can be interpreted as venturing away from the State, which is in a state of 'stagnation'. This is an internal source.		
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		Tarkovsky (director), Stalker, Professor, Writer, Stalker's Wife, Monkey (Stalker's daughter), Off-screen Narrator, Camera, Thunder, Intertextuality		

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State
(1) Parody	<p><b>S1 (0:29:28):</b> When the Stalker, Professor and Writer enter the zone, the State authorities shoot at them. This is parody of the State keeping its citizens from entering the <i>zone</i> of happiness and self fulfillment. According to Stalker, the authorities are afraid to enter the <i>zone</i> themselves (0:33:32).</p> <p><b>S2 (0:37:00):</b> When the Stalker, Professor and Writer arrive in the <i>zone</i>, the scene changes from "sepia" to "color", this is an intertextual relationship to <u>The Wizard of Oz</u> - When Dorothy arrived in the Land of Oz, the scene went from 'Black &amp; White' to 'color'. (0:37:47) Stalker states "Here are... home at last." In the Wizard of Oz, Dorothy was trying to leave Oz to go home (Kansas). In Stalker, Stalker, Professor and Writer are trying to get to Oz (i.e. the 'room' via the <i>zone</i>) (Voice of Intertextuality and Tarkovsky)</p> <p><b>S3 (0:53:15) Part II:</b> Writer places a 'crown of thorns' on his head and tells Stalker "But don't have any illusions, I'm not going to forgive you." He is parodying the crucifixion. (Voice of</p>	<p><b>S1 (0:59:19):</b> Stalker explains what the <i>zone</i> represents: "The Zone is a very complicated system... of traps and they're all deadly. I don't know what's going on here in the absence of people, but the moment someone shows up, everything comes into motion. Old traps disappear and new ones emerge. Safe spots become impassable. Now your path is easy, now it's hopelessly involved. That's the Zone. (Voice of Tarkovsky)</p>

	<p>Writer)</p> <p><b>S4 (1:15:34) Part II:</b> The scene changes for 'color' back to 'sepia', that Stalker is now out of the zone and has rejoined his wife and daughter (Monkey). Parody - Dorothy is no longer in Oz and has returned to Kansas. (1:18:15) Professor and Writer watch as Stalker leaves with his wife and daughter who have come to greet him at the bar from wince they left. They realize that like Dorothy, Stalker already has what is looking for. [Note: In the Wizard of Oz, Dorothy ran away from home to prevent the her dog Toto from being taken away by an unkind neighbor (the Wicked Witch - in Oz) In <u>Stalker</u>, Stalker returns with a dog (1:20:24) (the black dog who found him (Stalker) in the zone)] Stalker has bought something, alive and physical back from the Zone/Oz. (Voice of Intertextuality)</p>	
<b>(2) Death</b>	<p><b>S1 (1:07:13) Part II:</b> When Writer is questioning Stalker in regards to Porcupine's (also a Stalker) death. It is revealed that Porcupine entered the 'room' himself (Stalkers are not supposed to enter the 'room') he also caused his brother to die in the 'meat grinder' (a tunnel that all must travel through to reach the room). Porcupine became rich as a result of entering the 'room' and five days later hanged himself. Writer states: "Because he realized that not just any wish comes true here, but only your innermost wish." Porcupine's death is a metaphysical death.</p>	None Present
<b>(3) Grotesque Display</b>	<p><b>S1 (0:7:30) Part II:</b> The camera shows hot coals burning in the middle of running water. For Tarkovsky this would be considered Grotesque Display - it is otherwise impossible or at least implausible. (Voice of Tarkovsky)</p>	None Present
<b>(4) Satirical Humor</b>	<p><b>S1 (0:58:49)</b> When Writer returns because he is unable to approach the</p>	None Present



	<p>room (Interior Infinite S1) Professor makes a joke of it "You're smart, Mister Shakespeare. To go straight ahead is scary, to go back is embarrassing. So you gave yourself a command. Fear has made you come to your senses." (Voice of Professor)</p> <p><b>S2 (0:3:45) Part II:</b> When Professor forgets his knapsack and insists on going back to retrieve it, Stalker tells him that he cannot go back and that the 'room' will fulfill all his desires. Writer then jokes: "Give up your empiricism, Professor. Miracles are outside of empiricism." (Voice of Writer)</p> <p><b>S3 (0:10:08) Part II:</b> Professor leaves (unnoticed) Stalker and Writer to retrieve his knapsack. When Stalker and Writer encounter him again, it becomes evident that they have been walking in circles. Writer jokes: "What's important is that Professor's bag with his underwear is safe." Professor responds "Don't stick your nose in someone's underwear if you don't understand it." (Voices of Writer and Professor)</p>	
<b>(5) Billingsgate</b>	None Present	None Present
<b>(6) Metaphor</b>	<p><b>S1 (1:21:15) Part II:</b> Stalker has returned home from the Zone. He is shown lying in front of a wall length bookcase stacked with books. There is also a book on his bed. Metaphor that Stalker could in fact be an intellectual himself. (Voice of the camera)</p>	<p><b>S1 (0:16:31):</b> When the Writer tries to introduce himself to the Professor, the Stalker interrupts him and introduces him as "Writer", and the professor as "Professor". This is a metaphor for their nonidentity imposed by the Soviet State. (the voice of the State)</p> <p><b>S2 (0:45:23):</b> Stalker states "The flowers are blooming again, but they don't smell for some reason." Metaphor for 'stagnation' (the voice of Tarkovsky)</p> <p><b>S3 (0:47:54):</b> The camera shows what appears to be an ambulance with corps and in the foreground abandoned army tanks and an abandoned vehicle.</p>

		<p>Metaphor for 'stagnation' and abandonment of the State. (Voice of Tarkovsky)</p> <p><b>S4 (0:34:33) Part II:</b> Before going through a closed door that leads to the 'room' Writer draws a gun for protection. Stalker and Professor convince him that the gun is of no use and beg him to drop it. They argue that the gun will cause him more harm than good. Writer drops the gun and goes through the door unarmed. Metaphor how Soviet people talk themselves of out defending themselves against the State (Voice of the State)</p> <p><b>S5 (0:54:03) Part II:</b> There are two corps/skeletons embraced in each other's arms at the threshold of the 'room'. Metaphor - 'Be careful what you pray for' because you might find what you're looking for. (Voice of the State)</p> <p><b>S6 (1:09:53) Part II:</b> Professor disassembles the bomb and throws it piece by piece into the water. He too (like Writer who drops his gun) has chosen not to destroy the 'zone' as his colleague who is representative of the State asked him not to do. (Voice of the State)</p>
<b>(7) Fearlessness</b>	None Present	None Present
<b>(8) Madness</b>	<b>S1 (0:12:00):</b> Stalker's wife lays on the floor and screams in anguish because he has left for the zone. In the background there is the sound of a passing train and its vibratory effect it has on the floor as it passes combined with the screams of Stalker's wife connotes madness.	None Present
<b>(9) The Mask</b>	<b>S1 (0:36:29) Part II:</b> When Professor and Stalker follow Writer through a door that leads to the room (they have just convinced Writer to drop a gun he was preparing to use to defend himself). Stalker asks to Professor "I hope you haven't got anything like that?" Professor	None Present

	<p>responds "No. As a last resort I've got an ampule." Yet when Professor walks through some water a few second later he holds his knapsack above his head indicating that he is hiding something.</p> <p><b>S2 (0:46:47): Part II:</b> Professor, Stalker and Writer have reached the threshold of the room. A phone rings and Writer answers it a hangs up. The Professor calls his colleague at his laboratory and tells him that he has found the bomb that was left in Bunker four. It has become evident that Professor is quite familiar with the 'zone' which was probably a chemical plant where he once worked. His goal was to find that bomb and detonate it thus destroying the 'room'. He wore the mask of innocence. (Voice of Professor)</p> <p><b>S3 (1:00:05) Part II:</b> Professor removes a bomb from his knapsack and reveals his intentions to destroy the 'room'. His mask of innocence is now completely removed.</p>	
<p><b>(10) The Interior Infinite</b></p>	<p><b>S1 (0:55:57):</b> Writer disregards the Stalker's advice not to take a short cut to the 'room', when Writer approaches the room he is stopped by either his own fear or a metaphysical presence, a 'voiceover' says "Stop! Don't move!" (0:57:40)  Writer stops in his tracks and returns to Stalker and Professor. He asks them why they stopped him. Both men respond that they did not say anything. (Voice of an off screen narrator)</p> <p><b>S2 (0:1:10)-Part II:</b> The camera shows what appears to be water in a round barrel with an oil film on top (metaphor for Stalker's mind) - a 'voiceover' conveys Stalker's inner thoughts "Let everything that's been planned come true. Let them believe. And let them have a laugh at their passions. Because what</p>	<p>None Present</p>

they call passion actually is not some emotional energy, but just the friction between their souls and the outside world. And most important, let them believe in themselves, let them be helpless like children, because weakness is a great thing, and strength is nothing." (Stalker's inner Voice)

**S3 (0:12:01 - 0:12:34) and (0:13:46 - 0:14:01) Part II:** As Stalker, Professor and Writer are resting, the camera makes Stalker's inner world visible to the view by changing from 'color' to 'sepia' (Voice of the Unseen Narrator - the film editor)

**S4 (0:18:11) Part II:** Stalker is laying on the ground thinking and an inner voice that sounds like a whispering child becomes audible "And there was a great earthquake. And the sun became black as sackcloth made of hair. And the moon became like blood... (screen changes to 'sepia' indication an inner state) (0:18:23 0:21:40) "And the stars of the sky fell to the earth, as a fig tree casts its unripe figs when shaken by a great wind. And the sky was split apart like a scroll when it is rolled up. And every mountain and island were moved out of their places. And the kings of the earth and the great men and the rich and the chiliarchs and the strong and every free man, hid themselves in the caves and among the rocks of the mountains; and they said to the mountains and to the rocks, 'Fall on us and hide us from the presence of Him who sits on the throne, and from the wrath of the Lamb, for the great day of His wrath has come, and who is able to stand?'" (Stalker's inner voice)

**S5 (0:22:04 - 0:25:10) Part II:** Stalker awakens and begins narrating his inner thoughts. Both Professor and Writer also awaken and listen to Stalker's narration

of his inner thoughts. When all three men awaken they appear to be looking into the camera (breaking the 4th wall). (Voice of Stalker)

**S6 (0:40:05) Part II:** Writer begins a dialog of verbally expressing his innermost thoughts. He speaks of his anguish at being a writer. As the camera zooms in on his face, he appears to be looking directly into the camera. (Voice of Writer)

**S7 (1:12:45) Part II:** It begins to thunder and rain as Stalker, Professor and Writer sit at the threshold of the room contemplating their lives. (Voice of thunder)

**S8 (1:25:25) Part II:** Stalker's wife breaks the '4th wall' and talks directly into the camera. She tells the viewer the history of her life with Stalker. (Voice of Stalker's wife) (1:26:12) "I knew it all myself, that he was doomed, that he was an eternal prisoner, and about the children. Only what could I do? I was sure I would be happy with him. Of course, I know I'd have a lot of sorrow, too. But it's better to have a bitter happiness than... a gray, dull life." (Voice of Stalker's Wife)

**S9 (1:28:35) Part II:** Stalker's daughter Monkey is reading a book, her inner thoughts are made audible through 'voiceover' in the form of a poem: "I love your eyes, my darling friend, Their play , so passionate and bright'ning, When a sudden stare up you send, And like a heaven-blown lightnig, It'd take in all from end to end. But there's more that I admire: Your eyes when they're downcast, In bursts of love-inspired fire, And through the eyelash goes fast, A somber, dull call of desire... (1:29:37)

	<p>After completing her mental recitation, she looks at a glass on the table and it starts to move across the table telepathically. However, a whistle of a train is heard in the background, and eventually the train passes causing the table to vibrate. It is unclear what is making the glass move across the table - Monkey' possible telepathic powers or the vibrations of the train. (Voice of Monkey)</p>	
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**Summary:** Stalker is a polyphonic film containing several voices, many of them conflicting with each other. This is the first of the seven films analyzed so far that the voice of 'Intertextuality' speaks out loud and clear. This is demonstrated in the parodying of the Wizard of Oz (1939). This entire film can be considered a parody of the Wizard of Oz. Rather or not Tarkovsky was actually influenced by the Wizard of Oz is irrelevant. What is relevant is that there is an intertextuality between the two films and a voice of intertextuality has identified itself (Parody: S2, S4).

(Chart #5 R.K. Davis 2014)

## **Siberiade (1979)**

Siberiade is an historical epic film that spans the over six decades of Soviet history, covering the Bolshevik Revolution, the two World Wars and the Soviet era of modernization. It is told in four parts and concerns a small Siberian village named Elan. The story hinges on the interactions between two feuding families, the proletarian Ustyuzhanins and the wealthy Solomins. Through their alliances and conflicts, a history of Siberia and the place it holds in the Soviet Union emerges, including its socio-economic, socio-political and cultural contributions to the country.

Andrei Konchalovsky was born August 20, 1937 and is the older brother to Nikita Mikhalkov (b. 1945) who is also a well-known Russian director and whose film Burnt by the Sun (1994) is included in this study. Their father Sergei Mikhalkov was a famous writer of children's books in addition to authoring the lyrics to the Soviet national anthem. Because of their prominence in Soviet society, both their mother, Natalia Konchalovskaia who was a writer in her own right and their father Sergei often served as co-opted KGB agents who introduced undercover KGB officers to foreign diplomats during the Soviet era (Barron 128). Due to ideological differences with the Communist views of his father, Sergei, Andrei adopted the hyphenated surname Mikhalkov-Konchalovsky for his early films and later dropped the Mikhalkov altogether.

While studying at Moscow's prestigious All-Union State Institute of Cinematography (VGIK), Konchalovsky met Andrei Tarkovsky and co-scripted Tarkovsky's two films, The Steamroller and the Violin (1960) and Andrei Rublev (1966) (The New York Times, Internet Edition). Hence, Konchalovsky and Tarkovsky were contemporaries and collaborators. It is interesting for this study to note that both

Konchalovsky's Siberiade and Tarkovsky's film Stalker were released in the same year, May of 1979. It should not, then, be surprising that the two films are intertextual, sharing similar thematic elements, as will be documented in the analysis to follow.



## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #8)

<b>Film:</b>	<u>Siberiade</u> (2 Parts)	<b>Director:</b> Andrei Konchalovsky	<b>Year of Release:</b> 1979
<b>Era:</b>	Brezhnev Era (1964-1982)	<b># Of Carnavalesque Scenes</b>	37 # Of State (Voice) Scenes 10
<b>Homo Sacer: (HS)</b>	<b>Part I</b> (1) Afonya – has an irrational need to chop a road through the forest that leads to anywhere other than Siberia. Dies laying on an anthill. (2) Kolya – a child of 7 or 8 years old. He is Afonya's son. (3) Rodion – is a revolutionary fugitive who is eventually arrested by the Tsar Militia.	<b>Source of the Homo Sacer: (SHS) :</b> (1) Afonya is made the homo sacer by his own inner conflict. He inadvertently lies on an anthill and is killed by ants. Nature – has rendered Afonya the homo sacer in retribution for his crimes against it. (Internal source – Nature)  (2) Kolya is made the homo sacer by his self-consumed father (Afonya), which has resulted in Kolya having to fend for himself. And by the Solomins (e.g. Nastya) who humiliates him with their wealth. (Internal source) (3) Rodion is made the homo sacer by the Tsar (State) (Internal source)	
	<b>Part II</b> (1) The Solomins (Kulaks- rich peasants) are made to relinquish their property and riches (2) Nastya dies a 'heroic death' (3) Kolya is murdered (4) Alexei (Kolya's son), who is blatantly underage volunteers to become a soldier in WWI, he is allowed to do so by the Soviet army commander.	(1) The Solomins are made the Homo Sacer by Kolya and Alexei as representatives of the Stalinist State. (Internal source)  (2) The Cossacks execute Nastya for being a Bolshevik revolutionary. (Internal source) (3) Kolya is murdered by Spiridon – an anti-revolutionary (Internal source) (4) The Soviet State – they will allow underage boys to enlist in the army. To die for the State. (Internal source)	
	<b>Parts III and Part IV</b> (1) Alexei is killed	(1) Alexei dies attempting to save his comrade in the oil explosion in Elan. (Internal source)	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		Intertextuality, Tribe, Afonya (Hero), Camera (as narrator), Solomins (Kulaks), Nature, Konchalovsky (as director), State, Alexei (Hero), Globalization, Taya (Hero), Philip (Hero)	

\*S1 = Scene 1, etc.,

Carnavalesque Signifiers	Bakhtin	The State
<p><b>(1) Parody</b></p> <div style="border: 1px solid black; padding: 5px;"> <p><b>Note: Periods Covered</b></p> <p><b>Part I:</b></p> <p><b>(1) [0:5:45]</b> "Afanasy (Afonya): Beginning of the Century"</p> <p><b>(2) [0:39:07]</b> "Anastasia (Nastya): The Twenties"</p> <p><b>Part II:</b></p> <p><b>(3) [1:09:31]</b> "Nikolai (Kolya), Afanasy's (Afonya's) Son: The Thirties"</p> <p><b>(4) [1:50:20]</b> "Taya: The Forties"</p> <p><b>(5) [0:0:30]</b> "Forbidden Area"</p> <p><b>Part III:</b></p> <p><b>(6) [0:17:25]</b> "Alexei, Nikolai's (Kolya's) Son: The Sixties"</p> <p><b>Part IV:</b></p> <p><b>(7) [1:12:54]</b> "Philip: The Sixties"</p> </div>	<p><b>S1 [(0:01:57) Part I(1)]:</b> Due to the vibrations of an oil rig explosion a glass in a saucer is moving across the table. The is a parody of the last scene in <u>Stalker</u> when Monkey (Stalker's daughter) looks at a glass and it moves across the table, at the same time there are also increasing vibrations of a train that could also be the culprit of the glass's movements. (Voice of Intertextuality)</p> <p><b>S2 [(0:21:09) Part I(1)]:</b> When 'the Eternal Old Man' followed by a bear, appears in Afonya's house to help Rodion, who claims that his hands feel numb the following conversation takes place between Afonya and the Eternal Old Man [EOM]:  Afonya "Listen, old man, why don't you give him (the bear) to me? He'll carry brushwood for me."  EOM "You still chopping?"  Afonya "Yes."  EOM "And the sisters weep." (He is referring to the forest crying at the death of the trees that are killed as a result of Afonya's chopping).  Afonya "Me too (cry), when I chop.  EOM "You know where you're chopping to?"  Afonya "Don't matter where to. As long as it's away form here (Siberia). Far away."  EOM "You can't get away from yourself."  Afonya "Well, are you giving me the bear?"  EOM "You'll make him a boozer."  Afonya "How can I refuse him a glassful after a hard day's work? If I pour him some, he won't say no. Wanna bet on it?"  When Afonya holds up the bottle of vodka the EOM looks at it and the bottle shatters, insinuating he has</p>	<p>None Present</p>

	<p>parapsychological powers. Laughing, the EOM says "Watch out, Afonya. your road leads straight to the Devil's Mane (a mystical/hellish place in Elan's forest)." The EOM and the bear then leave Afonya's house. Parody for "Paving a road to Hell." (Voice of the Tribe)</p> <p><b>S3 [(0:52:55) Part I(2)]:</b> Nastya, after having a political disagreement with Kolya (now her boyfriend), she threatens to marry Phil Solomin. She then finds Phil Solomin cutting grass with his father and younger brother, she kisses him and consents to his father sending for the 'match makers'. Phil Solomin is not happy however, he and his father and brother hear the geese and look into the sky, geese are flying in formation. This is a parody of the first and last scenes in the film <u>The Cranes are Flying</u> - geese like cranes signifying hope and rebirth. (Voice of Intertextuality)</p> <p><b>S4 [(1:59:12) Part II(4)]:</b> A large barge is traveling through Elan recruiting for soldiers to fight in World War II. The barge has a large poster of the film <u>Volga, Volga</u> (1938) (a popular Stalinist musical that takes place on a steamboat travelling on the Volga river). This scene is parodying the film. (Voice Intertextuality)</p> <p><b>S5 [(0:39:35) Part III(6) - 2nd Disk]:</b> Once in the Devil's Mane, Alexei sees the shack where previous Oil crews had began drilling. Entering the Devil's Mane and finding the Shack is in a sense a parody for entering the Zone and finding the 'room' as in the film <u>Stalker</u>. (Voice of Intertextuality)</p>	
<b>(2) Death</b>	<b>S1 [(0:58:17) Part I(2)]:</b> While chopping trees in the forest, Afonya hears the forest speaking to him, he responds "Don't whine. I won't touch	<b>S1 [(1:19:07) Part II(3)]:</b> Kolya and Nastya left Elan together after Nastya married Phil Solomin. Kolya has now returned to Elan with a son (Alexei) by

	<p>you." He has directed his comment to a specific tree. Afonya inadvertently lays on an anthill and dies (1::02:36). This is the forest's retribution for his chopping her trees. (Voice of Nature)</p> <p><b>S2 [(1:43:53) Part II(3)]:</b> Kolya removes the necklace given to him by Rodion when his was a boy and Rodion was being carried away by the Tsar's militia. Alexei places the necklace around his neck and then notices a chick (Spiridon hid chicks in his shirt) - these are the signs leading up to Kolya's death. (1:44:56) Spiridon Solomin has escaped from custody and has killed Kolya. Alexei leaves Elan.</p> <p><b>S3 [(0:50:25) Part III(6) - 2nd Disk]:</b> An elderly woman in Elan dies and is being buried at the cemetery. Spiridon is officiating. The other women in the village are present dressed in black holding lighted candles. (Voice of the tribe)</p> <p><b>S4 [(1:59:04) Part IV(7) - 2nd Disk]:</b> Alexei dies saving one of his comrades during the explosion at the oilrig - oil has been found in Elan but at a price. (Voice of Konchalovsky) [Same as Death S2]</p>	<p>Nastya. He has informed the Solomins the Nastya died a 'heroic death'. Spiridon Solomin (Nastya's brother) wants to know how his sister Nastya died. Kolya informs him that the Cossacks burned her. Kolya states "She (Nastya) was captured together with the infirmary. They (Cossacks) doused her with alcohol in the freezing cold and set her on fire. She lit up like a torch." Spiridon tells Kolya that he will never forgive him for Nastya and begins singing "Black Raven" [(Also sung in the film <u>Chapaev</u> (1934)] (Political Voice of the State - Anti-Cossack)</p> <p><b>S2 [(0:01:12) Part II(5) - 2nd Disk]:</b> Alexei has enlisted in the Soviet Army to fight in World War II. He is on the battlefield/River walking among his <i>dead comrades</i>. The scene is in 'sepia'. (Voice of the State)</p>
<p><b>(3) Grotesque Display</b></p>	<p><b>S1 [(0:23:25) Part I(1)]:</b> Nastya Solomin catches Kolya attempting to steal some meat from her family's barn. She challenges him to earn the dumplings by running naked around a well three times. Kolya (who appears to be 7 or 8 years old) undresses and runs naked around the well. Nastya then gives his clothes to one of her dogs and laughs while Kolya, naked fights the dog to retrieve his clothes. This is a grotesque display of childhood humiliation. (Voice of Konchalovsky)</p> <p><b>S2 [(1:50:51) Part II(4)]:</b> Taya Solomin</p>	<p><b>S1 [(0:02:19) Part II(5) - 2nd Disk]:</b> Alexei is on the Battlefield/River and he finds Phil Solomin who has been wounded. There is a grotesque display of Solomin's guts/stomach due to wounds obtained from fighting the Nazis. (Voice of the State)</p>

