A Dialectic Approach to Film Form

By Sergei Eisenstein

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In nature we never see anything isolated, but everything in connection with something else which is before it, beside it, under it, and over it.
GOETHE

According to Marx and Engels the dialectic system is only the conscious reproduction of the dialectic course (substance) of the external events of the world.

Thus:
The projection of the dialectic system of things into the brain
into creating abstractly
into the process of thinking
yields: dialectic methods of thinking;
dialectic materialism – PHILOSOPHY.

And also:
The projection of the same system of things while creating concretely while giving form
yields: ART.
The foundation for this philosophy is a dynamic concept of things:
Being – as a constant evolution from the interaction of two contradictory opposites.
Synthesis – arising from the opposition between thesis and antithesis.

A dynamic comprehension of things is also basic to the same degree, for a correct understanding of art and of all art-forms, In the realm of art this dialectic principle of dynamics is embodied in

\[ \text{CONFLICT} \]

as the fundamental principle for the existence of every art-work and every art-form.

For art is always conflict:
(1) according to its social mission,
(2) according to its nature,
(3) according to its methodology.

According to its social mission because: It is art's task to make manifest the contradictions of Being. To form equitable views by stirring up contradictions within the spectator's mind, and to forge accurate intellectual concepts from the dynamic clash of opposing passions.

According to its nature because: Its nature is a conflict between natural existence and creative tendency. Between organic inertia and purposeful initiative. Hypertrophy of the purposive initiative – the principles of rational logic – ossifies, art into mathematical technicalism. (A painted landscape be comes a topographical map, a painted Saint Sebastian becomes an anatomical chart.) Hypertrophy of organic naturalness – of organic logic – dilutes art into formlessness. (A Malevich becomes a Kaulbach, an Archipenko becomes a waxworks side-show.)

Because the limit of organic form (the passive principle of being) is Nature. The limit of rational form (the active principle of production) is Industry. At the intersection of Nature and Industry stands Art.

The logic of organic form vs. the logic of rational form yields, in collision,

the dialectic of the art-form.

The interaction of the two produces and determines Dynamism. (Not only in the sense of a space-time continuum, but also in the field of absolute thinking. I also regard the inception of new concepts and viewpoints in the conflict between customary conception and particular representation as dynamic – as a dynamization of the "traditional view" into a new one.)

The quantity of interval determines the pressure of the tension. (See in music, for example, the concept of intervals. There can be cases where the distance of separation is so wide that it leads to a break – to a collapse of the homogeneous concept of art. For instance, the "inaudibility" of certain intervals.)

The spatial form of this dynamism is expression.
The phases of its tension: rhythm.

This is true for every art-form, and, indeed, for every kind of expression.
Similarly, human expression is a conflict between conditioned and unconditioned reflexes. (In this I cannot agree with Klages, who, a) does not consider human expression dynamically as a process, but statically as a result, and who, b) attributes everything in motion to the field of the "soul," and only the hindering element to "reason." ["Reason" and "Soul" of the idealistic concept here correspond remotely with the ideas of conditioned and unconditioned reflexes.])

This is true in every field that can be understood as an art. For example, logical thought, considered as an art, shows the same dynamic mechanism:

... the intellectual lives of Plato or Dante or Spinoza or New-ton were largely guided and sustained by their delight in the sheer beauty of the rhythmic relation between law and instance, species and individual, or cause and effect.

This holds in other fields, as well, e.g., in speech, where all its sap, vitality, and dynamism arise from the irregularity of the part in relation to the laws of the system as a whole.

In contrast we can observe the sterility of expression in such artificial, totally regulated languages as Esperanto.

It is from this principle that the whole charm of poetry derives. Its rhythm arises as a conflict between the metric measure employed and the distribution of accents, overriding this measure.

The concept of a formally static phenomenon as a dynamic function is dialectically imaged in the wise words of Goethe:

\[ \text{Die Baukunst ist eine erstarrte Musik.} \]
\[ \text{(Architecture is frozen music.)} \]

Just as in the case of a homogeneous ideology (a monistic viewpoint), the whole, as well as the least detail, must be penetrated by a sole principle. So, ranged alongside the conflict of social conditionality, and the conflict of existing nature, the methodology of an art reveals this same principle of conflict. As the basic principle of the rhythm to be created and the inception of the art-form.

Art is always conflict, according to its methodology.

Here we shall consider the general problem of art in the specific example of its highest form – film.

Shot and montage are the basic elements of cinema.

**Montage**

has been established by the Soviet film as the nerve of cinema.