	(a teenage girl) is swimming in a lake filled with swans. When she leaves the lake to get her clothes she is completely nude (full frontal nudity showing her breast and pubic hair). Once on shore she finds Alexei (now a young man) sitting unconscious against a tree. She finds the Eternal Old Man and he takes Alexei to his home to heal him. Alexei has ran away from the orphanage and returned to Elan to find Spiridon and revenge his father's (Kolya's) death	
<b>(4) Satirical Humor</b>	<b>S1 [(0:21:25) Part III(6) - 2nd Disk]:</b> Alexei Ustyuzhanin now returning to Elan after twenty years, arrives with an oil exploration crew. His crew is going to drill for oil in Elan, hence they are bringing technology to Elan. When Alexei and Tofik (the supervisor of the oil crew) arrive at Elan's gate, Alexei drives the tractor right through it, thus destroying the gate while simultaneously introducing Elan to the technology which will potentially destroy it. (Voice of Alexei)	None Present
<b>(5) Billingsgate</b>	<b>S1 [(0:7:58) Part I(1)]:</b> Kolya Ustyuzhanin (child) has just stolen dumplings from the Solomins. Two of the Solomin children come to retrieve the dumplings and a fight between the two boys begins. A Solomin girl (Nastya) remains on the horse cart but joins in on the verbal abuses emitted mainly between herself and Kolya: Scum, Thief, Beggar, Slut, Bloodsuckers, Sour Scamp, wet louse and Red-haired puke, are some of the billingsgate emitted Kolya and Nastya.	None Present
<b>(6) Metaphor</b>	<b>S1 [(0:20:11) Part I(1)]:</b> When Afonya mentions the Eternal Old Man's name, the Eternal Old Man appeared from nowhere. A bear follows the Eternal Old Man into Afonya's house but is tame. Metaphor for a Shaman, healer, sage. (Voice of the tribe)	<b>S1 [(0:33:06) Part I(1)]:</b> Rodion ( a revolutionary fugitive) is arrested by the Tsar's militia and forcibly taken from Elan as Kolya watches. Metaphor for Tsar attempt to squelch the Revolution. (Voice of the State)

	<p><b>S2 [(0:14:57) Part I(1)]:</b> While trying to convince Afonya (who has just chopped down a tree) to come to the Solomins to help Rodion, Kolya hears something in the forest. Afonya tells him that it is the "Sisters Weeping". Metaphor for the forest's response to a Afonya's chopping down the trees. (i.e., taking the life of a living thing). Afonya explains this to Kolya (Voice of the tribe)</p> <p><b>S3 [(0:22:35) Part I(1)]:</b> Camera shows a montage of shots: (1) The partially opened Gate leading into Elan. (2) A path leading away from the Elan, (3) A shot of the Siberian landscape, (4) the Path that Afonya is cutting through the forest leading away from Siberia (5) Rodion is shown walking towards Afonya's house, the camera pans from the Rodion to the moon. Metaphor for the people/strangers (e.g. Rodion) that arrive to and leave from Elan. In the next scene Rodion tries to explain to Kolya why he must leave Elan. Rodion is only the first of many. . (Voice of the Camera)</p> <p><b>S4 [(0:40:00) Part I(2)]:</b> Kolya is now a teenager and is in the forest helping his father chop trees. He is sitting in a tree daydreaming when the camera shows 'geese' flying in the distance. Geese (like cranes) serve as a metaphor for hope and rebirth - as signified in the film <u>The Cranes are Flying</u> (1957) (Voice of Intertextuality)</p> <p><b>S5 [(1:02:44) Part I(2)]</b> Afonya is shown dead in the forest - killed by ants. <i>A star is shown twinkling surrounded by trees.</i> This scene has appeared in several preceding scenes in connection with Afonya chopping trees in the forest - it is a Metaphor for the living consciousness</p>	<p><b>S2 [(1:24:57) Part II(3)]:</b> Kolya who is a Bolshevik/Communist and representative of the State (Stalinist regime) places Spiridon Solomin under arrest for refusing to perform public work [(1:20:24) finishing the road that his father Afonya started over a decade ago]. He then takes the furs and food that the rich Solomins (who represent the Kulaks - rich peasants) have stored away. This is a Metaphor of Stalin's campaign against the Kulaks, thus making them turn their property over to the State (Voice of the State)</p> <p><b>S3 [(1:32:31) Part II(3)]:</b> Kolya's son Alexei (who appears of be 12 or 13 years old) is carrying a rifle and along with Kolya is enforcing Stalin's mandate that the Kulaks (Solomins) perform public work (by building the road to the Devil's Mane, that his father has stated). Alexei sees one of the Kulaks with a religious iconic picture. He wrestles it away from the Kulak and tosses it in the fire, stating "What ignorance! God doesn't exist." Metaphor for the Stalinist State's atheist stance. (Voice of the State)</p> <p><b>S4 [1:32:57) Part II(3)]:</b> Alexei, full of Communist ideology, tell the Kulaks who are afraid of building a road to the 'Devils Mane', a place in the forest they all believe to be possessed by evil, that "There's no God, and no devil either." (1:34:42) Kolya and Alexei go to the Devil Mane together. Alexei begins to hallucinate. (1:37:00)The screen changes for 'color' to 'cyanotype' (blue and white). The town's people believe that people go mad when they enter the Devil's Mane (maybe due to the fumes from oil which is under the Mane. (1:37:47) Alexei thinks he sees a ghost, it turns out to be Kolya. (1:40:07) Alexei throw a cigarette</p>
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	<p>of the forest, which is a living being. (Voice of the tribe)</p> <p><b>S6 [(1:47:43) Part II(3)]:</b> There is a dead chick on the table. The Eternal Old Man finds it and removes it from the table saying "Kolya, Kolya. In the name of the Father, The Son and the Holy Spirit." He holds the dead chick in his hands and blows his breath on it. When he opens his hands, a living bird flies away. Metaphor that Kolya's soul is now at rest. (Voice of the tribe)</p> <p><b>S7 [(1:58:46) Part II(4)]:</b> When Taya and Alexei meet at the cemetery geese fly overhead. Like Cranes they serve as a metaphor for hope and rebirth and the beginning of a relationship. Intertextual with film <u>The Cranes are Flying</u> (1957) (Voice of Intertextuality)</p> <p><b>S8 [(0:28:22) Part III(6) - 2nd Disk]:</b> Alexei having returned to Elan after 20 years reveals his plan to convert Elan into an oil drilling town to Spiridon, he kisses Spiridon (who killed his Father) and geese fly in formation overhead. The geese, like cranes represent hope and rebirth and appear each time a new relationship or event is to occur in Elan. It is intertextual with <u>The Cranes are Flying</u>. (Voice of Intertextuality)</p> <p><b>S9 [(0:29:18) Part III(6) - 2nd Disk]:</b> Alexei is hunting swans at the lake. But before he can shoot, Taya arrives and whistles to alert the swans. When Taya found Alexei (as a teenager) it was at the lake with swans (Grotesque Display S1). Now 20 years later she finds him at the swan filled lake again. This time they make love at the lake. The swans and lake are a metaphor for Taya's and Alexei's relationship – it has began and</p>	<p>and the Devil's Mane explodes in fire. (1:40:28) The Eternal Old Man appears in the midst of the blaze. The Devil's Mane is Konchalovsky's version of Tarkovsky's Zone in <u>Stalker</u> (1979) (Voice of Intertextuality)</p> <p><b>S5 [(1:56:15) Part II(4)]:</b> Alexei (as young man has returned to Elan) He visits his father's (Kolya's) grave. The tombstone states "Bolshevik Nikolai Ustyuzhanin fell at the heinous hand of his class enemy." Alexei plays a record on his wind-up phonograph in tribute to his father. The song he play is "Burnt by the Sun". (Voice of the State)</p> <p><b>S6 [(0:50:42) Part III(6) - 2nd Disk]:</b> As Spiridon and the rest of the village lays to rest (buries - places in the ground) one of its elderly inhabitants, Alexei and his crew beginning drilling (in the ground) for oil. This is a metaphor that the old village of Elan is dying and the new globalization is being born. The Eternal Old Man is shown at the cemetery and the drilling rig is shown in the background. (Voice of Globalization)</p> <p><b>S7 [2:03:14) Part IV(7) 2nd Disk]:</b> As the audience stands at the committee meeting in honor of Alexei's death at the drill site (Metaphor S11) a large picture of Lenin is shown in the background on the stage of the committee members (Voice of the State).</p>
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ended at this lake. (Voice of Konchalovsky)

**S10 [(0:32:35) Part III(6) - 2nd Disk]:**

After Alexi and Taya make love at the lake, Alexi asks her why she wasn't married. Taya asked him can't he guess and Alexei responds that he hasn't a clue. He has forgotten that when he went off to war 20 years earlier he asked Taya to wait for him and she said she would wait her whole life for him. When Alexei leaves the lake he asks Taya if they could leave separately, he doesn't want the men on his crew to know about 'fling' he has just had with Taya. As he leaves he tells Taya, "Well I'm off, Nice to meet ya." Taya dresses and sings "My heart is broken, That's enough, go away now, We are strangers, Forget about me" The song is a metaphor that a love she waited for, for 20 years doesn't exist. (Voice of Taya Solomin)

**S11 [(0:36:33) Part III(6)] - 2nd Disk]:**

Alexei is upset because the oil rig will not be set up in the Devil's Mane. So he drives there in a tank. The screen changes from 'color' to 'sepia'. The 'sepia' is a metaphor for a change in consciousness. (Voice of the camera).  
**(0:37:56)** Alexei stops the tank to talk to the Eternal Old Man, who advises him not to go to the Devils Mane. Alexei ignores him and continues on. When he drives off, the camera shows that he has uncovered an anthill. Ants killed his grandfather Afonya. Ants are a metaphor of death and indicates that Alexei will meet death at the Devils Mane in the form of ghosts. (Voice of the Camera)

**S12 [(0:42:37) Part III(6)] - 2nd Disk]:**

When Alexei enters the shack at the Devil's Mane, he begins to hallucinate about his dead father. Metaphor for the



	<p>'room' that can grant your wildest desires as in <u>Stalker</u>. (Voice of Intertextuality)</p> <p><b>S13 [(1:07:56) Part III(6) - 2nd Disk]:</b> After Tofik finds Alexei in Taya's bed, he curses at her and leaves her house. When he slams the door behind himself, a horseshoe falls from over the threshold to the ground. Metaphor for bad luck, which is to come. (Voice of the tribe)</p> <p><b>S14 [(2:03:00) Part IV(7) - 2nd Disk]:</b> When Philip Solomin receives a dispatch stating that oil was found in Elan, he informs a crowded hall of committee members and asks that they stand in a moment of silence for the death of Alexei Ustyuzhanin. The audience stands in celebration of his memory. Metaphor (1) individuals and their lives do matter, (2) the century old feud between the Solomin's and the Ustyuzhanins is no longer relevant. (Voice of Konchalovsky - director)</p>	
<b>(7) Fearlessness</b>	<p><b>S1 [(0:11:37) Part I(1)]:</b> Rodion (revolutionary fugitive) confronts the Solomins on behalf of Ted (a local fur Trader) in an attempt to retrieve some pelts that Ted claims the Solomins took from him unfairly. Rodion is clearly outnumbered but has a bomb on his person.</p> <p><b>S2 [(1:59:04) Part IV(7) - 2nd Disk]:</b> Alexei dies saving one of his comrades during the explosion at the oilrig - oil has been found in Elan but at a price. (Voice of Konchalovsky) [Same as Death S4]</p>	None Present
<b>(8) Madness</b>	<p><b>S1 [(0:17:39) Part I(1)]:</b> Afonya Ustyuzhanin visits the Solomins to rescue Rodion (a revolutionary fugitive) who has become friends with his son Kolya. He laughs hysterically for no apparent reason. (Voice of Afonya)</p>	None Present
<b>(9) The Mask</b>	<p><b>S1 [(0:34:26) Part I(1)]:</b> The Solomins who are having a festival and many who are inebriated burn Rodion's Iceboat after</p>	None Present

	<p>his arrest. They wear the mask of the rich (Kulaks) (Voice of the Solomins – Kulaks)</p>	
<p><b>(10) The Interior Infinite</b></p>	<p><b>S1 [(0:45:00) Part I(2)]:</b> Nastya Solomin (now a teenager) is on her way to a liaison with Kolya Ustyuzhanin who has now become her boyfriend. She becomes aware that someone is in forest watching her. It is the Eternal Old Man. He beckons for her to come to him and she does. He then feeds her berries and plays the flute while wild birds rest on his shoulders and head. Nastya experiences ecstasy (facial expression) from the taste of the berries and hearing the flute.</p> <p><b>S2 [(1:21:14) Part II(3)]:</b> While looking at a photograph of Phil Solomin, Kolya has a flashback to Nastya happily playing in the hay with their son Alexei. His flashback ends up a dream. (Voice of Kolya)</p> <p><b>S3 [(1:08:24) Part III(6) - 2nd Disk]:</b> After finding Tofik in Taya's house and realizing that they are having a love affair; Alexei, back the drill site begins talking to himself (in voiceover). He expresses his discontent with the drill site in addition to his frustration regarding Taya (who he hasn't paid attention to) and Tofik having an affair. Then proceeds to sabotage the oilrig. (Voice of Alexei)</p> <p><b>S4 [(1:22:30) Part IV(7) - 2nd Disk]:</b> Philip Solomin, now an executive in Moscow, has returned to Elan to visit the village. He is expressing his regret to The Eternal Old Man about having not stood his ground in Moscow to prevent the village from being flooded to build a hydroelectric dam. He has a flashback to his brief marriage to Nastya. She is in a swing holding flowers in the rain. (Voice</p>	

	<p>of Philip)</p> <p><b>S5 [(2:00:43) Part IV(7) - 2nd Disk]:</b> Philip Solomin now back in Moscow receives a dispatch stating that oil has been discovered in Elan. The message also informs him the Alexei died trying to quell the gushing. Philip begins to have flashbacks of his history with Alexei - in commemoration. (Voice of Philip Solomin)</p> <p><b>S6 [(2:06:38) Part IV(7) - 2nd Disk]:</b> When Philip Solomin returns to Elan to oversee the containment of the explosion of the oilrig, he learns that the village cemetery must be destroyed because it has become a hazard. As the cemetery is raised, the ghosts of his relatives: the Solomins and the Ustyuzhanin come to greet him in gratitude. (Voice of the Tribe)</p>	
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**Summary:** As evident from the chart, this film has a strong intertextual connection with Tarkovsky’s film Stalker. Both Konchalovsky and Tarkovsky were contemporaries and had worked together before making these two films. Both film were released in 1979, so it is safe to gather that the films were being produced at or near the same time. However, whether or not Tarkovsky and Konchalovsky collaborated or even discussed their films with each other while the films were being produced is irrelevant – the films are strongly intertextual. An intertextuality also exists between this film and Volga Volga (1938), directed by Grigori Aleksandrov and The Cranes are Flying (1957). Siberiade is definitely polyphonic. There are a total of twelve separate voices; each with its own perspective and some of which conflict and contradict the other(s). This film embodies the history of the Soviet Union from the Russian Revolution to the 1960s and is told from the perspectives of its director Konchalovsky, the State (through its censors) and the tribe – Siberian folk legend.

(Chart #5 R.K. Davis 2014)

## **The Legend of the Suram Fortress (1984)**

The Legend of the Suram Fortress is the filmic retelling of the popular Georgian folk-tale by the same name. The plot is simple; Durmishkhan and his lover Vardo are two serfs that are simultaneously owned by the same master. Their master eventually frees Durmishkhan but maintains ownership of Vardo. Durmishkhan must buy Vardo's freedom in order to marry her and he promises Vardo that he will return for her. Durmishkhan leaves his land and encounters a rich merchant named Osman-aha. Osman-aha gives Durmishkhan a brief narrative of his history. Osman-aha was born a serf named Nodar Zalikashvili. His mother, also a serf dies at hands of their master whom Nodar killed in revenge. In order to escape the authorities Nodar changed his name to Osman-aha and adopted the Islam religion in order to escape persecution. Durmishkhan begins working for Osman-aha and marries another woman, who gives birth to a son, Zurab. Osman-aha eventually leaves his trade to Durmishkhan who carries his business back to Georgia and along with his son Zurab (now an adult) continue to grow their fortunes.

When Durmishkhan does not return for her, Vardo becomes a fortuneteller. Georgia comes under attack by Muslim invaders and the Czar orders all fortresses to be fortified. The Czar is able to successfully fortify all fortresses with the exception of the Suram Fortress. Perplexed, he sends an envoy to Vardo the fortuneteller. Zurab is a member of the envoy. Vardo dismisses the entire envoy with the exception of Zurab to whom she tells her prophesy. Vardo relates to Zurab that a tall, handsome, blue-eyed young man must be bricked alive in the wall of the Suram Fortress to prevent its crumbling. Zurab recognizes that he is the individual described by Vardo and sacrifices

himself to save Georgia and Christianity. This narrative of inurement (walling in) is relatively widespread in the Balkans and the Black Sea republics.

Sergei Parajanov was born in Tbilisi, Georgia on January 9, 1924 into an ethnic Armenian family. In 1945 he entered the directing department at the prestigious All-Union State Institute of Cinematography (VGIK), studying under director Igor Savchenko and later Aleksandr Dovzhenko in Kiev, the Ukraine. After making several documentaries, he shot the film Shadows of Forgotten Ancestors (1964) based on a Ukrainian classic by the Ukrainian writer Mykhailo Kotsiubynsky. Shadows of Forgotten Ancestors is an exploration of Ukrainian-Hutsul-Romanian folkloric culture. The film won several international awards, among them the British Academy Award. His next film The Color of Pomegranates (1968), explored the poetry and art of Armenia in a series of tableaux. However, during Brezhnev's period of "stagnation," Parajanov's cinematic style did not conform to the Socialist Realist aesthetic in cinema that the Brezhnev regime again began to enforce after the brief relaxation of censorship during Khrushchev's Thaw. Hence, he was repeatedly hounded, persecuted and imprisoned by the authorities and his films suppressed. From 1965 to 1973, the State film productions houses including Goskino rejected practically all his film proposals. In 1973, Parajanov was arrested and imprisoned for bribery, homosexuality and rape. He was released in 1977 and rearrested in 1982. In 1984 with the relaxed political climate, he made The Legend of the Suram Fortress. This was the same year that Georgian filmmaker Tengiz Abuladze made the film Repentance, the next film to be analyzed in this study. It is not coincidental that two native Georgian film directors produced these two films in the Soviet republic of Georgia in the same year. Georgia was one of the first Soviet republics to declare its independence

from the Soviet Union. The artistic freedom of expression permitted in both these films could be viewed as mirroring Georgia's early nationalists sentiments.

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #9)

<b>Film:</b>	The Legend of Suram Fortress	<b>Director :</b> Sergei Parajanov	<b>Year of Release:</b> 1984
<b>Era:</b>	Andropov - Chernenko Era (1982-1985) Interregnum	<b># Of Carnavalesque Scenes</b>	17 # Of State (Voice) Scenes Socialist Realist Aesthetic 4
<b>Homo Sacer: (HS)</b>	(1) Durmishkhan  (2)Vardo (Durmishkhan's lover)  (3) Nodar and his mother (4) (Nodar changed his name to Osman-aha)	<b>Source of the Homo Sacer: (SHS)</b> (1) Durmishkhan is granted his freedom by the Prince but still belongs to him in that the Prince can give or take away his freedom at any time. Thus he is rendered the homo sacer by the Prince (i.e., The State) (Internal source) (2) Vardo is rendered the homo sacer by the Prince (i.e., the State) whom she physically belongs to. (Internal source) (3), (4) Nodar and his Mother were rendered the homo sacer by their Master who owned them. (Internal source)	
<b>Voices (Director, State, Tribe, Hero, Narrator,</b>		Parajanov (director), Osman-aha, Tribe, Islam, Nature, State	

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State
<b>(1) Parody</b>	<b>S1 (1:09:33):</b> Zurab (now a grown man) visits Vardo (fortune teller) who tells him that a tall, handsome, blue-eyed, young man must burry himself in the walls of the Suram Fortress to prevent it from crumbling. Zurab realizes that it is he who must sacrifice himself by walling himself in the fortress. (1:14:01) Zurab bricks himself into the Suram Fortress wall with the help of the Droll Piper Simon. (1:16:19) Zurab's mother comes to the wall and morns her son. These scenes are a parody but also a reenactment of Christ's sacrifice on the cross. Zurab = Christ; his mother = Mary, whom the Czar orders to be honored for her martyred son. (Voice of the Tribe)	None Present
<b>(2) Death</b>	<b>S1 (0:21:51):</b> Nodar/Osman-aha killed his Master in revenge for his mother's death. (Voice of Nodar/Osman-aha)  <b>S2 (0:41:33):</b> The Fortuneteller dies of old age and Vardo becomes a Fortuneteller in her stead. (Voice of	<b>S1 (0:20:25):</b> Nodar (Osman-aha) tells Durmishkhan his story - he narrates how his mother died at the hands of their Master, who made both he and her thrash wheat in the fields until she dropped dead from exhaustion. (Voice of Nodar/Osman-aha mocking the State)

	Nature)	
<b>(3) Grotesque Display</b>	None Present	None Present
<b>(4) Satirical Humor</b>	<b>S1 (0:24:15):</b> Osman-aha gives Durmishkhan a horse and a robe and tells him that they are gifts from Allah. Osman-aha states: "A good deed will never vanish without leaving a trace. Never." Satirical humor in that the Prince took back Durmishkhan's horse which he had given him, now Allah has replaced it with a finer horse and an extravagant robe. Satirical humor - What the Prince (i.e. State) takes, Allah can return twofold. (Voice of Parajanov and the Tribe)	None Present
<b>(5) Billingsgate</b>	None Present	None Present
<b>(6) Metaphor</b>	<p><b>S1: (0:29:56):</b> Durmishkhan marries another woman (instead of his lover Vardo) He is now working for Osman-aha, who gives his new wife a cross. The cross signifies that Osman-aha has converted from Islam to Christianity. That these characters have a religious identity is in itself is a metaphor the flies in the face of the Soviet Union's (the State's) stance against religion. Durmishkhan's new wife states: "Oh God how happy I am." (0:35:44) Montage: Vardo is offering sacrifices to: St. Nino, an Archangel, and St. David. (Voice of Parajanov)</p> <p><b>S2: (0:37:56):</b> Vardo goes to a fortuneteller to find out her fate since she cannot find Durmishkhan who is now married to another woman. The Fortuneteller shows Vardo that Durmishkhan has married another woman. Metaphor that these characters are not looking to the State for answers. These characters believe in unseen forces. (Voice of the Tribe)</p> <p><b>S3 (0:46:35):</b> The Droll Piper Simon teaches Zurab (Durmishkhan's son) who is now about 7 or 8 years old about the</p>	<p><b>S1 (0:9:09):</b> The Prince is giving Durmishkhan his freedom. Metaphor for the State's ability to give or take an individual's freedom. The Prince also gives Durmishkhan a stallion he has raised. (Voice of the State)</p> <p><b>S2 (0:9:33):</b> After the Prince has granted Durmishkhan his freedom, he (the Prince) still requires Durmishkhan and his lover Vardo to dance for the court. Metaphor - even when the State grants individuals their freedom, those individuals still belong to the State. The Prince does not grant Vardo's freedom, Durmishkhan must buy it from the Prince (i.e. the State).(Parajanov mocking the Voice of the State)</p> <p><b>S3 (0:13:44):</b> The Prince takes back the stallion that he has given Durmishkhan, although he does still allow Durmishkhan his freedom. Metaphor - The State can take an individual's property at will. (Voice of the State)</p>