To determine the nature of montage is to solve the specific problem of cinema. The earliest conscious film-makers, and our first film theoreticians, regarded montage as a means of description by placing single shots one after the other like building-blocks. The movement within these building-block shots, and the consequent length of the component pieces, was then considered as rhythm.

A completely false concept!

This would mean the defining of a given object solely in relation to the nature of its external course. The mechanical process of splicing would be made a principle. We cannot describe such a relationship of lengths as rhythm. From this comes metric rather
than rhythmic relationships, as opposed to one another as the mechanical-metric system of Mensendieck is to the organic-rhythmic school of Bode in matters of body exercise. According to this definition, shared even by Pudovkin as a theoretician, montage is the means of unrolling an idea with the help of single shots: the "epic" principle. In my opinion, however, montage is an idea that arises from the collision of independent shots-shots even opposite to one another: the "dramatic" principle. A sophism? Certainly not. For we are seeking a definition of the whole nature, the principal style and spirit of cinema from its technical (optical) basis. We know that the phenomenon of movement in film resides in the fact that two motionless images of a moving body, following one another, blend into an appearance of motion by showing them sequentially at a required speed. This popularized description of what happens as a blending has its share of responsibility for the popular miscomprehension of the nature of montage that we have quoted above.

Let us examine more exactly the course of the phenomenon we are discussing – how it really occurs – and draw our conclusion from this. Placed next to each other, two photographed immobile images result in the appearance of movement. Is this accurate? Pictorially – and phraseologically, yes. But mechanically, it is not. For, in fact, each sequential element is perceived not next to the other, but on top of the other. For the idea (or sensation) of movement arises from the process of superimposing on the retained impression of the object's first position, a newly visible further position of the object. This is, by the way, the reason for the phenomenon of spatial depth, in the optical superimposition of two planes in stereoscopy. From the superimposition of two elements of the same dimension always arises a new, higher dimension. In the case of stereoscopy the superimposition of two nonidentical two-dimensionalities results in stereoscopic three-dimensionality. In another field, a concrete word (a denotation) set beside a concrete word yields an abstract concept – as in the Chinese and Japanese languages, where a material ideogram can indicate a transcendental (conceptual) result. The incongruence in contour of the first picture-already impressed on the mind – with the subsequently perceived second picture engenders, in conflict, the feeling of motion. Degree of incongruence determines intensity of impression, and determines that tension which becomes the real element of authentic rhythm.

Here we have, temporally, what we see arising spatially on a graphic or painted plane. What comprises the dynamic effect of a painting? The eye follows the direction of an element in the painting. It retains a visual impression, which then collides with the impression derived from following the direction of a second element. The conflict of these directions forms the dynamic effect in apprehending the whole.

I. It may be purely linear: Fernand Léger, or Suprematism.

II. It may be "anecdotal." The secret of the marvelous mobility of Daumier's and Lautrec's figures dwells in the fact that the various anatomical parts of a body are represented in spatial circumstances (positions) that are temporally various, disjunctive. For example, in Toulouse-Lautrec's lithograph of Miss Cissy Loftus, if one logically develops position A of the foot, one builds a body in position A corresponding to it. But the body is represented from knee up already in position A + a. The cinematic effect of joined motionless pictures is already established here! From hips to shoulders we can see A + a + a. The figure comes alive and kicking!

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1 "Epic" and "dramatic" are used here in regard to methodology of form-not to content or plot!
III. Between I and II lies primitive Italian futurism – such as in Balla's "Man with Six Legs in Six Positions" – for II obtains its effect by retaining natural unity and anatomical correctness, while I, on the other hand, does this with purely elementary elements. III, although destroying naturalness, has not yet pressed forward to abstraction.

IV. The conflict of directions may also be of an ideographic kind. It was in this way that we have gained the pregnant characterizations of a Sharaku, for example. The secret of his extremely perfected strength of expression lies in the anatomical and spatial disproportion of the parts-in comparison with which, our I might be termed temporal disproportion.

Generally termed "irregularity," this spatial disproportion has been a constant attraction and instrument for artists. In writing of Rodin's drawings, Camille Mauclair indicated one explanation for this search:

The greatest artists, Michelangelo, Rembrandt, Delacroix, all, at a certain moment of the upthrusting of their genius, threw aside, as it were, the ballast of exactitude as conceived by our simplifying reason and our ordinary eyes, in order to attain the fixation of ideas, the synthesis, the pictorial handwriting of their dreams.