	<p>Georgian Christian Saints whom he identifies one by one. Metaphor that flies in the face of Communist sanctioned atheism. (Voice of the Tribe)</p> <p><b>S4 (0:49:48):</b> Osman-aha has given riches to the church and has asked forgiveness for his sins (absolution) from the Father. Metaphor that Religion is taking the place of the State (Voice of Parajanov)</p> <p><b>S5 (1:00:46):</b> After being advised that the Suram Fortress continues to crumble, the Czar makes a human sacrifice to God. Metaphor - when religion (i.e., God) replaces the State, humans can be sacrificed (Voice of the Tribe)</p>	
<b>(7) Fearlessness</b>	None Present	None Present
<b>(8) Madness</b>	<b>S1 (0:17:40):</b> Nodar/Osman-aha tells Durmishkhan his history, which involves his Master's cruelty. Nodar describes his Master's cruelty due to over indulgence and psychopathic personality. (Voice of Osman-aha)	None Present
<b>(9) The Mask</b>	<p><b>S1 (0:22:30):</b> Nodar/Osman-aha dresses as a woman to escape capture for the murder of his Master. Nodar wears the Mask of a female. (Voice of Nodar/Osman-aha)</p> <p><b>S2 (0:22:58):</b> Nodar changed his clothes, language, religion and his name in order to acquire a new identity. Nodar changed his name to Osman-aha. (Voice of Nodar/Osman-aha)</p> <p><b>S3 (0:27:221):</b> A montage of Carnavalesque imagery: a man attached to a trapeze wire; a man dressed in animals swinging a whip; a man blowing fire from his mouth; a camel carrying an individual dressed like a doll. (Voice of the Tribe)</p>	None Present

	<p><b>S4 (0:52:54):</b> As Osman-aha bequeaths his wealth to Durmishkhan and advises him to use it wisely, an oddly dressed clown/mime appears and performs a mime. When the mime appears, Durmishkhan's horse reacts but Durmishkhan and Osman-aha appear not to notice. (Voice of the Mine)</p> <p><b>S5 (1:00:08):</b> A pagan dance is performed by men dressed in various costumes of various folkloric characters. (Voice of the Tribe)</p>	
<b>(10) The Interior Infinite</b>	<p><b>S1 (0:8:46):</b> It is revealed that Vardo (Durmishkhan's lover) is a seer and can predict the future. At the Princess' request she predicts the gender of an unborn child of a guest of the court. Seers are an important element of folklore (Voice of the Tribe)</p> <p><b>S2 (0:52:54):</b> Osman-aha has a dream and presentment of death. In the dream he is being killed for abandoning Islam for Christianity. (Voice of Islam)</p>	None Present
<p><b>Summary:</b> The two prominent voices in this film are Parajanov's (the director) and the Tribe's. This film is carnivalesque in that it contains all of Bakhtin's carnivalesque signifiers with the exception of fearlessness, billingsgate and grotesque display. This filmic depiction is both a parody of Christ's crucifixion and a Georgian folktale that Parajanov told more or less in its original form with very little regard for State sanctioned Socialist Realist or 'Party art' aesthetics. That Parajanov was allowed to make this film and for it to actually be screened in 1984 is suggestive that Georgian nationalist sentiments were being allowed a voice.</p>		

(Chart #5 R.K. Davis 2014)

## **Repentance (1984)**

Tengiz Abuladze's film Repentance is the third film in a trilogy that began with The Prayer (1967) and Tree of Desire (1975). It was produced in 1984, screened once and shelved (Christensen 163-164). The film was not viewed in mass until 1987 when it was rereleased and shown at a limited number of selected theaters throughout the Soviet Union. With Repentance, Abuladze continued the nationalist theme that Parajanov cloaked in The Legend of the Suram Fortress. Repentance begins with Keti Barateli decorating cakes designed with miniature cathedrals (a Georgian national symbol) that she sells from her home. The second important scene depicts the late mayor, Varlam Aravidze's (Avtandil Makharadze) funeral, consisting of his open casket, numerous floral wreaths, his family and friends who have come to pay his remains farewell. However Varlam's corpse will not remain buried.

It is eventually discovered that the reappearance of Varlam's corpse is the doing of Keti Barateli whose father was a victim of Varlam's reign of terror while mayor of her small town as a young girl. At her trial, Keti relates her reasons for not allowing Varlam's body to rest in peace and it is this trial that initiates a sequence of events that leads Varlam's son Abel (also played by the actor Avtandil Makharadze) to toss his father's corpse off a cliff, thus "...breaking one of the strongest taboos of this people and nation" (Christensen 166).

While the opening scenes conform to the Georgian national character, Repentance is also symbolic. Varlam represents both a physical and psychological composite of Josef Stalin, Adolf Hitler, Benito Mussolini and Lavrentiy Beria. However, throughout the film it becomes apparent that Abuladze is presenting Varlam as a clever

portrayal of Stalin.

Abuladze's Repentance and Parajanov's Legend of the Suram Fortress are doppelgangers, in that they both serve as filmic precursors to the Georgian nationalist cause that will eventually be acted out politically by the Georgian government and populace. The film Repentance, however, went a step further, acting as a vehicle through which the souls of the Georgian populace could be purged. Abuladze, with the rerelease of Repentance in 1987, entered the Gorbachev Era with the Georgian nationalist cause portrayed on the screen for all to see. Thus, through the lens of cinema both Repentance and Legend of the Suram Fortress anticipate the collapse of the Soviet Union. Abuladze even more than Parajanov, produced a film that issued a direct indictment against Socialist Realist ideology and its aesthetic. In 1987, why did Gorbachev's censors not prevent this film from being rereleased? And even more, why was Abuladze not disappeared or placed in the gulag as Parajanov was in the sixties, seventies, and early eighties? Instead, in 1988 Abuladze was awarded the Order of Lenin for Repentance and received an invitation to accompany Mikhail Gorbachev on his first official trip to New York (Christensen 164). This occurrence in itself is indicative of the changing political atmosphere and the drastic political changes that were to come. Gorbachev was obviously incorporating the message that Repentance was sending the Soviet populace into his policies of perestroika and glasnost.

Tengiz Abuladze was born on January 31, 1924 in Kutaisi, Georgia's second largest city. From 1943-1946, he studied at the Shota Rustaveli Theatre Institute in Tbilisi, Georgia. He then attended the prestigious All-Union State Institute of Cinematography (VGIK) in Moscow. Abuladze graduated VGIK in 1952 and in 1953

joined Gruziya-film (Georgian Film Studios) as a director. In 1980, he was awarded the titled of People's Artist of the Soviet Union.

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #10)

<b>Film:</b>	<u>Repentance</u>	<b>Director :</b> Tengiz Abuladze		<b>Year of Release:</b> 1987 (produced in 1984)	
<b>Era:</b>	Andropov - Chernenko Era (1982-1985)	<b># Of Carnavalesque Scenes</b>	31	<b># Of State (Voice) Scenes Socialist Realist Aesthetic</b>	5
<b>Homo Sacer:</b>	All Varlam's victims, to include: (1) Sandro Barateli (religious artist) (2) Nino Barateli (Sandro's wife) (3) Ketii Barateli (Sandro's and Nino's daughter) (4) Misha Korisheli (high ranking city official) (5) Tornike Aravidze (Abel's son, Varlem's grandson)	<b>Source of the Homo Sacer:</b> (1) Sandro, (2) Nino, (3) Ketii Barateli and (4) Misha Korisheli were rendered homines sacri by Varlam/Stalin and his mass arrests and purges.  (5) Tornike was rendered the homo sacer by Varlam's/Stalin's (his grandfather's) misdeeds and the effects that they had on his victims who survived.			
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		Ketii Barateli, Abuladze (director), the Georgian State, Abel Aravidze, Nature, the Soviet State, Varlam Aravidze, Voice of Reason, Mikhail (Misha) Korisheli (high ranking city official), Intertextuality			

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State
<b>(1) Parody</b>	<p><b>S1 (0:02:57):</b> The camera zooms in on a newspaper photograph of Varlam Aravidze. He is the physical composite of Josef Stalin, Adolf Hitler, Benito Mussolini and Levrenty Beria. Abuladze is parodying all four men. (Voice of Abuladze)</p> <p><b>S2 (0:26:10):</b> Ketii has been arrested for digging up Varlem's corps three times. She has now been brought to trial and is before the court. She confesses to the court that she did dig up Varlem's corpse but that she is <i>not</i> pleading guilty. The court's judge asks her to sit down and observe the order of the court. Ketii responds "The trial has already taken place and the verdict has been passed!" The trial is a parody of Stalin's show trails. (Voice of Abuladze)</p>	None Present

	<p><b>S3 (1:20:08):</b> A man dressed in a black suit (representative of the Soviet State) and a woman dressed in white carrying the scales of justice (representative of Lady Justice) are sitting at the grand white piano of paradise. Together they are playing Mendelssohn's "Wedding March." Sandro eventually appears before them where he is accused of being an enemy of the State by the State. Lady Justice is also shown blindfolded. This is parodying Stalinist show trials wherein there can be no blind justice when the State and Lady Justice are married to each other. (Voice of Abuladze)</p> <p><b>S4 (1:33:37):</b> As Beethoven's "Ode to Joy" is heard in the background, Sandro is hung over a pool of water. As the camera zooms in on Sandro's suffering there is an explosion in the background. The scene then changes to Nino and Ketj who are asleep in the apartment. They are awakened by the explosion and Ketj asks her mother what happen. Nino responds, "We have lost our father..." When Nino goes into the street, she discovers that the cathedral is being blown up. This is a parody of Christ's crucifixion and the supposedly end to the Christian religion. (Voice of Abuladze)</p>	
<b>(2) Death</b>	<p><b>S1 (0:03:41):</b> Varlam Aravidze is shown dead in an open casket surrounded by wreaths of flowers. (Voice of Nature)</p> <p><b>S2 (2:16:36):</b> Tornike commit suicide because he cannot live with the sins of his grandfather and the lack of admission of those sins by his father. Tornike kills himself with a gun given to him by Varlam. The gun has the following inscription "To my dear grandson from grandfather Varlam". (Voice of Tornike)</p>	None Present
<b>(3) Grotesque Display</b>	<b>S1 (0:11:33):</b> Guliko's (Abel's wife) bare breasts are visible, see Metaphor S2.	None Present

	<p><b>S2 (0:12:50):</b> Abel and his Guliko finds Varlam's corpse (that was previously buried) leaning against a tree. Unburying the dead is taboo in Georgian culture. (Voice of Keti Barateli)</p>	
<b>(4) Satirical Humor</b>	<p><b>S1 (0:02:13):</b> Apollon, a police officer is at Keti's home. He is reading the newspaper when he becomes upset. Keti's asked him what happened. He responds: "What a great man we have lost! Oh, my God... Oh, God!"  Keti: "Was he your relative?"  Apollon: "More than a relative! He was my closest friend."  Keti looks at the newspaper and sees the article Apollon is reading.  Keti: "Lucky you!"  Apollon: "This is the end to my luck! My Dear Varlam is gone!" (<i>Varlam Aravidze is the antagonist of the film</i>)  Keti: "And still you're lucky to have known such a man." (Varlam was responsible for the death of Keti's father. She is being sarcastic. (Voice of Keti Barateli)</p> <p><b>S2 (0:15:22):</b> When Varlam's corpse is found a second time propped up against a tree in Abel's yard, the Police Inspector arrives and places the corpse under arrest. The police then places Varlam's corpse in the police paddy-wagon and transports it to police headquarters. One of the police personnel states "What times we're living in... They arrested Varlam himself."</p>	None Present
<b>(5) Billingsgate</b>	None Present	None Present
<b>(6) Metaphor</b>	<p><b>S1 (0:01.44):</b> Keti Barateli Makes cakes from her home for sale. Chapels (churches) are placed on top of the cakes as decorations. Chapels (churches) are a Georgian national symbol, as a cake decoration they serve as a metaphor for Georgian Nationalism. (Voice of Abuladze - the director)</p>	None Present



**S2 (0:11:33):** After Varlam's funeral, when Abel (Varlam's son) and his Guliko are in bed, Varlam asks if the Photo is still here? The camera zooms in on a photograph of Varlam. Guliko takes the photo off of the wall and saying "alley-ooop" places it face down on top of a wardrobe. Metaphor of Abel's negative feelings towards Varlam (his dead father). Varlam is now forever out of their lives. (Voice of Abel)  
-Abel's wife's bare breasts are visible (Grotesque display)

**S3 (0:32:26):** Ketis is telling her story in court: as Varlam is making his coronation speech, Sandro closes the window to his apartment in contempt of Varlam. Varlam while making his speech notices Sandro's action and is shown with the light reflecting in his pince-nez. This is the beginning of the duel between the Aravidze and Barateli families. This is a (1) Metaphor for the duel/feud between the Solomins and the Ustyuzhanins in Konchalovsky's film *Siberiade* (1979). (Voice of Intertextuality)  
(2) The light reflecting in Varlam's pince-nez is also a metaphor for his paranoia. He/Stalin see enemies everywhere.

**S4 (0:42:34):** Sandro and an elderly couple are trying to talk Varlam into removing the nuclear equipment from the cathedral. They are talking to him in his garden that enclosed and protected from the outside world by guards dressed in medieval armor. Metaphor for Varlam's/Stalin's fanaticized paradise. (Voice of Abuladze)

**S1 (0:03:50 - 0:09:50)** Montage of Varlam's funeral ceremony. Which includes various Georgian traditional practices: open casket, the numerous floral wreaths, obligatory paying of last respects to the deceased and his/her family, money passed to the eldest son - the surviving patriarch of the family, everyone in attendance wipes his/her face with a white handkerchief, the singing of *Samshoblo* (free Menshevik Georgian anthem) - a traditional song sung at funerals. Metaphor for Georgian national tradition. (Voice of the Georgian State)

**S2 (0:32:29):** Montage of shots contrasting science and religion. The Montage begins with portraits of the Eucharist, and other religious portraits integrated with shots of nuclear reactors in the cathedral. After this montage, (0:36:03) Sandro (religious artist and spokesman for Georgian culture and history) asks Varlam (Mayor) to discontinue the scientific experiments in the church because the vibrations will eventually cause it to collapse. Varlam responds "You mean to say that you're against science and progress?" and Sandro answers "We're against the science that destroys ancient monuments." Metaphor for the Soviet State's (represented by Varlam) preference for science to the extent that it destroys religion and art (represented by Sandro). (Voice of the Soviet State)

**S3 (1:12:31):** Women stand in line to send letters to family members who have been arrested and exiled. Some of the women's letters are sent. Other's including Nino's are told that their family member has been "Exiled without right of correspondence." Metaphor for Stalin's mass arrests. (Voice of the Soviet State)

**S5: (1:16:19):** Nino and Ketu go to the station where a new shipment of logs have just arrived. The logs are from labor camps and many of the exiled men have written their names and locations on the logs to inform friends and family members of their locations. Nino and Ketu hope to find Sandro's name and address on one of the logs. Metaphor for the mass arrests and sentencing to force labor camps of the Soviet regime. (Voice of Abuladze)

**S6: (1:31:25):** Yelena (Misha's wife) tries to convince Nino that Sandro's and Misha's arrests were mistakes and that mistakes will happen while executing the great cause - the revolution. She then states "But I can already hear our favorite 'Ode to Joy' by Beethoven which will surely sound all over the world very soon. Yelena then begins to sing the 'Ode to Joy'. This a metaphor of the people who when facing injustice refused to look it in the face and acknowledge it for what it is. (Voice of Abuladze)

**S7 (1:37:12):** Varlam's henchman Doksopulo rounds up everyone with the last name 'Darbaisseli' and brings them to Varlam who initially denies that he gave Doksopulo a directive to do so. After instructing Doksopulo to let them go, Varlam talks to his female attaché who whispers something in his ear. Varlam then tells Doksopulo "All right, the hell with you and with them! Arrest them all." Metaphor for the madness and irrationality of Varlam/Stalin. (Voice of Abuladze).

**S8 (2:19:51):** After Tornike commits suicide, Abel digs up Varlam's cadaver and throws it off of a cliff. He screams as he throws the cadaver. Metaphor for Georgian and Soviet populace to come to

	<p>terms with Stalinism and their Soviet past. This is also a Metaphor for the breaking one of the strongest taboos in Georgian culture - the desecration of the dead.</p> <p><b>S9 (2:21:35):</b> This is the last scene in the film. After Abel has thrown Varlam's cadaver off of a cliff. The scene returns to Ketis and her cakes. An elderly woman knocks on her door and asks if the street she is on leads to a church. She asks "I want to know whether this street leads to a church." Ketis responds "No, this is Varlam Street, and it doesn't lead to a church." The elderly woman responds "Then what do you need it for? Why have a road that doesn't lead to a church?" This is an important scene in that it (1) marks Ketis's coming to terms with her past and (2) this was the last film that the famous Georgian actress Veriko Anjaparidze appeared in before her death. Metaphor for coming to terms with the past. (Voice of Abuladze)</p>	
<b>(7) Fearlessness</b>	<p><b>S1 (1:12:13):</b> After Sandro is arrested by Varlam. Mikhail (Misha) a city official questions Varlam in regards to Sandro's arrest. When Varlam refers to Sandro as the enemy. Misha asks Varlam "Who is the enemy?!" and smacks Varlam in the face. (Voice of Reason)</p>	None Present
<b>(8) Madness</b>	<p><b>S1 (1:25:33):</b> Originally a dedicated revolutionary, Misha is arrested by the State and coerced into making a false confession implicating his friends and colleagues as enemies of the State. He rationalizes his actions to Sandro by stating that his preposterous confession was only a tactic and that once the State realizes the outlandishness of the mass arrests and confessions, it will come to its senses. However, in reality he realizes the hopelessness of his situation and screams at the top of his lungs, he then bangs his head on the great white piano</p>	<p><b>S1 (0:22:46):</b> On the fourth occasion when Ketis comes to the cemetery to dig up Varlam's corpse, Tornike Aravidze (Abel's son, Varlam's grandson), shoots her and then attacks her. He is mad with rage at her act of sacrilege. (Voice of the Georgian State)</p>

	<p>of paradise. (Voice of Misha)</p> <p><b>S2 (1:27:56):</b> Varlam makes a frantic public speech to his constituents "We should trust no one, no one's deeds or words! We must be vigilant and know how to detect an enemy. That's our paramount task. And not an easy one, ladies and gentlemen! Even more complicated, because out of every three people, four are enemies." (1:29:30) "... we will catch a cat in a dark room. Even if there is no cat." (Voice of Abuladze)</p>	
<b>(9) The Mask</b>	<p><b>S1 (0:55:06):</b> Varlam visits Sandro at his home. Sandro has an extensive art collection and Varlam pretends to be a patron of the arts. He admires Sandro's collection and even performs classical musical pieces for Sandro and Nino (Sandro's wife). He also recites Sonnet 66 by Shakespeare Varlam wears the Mask of a humanist. (Voice of Varlam)</p> <p><b>S2 (0:59:03):</b> When Varlam leaves Sandro's home, instead of exiting via the door, Varlam, his small son Abel and his two companions jump out of Sandro's window. Varlam wears the Mask of a clown. (Voice of Varlam)</p>	<p><b>S1 (1:06:36):</b> Sandro is arrested by Varlam's guards. The guards confiscate many of Sandro's artworks. One of the guards is playing the piano with one finger. When the camera finally zooms in on his face, it reveals that the guard is none other than Varlam himself. Varlam wears the mask of the Soviet State. (Voice of the Soviet State)</p>
<b>(10) The Interior Infinite</b>	<p><b>S1 (0:29:00):</b> Ketis has been arrested and is in court at her trial for digging up Varlam's body three times. She is given the opportunity to tell her story. She now retraces her memory beginning when she was eight years old and Varlam became Mayor of her city. She is now narrating her memory of events. This is her interior infinite. (Voice of Ketis Barateli)</p> <p><b>S2 (1:01:18):</b> Nino dreams that she and Sandro are being chased by Varlam and are eventually buried alive. Her dream is a forewarning of their fate at the hands of Varlam. (Voice of Nino)</p>	None Present

**S3 (1:45:51):** After hearing Keti recount her story as to why she unwilling to let Varlam's corpse rest in peace, Tornike begins daydreaming he is having a conversation with Varlam (his grandfather). Varlam tells Tornike to black out the sun's rays which he perceives as uncovering his sins. Varlam then challenges the sun, telling it he will have it extinguished. Varlam feigns shooting the sun. Through this daydream Tornike comes to accept the sinister nature of his grandfather - Varlam. (Voice of Tornike)

**S4 (1:54:05):** Tornike is daydreaming that Guliko (his mother) is performing a seductive dance for Varlam's corpse, who awakens, smiles and turns over and resumes 'sleeping'. Tornike is struggling internally in regards to his grandfather's past and his parents' acceptance of that past as a necessary evil. (Voice of Tornike)

**S5 (2:01:36):** Abel (Varlam's son) is in court at Keti's trial. Through his connections he has the lawyers at the trial try and convince the court the Keti is mentally deranged. While the lawyers are addressing the court he begins to daydream about Varlam's corpse in a round structure with flowers. The scene changes to Abel having a conversation with an unknown man, who reveals to Abel his innermost thoughts. The man turns out to be Varlam who tells Abel he is having a conversation with the devil. Abel is attempting to come to terms with the evil legacy of Varlam - his father. (Voice of Abel's conscious)

	<p><b>S6 (2:10:32):</b> Keti is in her cell and mentally reciting a poem. Voiceover: "Evening, spring, and shadows clumping, On the branch a bird is jumping. May a new dream me enfold. Moon has waned Earth to behold. (Voice of Keti)</p> <p><b>S7 (2:17:34):</b> After Tornike commits suicide, Abel spends the night verbally confessing his guilt for both his father's (Varlam's) and his own past sins. He verbally confesses these sins to himself. (Voice of Abel)</p>	
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**Summary:** As demonstrated with a close reading of the chart, the basic theme behind Repentance is of the 'guilty without guilt' and the victims left behind who must find a way to come to terms with their suffering and lost of loves ones, the majority of whom were completely innocent. Repentance also pays testament to the disenfranchised intelligentsia at the hands of Varlam/Stalin - Keti Barateli being a prime example; while a little girl she lived a well-to-do life with her artist parents Sandro and Nino; in adult life, she makes cakes for a living. Additionally, it is important to distinguish the Georgian State from the Soviet State. At the time this film was produced in 1984, Georgia was a republic in the Soviet Union and was already making its nationalist voice heard as demonstrated in the two films by Georgian directors: The Legend of the Suram Fortress and Repentance. Hence, in 1984 the voice of the Georgian State was beginning to separate from the voice of the Soviet State, (i.e., the Soviet Union). It is also important to stress that while the character of Varlam resembled and even took on many of the personality traits of Adolf Hitler, Benito Mussolini and Levrentiy Beria, Varlam's character was most definitely intended to represent Josef Stalin both as the leader of the Soviet Union and as a son of the Georgia Republic (Stalin was Georgian). And lastly, it is of relevance to make a few comments about the treatment of 'death' in this film that are not reflected in the chart. In Repentance, death seems to be treated as a farce: Varlam is dead but can't be buried, men disappear and reappear as names on logs which are ground into sawdust, Tornike (grandson of Varlam) kills himself for crimes he didn't commit. Death is not given any respect in this film. This runs counter to the place death holds in Georgian society wherein "Veneration and remembrance of the dead lie at the core of basic Georgian traditions and values, the cornerstone of their historic survival" ( Christensen 166).

(Chart #5 R.K. Davis 2014)

## **Cold Summer of 1953 (1987)**

The film Cold Summer of 1953 depicts the period directly following the death of Joseph Stalin – March 5, 1953. It was during this period that Lavrentiy Beria (chief of the NKVD) granted amnesty to much of the Soviet Union’s prison population. This resulted in thousands of hardened criminals being released back into Soviet society without any form of rehabilitation. The amnesty did not extend to political prisoners who were considered “enemies of the people,” however. In the film, the main protagonists Chaff and Spade were two such people. Both men were political prisoners exiled to the small provincial village in Karelia located in northern Russia. This film tells the story of a small band of newly released prisoners who invade and take the village hostage. After Mankov, the resident policeman, is shot and killed by the bandits, it is up to Chaff and Spade to defend and liberate the village. The theme of the film is that in a totalitarian run society, the concepts of “criminal” and “enemies of the people” can take on many different meanings depending on who uses them and to whom they are directed; and in such a totalitarian society where fear dominates, toadyism becomes a means of survival.

Alexander Proshkin was born in Leningrad on March 25, 1940. He graduated from the Actor Faculty of Leningrad State Institute of Theater, Music and Cinema in 1961 and from 1961 to 1966 was an actor at Leningrad Comedy Theater. Proshkin graduated from the director’s program at the USSR State Television in 1968 and for several years was a director of television programs on Central Television and later at Ekran, the Soviet national system of Direct-To-Home Television. After making many successful television films in the 1980s, in 1987 he directed Cold Summer of 1953 with Valeri Priyomykov as Chaff and Anatoly Papanov and Spade, the film’s lead

protagonists. In 1989, Cold Summer of 1953 won the USSR State Prize in addition to several international awards.



## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #11)

<b>Film:</b>	<u>Cold Summer of 1953</u>	<b>Director :</b> Aleksandr Proshkin	<b>Year of Release:</b> 1987
<b>Era:</b>	Gorbachev Era (1985-1991) Perestroika / Glasnost	<b># Of Carnavalesque Scenes</b>	18 <b># Of State (Voice) Scenes Socialist Realist Aesthetic</b> 2
<b>Homo Sacer: (HS)</b>	All the inhabitants of the Village to include: (1) Mankov (the Village policeman)  (2) Spade  (3) Chaff  (4) Shura (youngest woman in the village) (5) Sotov (the philosopher)	<b>Source of the Homo Sacer: (SHS)</b>  (1) Mankov was rendered a homo sacer by the 6 bandits (parody the Soviet State) who killed him and took over the village. (Internal source) (2) Spade was rendered a homo sacer by the Soviet State which arrested and unfairly charged him with being an 'enemy of the people'. He was later killed by the bandits. (Internal source) (3) Same as Spade (2), although Chaff lived and returned to his life in Moscow. (4) Same as Mankov (1), she was killed by the bandits. (Internal source)  (5) Was rendered a homo sacer by the bandits (parody of the Soviet State) in that he supported their cause to save his own life. (Internal source)	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		Mankov (Village policeman), Proshkin (director), Soviet State, Spade, Intertextuality, Toadyism, the Bandits, Chaff, the Criminally Insane	

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State
<b>(1) Parody</b>	<b>S1: (0:42:56):</b> The six amnestied criminals are parodying of the Soviet State. They take over the village and with a calculating use of fear which includes: invading, imprisoning and murdering, they control the inhabitants of the village (i.e., the Soviet Populace). (Voice of Proshkin)	None Present
<b>(2) Death</b>	<b>S1: (0:40:10)</b> The bandits killed Mankov (the policeman). The authority figure of the village. The death of the Mankov is symbolic of the bandits killing the guard of the camp, so that they can both physically and psychologically control the camp. They decrowned the King. (Voice of the Bandits)	None Present

	<p><b>S2: (0:41:26)</b> The bandits killed the all the dogs in the village. The dogs are a symbol of the guards on the labor camps from which they were freed. Both the deaths of the Mankov and the dogs are symbolic of the bandits killing all the authority figures so that they can both physically and psychologically Control the camp. (Voice of the Bandits)</p> <p><b>S3 (1:02:27):</b> Chaff kills the first of the bandits who is attempting to rape Shura. (1:08:21) Chaff kills the second bandit. (1:10:04) Chaff kills a third bandit. (1:17:20 - 1:18:30) Chaff kills the forth and the fifth bandit. Five of the six bandits are now dead. Chaff is taking control back from the new State. (Voice of Chaff)</p> <p><b>S4 (1:19:56):</b> Chaff has discovered that Spade has been killed by the bandits. Spade sacrificed his life to save the village. (Voice of Spade)</p> <p><b>S5 (1:25:40):</b> Shura is killed by the sixth bandit out of revenge for the deaths of his fellow bandits. (Voice of the Bandits)</p> <p><b>S6 (1:27:08):</b> Chaff kills the last of the bandits after he (the sixth bandit) has killed Shura. (Voice of Spade)</p>	
<b>(3) Grotesque Display</b>	None Present	None Present
<b>(4) Satirical Humor</b>	<p><b>S1 (0:09:09):</b> When Mankov (the village policeman) is returning to the village with much needed goods, he greets Fadeyich (who is loyal to the Stalinist State) "Greetings to the captain of the roads!" Fadeyich, now middle aged had once been a captain in the Soviet Navy. Fadeyich acknowledges Mankov. This greeting is satirical in that Mankov is both paying Fedeyich respect while simultaneously patronizing him. (Voice of Mankov)</p>	None Present
<b>(5) Billingsgate</b>	None Present	None Present

<p><b>(6) Metaphor</b></p>	<p><b>S1 (0:51:06)</b> Spade and Chaff (both political prisoners) formally introduce themselves to each other by telling each other their given names, thus establishing trust. They do this after the village has been taken over by the bandits and they watch as one of the bandits tries to get to Shura (a young woman in the village). This is a metaphor that they have decided to band together and rebel against the bandits. (voice of Proshkin) Same as Fearlessness S1</p> <p><b>S2 (1:12:45):</b> Chaff and Spade share a piece of bread. Chaff holds the bread cupped in his hands in such a way as not to waste a crump. This is manner in which prisoners of labor camps eat bread so that they don't waste any. Metaphor for time spent in the Gulag. (Voice of Spade).</p> <p><b>S3 (1:32:20):</b> Chaff returns to Moscow after the bandits have been killed. He returns Spades eyeglasses to his wife and son. Spades son explains to Chaff that they never tried to contact Spade for their own safety. Spades son then asks Chaff if Spade was actually guilty of being an 'enemy of the people' and Chaff responds "No." This scene is a metaphor for the plight of many Soviet citizens during the Stalinist era who had loved ones arrested and charged as 'enemies of the people'. Even after Stalin's death and Beria's denouncement from the Communist Party, they still weren't sure rather the charges brought against their friends and family members were entirely untrue. (Voice of Proshkin)</p>	<p><b>S1 (0:09:45):</b> Fadeyich is in his shop with Mankov. He has an empty picture frame and is placing it over a picture of Stalin. Hence, Stalin is framed for a few seconds, then he states "A little bit too small." (in reference to the frame) and moves on to place the frame over other pictures in his shop. Metaphor for the importance of Stalin who represents the Soviet State. (Voice of the State)</p> <p><b>S2 (0:14:49):</b> As Sotov (philosopher) approaches Mankov (village policeman) he sees a balled-up picture of Levrenty Beria on the ground. Mankov on his visit to town found out the Beria had been denounced from the Communist Party so he balled-up his picture and threw it away. Sotov upon seeing it picked it up and placed it in his pocket. It is illegal to desecrate official photographs and Sotov will use this to his advantage against Mankov if the chance arises. Mankov however, sees him. Metaphor for toadyism and the control the State had over the Soviet population. (Voice of the State)</p>
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	<p><b>S4 (1:34:50):</b> Chaff returns to Moscow after he killed the bandits have and is walking down a crowded path. He is dressed in an overcoat, hat and carrying a briefcase. He passes a man wearing a similar outfit. They acknowledge each other by sharing a lighted cigarette, then they proceed on their way in opposite directions. This is a metaphor for recognition between individuals who were unduly accused of being 'enemies of the people' and incarcerated. (Voice of Proshkin)</p> <p><b>S5 (1:35:25):</b> It is announced at the end of the film that the scene wherein Spade was sharing a piece of bread with Chaff was the last scene that the actor Anatoly Papanov was to perform. <u>Cold Summer of 1953</u> was his last film. Anatoly Papanov (Spade) died August 7, 1987. In the film <u>Repentance</u> (1984), Georgian actress Veriko Anjaparidze performed her last scene before she died on January 31, 1987, just as the film was being unshelved. Both of these actors lived through the Stalin purges and mass arrests: Papanov was born in 1922 and Anjaparidze in 1897. That both of them played in films that are symbolic of glasnost (openness and transparency) is a metaphor of the political changes that occurred in the Soviet Union from the Stalin era to the Gorbachev era of perestroika (restructuring). (Voice of Intertextuality)</p>	
<b>(7) Fearlessness</b>	<p><b>S1 (0:51:06)</b> ) Spade and Chaff (both political prisoners) formally introduce themselves to each other by telling each other their given names, thus establishing trust. They do this after the village has been taken over by the bandits and they watch as one of the bandits tries to get to Shura (a young woman in the village). This is a metaphor that they have decided to band together and rebel against the</p>	None Present

	bandits. (voice of Proshkin) Same as Metaphor S1  <b>S2 (1:17:07):</b> Spade exposes himself in an attempt to shoot the bandits. He is killed in the process. He sacrificed his own life to save the village. (Voice of Spade)	
<b>(8) Madness</b>	<b>S1 (0:21:51):</b> The Bandits have entered the village and is holding Sotov at gunpoint in his house. One of the bandits exhibits psychopathological behavior - he is emotionally out of control. (Voice of the Criminally Insane)	None Present
<b>(9) The Mask</b>	<b>S1: (0:31:35):</b> Sotov, in order to save his own life has joined the bandits. He gives them information about the village and its inhabitants. He has also supplied the bandits with guns and ammunition. He does try to warn Mankov that the bandits are in the village. He wears the mask of toadyism. (Voice of Toadyism)	None Present
<b>(10) The Interior Infinite</b>	<b>S1 (1:12:46):</b> Chaff shares a piece of bread with Spade and Spade reflects on his life: "What I regret most are my wasted years. I want to live like a human being. And work. Yes and work." (Voice of Spade)	New Present
<b>Summary:</b> In <u>Cold Summer of 1953</u> the six bandits who take over the village are representative of the Soviet State. In this sense the fact that Chaff and Spade fought back is a landmark in Soviet cinema itself. It is also important to note that the sources that threaten the protagonists of the film are internal sources. And lastly, “death” in this film is at the hands of an internal threat - the bandits who take the form of the Soviet State. Chaff and Spade's standing up to the bandits is a metaphor in itself of Gorbachev's perestroika (restructuring) and is indicative of a collapsing political system (i.e., the Soviet Union)		

(Chart #5 R.K. Davis 2014)

## **Little Vera (1988)**

Little Vera was released in 1988, the period after which Mikhail Gorbachev as General Secretary of the Communist Party of the Soviet Union, announced his new policies of perestroika (restructuring) and glasnost (openness and transparency). What glasnost meant for the Soviet film industry was in effect a new theory of state aesthetics (Galichenko 6). The result was the production of a body of films collectively known as *Chernukha*, of which Little Vera is a prime example

In literature and film, chernukha refers to the naturalistic depiction of and obsession with bodily functions, sexuality, and often sadistic violence, usually at the expense of more traditional themes, such as emotion and compassion.  
(Answers)

*Little Vera* presents a graphic portrayal of a teenage girl living in a dysfunctional working class family and trapped in a large, polluted industrial town replete with ethnic tensions, violence and discontent. Vera lives with her parents, an argumentative mother, Rita and an alcoholic father, Kolya. She meets and falls in love with Sergei, a student who moves in with her and her family. Sergei eventually becomes disenchanted with Vera and her parents. An argument ensues between Sergei and Kolya that culminates in Kolya stabbing Sergei. Everyone in the family and in the entire film, for that matter is disenfranchised. Galichenko describes the film as emblematic of the Gorbachev era:

The optimism of the Gorbachev era is offset by indifference in hellish working-class life. Even a simple plumbing problem can poison the people's empty lives; there is nothing for them to do and they feel helpless. (Galichenko 111).

*Little Vera* is in stark contrast to Soviet films released during the Thaw (1953-1964), which emphasized the fervor and benevolence of the working class and depicted

industrialization as progressive. In the chernukha films produced during the Gorbachev era of which Little Vera is an example, the working class is generally depicted as the problem and industrialization as a trap from which the working class cannot escape.

The film's director, Vasili Pichul was born in 1961. From 1977-1983 he studied in Marlen Khutsiyev's workshop at the prestigious All-Union State Cinema Institute (VGIK) (Beardow 3). His first film was a made for television movie titled What Do You Say (1985). Little Vera was his first feature film. When asked by the leading French film journal *Cahier du Cinéma*, how he became interested in film in 1990, the following exchange took place:

*Cahiers*: You have the advantage of being young and making successful cinema at a unique moment in the history of your country. What store do you set by the great venture of Soviet cinema, Dziga Vertov and the others?

*Pichul*: I was never interested in those films. They bored me. Nowadays I appreciate their aesthetics. On the other hand, I sympathise with the fate of Vertov as one of the many human beings crushed by that totalitarian machine.

*Cahier*: Which films inspired you to become a film-maker?

*Pichul*: None. I lived in the provinces... What drove me to become a film-maker was the overwhelming desire to change my life. I was very young then and it seemed to me that only cinema could offer me this chance. It was only after I had entered VGIK that I watched films. (Beardow 3-4)

The *Cahier du Cinéma* interview is telling in three important ways. First, when Pichul states "I sympathise with the fate of Vertov as one of the many human beings crushed by that totalitarian machine" he is speaking in the past tense, which insinuates that he believed "that totalitarian machine" no longer existed. This statement is a signifier of the fact that in 1990, the Soviet public no longer felt it was being ruled by a totalitarian regime. The second important piece of information extracted from this interview is that Pichul reveals that he didn't watch films until he entered VGIK. If he did not watch films prior to attending VGIK, then he may have been somewhat of a blank slate in regards to

the Socialist Realist aesthetic that Soviet film directors had been mandated to adhere to in the past. If this is a correct assumption, then it is no wonder his film Little Vera had such an impact on Soviet audiences who must have found Pichul's degree of cinematic freedom of expression astounding. More than 50 million Russians went to see it in Soviet theaters (Galichenko 110). And finally, in the *Cahiers* interview, Pichul stated that he viewed cinema as offering him a way to change his life. This statement also infers that Pichul must have thought that he could make whatever films he wanted. This assumption of cinematic freedom of expression did not exist for filmmakers such as Sergei Eisenstein or even Andrei Tarkovsky or Andrei Konchalovsky for that matter. Pichul's interview gives telltale signs that a new day is on the horizon in both Soviet cinema and politics. This interview took place in 1990, the very next year in December 1991, the Soviet Union would dissolve itself and no longer exist.



## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #12)

<b>Film:</b>	Little Vera	<b>Director :</b> Vasili Pichul	<b>Year of Release:</b> 1988
<b>Era:</b>	Gorbachev Era (1985-1991) Perestroika / Glasnost	<b># Of Carnavalesque Scenes</b>	26 # Of State (Voice) Scenes Socialist Realist Aesthetic 3
<b>Homo Sacer: (HS)</b>	(1) Vera (2) Rita (Vera's Mother) (3) Kolya (Vera's Father) (4) Victor (Vera's Brother) (5) Sergei (Vera's Lover)	<b>Source of the Homo Sacer: (SHS)</b> (1) Vera, (2) Rita, (3) Kolya, (4) Victor, and (5) Sergei are all rendered the homo sacer by the Communist State. Communism has controlled their jobs, education, housing, and virtually every aspect of each character's life to the extent that they have nothing positive to look forward to in life – they literally have nothing to live for.	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>	Camera, Vera, Kolya, Rita, Sergei, Pichul (director), the Tribe, Death		

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State			
<b>(1) Parody</b>	<b>S1 (0:00:00):</b> This film is an intertextual parody of the film <u>Spring on Zarechnaya Street</u> (1956). It is a point by point inversion of themes.				
	<table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%; text-align: left;">Zarechnaya St.</th> <th style="width: 50%; text-align: left;">Little Vera</th> </tr> <tr> <td style="vertical-align: top;">                     1. Factories / industrialization = progress                      2. Workers wanted to educate themselves                      3. Workers believed the future would be bright.                      4. Intimate relationships valued                 </td> <td style="vertical-align: top;">                     1. Factories / industrialization = trap                      2. Workers either disregard education or dread it.                      3. Workers believed they had no future.                      4. Intimate relationships viewed as a trap.                 </td> </tr> </table>	Zarechnaya St.	Little Vera	1. Factories / industrialization = progress 2. Workers wanted to educate themselves 3. Workers believed the future would be bright. 4. Intimate relationships valued	1. Factories / industrialization = trap 2. Workers either disregard education or dread it. 3. Workers believed they had no future. 4. Intimate relationships viewed as a trap.
Zarechnaya St.	Little Vera				
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<b>(2) Death</b>	<b>S1 (1:47:19):</b> Kolya is sitting at the kitchen table and has a heart attack. As he falls to the fall and takes his last agonal breaths, he calls out his children's names: "Victor." "Vera..." (Voice of Death)				
<b>(3) Grotesque Display</b>	<b>S1 (0:51:37):</b> Vera and Sergei have sexual intercourse. This was one of the first graphic portrayals of a sex scene in				

	Soviet cinema. (Voice of Pichul) <b>S2 (1:06:54):</b> Vera disrobes with her breast fully exposed. This is considered graphic display in Soviet cinema in 1988.	
<b>(4) Satirical Humor</b>	<b>S1 (0:06:34):</b> After Vera talks to her brother Viktor on the phone at her mother's request (Viktor was supposed to talk to Vera about obeying her parents). Kolya joins Vera on the veranda and after lighting up a cigarette asks Vera what Victor said. Vera responds "Don't smoke, it's bad for you!" (Voice of Vera)	None Present
<b>(5) Billingsgate</b>	<p><b>S1 (0:03:16):</b> When Kolya (Vera's father) is chastising Vera for loathing, he blames Vera's friend Lena for being a bad influence and calls her a 'bitch'. (Voice of Kolya)</p> <p><b>S2 (0:07:36):</b> One of Vera's male friends fights a gang of teenage boys. He is overpowered and retreats calling them "Bastard!" (Voice of Teen Ruffian)</p> <p><b>S3 (0:19:23):</b> Vera has just got in after being with Sergei. Kolya (her father) calls her a whore and a slut. (Voice of Kolya)</p> <p><b>S4 (0:42:00 - 0:43:04):</b> Drunk, Kolya confronts Vera about her plans to marry Sergei. He calls her a 'Sailor's Whore' and refers to Sergei (Vera's intended husband) as a bastard. Kolya ends his diatribe by calling Vera a 'bitch' (Voice of Kolya)</p> <p><b>S5 (0:53:46):</b> Rita is waiting for Vera at the airport to see Victor (Vera's brother) off to Moscow. Vera is late and Rita calls her an "ungrateful bitch". (Voice of Rita)</p> <p><b>S6 (1:12:56):</b> Kolya is drunk and heralding curses at Vera and Sergei. Kolya makes the following statements causing Sergei to lock him in the bathroom: Kolya says to Rita (1) "Go</p>	None Present

	<p>on, kiss his (Sergei's) ass for sleeping with our daughter!" (2) Sergei calls Kolya an old goat and locks him in the bathroom. (3) Kolya: "Open it (the door) you bastard!" (4) Kolya: "Vera, you bitch, I told you to open the door!" (5) Kolya: "Just wait! I'll thrash the whole fucking lot of you!" (6) Kolya: "Vera, you bitch!" (7) Kolya: "And your mother's a bitch, too!" (8) Kolya: "Open the door, bastards!" (9) Sergei: "Shut your trap, you bastard!" (10) Kolya: "Get out of my house, you son-of-a-bitch!" Kolya stabs Sergei with a knife. (Voice of Kolya)</p> <p><b>S7 (1:20:12):</b> While on a family picnic, Vera, Kolya, Rita and Victor are having an argument. Vera is upset because Rita wants her to lie about the conditions under which Sergei was stabbed (Kolya stabbed Sergei). Rita confronts Vera about lying about being pregnant. Rita: "You'd lie to your own mother! You bitch!" (Voice of Rita)</p>	
<p><b>(6) Metaphor</b></p>	<p><b>S0: (0:00:00):</b> The film's title Little Vera translates to 'little faith' in Russian. Hence the title of the film itself is a metaphor for Vera, her family, friends and acquaintances' disenfranchised state. (Voice of Pichul)</p> <p><b>S1 (0:0:52):</b> In the opening credits, the camera pans the factory smokestack lined polluted skyline. Metaphor for the menace factories pose to the Soviet population. This is in distinct contrast to the positive images of factories and factory workers that were portrayed in the Stalinist and Khrushchev eras. It specifically contrasts the open scene of <u>Spring on Zarechnaya Street</u> (1956) wherein the camera lovingly pans the industrially developed city, giving the impression of progress and productivity. The scenes in this camera pan give the</p>	<p><b>S1 (0:25:01):</b> It is late at night and Vera is at home washing dishes. The radio is on and the Russian National Anthem begins to playing signaling the end of the programming day. Metaphor for the importance and supremacy of the State. (Voice of the State)</p> <p><b>S2 (1:01:09):</b> Sergei and Vera are at the beach. Sergei asks Vera if she has a goal in life. Vera responds "We have a common goal, Sergei, communism." Metaphor for the goal all good Soviet citizens. (Voice of the State)</p> <p><b>S3 (1:20:17):</b> While on a family picnic, Vera, Kolya, Rita and Victor are having an argument. Vera is upset because Rita wants her to lie about the conditions under which Sergei was stabbed (Kolya stabbed Sergei). Rita is upset and says: "I</p>