Two experimental artists of the nineteenth century – a painter and a poet – attempted esthetic formulations of this "irregularity." Renoir advanced this thesis:

Beauty of every description finds its charm in variety. Nature abhors both vacuum and regularity. For the same reason, no work of art can really be called such if it has not been created by an artist who believes in irregularity and rejects any set form. Regularity, order, desire for perfection (which is always a false perfection) destroy art. The only possibility of maintaining taste in art is to impress on artists and the public the importance of irregularity. Irregularity is the basis of all art.

And Baudelaire wrote in his journal:

That which is not slightly distorted lacks sensible appeal; from which it follows that irregularity—that is to say, the unexpected, surprise and astonishment, are an essential part and characteristic of beauty.

Upon closer examination of the particular beauty of irregularity as employed in painting, whether by Grünewald or by Renoir, it will be seen that it is a disproportion in the relation of a detail in one dimension to another detail in a different dimension.

The spatial development of the relative size of one detail in correspondence with another, and the consequent collision between the proportions designed by the artist for that purpose, result in a characterization – a definition of the represented matter.

Finally, color. Any shade of a color imparts to our vision a given rhythm of vibration. This is not said figuratively, but purely physiologically, for colors are distinguished from one another by their number of light vibrations. The adjacent shade or tone of color is in another rate of vibration. The counterpoint (conflict) of the two – the retained rate of vibration against the newly perceived one – yields the dynamism of our apprehension of the interplay of color.

Hence, with only one step from visual vibrations to acoustic vibrations, we find ourselves in the field of music. From the domain of the spatial-pictorial-to the domain of the temporal-pictorial—where the same law rules. For counterpoint is to music not only a form of composition, but is altogether the basic factor for the possibility of tone perception and tone differentiation.
It may almost be said that in every case we have cited we have seen in operation the same Principle of Comparison that makes possible for us perception and definition in every field. In the moving image (cinema) we have, so to speak, a synthesis of two counterpoints—the spatial counterpoint of graphic art, and the temporal counterpoint of music. Within cinema, and characterizing it, occurs what may be described as:

visual counterpoint

In applying this concept to the film, we gain several leads to the problem of film grammar. As well as a syntax of film
Artificially produced images of motion

6. [from October]

7. [from Potemkin]
b. Illogical
manifestations, in which visual counterpoint may determine a whole new system of forms of manifestation. (Experiments in this direction are illustrated in the preceding pages by fragments from my films.)

For all this, the basic premise is:

*The shot is by no means an element of montage.*

*The shot is a montage cell (or molecule).*

In this formulation the dualistic division of

- Sub-title and shot
- Shot and montage

leaps forward in analysis to a dialectic consideration as three different phases of one homogeneous task of expression, its homogeneous characteristics determining the homogeneity of their structural laws.

**Inter-relation of the three phases:**

Conflict within a thesis (an abstract idea) – formulates itself in the dialectics of the sub-title – forms itself spatially in the conflict within the shot – and explodes with increasing intensity in montage-conflict among the separate shots.

This is fully analogous to human, psychological expression. This is a conflict of motives, which can also be comprehended in three phases:

1. Purely verbal utterance. Without intonation-expression in speech.
3. Projection of the conflict into space. With an intensification of motives, the zigzag of mimic expression is propelled into the surrounding space following the same formula of distortion. A zigzag of expression arising from the spatial division caused by man moving in space. Mise-en-scène. This gives us the basis for an entirely new understanding of the problem of film form.

We can list, as examples of types of conflicts within the form-characteristic for the conflict within the shot, as well as for the conflict between colliding shots, or, montage:

1. Graphic conflict (see Figure 1).
2. Conflict of planes (see Figure 2).
3. Conflict of volumes (see Figure 3).
4. Spatial conflict (see Figure 4).
5. Light conflict.
6. Tempo conflict, and so on.

Nota bene: This list is of principal features, of dominants. It is naturally understood that they occur chiefly as complexes.

For a transition to montage, it will be sufficient to divide any example into two independent primary pieces, as in the case of graphic conflict, although all other cases can be similarly divided:

Some further examples:
7. Conflict between matter and viewpoint (achieved by spatial distortion through camera-angle) (see Figure 5).
8. Conflict between matter and its spatial nature (achieved by optical distortion by the lens).
9. Conflict between an event and its temporal nature (achieved by slow-motion and stop-motion) and finally
10. Conflict between the whole optical complex and a quite different sphere. Thus does conflict between optical and acoustical experience produce:

    sound-film,

which is capable of being realized as

audio-visual counterpoint.

Formulation and investigation of the phenomenon of cinema as forms of conflict yield the first possibility of devising a homogeneous system of visual dramaturgy for all general and particular cases of the film problem.