	<p>impression of 'stagnation'. (1:47:49) In this last scene the camera again pans the polluted over industrialized city where Vera lives. (Voice of the camera)</p> <p><b>S2 (0:05:00):</b> Rita (Vera's mother) searches through Vera's purse and finds an American \$20 bill. Metaphor for the influence the West has on the Soviet Union. In preceding Soviet eras the State did all it could to suppress Western influence.</p> <p><b>S3 (0:11:39):</b> There is a dance at a public park. There are two lines of teenage boys from different ethnicities facing off in a threatening posture. This is a metaphor for the ethnic tensions that existed in the Soviet Union in the mid to late eighties. The police are also present with dogs. A fight soon breaks out and many young males are arrested. (Voice of the Tribe)</p> <p><b>S4 (0:12:45):</b> When the fight breakouts between the young males of different ethnicities, a police officer grabs Vera and attempts to arrest her. Vera fights back and gets away from the police officer. Metaphor for the disregard for the police or its presence. A disregard for the State. (Voice of Vera)</p> <p><b>S5 (0:17:41):</b> Vera has just gotten home after having sex with Sergei. Kolya (her father) is drunk and wants attention. Metaphor for the drinking problem many Russian males experienced during the eighties. (Voice of Kolya)</p> <p><b>S6 (0:58:24):</b> Montage of shots of the beach where Vera and Sergei have gone to relax. One of Vera's male friends is on the beach getting a tattoo on his chest. In the Soviet Union only men in jail or incarcerated wore tattoos and in addition, religious affiliations were frowned on</p>	<p>didn't ever want to have you (she is referring to Vera), but your father insisted. He wanted a daughter." Victor (Vera's brothers) states to Rita "Leave her, she might as well know. You had Vera so that you would get a bigger apartment. Let's not make up sob stories." This scene is a metaphor for the dysfunctional Soviet family which was State induced. (Voice of the State)</p>
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	<p>by the Soviet State. (Metaphor for defiance)</p> <p><b>S7 (1:07:54):</b> Vera visits her friend Lena to get fitted for her wedding dress. Vera tells Lena "Lena, I cant' understand it... This is supposed to be the happiest time of my life. But I just want to weep!" This is a metaphor for what many young Russians were feeling in the 1980s. (Voice of Vera)</p>	
<b>(7) Fearlessness</b>	None Present	None Present
<b>(8) Madness</b>	<p><b>S1 (1:15:04):</b> After a heated argument, Kolya (inebriated) stabs Sergei with a knife. Kolya is Mad with anger over Sergei attempting to take over his role as man of the house. (Voice of Kolya)</p> <p><b>S2 (1:31:25):</b> Andrei (who has always had a crush on Vera) comes home on leave from the Navy. He takes Vera to his apartment and tries to force himself on her. Vera has lied to the police about her father stabbing Sergei and is not in a normal state of mind. As Andrei tries to force himself on her, Vera resists him and repeatedly slaps Andrei. When Vera gets home her appears to have a nervous breakdown and tries to commit suicide by overdosing on sedatives and vodka. (1:40:08)Vera screams and fights Victor as he tries to make her vomit to cleanse her system of the drugs. (Voice of Vera)</p> <p><b>S3 (1:38:28):</b> Sergei while in the hospital, in a fit of frustration throws an object through the hospital window and unofficially leaves the hospital.</p>	None Present
<b>(9) The Mask</b>	<b>S1 (0:19:38):</b> In his drunken state, Kolya wears the mask of an infant child needing attention from both Vera (his daughter) and Rita (his wife). He falls on the floor and feigns having a heart attack to get this attention. Rita ignores him and Vera has to tend to him. She picks him up off of the floor, undresses him and	None Present

	<p>puts him to bed. After Vera puts Kolya to bed Rita says (0:21:30) "No amount of drinking will help with this sort of life." (Voice of Kolya)</p> <p><b>S2 (0:46:59):</b> When Sergei (Vera's fiancée) arrives for dinner to meet Vera's parents, he is wearing a red tee shirt and a bright printed pair of short pants. Sergei is wearing the mask of a clown and of contempt. (Voice of Sergei)</p>	
<b>(10) The Interior Infinite</b>	<b>S1 (1:23:53):</b> It begins to rain during the family picnic at the beach. Vera has run off after having an argument with Rita and Victor. Kolya finds her shivering under a wrecked boat. He holds her in a father- daughter embrace.	None Present

Summary: Little Vera is an antithetical parody of Spring on Zarechnaya Street. Vera and Sergei are the exact opposite of Tatyana and Sasha. Vera has finished high school but has no job and does not look forward to furthering her education. Tatyana was a teacher, had an advanced education and loved the arts. Sergei in Little Vera is a student, has no job, and is not exactly sure what he is studying. Sergei in Spring on Zarechnaya Street, is a professional metal worker in the town's factory, is trying to become an engineer and is attending literature classes. All the characters in Spring on Zarechnaya Street (1956) during Khrushchev's Thaw are portrayed as looking forward to a bright and promising future. In contrast, all the characters in Little Vera (1988) during Gorbachev's perestroika are portrayed as having no future. In addition, there was no gross display or billingsgate signifiers in Spring on Zarechnaya in contrast to the graphic sexual display and cursing that occurred in Little Vera. These two films alone are indicative of the political changes that occurred between 1956 and 1988. And Little Vera, if viewed as a documentary on Soviet life and politics is predictive of the eventual collapse of the Soviet Union in 1991.

(Chart #5 R.K. Davis 2014)

## **Burnt by the Sun (1994)**

Burnt by the Sun was made by actor/director Nikita Mikhalkov who is the brother of film director Andrei Konchalovsky (Siberiade and House of Fools, both films are included in this study). The story depicted in the film takes place over the course of a day and centers around the arrest of Division Commander of the Red Army, Sergei Kotov (Nikita Mikhalkov) by Dimitri (Mitya) of the NKVD, the Soviet political police. The story is set during the summer of 1936 amidst Stalin's Great Purge. Kotov is a legendary Bolshevik war hero of the Russian Civil War. He is married to Maroussia and together they have a young daughter, Nadya. Initially Kotov thinks that his arrest is Mitya's way of exacting revenge for taking Maroussia from him whom Kotov himself married. Towards the end of the film, he learns that Stalin himself is behind the arrest. This film was made after the collapse of the Soviet Union and is a continuation of the theme of de-Stalinization that many films adopted leading up to the collapse.

The film's title "Burnt by the Sun," was derived from a Russian song composed by Jerzy Petersburski that was popular in the 1930s. It is heard repeatedly throughout this film as well as in Mikhalkov's brother Andrei Konchalovsky's film Siberiade. The film's title can also be associated with a burning orb of light that appears throughout the film. And lastly, in the film's postscript, the film is dedicated to all those "burnt by the sun" of the Revolution. Hence, the title of the film itself is a metaphor, which is documented on the chart.

The arrest and subsequent execution of a classic Soviet hero (Red Army Division Commander Kotov – a builder of the new Soviet Union), is a prime example of Stalin's

reducing the the leaders of the Revolution to the state of homo sacer as portrayed in filmic form.

Nikita Mikhalkov began his career as an actor and went on to study directing at the prestigious All-Russian State University of Cinematography (VGIK), studying under Mikhail Romm who also taught his brother Andrei Konchalovsky and Andrei Tarkovsky. To date, Burnt by the Sun is Mikhalkov's best known film.



## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #13)

<b>Film:</b>	<u>Burnt by the Sun</u>	<b>Director:</b> Nikita Mikhalkov	<b>Year of Release:</b> 1994
<b>Era:</b>	Yeltsin – Putin Era 1991 – 2008	<b># Of Carnavalesque Scenes</b>	30 <b># Of Socialist Realist Scenes</b> 6
<b>Homo Sacer:</b>	<ul style="list-style-type: none"> <li>(1) Mitya (NKVD secret police)</li> <li>(2) Kotov (Red Army Commander)</li> <li>(3) Peasant truck driver who asked the NKVD agents for directions.</li> </ul>	<b>Source of the Homo Sacer</b> <ul style="list-style-type: none"> <li>(1) Mitya was rendered the homo sacer by Stalin's NKVD secret police unit. He was made to sacrifice his love affair with Maroussia and the life he cherished. (Internal Source)</li> <li>(2) Kotov was rendered the homo sacer by Stalin's regime and his purges. (Internal Source)</li> <li>(3) The Peasant truck driver was rendered the homo sacer by Stalin's regime and his NKVD agents who killed him simply because he was a witness to their brutal beating of Kotov. (Internal Source)</li> </ul>	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		Kotov, Mitya, Mikhalkov (as director), the State, Intertextuality, the Peasants, the Parakeet, Nadya, Stalin, Maroussia, Deceit	

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State
<b>(1) Parody</b>	<b>S1 (1:25:10):</b> After Maroussia finds out that it was Kotov who sent Mitya abroad thus ending her affair with him, she reconciles with Kotov and they (Maroussia and Kotov) are shown making love. The scene is identical to the love scene between Vera and Sergei in <u>Little Vera</u> (1988). Voice of intertextuality)	None Present
<b>(2) Death</b>	None Present	<b>S1 (2:05:04)</b> The NKVD agents kill the peasant who witnessed their brutal beating of Kotov. The peasant was innocent. The State can kill without license (Voice of the State)
<b>(3) Grotesque Display</b>	<b>S1 (1:00:14):</b> Upon returning home from the beach, Mitya and Maroussia are playing the piano together. They are wearing the gas masks from the training exercise that the Civilian Defense Regiment conducted on the beach. The masks make them look like grotesque monsters.	None Present
<b>(4) Satirical Humor</b>		None Present

	<p><b>S1 (0:28:20):</b> When Mitya (disguised as a cripple old man) meets Nadya at the gate to her family’s dacha, she asks him if he is the “summer Santa”, Mitya responds affirmatively. Mitya is a NKVD officer who has come to arrest her father – Kotov. (Voice of Nadya)</p> <p><b>S2 (0:45:20):</b> While on the beach, two women from Maroussia’s household are hiding in the weeds. They try to warn Mitya and Maroussia that the Civilian Defense Regiment is in the area. They are hiding because they don’t want to attend the mandatory gas attack training that this State regiment requires. One of the women complain that the equipment they are required to put on for the training pinches her breasts and knees. The other responds “Any other woman would be delighted!”</p>	
<b>(5) Billingsgate</b>	<p><b>S1 (1:34:56):</b> Throughout the film, a peasant in a truck has been shown stopping people and asking them for directions. No one is familiar with the location he is trying to find. On this occasion he asks a farmer who becomes agitated and a barrage of curses ensue: “fuck”, “ass”, “stupid bastard”, “Asshole” are the curses that the two men herald at each other. (Voice of peasants)</p> <p><b>S2 (1:53:00):</b> Kirik (family member) is playing with his parakeets. He is trying to teach them to say “Grucheva Lyuba” which the bird says and in addition it also says “Colonel moron” and “You damn womanizer”. Mitya revealed earlier in the film that Kirik had a relationship with Maroussia’s mother. (Voice of the Parakeet)</p>	None Present
<b>(6) Metaphor</b>	<b>S1 (0:05:10):</b> The theme song ‘Burnt by the Sun’ is song by a group of musicians in an outdoor doom. This song is a metaphor for the theme of the film. It is	<b>S1 (0:18:45):</b> Kotov’s and Maroussia’s family is portrayed as eccentric aristocrats and their house referred to as a madhouse. Metaphor for the

	<p>also a theme song in Konchalovsky's film <u>Siberiade</u> (1979). (Voice of Intertextuality)</p> <p><b>S2 (0:14:39):</b> Kotov stops military exercises that would destroy the peasant's wheat fields. Metaphor for his power and strong military connections which is the impetus that incites his arrest by Stalin. (Voice of Mikhalkov/Director)</p> <p><b>S3 (0:19:05):</b> Nadya (Kotov's young daughter) sings and dances to the theme song, 'Burnt by the sun'. This is the second time the song has been performed. Metaphor for those who were burnt by the revolution. However, for Nadya the song is pure innocence. (Voice of Nadia)</p> <p><b>S4 (0:22:45):</b> Kirik (member of Maroussia's family) enters the house and plays a record on the phonograph, "Burnt by the Sun" in celebration of Stalin's birthday. This is the third time the song has been played. Metaphor for the coming burning of Kotov and his family. (Voice of Mikhalkov/director)</p> <p><b>S5 (0:42:57):</b> Mitya is sitting with Maroussia on the beach. Mitya and Maroussia were involved in a romantic relationship in their past. Mitya is watching Kotov and Nadya (Maroussia's husband and daughter). In reference to Kotov he states "Wide muscular shoulders. Really, I understand." Maroussia who had her back turned towards Mitya now turns to look at him. Mitya continues "A dazzling smile, his portrait hanging everywhere. And it will all collapse. With a small Flick." He is referring to Kotov. Metaphor for Kotov's pending arrest. (Voice of Mitya).</p>	<p>intelligencia. (Voice of the State)</p> <p><b>S2 (0:24:26):</b> Military men are shown on scaffolds building a structure, the sign on the structure reads "Glory to the Builders of Stalin's Balloons" Metaphor for Stalin's cult of personality. (Voice of the State)</p> <p><b>S3 (0:47:01):</b> While on a boat ride with his daughter Nadya, Kotov comments that she has soft feet and that they will remain so because Communism will make life better. He states "And roads will be nice and flat... shoes will be comfortable... and socks will be soft..." Nadya asks why, and Kotov responds "Because we're building up Soviet power that... so that, all their lives, people will have feet... like yours. To run without having to flee. Follow your path. Follow it well... and above all, work hard. Respect your parents... And cherish your Soviet Motherland" Metaphor for Communist propaganda. However, Kotov like many revolutionaries truly believed in the revolution and genuinely wanted to create a better world. (Voice of the Kotov on behalf of the State)</p> <p><b>S4 (2:00:47):</b> Kotov has been placed under arrest but still believes his arrest is a mistake. He attempts to help the peasant truck driver by giving him directions and is stopped by the NKVD agents. When he resists, he is beaten and handcuffed. Metaphor – do not resist the State (arrest). Voice of the State.</p> <p><b>S5 (2:02:35):</b> As Kotov is being beaten by the NKVD agents a helium balloon rises in the sky with a photograph of Stalin. Mitya salutes the photo of Stalin. Metaphor for toadyism. (Voice of Stalin)</p>
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**S6 (1:12:35):** As Mitya tells Nadya a story about a boy who went off to war and returned to a changed home front. An orb of light is shown floating over the river. The story he is telling Nadya is his autobiography, which is a metaphor of how he was burnt by the sun at the hands of Kotov her father. The orb of light has now floated into Kotov's and Maroussia's house. Mitya whistles the song, "Burnt by the Son" while Nadya sings the words. Maroussia's entire family including Kotov hears Mitya's story and are becoming aware of the true purpose of his visit. And Maroussia now realizes that Kotov sent Mitya abroad thus ending her affaire with him (Mitya). (Voice of Mitya)

**S7 (1:27:42):** After making love, Maroussia asks Kotov if it was him who sent Mitya abroad and Kotov confesses that he did. Kotov maintains that Mitya had a choice however, and choose to go. Upon further questioning from Maroussia, Kotov states that if he had been confronted with the same choice – to leave her or to stay in Russia – that he would have chosen to leave for the sake of the Motherland. Kotov states that Mitya left out of fear for his life. Thus Kotov distinguishes himself from Mitya. He truly believes in the revolution and the Motherland and what it stands for. Metaphor for the true believer. (Voice of Kotov)

**S8 (1:41:19):** Mitya attempts to make sure that Kotov understands the gravity of his arrest. But Kotov still thinks it's a mistake. Kotov still thinks that no one will touch him because he is a war hero of the Revolution. But Mitya explains to him that he will be forced to sign fake confessions and if he does not, his wife and daughter will be harmed. Metaphor

for Stalin's show trials. (Voice of Mikhalkov)

**S9 (1:42:05):** After Mitya informs Kotov that he will be purged and the subject of a show trial, Nadya informs Kotov that the Pioneers have come. They have come to pay tribute to Kotov for being a war hero. The Pioneers consists of a group of children. This is the message they recite to Kotov in unison: "The pioneer detachment that proudly bears... Comrade Kotov's name... the glorious hero of the Revolution... renowned Bolshevik and legendary colonel... has come... to take an oath before the one who honors them. One, two.." "We young Leninist pioneers..." "...of the detachment bearing the name..." "...of the legendary colonel Kotov..." "...hero of the Civil War, faithful disciple..." "...and brother-in-arms of Comrade Stalin..." "...renowned Bolshevik..." "...decorated numerous times..." "...before all our comrades..." "...and in the presence of Comrade Kotov.." "...solemnly swear..." "...to be the faithful upholders..." "...of the Great Cause of Lenin, Stalin..." "...and the heroes..." "...of the Great Revolution..." "...to never betray..." "...secrets..." Mitya is shown looking on with tears in his eyes. Metaphor for the irony of the persecution of those who are simultaneously honored. (Voice of Mikhalkov)

**S10 (1:52:30):** As Kotov prepares to leave (he is being arrested) he looks at a photograph of he and Stalin together. A picture of Lenin is also in his desk. Metaphor for the betrayal of Stalin and Lenin and their perversion of the Revolution. (Voice of Mikhalkov)

	<p><b>S11 (1:53:50):</b> Kotov and his family are at the black car which is to take Kotov away. Both he and Mitya are still pretending that nothing out of the ordinary is taking place. Kotov takes a moment to play with Nadya and his wife. Unbeknownst to them, this will be the last time they see him. Metaphor for innocence lost. (Voice of Kotov)</p> <p><b>S12 (1:57:41):</b> Kotov is being taken away in the black car – he is being arrested. When asked if he is armed, he says yes and voluntarily surrenders his sidearm. He is so sure that a mistake has been made that he renders himself unarmed. Metaphor for misguided trust in the Revolution and in Stalin. (Voice of Mikhalkov)</p> <p><b>S13 (2:07:26):</b> Kotov has been beaten badly by the NKVD officers. He and Mitya look at each other. Mitya whistles the song “Burnt by the Sun”. Kotov begins to weep. He now realizes that Stalin betrayed him. The photograph of Stalin floating in the sky is reiterated. Metaphor no one escapes the sun and all can be burnt by it. (Voice of Mikhalkov)</p> <p><b>S14 (2:09:26):</b> After Kotov’s arrest, Mitya is shown in the bathtub. He has slit his wrists. The floating orb of light enters his apartment and floats through its rooms. Mitya is still whistling the song “Burnt by the Sun” Metaphor – he too is burnt by the sun. (Voice of Mikhalkov)</p>	
<b>(7) Fearlessness</b>	<b>S1 (1:39:08):</b> Kotov confronts Mitya and calls him a whore for fingering eight generals in the White Army, which was the side that Mitya fought on. His fingering the White Army generals resulted in their deaths. That Mitya is now a NKVD officer does not intimidate Kotov. Kotov shows no fear of the political police (Mitya) who it there to	None Present

	arrest him.	
<b>(8) Madness</b>	<p><b>S1 (0:04:25):</b> Mitya performs a mock suicide by pointing a gun to his head. (Voice of Mitya)</p> <p><b>S2 (0:44:51):</b> While talking to Maroussia on the beach, Mitya notices a scar on her wrist and ask her where the scare came from. Maroussia responds “They saved me. I didn’t know you had to do it in water. To keep the blood from coagulating.” She is referring to an attempted suicide. The suicide attempt occurred because Mitya left her without an explanation. This is in reference to their past affaire before she met Kotov. (Voice of Maroussia)</p> <p><b>S3 (0:50:00):</b> While at the beach, Mitya jumps into the river fully dressed and refuses to submerge.</p>	None Present
<b>(9) The Mask</b>	<p><b>S1 (0:27:27):</b> There is a marching band in celebration of Stalin’s birthday and Mitya (NKVD) is dressed as a cripple old man playing a trumpet. He is on his way to Kotov’s house and will eventually arrest him. His is wearing the mask of deceit. (Voice of Mitya)</p> <p><b>S2 (0:35:30):</b> Mitya is acting as if he is a friend of Maroussia’s family whom he is familiar with from his past affaire with Maroussia. He is wearing the mask of friendship. When in reality he has come to arrest Kotov, thus disrupting her family. Again he is wearing the mask of deceit. (Voice of Mitya)</p> <p><b>S3 (1:01:21):</b> Mitya has on a gas mask that he kept from an exercise at the beach. He plays the ‘can-can’ on the piano while Maroussia’s family dances hysterically. He is literally wearing the grotesque mask of the State. But only Kotov is aware of this. (Voice of Mitya)</p> <p><b>S4 (1:34:11):</b> After Kotov has confirmed</p>	None Present

	<p>with Mitya that he is being arrested. He asked Mitya not to tell anyone and when the car comes to pick them up, Mitya is to say they are going to play soccer. Mitya agrees. Then they both dance for Nadya. They both are wearing the mask of normalcy/decency on behalf of Nadya. (Voices of Mitya and Kotov)</p> <p><b>S5 (1:36:56):</b> Mitya and Kotov are playing soccer with the family. They both are aware of Kotov's pending arrest. They are both wearing the mask of a farce on behalf of Maroussia's family. (Voices of Mitya and Kotov)</p>	
<b>(10) The Interior Infinite</b>	<p><b>S1 (0:47:47):</b> Kotov and Nadya (father and daughter) are in a canoe on the lake. They express their affection for each other, and enjoy the inner peace of sharing their time together. (Voice of Innocence)</p>	None Present
<p><b>Summary:</b> This film was made three years after the collapse of the Soviet Union. Although de-Stalinization had already been started by Khrushchev and films such as <u>Repentance</u> (1984) had exposed cinematically what took place during Stalin's regime and the toll his purges and mass incarceration had on the Soviet people, <u>Burnt by the Sun</u> was one of the first Post-Soviet films that explored the toll taken on the individuals who executed Stalin's orders. In this film more than any of the prior twelve, the carnivalesque signifier - the Mask was utilized more often. And in this film, the mask was worn not only by Mitya (Stalin's NKVD officer) but also by Kotov (Stalin's victim). Both men wore the mask to protect the people they loved and respected, who ironically were the same people.</p>		

(Chart #5 R.K. Davis 2014)



## **House of Fools (2002)**

House of Fools was directed by Andrei Konchalovsky who also directed the film Siberiade (1979). House of Fools however is based on a true story that takes place in 1996 during the first armed conflict – known as the War in Chechnya (December 1994 to August 1996) – between the newly formed Russian Federation and the Chechen Republic of Ichkeria.

The story is set in a psychiatric hospital located in the bordering region of Ingushetia. It begins with the psychiatric patients gathered at a window to watch a night train. As the train passes, Janna (the film's protagonist) daydreams of an imaginary romance with the Canadian pop star Bryan Adams. While the hospital staff is present in the film, they often mimic the behaviors of the mental patients. With the exception of the scenes where it is made obvious that Janna is hallucinating, Konchalovsky does not make it clear whether these scenes are to be taken as a patient's delusions or if the staff is to be assumed as actually exhibiting the psychotic behaviors.

The Chechen soldiers are the first to invade the hospital. The Chechen Commander immediately declares that his soldiers will not harm the patients. The Commander keeps his word, none of the patients are harmed; there are no rapes or physical abuses of the patients. On the contrary, the Chechen soldiers treat the patients with an amused respect. The Chechen soldiers are even shown with two Russian soldiers they have captured and who appear unharmed.

Eventually the Chechen soldiers retreat from the hospital and it is now the Russian soldiers turn to invade the hospital. While the Russian soldiers, like their

Chechen counterparts do not harm the mental patients, they do appear more militarily organized. Konchalovsky depicts the Russians, who wear official uniforms, as actual soldiers whereas the Chechens are depicted as a hodgepodge of individuals that make up a rebel camp. In this film, Konchalovsky is careful not to step on any toes – the Chechens’ or the Russians’. The Chechens however are depicted as the “other” – albeit a “sympathetic” other. Konchalovsky achieves this effect by virtue of their appearance – several of the Chechen soldiers are not in any official type uniform and one of the soldiers is even wearing a Calvin Klein tee shirt – the Chechen soldiers also play music, dance and sing together. And lastly, the Chechen soldiers when gathered together, speak the Chechen language which is not subtitled in either Russian or English, which renders them incomprehensible. So in his own way, Konchalovsky is making a Russian nationalist statement, albeit a very subtle one.

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #14)

<b>Film:</b>	<u>House of Fools</u>	<b>Director:</b> Andrei Konchalovsky	<b>Year of Release:</b> 2002
<b>Era:</b>	Yeltsin - Putin Era (1991 - 2008)	<b># Of Carnavalesque Scenes</b>	36 # Of State (Voice) Scenes 11
<b>Homo Sacer: (HS)</b>	(1) The mental patients  (2) The Chechen Soldiers  (3) The Russian Soldiers	<b>Source of the Homo Sacer: (SHS)</b> (1) The mental patients were rendered the homo sacer by both the Chechen and the Russian armies in the form of the war itself. In addition, the hospital staff (symbolic of the Russian State) also rendered them homines sacri in regards to its abandonment of the patients (symbolic of the Russian populace). (Internal threat) (2) The Chechen Soldiers were rendered the homo sacer by the Russian State in the form of its army. (Internal Source) (3) The Russian Soldiers were rendered the homo sacer by the Chechen State in the form of its army. (Internal Source)	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		Janna, Lucia, Islam, Konchalovsky, the Russian State, Mahmud, Intertextuality, the Chechen State, Mental Patient	

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State
<b>(1) Parody</b>	<b>S1 (025:01):</b> Janna is dreaming that Brian Adams is feeding her champagne and singing "Have You Ever Really Loved a Woman" When she is wakened by her fellow patients to find that the hospital staff has abandoned the hospital and Vika who has anti-communism sentiments, released all the patients from the violent wards. Parody of Stalin's death when Beria gave amnesty to and release the most violent prisoners from the Soviet Union's penal system. This is the same story that is told in <u>Cold Summer of 1953</u> (1987). (Voice of Intertextuality)	None Present
<b>(2) Death</b>	<b>S1 (0:42:17):</b> The Russian Commander has a dead Chechen soldier and wants to return the corpse to the Chechen Commander for \$2000. The Chechen Commander agrees. The Chechen soldiers identify their fallen comrade.	<b>S1 (1:36:12):</b> After medicating the Russian Commander who has now taken over the hospital. The Doctor tells the Commander "Know what the most important thing in the war is? It's not victory. The most important thing is Death. (Voice of the Russian State)

	<p><b>S2 (1:24:26):</b> The Lithuanian female who is fighting with the Chechen army is killed in Janna's room with Janna sitting on the bed shredding pictures of Ahmed and herself.</p>	
<b>(3) Grotesque Display</b>	<p><b>S1 (0:11:58):</b> Janna sees a fly on the ceiling and points it out to Lucia who jumps off her bed with her breasts exposed and states "Bastard! I'll beat the shit out of you!" Lucia removes her panties and tries to kill the fly with her panties. She is now completely naked. Same as Billingsgate S2. (Voice of Lucia)</p> <p><b>S2 (0:32:22):</b> The Chechen soldiers are now in the mental hospital. They are treating a Lithuanian female soldier's leg. Her injured leg is shown in graphic detail.</p>	None Present
<b>(4) Satirical Humor</b>	<p><b>S1 (0:16:02):</b> The patients are crowded around the Doctor of the hospital as if he is their father who is about to tell them a bedtime story. Mahmud (mental patient) who is tired of standing in line to use the bathroom asks  Mahmud: "Doctor, can you give me something so I don't need to poo? I'm sick to death of having to queue every day."  Doctor: "You can't have it all, Mahmud. Life's like that."  Mahmud: "Like what?"  Doctor: "Well..."  Male Patient: "It's when new shit is produced every day."  All the patients laugh.  (Voice of the Mental Patient)</p> <p><b>S2 (0:39:47):</b> After the Chechen soldiers have taken over the mental hospital, they write the words "Mental Patients" in black tar on the face of the building.  (Voice of the Obvious)</p>	None Present

	<p><b>S3 (1:38:49):</b> After the Russians have taken over the hospital, they are looking for Chechen soldiers in the hospital. The Russian Commander and one of his soldiers begins shooting at each other thinking they are shooting at the Chechens. Only to find out that they are shooting at their own men.</p>	
<p><b>(5) Billingsgate</b></p>	<p><b>S1 (0:11:05):</b> When Janna wakes up from dreaming about Brian Adams she opens her eyes and says good morning to a poster of Brian Adams on the wall. Lucia, her Roommate states "He's covered in fly shit again." Janna wipes the feces off the poster and tells Lucia about her dream. Lucia responds "I dreamt of cocks again. Cocks with wings like angels flying all around me. (Voice of Lucia)</p> <p><b>S2(0:11:58):</b> Janna sees a fly on the ceiling and points it out to Lucia who jumps off her bed with her breasts exposed and states "Bastard! I'll beat the shit out of you!" Lucia removes her panties and tries to kill the fly with her panties. She is now completely naked. Same as Grotesque Display S1.</p>	<p>None Present</p>
<p><b>(6) Metaphor</b></p>	<p><b>S1 (0:02:10):</b> As the credits are still rolling, a Muslim call to prayer is sounded. Metaphor that the story is taking place in Islamic territory. We are not in Russia proper. (Voice of Islam)</p> <p><b>S2 (0:03:31):</b> While the patients of the mental hospital are huddled together watching the night train. Janna (protagonist) fantasizes that the Canadian pop star Bryan Adams is singing his 1995 hit song, "Have You Ever Really Loved A Woman" to her. She is fantasizing having an affair with Bryan Adams. Metaphor for the Post-Soviet Union's infatuation with the West. Same as Interior Infinite S1 (Voice of Konchalovsky).</p>	<p><b>S1 (0:21:39):</b> The Doctor and his staff is force feeding a male patient who refuses to eat. The patient is reciting verses from the Quran in Arabic. Metaphor that the State can force its population to live even if they don't want to. Same as Interior Infinite S5 (Voice of the Russian State)</p> <p><b>S2 (0:33:08):</b> The Chechen soldiers have now taken over the mental hospital. They are treating a female soldier's leg. Janna asks is the soldier a woman. The Chechen soldier responds "Yes, a Lithuanian. With nerves of steel." Metaphor for the international composition of the Chechen army. (Voice of the Russian State)</p>

	<p><b>S3 (0:6:03):</b> When Vika (mental patient) spits on the floor. Instead of the hospital staff enforcing discipline, the hospital orderly gets Ali (also a patient) to force Vika to clean up her spit. Metaphor of the State's ability make its citizens to enforce "Party Line" discipline on each other:</p> <p>(1) The hospital staff is a metaphor for the State.</p> <p>(2) The Doctor is a metaphor for Yeltsin-Putin</p> <p>(3) The mental hospital is a metaphor for the Post-Soviet State - The New Russian Federation.</p> <p>(4) the mental patients are metaphors for the Post-Soviet population. (Voice of Konchalovsky)</p> <p><b>S4 (0:10:45):</b> In the morning, Mahmud (one of the Moslem mental patients) climbs on top of a wall and sounds the Islamic call to prayer. Metaphor for Chechnya, a Russian Islamic Republic . (Voice of Islam)</p> <p><b>S5 (0:29:50):</b> As the bombing of the hospital begins, a picture of Yeltsin falls of the wall. Metaphor that the leadership (i.e. Yeltsin) has lost control of the country. (Voice of Konchalovsky)</p> <p><b>S6 (0:30:15):</b> As the bombing begins a news program is shown on a television in the hospital with then Defense Minister of the Russian Federation, Pavel Grachev saying "Tank regiments are commanded by total idiots. You send in the infantry first, then the tanks." This is the exact opposite of what he commanded during the Chechen War, he sent in the tanks first. Metaphor for the incompetence of the Russian military command.</p>	<p><b>S3 (0:33:17):</b> The Chechen soldiers bring two Russian soldiers they have captured into the mental hospital and place them in the basement. The soldiers are not mistreated and are treated with respect. Metaphor for the humane treatment of Russian soldiers by the Chechen army. (Voice of the Chechen State)</p> <p><b>S4: (0:35:36):</b> When Janna goes into the basement of the hospital to see who is playing her accordion, the Chechen soldiers all reach for their shirts and cover their bodies. Metaphor for Islamic modesty. (Voice of the Chechen State)</p> <p><b>S5 (1:00:07):</b> When Janna leaves the hospital goes into the Chechen army camp, she is greeted by two Chechen soldiers who welcome her into their camp. One of the soldiers says "Come on in, women are always welcome." He then shows her into the camp. Metaphor for the Chechen army's humanity and respect for woman noncombatants. (Voice of the Chechen State)</p> <p><b>S6 (1:01:59):</b> When Janna seeks out the Chechen Soldier Ahmed in the Chechen compound, to fulfill his promise to marry her. The Chechen Commander and Ahmed speak in Chechen. There are no Russian or English subtitles for their conversation. Hence, this is a metaphor for the Chechen's as the 'other', they are incomprehensible. (Voice of the Russian State)</p>
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**S7 (0:42:17 - 0:45:26):** The Russian Commander has a dead Chechen soldier and wants to return the corpse to the Chechen Commander for \$2000. The Chechen Commander agrees. In addition, the Russian soldiers make a deal with the Chechen soldiers to exchange 1,500 rounds of ammunition for 5 ounces of dope. The Russian soldiers place the ammunition with the corpse of the dead Chechen soldier and the Chechen soldiers give the Russians 5 ounces of marijuana. The Russian soldiers are shown getting high and one of the soldiers who is intoxicated accidentally starts firing his weapon, thus disrupting the temporary armistice between the two armies. The Russians leave without taking the money. Metaphor for the undisciplined behavior of the combatants.

**S8 (0:44:24):** The Russian and Chechen Commanders are having a conversation while \$2000 is being counted out to be exchanged for a slain Chechen soldier. The Russian Commander notices a tattoo on the Chechen Commander's hand and asks him if he were in the 20th Paratrooper Regiment of the Russian army, serving in Afghanistan. The Russian Commander too had served in a paratrooper regiment for the Russian army and showed the Chechen Commander his paratrooper tattoo. Metaphor that both the Chechen soldiers and the Russian soldiers are of one country, they are all Russian citizens - this is a civil war.

**S9 (1:17:47 - 1:19:25):** Like Vika, Janna cannot comprehend that she is in the midst of war. She wants to live her life as if nothing is happening even with bombs exploding all around her. She starts to play her accordion in the midst of being

**S7 (1:43:08):** After the Russian Soldiers have secured the hospital, the Russian Commander announces that one of the Chechen soldiers got away and asks the patients if they have seen him. Ahmed (the Chechen soldier) has escaped detection and is blended in with the patients who refused to identify him to the Russian Commander. The Doctor as well does not identify him to the Russian Commander. The patients and the doctor accept Ahmed as part of the patient population. Metaphor that mental patients (i.e. Russian population) are more humane and accepting than the Chechens and are willing to accept them into the overall population. (Voice of Konchalovsky)

	<p>bombed. Same as Infinite Interior S7 Metaphor for the Russian populace who refused to acknowledge or recognize that they were in a political and economic tailspin after the collapse of the Soviet Union. (Voice of Konchalovsky)</p> <p><b>S10 (1:28:01):</b> Janna talks to a Moslem mental patient who tells her what he sees when he looks an apple she has given him: "I see different nations on that apple, people that love each other and destroy each other, fighting for generations, and dying. They stare up in hope to see my face." Metaphor for Russian - Chechen relations throughout Soviet and Post-Soviet history. (Voice of Konchalovsky)</p>	
<b>(7) Fearlessness</b>	None Present	None Present
<b>(8) Madness</b>	<p><b>S1 (0:02:30):</b> The patients at the mental hospital are standing at a window watching intently for the night train. Vika (one of the patients) is chastising them for their interest in the train. She is babbling nonsensically. Madness is a theme that will run throughout the film. (Voice of Madness)</p> <p><b>S2 (0:07:33):</b> A hospital orderly and a nurse are walking Vika (mental patient) to her room. Vika is upset and babbling, all of a sudden the orderly, nurse and Vika start to dance. Then just as quickly they are serious again and Vika continues her babbling. The hospital staff is shown to be just as mentally unstable as its mentally ill patients.</p> <p><b>S3 (1:39:52):</b> As the doctor of the hospital gets ready to leave for the night, he begins to whistle and dances his way out of the hospital. He kicks in the air. The doctor is as mentally unstable as his patients.</p>	<p><b>S9 (1:35:07):</b> The Russian Army has now taken over the hospital. The Russian Army Commander is having a nervous breakdown. The hospital doctor who has returned medicates him to calm his nerves. The Russian Commander tells the doctor that all the Chechens should be shot. He then recites the name of his dead comrades who died at the hand of the Chechens. (Voice of the Russian State)</p>



	<p><b>S4 (0:22:47):</b> Mahmud has been tied to his bed as punishment for starting a fire. He is screaming madly. (Voice of Mahmud)</p> <p><b>S5 (1:01:08):</b> When the Chechens took over the hospital, Ahmed (Chechen soldier) jokingly proposed to Janna. Now in her unbalanced mental state she seeks him out for marriage. She is unaware that the war is taking place. She is living in her own mental fantasy. (Voice of Janna)</p> <p><b>S6 (1:17:05):</b> In the midst of war, Vika wants the Chechen Commander to teach how to shoot a gun. She is mad with revolutionary zeal and mentally unstable. She cannot comprehend the gravity of the situation she is in - war.</p> <p><b>S7 (1:17:47 - 1:20:07):</b> Like Vika, Janna cannot comprehend that she is in the midst of war. She wants to live her life as if nothing is happening even with bombs exploding all around her. She starts to play her accordion in the midst of being bombed. Same as Metaphor S9</p> <p><b>S8 (1:22:04):</b> During the bombing, Goja (a mental patient) who cross dresses as a woman, leaves the basement of the hospital and performs a fluted dance in the yard of the hospital - in the midst of the bombing.</p>	
<p><b>(9) The Mask</b></p>	<p><b>S1 (0:50:12):</b> In jest, Ahmed a Chechen soldier asks Janna to marry him. He was joking but Janna, in her unstable mental state, takes him seriously. The other mental patients then prepare her for her wedding. She is made up to look like a mock bride. She wears the mask of a clown. Ali is the only patient who realizes the reality of the war outside the hospital. Ali who is supposed to be mad is wearing the mask of sanity.</p>	<p><b>S1 (0:30:56):</b> When the Chechen army takes over the hospital, the first thing the Chechen Commander does is to assure the hospital's patients that he will not hurt them. He is wearing the mask of decency. (Voice of the Chechen State)</p>

		<p><b>S2 (1:34:42):</b> In turn, when the Russian army takes over the mental hospital, they too do not harm the patients. He is wearing the mask of decency. (Voice of the Russian State)</p>
<p><b>(10) The Interior Infinite</b></p>	<p><b>S1 (0:03:31):</b> While the patients of the mental hospital are huddled together watching the night train. Jenna (protagonist) fantasizes that the Canadian pop star Bryan Adams is singing his 1995 hit song, "Have You Ever Really Loved A Woman" to her. She is fantasizing having an affair with Bryan Adams. Same as Metaphor S2 (Voice of Jenna)</p> <p><b>S2 (0:09:49):</b> Jenna is dreaming that Brian Adams is walking the corridors of the hospital. He stops at her room and looks in on her and continues down the corridor. (Voice of Jenna)</p> <p><b>S3 (0:14:09):</b> When the patients are fighting for their turn to use the bathroom. Jenna begins to play her accordion. The scene changes from 'color' to 'sepia' and the patients become happy and began dancing to the music. This is only Jenna's imagination.</p> <p><b>S4 (0:21:39):</b> The Doctor and his staff is force feeding Moslem male patient who refuses to eat. The patient is reciting verses from the Quran in Arabic. When Jenna sees this, she plays her accordion and the scene changes from 'color' to 'sepia' and the patient and hospital staff begin to dance. This is in Jenna's imagination. Same as Metaphor S1-State (Voice of the Jenna)</p> <p><b>S5 (025:01):</b> Jenna is dreaming that Brian Adams is feeding her Champaign and singing "Have You Ever Really Loved a Woman" When she is awoken by her fellow patients.</p>	

	<p><b>S6 (1:26:10):</b> In the midst of bombing and the Chechen soldiers who have now returned to the hospital, Janna has a daydream that she is dancing with Brian Adams.</p> <p><b>S7 (1:44:21):</b> After the patients and the doctor of the hospital accept the Chechen soldier Ahmed as being one of the patients instead of turning him in to the Russian army, Janna looks at an apple and remembers what he fellow patient told her (See Metaphor S10). She then has a daydream of Bryan Adams singing to her on the night train. This is the last time he sings to her as he walks away from her through the train.</p>	
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**Summary:** This film is an allegory parodying both the state of the Russian Federation during its early formation as well as the Russian-Chechen conflict. In this story not only are the patients of the mental hospital mentally unstable, the whole system is unstable. It is important to note that the hospital’s patients not only consisted of the mentally ill (of which Janna and Ali are examples) but also include the mentally retarded, patients with downs syndrome, birth defects, a dwarf (Shorty), and a cross-dresser (Goja), all of whom are referred to as sick. There are two basic masks worn in this film: the mask of the clown (Janna) and the mask of humanity (both the Chechen and the Russian armies). Janna wears the mask of the clown, she cannot comprehend that she is in the middle of a war and tries to live life as if a war is not occurring; she cannot see or hear the bombs dropping around her and every time her mind begins to comprehend – she begins to daydream about a fantasy love affair with Bryan Adams. Both the Chechen and the Russian armies wear the masks of humanity. Neither army harms the mental patients. There were no rapes, sexual molestations, or physical abuses of any of the patients. This depiction of the two armies’ humanity is a far cry from the well documented atrocities (e.g., reports published by Human Rights Watch) committed by both sides. Konchalovsky appears to be sending the message that in the early Post-Soviet period in history, everyone from the Russian population to the newly formed State entities were “mad” (i.e., pathological). And while he spins an anti-war tale, he also presents the Chechens as the “other” – a class of people who need to be integrated into Russian society, as is evident at the end of the film – the Chechen Commander was captured by the Russian army and Ahmed (Chechen soldier) was integrated into the house of fools (i.e., Russian society).

(Chart #5 R.K. Davis 2014)

## **Russian Ark (2002)**

The last film to be analyzed in this study is Russian Ark directed by the Russian filmmaker, Alexander Sokurov. This film is based on the travels of a Frenchman, the Marquis de Custine, who recorded his travels to Russia in a book titled, La Russia en 1839. De Custine was of the opinion that Russia was an Asiatic nation trying to imitate Western European civilization. The film consists of a narrator who can be viewed as a ghost and his companion. The narrator is the voice of Sokurov and is unseen by the audience. The ghost is accompanied by a companion who represents the traveler the Marquis de Custine. The companion is visible to the audience. The ghost and de Custine travel together through the Winter Palace which is now a large part of the Hermitage Museum in St. Petersburg. The ghost and de Custine tease each other and share their amazement at the scenes that unfold before them. In each room of the museum they encounter both real and fictional people from various historical periods in St. Petersburg's 300 year history. The historical periods are not presented in chronological order. At times, the ghost and de Custine interact freely with the other performers and at other times they go completely unnoticed. In essence, the Hermitage Museum serves as an ark preserving Russian Culture and the last scene of the film gives the impression that it is an ark floating at sea.

The film is unusual in that it is filmed in one continuous shot. There is no editing. It is approximately 90 minutes long and consists of thirty-three rooms in the Hermitage Museum, three live orchestras, and over 2,000 actors. Russian Ark was recorded in uncompressed high definition video using a Sony HDW-F00 camera specifically

designed for the making of the film.

The film's director, Alexander Sokurov was born on June 14, 1951 in Siberia. He earned a degree in history from Gorky University where he was mentored by Yuri Besspalov. Graduating in 1974, he went on to study at the prestigious All-Russian State University of Cinematography (VGIK) where he was mentored by the documentary filmmaker Alexander Zguridi. It was at VGIK that he met Andrei Tarkovsky. Sokurov's documentary influence is easily detected in Russian Ark. In contrast, the film's visual hypnotic imagery results in a film that appears to be the work of an avant-gardist.

Sokurov is quick to deny this depiction stating:

I am only a link in a chain of world culture; and if that is not so, then all my work is rubbish. As a matter of fact, I strive to find ties with tradition in every piece of my work. For that reason do not call me an avant-gardist. The avant-gardists strive to create something new, starting with themselves. A call for a certain unbroken connection is perhaps the only intellectual element in my work, and everything else comes from emotion. (Tuchinskaya, no pagination)

## Bakhtin's Carnavalesque: A Gauge of Dialogism in Soviet and Post-Soviet Cinema

### (Dialogical Chart #15)

<b>Film:</b>	<u>Russian Ark</u>	<b>Director:</b> Alexander Sokurov	<b>Year of Release:</b> 2002
<b>Era:</b>	Yeltsin - Putin Era (1991 - 2008)	<b># Of Carnavalesque Scenes</b>	18 # Of State (Voice) Scenes 6
<b>Homo Sacer:</b>	No homo sacer	<b>Source of the Homo Sacer:</b> None	
<b>Voices (Director, State, Tribe, Hero, Narrator, Other)</b>		The Ghost (off screen Narrator), Jacopo Tintoretto (Artist), Catherine the Great, Marquis de Custine, History, the State, Sokurov - director	

\*S1 = Scene 1, etc.

Carnavalesque Signifiers	Bakhtin	The State
<b>(1) Parody</b>	<b>S1 (0:13:19):</b> After watching a play, Catherine the Great hurriedly leaves the theater say "I need to piss! I can't hold it anymore!" Parody of Catherine the Great. (Voice of Catherine the Great)	None Present
<b>(2) Death</b>	None Present	None Present
<b>(3) Grotesque Display</b>	None Present	None Present
<b>(4) Satirical Humor</b>	<p><b>S1: (0:18:55):</b> The Marquis de Custine and the Ghost are now in one of the galleries of the Hermitage Museum. They are in present day Russia. The Ghost introduces de Custine to two of his friends: Oleg Konstantinovich (a medical professor) and Lev Mikhailovich (an actor). De Custine politely greets both men. He then states that he can smell an odor. The Marquis states "It smells of formaldehyde." Being that the Marquis lived in the 19th century and the scene is taking place in the 21st century, the smell is most probably being emitted from himself. The Marquis believes that the smell being emitted by the two gentlemen not himself. (Voice of de Custine)</p> <p><b>S2 (0:32:09):</b> The museum's curators ask the Marquis to leave stating that it is closing. They walk the Marquis to the door and close it behind him. As the Marquis stands outside the door,</p>	None Present

	<p>(0:33:04) one of the curators opens the door and blows air through his mouth at the Marquis, the Marquis returns the gesture.</p> <p><b>S3 (0:34:10):</b> As the Marquis walks through the museum he begins to hum. The Ghost ask "Do you hear music?" The Marquis responds "I hear something." The Marquis then adds "Russian music makes me break out in hives." and begins to scratch himself. The Ghost responds "That has nothing to do with the music." (Voice of the Ghost)</p> <p><b>S4 (0:40:14):</b> As the Marquis continues his stroll through the museum he states "That music was good, after all. Who was the composer?" The Ghost responds "Glinka." The Marquis asks "Who is he? German?" The Ghost responds "A Russian." The Marquis responds "No, he's German. All composers are German." The Ghost laughs and asks in jest "All composers are German?" [Glinka is considered the father of Russian classical music.]</p>	
<b>(5) Billingsgate</b>	None Present	None Present
<b>(6) Metaphor</b>	<p><b>S1 (0:14:40):</b> After seeing Catherine the Great, the Marquis de Custine has determined that he is in the 18th century. (0:14:54) He then states "Russia is like a theatre. A theatre." Metaphor for the historical scenes he now realizes he is witnessing. However, he considers these scenes as well as Russian history itself - theatre. (Voice of the Marquis de Custine)</p> <p><b>S2 (0:20:06):</b> The Professor and the Actor want to show the Marquis the painting of 'The Birth of John the Baptist'. They point out a chicken and a cat in the foreground of the painting. The professor states "They are symbolic figures. The chicken represents greed,</p>	<p><b>S1 (0:27:06):</b> A man appears on the scene who begins to follow the Marquis through the museum and is keeping track of his every move. He is a Metaphor for the spy/State who must foreigners such as the Marquis under close surveillance. (Voice of the State)</p> <p><b>S2 (0:35:39):</b> The Marquis notices the spy watching him. Only the spy's white gloved hands are shown in the frame. The Marquis confronts the spy and asked "What are you doing? Eavesdropping?" Only the Spy's hands are shown. The Marquis continues "Are you interested in painting?" As the Spy puts on a glove, the Marquis remarks "What nice little hands! Stay away form me!" The</p>

	<p>avarice... the cat, cynicism and cruelty. They are both calmed by the birth of John." The Marquis responds "How interesting" and moves on to other paintings. Metaphor for the Birth of John the Baptist. (Voice of Jacopo Tintoretto - Artist)</p> <p><b>S3 (0:22:16):</b> The Marquis asks the Ghost why are his friends: Oleg Konstantinovich and Lev Mikhailovich so badly dressed. The Marquis states (0:22:36) "Such clothing kills a man's creative essence." Both Mikhailovich and Konstantinovich are wearing 21st century suits. Metaphor for the Marquis' distaste of the 21st century. (Voice of the Marquis de Custine)</p> <p><b>S4 (0:22:42):</b> As the Marquis walks through the halls of the Hermitage Museum and looks at the art and architecture, he asks the Ghost "Why do you find it necessary to embrace European culture? For what reason? Why borrow also Europe's mistakes?" Metaphor for Russia's insistence on imitating European culture. (Voice of the Marquis de Custine)</p> <p><b>S5 (1:31:08):</b> As the attendees leave the Ball. The Spy calls out "Custine!" He then appears on the screen. He has lost and is looking for the Marquis. He is walking against the crowd, calling out "Let me pass! Let me pass!" He is frantic because he has lost sight of the Marquis. Metaphor for the State's need to keep its charge in view at all times. (Voice of Sokurov)</p> <p><b>S6: (1:32:43):</b> The Hermitage Museum appears to be an ark floating at sea. Metaphor for preservation of Russian culture throughout eternity. (Voice of the Ghost)</p>	<p>Marquis then enters the next room. The Spy follows him a takes a seat and watches the Marquis as he continues to look at the art in the room. Metaphor of the oversight of the State. (Voice of the State)</p> <p><b>S3 (0:44:12):</b> The Marquis has had an encounter with a woman looking at a painting. As she leaves and blows a kiss to him, the Spy is seen in the background huddled in a corner. Metaphor for the State's ever watchful eye. (0:42:22) He follows the Marquis into the next room. (Voice of the State)</p> <p><b>S4 (0:44:12):</b> After the Marquis watches as Catherine the Great and her attendant run down a long snowy path. He is begrudgedly allowed entrance into another room in the Winter Palace. The Spy greets him and then disappears from view. Metaphor for the all seeing eye of the State. (Voice of the State)</p> <p><b>S5 (1:03:17):</b> As the Marquis is asked to leave a diplomatic ceremony in the Winter Palace. The Spy is close behind him tracing his every step. The Marquis sees the Spy and asks him to leave him alone. The Spy walks past him and disappears from view. Metaphor the constant surveillance of the State. (Voice of the State)</p> <p><b>S6 (1:14:14):</b> The Spy is still following The Marquis even when the Ghost has lost tract of him. Metaphor for the State's everlasting presence.</p>
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<b>(7) Fearlessness</b>	None Present	None Present
<b>(8) Madness</b>	None Present	None Present
<b>(9) The Mask</b>	<p><b>S1 (0:03:15):</b> As the two couples enter the basement of the Winter Palace they are greeted by individuals wearing carnival masks. They are literally wearing masks that are worn at a carnival.</p> <p><b>S2 (0:04:06):</b> The Ghost has realized that he is being neither seen nor heard. He realizes he is invisible. The Ghost is wearing the mask of invisibility.</p> <p><b>S3 (0:05:38):</b> A man dressed in black appears on the scene. He is one of only a few individuals who can see and hear the Ghost. He too seems to be lost. He does not know what era or country he is in. The Ghost tells him that they are speaking Russian. The man claims that he never knew how to speak Russian before. The man in black is wearing the mask of the Marquis de Custine meaning he too is a Ghost however a materialized one.</p> <p><b>S4 (0:55:08):</b> The Marquis enters another room in the Winter Palace. He is greeted by the Spy who then disappears from view. All the individuals are in custom and wearing carnival masks. They invite the marquis to tea and he leaves them with a book.</p> <p><b>S5 (1:27:30):</b> As the dancers leave the Ball at the Winter Palace, women dressed in custom and carnival masks reappear to bid the attendees farewell.</p>	None Present
<b>(10) The Interior Infinite</b>	<b>S1 (0:1:45):</b> Disembodied voice over a black screen states: "I open my eyes and I see nothing. I only remember there was some accident. Everyone ran for safety as best they could. I just can't remember	None Present

	<p>what happened to me." The disembodied voice follows two couples into the Winter Palace. (Voice of the Ghost)</p> <p><b>S2 (1:30:18):</b> As the attendees are leaving the Ball at the Winter Palace, an unidentified voices calls out "Nathalie!" "It feels like we're floating." "It seems all this is but a dream." The Interior Infinite of the crowd. (Voice of the History)</p>	
<p><b>Summary:</b> In this film the unseen Ghost (who is a main character in the film) is in fact Sokurov the director. Hence the director's voice literally stands right next to the Marquis de Custine's (who is also a major protagonist in the film), and is constantly in conflict with it. It is also relevant that the Spy follows the Marquis and the Ghost throughout all of Soviet history. This can be interpreted as the State: the Tsarist State, the Soviet State and now the new Russian State are always present keeping a watchful eye on its subjects. This is the last of the fifteen films analyzed in this study.</p>		

(Chart #5 R.K. Davis 2014)

## Summary Charts and Graph

The charts below: Carnavalesque Signifier Summary Chart #1 (Chart #6) and the Socialist Realist (State) Summary Chart #2 (Chart #7) are summary charts that lists the overall frequencies of appearance of the ten signifiers in their Carnavalesque and Socialist Realist forms, for each of the fifteen films. These scores were taken from each film's Dialectical Chart #1-15 (above). The charts below also list the approximate run times of each film. Signifier Summary Chart #3 (Chart #8) is a further breakdown of the frequencies of appearance of the ten signifiers in both their carnavalesque and Socialist Realist forms by historical era.

Because the films Stalker and Siberiade are two of the longer films (they have longer running times of 234 and 260 minutes respectively) in the study, it is quite natural that they would have more signifiers than films with lesser running times. To compensate for their excessive run time in comparison with the other films in the study, I used only one-half of the carnavalesque signifiers in Siberiade. Hence, one-half of 37 is 18.5. This number rounded equals 19. On the Carnavalesque Signifier Graph (Chart #9) below for the Brezhnev era instead of a score of 60 (23 + 37), I used 42 (23 + 19) (Refer to Chart #8).

I used the exact same method for calculating the scores for the signifiers in their Social Realist form for the film Siberiade: instead of using the full score of 10, I used a score of 5 (one-half of 10). Hence, on the Carnavalesque Signifier Graph (Chart #9), for the Brezhnev era instead of a score of 17 (7 + 10), I used 12 (7 + 5) (Refer to Chart #8).

Likewise, because there are three films that were analyzed for the Yeltsin-Putin Era (e.g., Burnt by the Sun, House of Fools, and Russian Ark), like Stalker and Siberiade in the Brezhnev era, they have an excessive combined run time. To compensate for the

excessive combined run time, I used only the carnivalesque signifier scores from Burnt by the Sun (score of 30) and Russian Ark (score of 18), these two films have the two lower scores, thus omitting the score from House of Fools (score of 36). Hence, instead of a carnivalesque score of 84 (30 + 36 + 18), I used 48 (30 + 18) (Refer to Chart #8).

Again, I used the exact same method for calculating the scores in their Socialist Realist form for the Yeltsin-Putin era. I used only the carnivalesque signifiers for Burnt by the Sun (score of 6) and Russian Art (also a score of 6), as in the above case, these two films had the lower scores, and as in the above case, I omitted the score from House of Fools (score of 11). Hence, instead of a carnivalesque score of 23 (6 + 11 + 6), I used 12 (6 + 6) (Refer to Chart #8).

I have plotted both the carnivalesque signifier scores and the scores from their Socialist Realist counterparts (from Chart #8) by historical era on the Carnivalesque Signifier Graph (Chart #9). This graph illustrates the movement of frequencies for the ten carnivalesque signifiers and their Socialist Realist counterparts in the fourteen films (I did not use the scores from House of Fools) across historical eras from the Stalinist era (including the Avant-garde period) to the Yeltsin-Putin era.

(Chart #6 R.K. Davis 2014)

**Carnavalesque Signifier Summary Chart #1**

<b>Films</b>	<b>Year</b>	<b>Mins.</b>	<b>10 Carnavalesque Signifiers</b>										<b>Total</b>
<b># 1-15</b>	<b>1925/ 2002</b>	<b>Run Time</b>	<b>Parody</b>	<b>Death</b>	<b>Grotesque Display</b>	<b>Satirical Humor</b>	<b>Billings- gate</b>	<b>Metaphor</b>	<b>Fearless- ness</b>	<b>Madness</b>	<b>The Mask</b>	<b>Interior Infinite</b>	
<u>Battleship Potemkin</u>	1925	70	0	0	0	0	0	0	1	0	0	0	<b>1</b>
<u>End of St. Petersburg</u>	1927	88	0	0	0	0	0	0	0	1	0	0	<b>1</b>
<u>Chapaev</u>	1934	92	0	0	0	2	0	0	0	0	0	0	<b>2</b>
<u>Ivan the Terrible, II</u>	1946	86	1	0	0	0	0	0	0	0	2	0	<b>3</b>
<u>Spring on Zarechnaya</u>	1956	96	0	0	0	0	0	0	0	0	0	3	<b>3</b>
<u>Cranes are Flying</u>	1957	97	1	1	0	4	0	1	1	1	3	4	<b>16</b>
<u>Stalker</u>	1979	234	4	1	1	3	0	1	0	1	3	9	<b>23</b>
<u>Siberiade</u>	1979	260	5	4	2	1	1	14	2	1	1	6	<b>37</b>
<u>Legend of Suram Fortress</u>	1984	83	1	2	0	1	0	5	0	1	5	2	<b>17</b>
<u>Repentance</u>	1984	144	4	2	2	2	0	9	1	2	2	7	<b>31</b>
<u>Cold Summer of '53</u>	1987	96	1	6	0	1	0	5	2	1	1	1	<b>18</b>
<u>Little Vera</u>	1988	110	1	1	2	1	7	8	0	3	2	1	<b>26</b>
<u>Burnt by the Sun</u>	1994	136	1	0	1	2	2	14	1	3	5	1	<b>30</b>
<u>House of Fools</u>	2002	104	1	2	2	3	2	10	0	8	1	7	<b>36</b>
<u>Russian Ark</u>	2002	96	1	0	0	4	0	6	0	0	5	2	<b>18</b>
<b>Totals</b>	77 Years	1792 29:87	21	19	10	24	12	73	8	22	30	43	<b>262</b>

(Chart #7 R.K. Davis 2014)

**Socialist Realist (The Soviet State) Signifier Summary Chart #2**

<b>Films</b>	<b>Year</b>	<b>Mins.</b>	<b>10 Carnavalesque Signifiers</b>										<b>Total</b>
<b># 1-15</b>	<b>1925/ 2002</b>	<b>Run Time</b>	<b>Parody</b>	<b>Death</b>	<b>Grotesque Display</b>	<b>Satirical Humor</b>	<b>Billings- gate</b>	<b>Metaphor</b>	<b>Fearless- ness</b>	<b>Madness</b>	<b>The Mask</b>	<b>Interior Infinite</b>	
<u>Battleship Potemkin</u>	1925	70	2	2	1	0	0	16	0	2	0	0	<b>23</b>
<u>End of St. Petersburg</u>	1927	88	4	2	0	1	1	13	0	1	0	2	<b>24</b>
<u>Chapaev</u>	1934	92	2	4	0	1	0	3	0	0	2	0	<b>12</b>
<u>Ivan the Terrible, II</u>	1946	86	6	1	0	0	0	5	0	1	0	0	<b>13</b>
<u>Spring on Zarechnaya</u>	1956	96	0	0	0	0	0	9	0	0	0	0	<b>9</b>
<u>Cranes are Flying</u>	1957	97	0	1	0	0	0	2	0	2	1	1	<b>7</b>
<u>Stalker</u>	1979	234	1	0	0	0	0	6	0	0	0	0	<b>7</b>
<u>Siberiade</u>	1979	260	0	2	1	0	0	7	0	0	0	0	<b>10</b>
<u>Legend of Suram Fortress</u>	1984	83	0	1	0	0	0	3	0	0	0	0	<b>4</b>
<u>Repentance</u>	1984	144	0	0	0	0	0	3	0	1	1	0	<b>5</b>
<u>Cold Summer of '53</u>	1987	96	0	0	0	0	0	2	0	0	0	0	<b>2</b>
<u>Little Vera</u>	1988	110	0	0	0	0	0	3	0	0	0	0	<b>3</b>
<u>Burnt by the Sun</u>	1994	136	0	1	0	0	0	5	0	0	0	0	<b>6</b>
<u>House of Fools</u>	2002	104	0	1	0	0	0	7	0	1	2	0	<b>11</b>
<u>Russian Ark</u>	2002	96	0	0	0	0	0	6	0	0	0	0	<b>6</b>
<b>Totals</b>	77 Years	1792 29:87	15	15	2	2	1	90	0	8	6	3	<b>142</b>

### Signifier Summary Chart #3

#### Carnavalesque Signifiers

The Russian Avant-garde

# 1-15	1925/ 2002	Run Time	Sub- Total
<u>Battleship Potemkin</u>	1925	70	1
<u>End of St. Petersburg</u>	1927	88	1

**Total = 2**

#### Socialist Realist (State) Signifiers

The Russian Avant-garde

# 1-15	1925/ 2002	Run Time	Sub- Total
<u>Battleship Potemkin</u>	1925	70	23
<u>End of St. Petersburg</u>	1927	88	24

**Total = 47**

The Stalin Era

<u>Chapaev</u>	1934	92	2
<u>Ivan the Terrible, II</u>	1946	86	3

**Total = 5**

The Stalin Era

<u>Chapaev</u>	1934	92	12
<u>Ivan the Terrible, II</u>	1946	86	13

**Total = 25**

The Khrushchev Era

<u>Spring on Zarechnaya</u>	1956	96	3
<u>Cranes are Flying</u>	1957	97	16

**Total = 19**

The Khrushchev Era

<u>Spring on Zarechnaya</u>	1956	96	9
<u>Cranes are Flying</u>	1957	97	7

**Total = 16**

The Brezhnev Era

<u>Stalker</u>	1979	234	23
<u>Siberiade</u>	1979	260	37 19

**Total = 42**

The Brezhnev Era

<u>Stalker</u>	1979	234	7
<u>Siberiade</u>	1979	260	10 5

**Total = 12**

The Interregnum

<u>Legend of Suram Fortress</u>	1984	83	17
<u>Repentance</u>	1984	144	31

**Total = 48**

The Interregnum

<u>Legend of Suram Fortress</u>	1984	83	4
<u>Repentance</u>	1984	144	5

**Total = 9**

The Gorbachev Era

<u>Cold Summer of '53</u>	1987	96	18
<u>Little Vera</u>	1988	110	26

**Total = 44**

The Gorbachev Era

<u>Cold Summer of '53</u>	1987	96	2
<u>Little Vera</u>	1988	110	3

**Total 5**

The Yeltsin-Putin Era

<u>Burnt by the Sun</u>	1994	136	30
<u>House of Fools</u>	2002	104	36
<u>Russian Ark</u>	2002	96	18

**Total = 48**

The Yeltsin-Putin Era

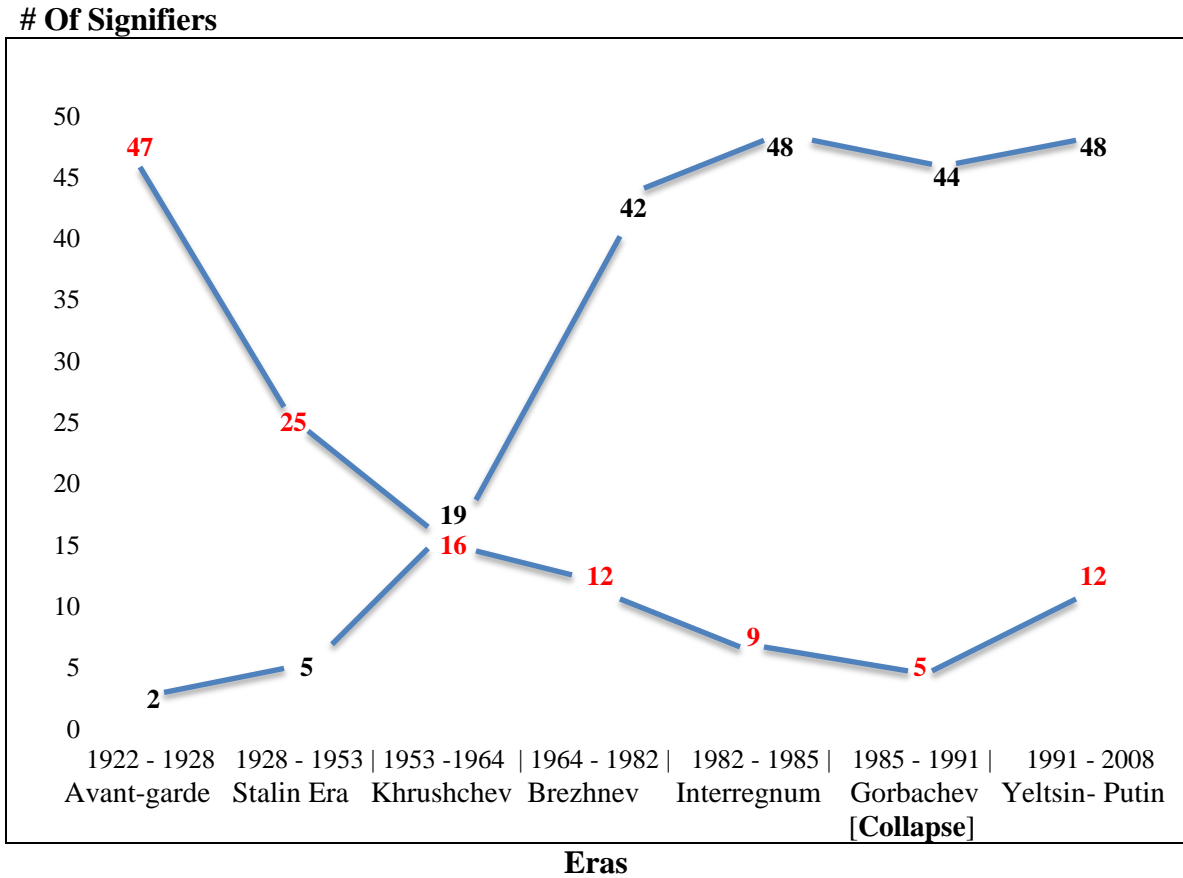
<u>Burnt by the Sun</u>	1994	136	6
<u>House of Fools</u>	2002	104	11
<u>Russian Ark</u>	2002	96	6

**Total = 12**

<b>Totals</b>	77 Years	1792 29:87	<b>262</b>		<b>Totals</b>	77 Years	1792 29:87	<b>142</b>
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(Chart #8 R.K. Davis 2014)

## Carnavalesque Signifier Graph



**Key:**  
 Carnavalesque Signifiers = **Black**  
 Socialist Realist (State) Signifiers = **Red**

(Chart #9 R. K. Davis 2014)

The graph above illustrates the frequencies in which the ten carnivalesque signifiers and their Socialist Realist counterparts appeared in the fourteen films across the seven historical periods beginning with the Soviet Avant-garde and ending with the Yeltsin-Putin Era. I omitted the scores of House of Fools to bring down the films’ run time in the Yeltsin-Putin Era to be consistent with the combined run times of films in the six previous eras. As the graph illustrates, the number of carnivalesque signifiers went from five (5) during the Stalin era to nineteen (19) during the Khrushchev ‘Thaw’ and de-



Stalinization. Their frequency then more than doubled from nineteen (19) in the Khrushchev Era to forty-two (42) during Brezhnev's era of "stagnation". After climbing an additional six points to forty-eight (48) during the Interregnum, the frequency dips to forty-two (42) during the Gorbachev Era and climbs back to forty-eight (48) in the Yeltsin-Putin Era. Conversely, the signifiers started at forty-seven with the Avant-garde filmmakers (e.g., Eisenstein and Pudovkin) and then dipped to twenty-five (25) in their Socialist Realist form in the Stalinist Era. From twenty-five (25) they dipped to sixteen (16) in the Khrushchev Era and from sixteen (16) to five (5) in the Gorbachev Era of perestroika and glasnost. They however, added an additional five (5) points in the Yeltsin-Putin Era. It is quite evident that as the frequency of the carnivalesque signifiers increased, the signifiers in their Avant-garde and Socialist Realist form decreased over the seven historical periods covered in the study. The graph will be analyzed further in the succeeding chapter, Chapter VI: "Conclusion."

## Chapter VI: Conclusion

It is evident that the cinematic frequency of appearance of the carnivalesque signifiers increases with the historical progression from the Russian Avant-garde period through the collapse of the Soviet Union in the Gorbachev Era and on through the Yeltsin-Putin era. Is it significant to point out that in the Stalin Era, there were only seven carnivalesque signifiers in the four films combined: one in Battleship Potemkin, one in the End of St. Petersburg, two in Chapaev and three in Ivan the Terrible, II. It is also of relevant to note that in the two Avant-garde films (e.g., Battleship Potemkin and End of St. Petersburg) the voice of the directors – Eisenstein and Pudovkin respectively – served as the official voice used to promote their political ideology. When I refer to or have referred to “Socialist Realist” signifiers, I am using the term somewhat loosely. Within this term, I am including signifiers that adhere to the officially mandated Socialist Realist aesthetic in addition to any signifiers that do not conform to the carnivalesque aesthetic as outlined in this study. So while the signifiers in Battleship Potemkin and End of St. Petersburg adhere more to Eisenstein’s and Pudovkin’s political ideology (i.e., “political art”) than to a Socialist Realist aesthetic (i.e., “party art”), in the charts they are included under Socialist Realist signifiers. In turn, as opposed to seven carnivalesque signifiers that appeared in the four films of the Stalinist Era, the same four films contained 72 Socialist Realist signifiers: 23 in Battleship Potemkin, 24 in the End of St. Petersburg, 12 in Chapaev and 13 in Ivan the Terrible, II. The Carnavalesque Signifier Graph, illustrates that as the frequency of Socialist Realist signifiers decreases, the frequency of Carnavalesque signifiers increases with the historical progression from Stalin’s

totalitarian form of government to Yeltsin-Putin's federal semi-residential constitutional republic (i.e., from the Soviet Union to the Russian Federation).

I would also point out that on the Carnavalesque Signifier Graph, the frequencies of the carnivalesque and Socialist Realist signifiers are nearly the same for the Khrushchev Era: 16 Socialist Realist signifiers and 19 carnivalesque signifiers. This is indicative of a transitioning in cinema from the Stalin Era to the Khrushchev Era of de-Stalinization.

The graph also indicates that the frequency of carnivalesque signifiers more than doubled from the Khrushchev to the Brezhnev Eras, from 19 to 42 respectively. This is interesting in that the Brezhnev Era has been referred to as the era of "stagnation". Brezhnev admired Stalin in many ways and preferred a more straightforward artistic aesthetic. That Tarkovsky and Konchalovsky made and released Stalker and Siberiade in this era of stagnation is indicative of increased artistic freedom of expression and in essence, of a political movement to the left even within a period of supposed stagnation.

Additionally, the graph indicates a slight fall in both Socialist Realist and carnivalesque signifiers from the Interregnum to the Gorbachev eras: a decrease from nine to five Socialist Realist signifiers and a decrease from 48 to 44 carnivalesque signifiers. While slight (a decrease of four points for both signifiers), this simultaneous decrease is illustrative of the confusion Soviet cinema was experiencing during the Gorbachev Era. Soviet cinema collapsed along with the Soviet Union. This position is supported by the fact that after the collapse of the Soviet Union in 1991, the frequency of carnivalesque signifiers returned to 48 as in the Interregnum. However, instead of decreasing, the frequency of Socialist Realist signifiers increased seven points from five

to twelve, the same frequency as in Brezhnev’s era of “Stagnation.” This is quite possibly cinema’s reaction to a change in political systems and political leadership. In the Yeltsin-Putin Era, cinema returned to the high point of the cinematic freedom of expression it experienced in the Interregnum with films such as The Suram Fortress and Repentance. The Interregnum was a transitional period in itself, launched between Brezhnev’s “stagnation” and Gorbachev’s perestroika. At the same time, the frequency of Socialist Realist (voice of the State) signifiers increased back to their frequency in the Brezhnev era of “stagnation.” This is indicative that in the new Russian Federation, while cinematic freedom of expression was still in effect, the new State’s voice also clamored to be heard.

In regards to the carnivalesque signifiers, the signifier “metaphor” appeared most frequently (73 times) followed by “interior infinite” (43 times). “Fearlessness” appeared least frequently (eight times) preceded by “grotesque display” (ten times). Chart #10, shows the frequency of the carnivalesque signifiers from the most frequently (metaphor) to the least frequently (fearlessness) appearing.

<b>10 Carnavalesque Signifiers (In their order of appearance in the fifteen films)</b>										
<b>Metaphor</b>	<b>Interior Infinite</b>	<b>The Mask</b>	<b>Satirical Humor</b>	<b>Madness</b>	<b>Parody</b>	<b>Death</b>	<b>Billings-gate</b>	<b>Grotesque Display</b>	<b>Fearlessness</b>	
73	43	30	24	22	21	19	12	10	8	<b>262</b>

(Chart #10 R. K. Davis 2014)

That “metaphor” was the most frequently appearing carnivalesque signifier is not surprising. Metaphor in the carnivalesque sense has much in common with allegory. And metaphor was used by Soviet filmmakers to get their messages across and around the State censors. Similarly, it is not surprising the “fearlessness” was the least frequently appearing carnivalesque signifier. Fearlessness does not appear to be a common trait of the Soviet populace in regards to the Soviet State. The Soviet State’s apparatuses for keeping its populace in check was brutal. It consisted of the secret police organs, all of

which were responsible for political repression: first the Cheka (under Lenin), the NVKD (under Stalin), the KGB (from Khrushchev through Gorbachev), and finally the FSB (under Putin). The Soviet State also encouraged its citizens to spy and report on each other (especially during the Stalin Era), thus creating an environment of fear and repression amongst the Soviet populace.

The “Interior infinite” (score of 43), and “the mask” (score of 30) are the next two most frequently appearing carnivalesque signifiers. Beginning with Khrushchev’s Thaw, film directors started to place an emphasis on the “individual” and “emotional life” as opposed to the collective in cinema. This emphasis peaked in the Brezhnev Era and then tapered off slightly. “The mask” is a distinctly carnivalesque signifier and in the middle ages was associated with clowns, fools and jesters who lived their entire lives as clowns (e.g., the Harlequin). In Soviet and Post-Soviet cinema, the “mask” was most often utilized as a means to an end. In Stalker, the Professor wore the mask of the “seeker” (of happiness by finding the “room”) when he was actually the intended “destroyer” (of the “room,” and thus of happiness). And Mitya in Burnt by the Sun wore the several masks: the mask of the clown, and the mask of the family friend when the true purpose of his visit was to arrest Kotov, thus disrupting the lives of Maroussia and her family unit – he too was the destroyer.

Like their carnivalesque counterparts, both “metaphor” and “fearlessness” also appear as the most and least frequent Socialist Realist signifiers in the fifteen films, as Chart #11 (below) illustrates.

<b>10 Socialist Realist (State) Signifiers (In their order of appearance in the fifteen films)</b>										
Metaphor	Parody	Death	Madness	Mask	Interior Infinite	Grotesque Display	Satirical Humor	Billingsgate	Fearlessness	
90	15	15	8	6	3	2	2	1	0	<b>142</b>

(Chart #11 R. K. Davis 2014)

Metaphor shows up even more frequently in its Social Realist form than in its carnivalesque form. The Soviet Avant-garde films Battleship Potemkin (score of 16) and End of St. Petersburg (score of 13) carried the two top scores for “metaphor.” This is not unusual since both Eisenstein and Pudovkin used metaphor along with “parody” (score of 15) and montage as a means of getting their ideological messages across to Soviet audiences via their “political art.” In regards to “fearlessness” which did not appear at all in its Socialist Realist form; as stated above, “fearlessness” was not a quality that the Soviet State fostered or encouraged in the Soviet populace.

A brief note on the thirteen Soviet directors (Eisenstein and Konchalovsky had two films each) included in this study. Many of the directors have one or more of three traits in common: (1) they all are Soviet film directors and produced the films included in this study in the Soviet space (2) all of the directors fall into one of three nationalities; they are either ethnic Russians, Ukrainians or Georgians, and (3) nine for the thirteen directors either taught at or attended the prestigious All-Russian State University of Cinematography (VGIK). In addition, many of them were and still are contemporaries. Both Eisenstein and Pudovkin were contemporaries and discussed film theory with each other in addition to writing about the each other’s cinematic work. Similarly, Eisenstein, Pudovkin and Khutsiyev served as faculty members at VGIK and Konchalovsky, Parajanov, Tarkovsky, Sokurov, Mikhalkov and Pichul all attended VGIK as students. Tarkovsky was friends with Parajanov, Sokurov and Konchalovsky who he often collaborated with on film projects. And Konchalovsky is the older brother to Mikhalkov.

In addition, Khutsiyev, Kalatozov, Parajanov and Abuladze are all native Georgians. These connections and interconnections of the thirteen directors were not intentional on my part. I chose the films included in this study based on the films themselves and not their directors. Hence, the commonalities between the directors are incidental. That being said, those very same commonalities are responsible for much of the intertextuality amongst the films. This is especially true of Tarkovsky, Konchalovsky, Parajanov, Sokurov and Mikhalkov, all of whom have produced polyphonic films and all of whom have Tarkovsky as a common denominator. And lastly, in regards to the directors it is extremely interesting to note that the only director who was arrested and served time in the Gulag was Parajanov (he was arrested several times and served multiple prison sentences). The only thing that can be said in this regard is that of all the directors, Parajanov's films were completely out-of-step with the Socialist Realist aesthetic. He in essence created a cinema of his own, which was not tolerated by the Brezhnev regime.

Initially, I identified seven "voices" that I anticipated encountering in the fifteen films: the voice of the director, the State, the tribe, the hero, the narrator, the camera, and the other. However, upon analyzing the films a number of additional voices made themselves heard. The first of these voices that I had not anticipated was my own voice. I had originally not included the voice of the viewer because I thought it could not be documented. However, while watching and analyzing the film The Cranes Are Flying, I realized that I had been documenting my voice as the viewer all along: in my selection and pairing of the scenes to signifiers, in my determination of the scenes that acted as parodies to films and events not associated with this study and in identifying the voice of "intertextuality," the second unexpected voice that revealed itself during the analysis of

the films. Additional voices that revealed themselves were: the voice of Nature (e.g., thunder in Stalker); the voice of Globalization (e.g., Siberiade); the voice of Islam (e.g., The Suram Fortress and House of Fools); the voice of Toadyism (e.g., The Cold Summer of 1953); the voice of Reason (e.g., Repentance), the voice of Death (e.g., Little Vera), and the voice of Stalin (e.g., Burnt by the Sun); all of these act as counter-voices in the films. All the above counter-voices (my voice included) revealed themselves in films that were produced beginning in the Khrushchev Era, starting with The Cranes Are Flying. Hence, Chart #6 illustrates and supports this supposition that beginning with the film The Cranes Are Flying (with a carnivalesque signifier score of 16), the films became increasingly polyphonic. The five films preceding The Cranes Are Flying all have carnivalesque signifier frequency scores of less than four: Spring on Zarechnaya Street (score of three), Ivan the Terrible, II (score of three), Chapaev (score of two), End of St. Petersburg and Battleship Potemkin (both with scores of one). All five films are monophonic: Battleship Potemkin, End of St. Petersburg and Ivan the Terrible, II all contain the monophonic voices of their directors (i.e., Eisenstein and Pudovkin). Chapaev and Spring on Zarechnaya Street have the predominate monophonic voice of the State. They too are monophonic.

The film The Cranes Are Flying (with the lowest carnivalesque signifier score of 16) begins the polyphony, culminating with the film House of Fools which has a carnivalesque signifier score of 36. Siberiade has a carnivalesque signifier score of 37 but because it has a run time in excess of four hours compared with House of Fools that has a run time of approximately an hour and forty minutes, I consider House of Fools the most polyphonic film in this study. And House of Fools was produced in the Putin



Era, which serves as further evidence that the frequency of carnivalesque signifiers increased with the historical progression from a totalitarian to semi-democratic representative form of government.

The Homo Sacer – he who can be killed but not sacrificed – is prevalent in all but two of the fifteen films included in this study: Spring on Zarechnaya Street and Russian Ark. There are no homines sacri in either of these films. The remaining 13 films all contain homines sacri and the source or sovereign that renders the characters homines sacri in these 13 films remains constant over the historical eras. In the Soviet Avant-garde period the sovereign who rendered the Soviet populace homines sacri was the Tsarist regime, an internal source. In both Battleship Potemkin and The End of St. Petersburg, the Tsarist regime, the Cossacks, the Stock Brokers and the Factory Owners were the internal anti-Bolsheviks forces that rendered the Soviet populace homines sacri. In Chapaev, the White Army, again an anti-Bolshevik force was the internal culprit.

In Ivan the Terrible, Part II, however, Soviet directors beginning with Eisenstein cleverly and covertly began to portray the Soviet State as the internal source that rendered the Soviet populace homines sacri. In Ivan the Terrible, Part II, Eisenstein modeled Ivan IV after Joseph Stalin himself. And while in The Cranes are Flying, the Germans and World War II are portrayed as an external threat, the character Fyodor, Boris's father hints that the factories' excessive work quotas and the Soviet State's sending its men off to war was the real threat. Fyodor conveys this message via "satirical humor" (refer to pg. 117, Dialogical Chart #6, "satirical humor" S3 and S4). From Stalker to House of Fools, the source (sovereign) that renders the populace homines sacri is portrayed as the Soviet State, an internal source (refer to Dialogical Charts #7–14). In Parajanov's Legend of the

Suram Fortress the State however, takes the form of the “Georgian” State, still an internal source. That Soviet directors were able to portray the Soviet State as a source of repression, is in and of itself indicative of a movement away from totalitarianism to a more representative form of governance.

In conclusion, as illustrated by the Carnavalesque Signifier Graph (Chart #9, pg. 213), the frequency of appearance of the ten carnivalesque signifiers increases with the historical progression from the Stalinist Era to the Yeltsin-Putin Era. Each of the ten carnivalesque signifiers act as a dialogic gauge from which the polyphonic voices emerge. Those voices include the State, the Hero, the Tribe, the Narrator, the Camera, the Other, of Myself (as viewer), of Intertextuality, of Nature, of Globalization, of Islam, of Toadyism, of Reason, of Death and of Stalin. The emergence and sounding of this polyphony of voices increases and becomes louder with the historical movement away for the Stalinist totalitarian State to the federal semi-residential constitutional republic under Vladimir Putin. In essence, this study illustrates that an increase in the frequency of appearance of carnivalesque signifiers in cinema, along with a progressive decrease in the cinematic voice of the State is predictive of a progressive movement away from a totalitarian regime to a more democratic form of governance. The cinematic appearance of carnivalesque signifiers act as a gauge of dialogism paralleling the polyphony in government and the population it governs. In such an environment, a totalitarian system of government cannot exist.

To this end, this methodology could be successfully applied to other State sponsored cinemas such as East German cinema (1949-1990), East Germany being occupied by the Soviets until the fall of the Berlin Wall; and to Chinese cinema, the

People's Republic China (PRC) being the largest remaining Communist country. Further studies might also be conducted on Post-Soviet cinema. In the present study I used only three films from the Yeltsin-Putin era (1991-2008).

Andrei Konchalovsky stated in a 2011 interview that Eisenstein made his great cinematic masterpieces under severe censorship, yet with the freedom of expression that Russia experienced in the 1990s, no great masterpieces appeared (Konchalovsky, video interview). The focus of this study however was never to establish a correlation between cinematic freedom of expression and the production of cinematic masterpieces. In this study, my aim was to establish a correlation between cinematic freedom of expression and totalitarian versus more open systems of governance.

At present, with Vladimir Putin's military aggression towards Ukraine, the findings of this study become even more relevant. This study concluded at the end of Putin's first term as president in 2008. It would be interesting to utilize the methodology developed in this study to analyze a larger body of Post-Soviet films beginning with Dmitry Medvedev's administration, which lasted from 2008 – 2012, and concluding with Putin's second term as president, from 2012 to the present. The analysis of films released in the two additional Post-Soviet eras could be utilized to determine if cinematic freedom of expression – which parallels political openness – has increased or decreased in Post-Soviet Russia thus allowing a predictive glimpse into the political direction towards which the Putin administration is headed. To this end, the analysis of film through the lens of Bakhtin in Post-Soviet Russia becomes utterly relevant.

## APPENDIX A

### Bakhtin: A Biographical Sketch

Mikhail Bakhtin was born in Orel, Russia in 1895. He is considered by scholars to have been a literary historian and critic, a philosopher, a semiotician, an ethicist, a linguist, a cultural critic, and both a Marxist and a Formalist critic; however, he is most known for his work on literary theory. Having grown up in Vilnius and Odessa, in 1913 Bakhtin moved to Petrograd and attended the University of St. Petersburg, where he studied classics and philology. During this period he developed an interest in religion and in 1915 joined the Petersburg Religious Philosophical Society (Wellek 354-5). In 1918, Bakhtin moved to the small town of Nevel and taught at the local gymnasium. There he met the Soviet linguist Valentin Voloshinov (1895-1936) whose work was influential in the fields of Marxist ideology and literary theory. In 1920, Bakhtin moved to the Vitebsk in Belorussia, there he met Pavel Medvedev (1891-1938), the rector of the local Proletarian University. Bakhtin, Voloshinov and Medvedev made up the nucleus of what has come to be known as the Bakhtin Circle. Bakhtin married during this period and also began his struggle with osteomyelitis, a bone disease that led to the amputation of his right leg in 1938 (Morson Emerson xiii).

In 1924, Bakhtin and his wife Elena Aleksandrovna Okolovich moved back to Leningrad where he and his Circle "... addressed the social and cultural influences of the Russian Revolution and its rule under Joseph Stalin" (Bressler 44). However, Bakhtin was unable to find work due in part to his physical disability and in part to his refusal to fully embrace Communism under the Stalinist regime.

In 1928, Medvedev published The Formal Method in Literary Study. In this book, Medvedev attacks the extreme statements of the Russian Formalists in detail and “expounds the first rigidly formalized sociology of literature in a Marxist spirit” (Wellek 355-6). In 1929, Voloshinov published Marxism and the Philosophy of Language, wherein “Vološinov suggests that the analysis of the speech act as a verbal interaction can illuminate not only the mysteries of the human psyche, but also that complex phenomenon called ‘social psychology’ in Marxism and considered by the majority of Marxists as the link between the material basis and the mental creativity of man” (Matejka, Titunik 3). Both books have been ascribed to Bakhtin himself; Albert J. Wehrle’s translation of The Formal Method in Literary Study was published as The Formal Method in Literary Scholarship: A Critical Introduction to Sociological Poetics, listing both Medvedev and Bakhtin as its authors. There however, is no definitive proof that Bakhtin wrote these books under the pseudonyms of his colleagues Medvedev and Voloshinov.

Both Medvedev and Voloshinov died during the Stalinist era (1928-1953). Medvedev, who held faculty positions at the Leningrad Historical Philological Institute, The Tolmachev Military Academy and the Herzen Pedagogical Institute, was arrested in 1938 as a result of Stalin’s purges. Despite many letters of protest written on his behalf to the security police, Medvedev was shot subsequent to his arrest (Clark Holquist 264). Voloshinov, who had suffered from tuberculosis since 1914, had a relapse in 1927 and by 1934 had been placed in a sanatorium where he died in 1936 (Clark Holquist 265).

Bakhtin fared much better than the members of his Circle in regards to surviving Stalin’s purges. He was however arrested in 1929, under the pretext of his involvement in

the underground Russian Orthodox Church, more specifically the Russian Orthodox Brotherhood of Saint Serapion (Wellek 356). It is unclear to what extent Bakhtin was actually involved in either above and/or underground Christian study groups; his arrest was a result of the mass arrests of intellectuals during the early Stalinist era wherein any unconventional political activity served as a pretext for arrest. Bakhtin was sentenced to ten years on the Solovetsky Islands but his sentence was commuted to six years internal exile in Kazakhstan due to the intervention of the then “Commissar of Enlightenment,” Anatoly Lunacharsky who gave a favorable review of the Dostoevsky study that Bakhtin had submitted to the University of St. Petersburg for his doctorate degree (Wellek 356).

Although the Dostoevsky study had been rejected by the University, Bakhtin managed to have it published in 1929, the same year as his arrest. And it was while in exile in the 1930s, while working on a collective farm as a bookkeeper, that he composed his most renowned works on the theory of the novel (Morson Emerson xiv). Those works include, Problems of Dostoevsky’s Poetics (1929, 2<sup>nd</sup> ed., 1963); his doctoral dissertation, Rabelais and His World (successfully defended in 1946, but published in 1968); and The Dialogic Imagination: Four Essays by M.M. Bakhtin (translated, edited and published in 1981) (Bressler 44-45).

In 1936, Bakhtin accepted a professorship at Mordovia State Teachers College in the remote Mordovian town of Saransk. However, the threat of re-arrest prompted him to resign his post and retire to an even lesser known town. After World War II, he returned to his post at the Teachers College and remained there until his retirement. In the 1950s, a group of Moscow graduate students rediscovered the Dostoevsky book and found that Bakhtin was still alive and teaching in Saransk. It was they who persuaded him to rework

his Dostoevsky book for a second printing. Reprints and translations of his other writings (listed above) soon followed. Since Bakhtin's death in 1975, several of his essays, speeches and manuscripts have been edited and published, but the core of his literary and linguistic theories are contained in his three major works: Problems of Dostoevsky's Poetics, Rabelais and His World and The Dialogic Imagination. It is these three primary sources upon which the theoretical basis of this dissertation was built.

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## Biography

Randy Davis was born on March 14, 1962. He was raised in Richmond, Virginia and graduated from Open High School in 1979. He earned his B.S. degree in Psychology at Virginia Commonwealth University (VCU) in 1983. He has lived and worked in Bosnia (1998), Kosovo (1999) and Afghanistan (2004). In 2007, he returned to VCU to further his education and in 2008 was awarded a second bachelors degree (B.A.) in International Studies with a concentration in World Cinema and a minor in Spanish. The same year, he earned a graduate certificate in Documentary Filmmaking from George Washington University and in 2010 he was awarded a M.S. degree in Mass Communications with a concentration in Multimedia Journalism (VCU). In the PhD program in Media, Art and Text, his area of focus was Soviet/Post-Soviet cinema and film as documentary.