Of devising a dramaturgy of the visual film-form as regulated and precise as the existing dramaturgy of the film-story.

From this viewpoint on the film medium, the following forms and potentialities of style may be summed up as a film syntax, or it may be more exact to describe the following as:

    a tentative film-syntax.
We shall list here a number of potentialities of dialectical development to be derived from this proposition: The concept of the moving (time-consuming) image arises from the superimposition – or counterpoint – of two differing immobile images.


II. An artificially produced image of motion. The basic optical element is used for deliberate compositions:
   A. Logical
      Example 1 (from October): a montage rendition of a machine-gun being fired, by cross-cutting details of the firing.
      Combination B (see Figure 6): Effect almost of double exposure achieved by clatter montage effect. Length of montage pieces – two frames each.
      
      Example 2 (from Potemkin): an illustration of instantaneous action. Woman with pince-nez. Followed immediately – without transition – by the same woman with shattered pince-nez and bleeding eye: impression of a shot hitting the eye (see Figure 7).
   B. Illogical
      Example 3 (from Potemkin): the same device used for pictorial symbolism. In the thunder of the Potemkin's guns, a marble lion leaps up, in protest against the blood-shed on the Odessa steps (see Figure 8). Composed of three shots of three stationary marble lions at the Alupka Palace in the Crimea: a sleeping lion, an awakening lion, a rising lion. The effect is achieved by a correct calculation of the length of the second shot. Its superimposition on the first shot produces the first action. This establishes time to impress the second position on the mind. Superimposition of the third position on the second produces the second action: the lion finally rises.
      Example 4 (from October): Example 1 showed how the firing was manufactured symbolically from elements outside the process of firing itself. In illustrating the monarchist putsch attempted by General Kornilov, it occurred to me that his militarist tendency could be shown in a montage that would employ religious details for its material. For Kornilov had revealed his intention in the guise of a peculiar "Crusade" of Moslems (!), his Caucasian "Wild Division," together with some Christians, against the Bolsheviki. So we intercut shots of a Baroque Christ (apparently exploding in the radiant beams of his halo) with shots of an egg-shaped mask of Uzume, Goddess of Mirth, completely self-contained. The temporal conflict between the closed egg-form and the graphic star-form produced the effect of an instantaneous burst – of a bomb, or shrapnel (see Figure 9).

2 Examples of more primitive effects belong here also, such as simple cross-cutting of church spires, angled in mutual opposition.

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tendentious-or ideological-expressive- ness of such materials, will be discussed below.)

Thus far the examples have shown primitive-physiological cases – employing superimposition of optical motion exclusively.

III. Emotional combinations, not only with the visible elements of the shots, but chiefly with chains of psychological associations. Association montage. As a means for pointing up a situation emotionally.

In Example I, we had two successive shots A and B, identical in subject. However, they were not identical in respect to the position of the subject within the frame:

![Diagram of A and B positions](image)

producing *dynamization in space*—an impression of spatial dynamics:

The degree of difference between the positions A and B determines the tension of the movement.

For a new case, let us suppose that the subjects of Shots A and B are not identical. Although the associations of the two shots are identical, that is, associatively identical. This dynamization of the subject, not in the field of space but of psychology, i.e., emotion, thus produces:

emotional dynamization.

Example 1 (in Strike): the montage of the killing of the workers is actually a cross montage of this carnage with the butchering of a bull in an abattoir. Though the subjects are different, "butchering" is the associative link. This made for a powerful emotional intensification of the scene. As a matter of fact, homogeneity of gesture plays an important part in this case in achieving the effect – both the movement of the dynamic gesture within the frame, and the static gesture dividing the frame graphically.

This is a principle subsequently used by Pudovkin in *The End of St. Petersburg*, in his powerful sequence intercutting shots of stock exchange and battlefield. His previous film, Mother, had a similar sequence: the ice-break on the river, paralleled with the workers' demonstration.

Such a means may decay pathologically if the essential viewpoint – emotional dynamization of the subject – is lost. As soon as the film-maker loses sight of this essence the means ossifies into lifeless literary symbolism and stylistic mannerism. Two examples of such hollow use of this means occur to me:
Example 2 (in October): the sugary chants of compromise by the Mensheviki at the Second Congress of Soviets – during the storming of the Winter Palace – are intercut with hands playing harps. This was a purely literary parallelism that by no means dynamized the subject matter. Similarly in Otzep's Living Corpse, church spires (in imitation of those in October) and lyrical landscapes are intercut with the courtroom speeches of the prosecutor and defense lawyer. This error was the same as in the "harp" sequence.

On the other hand, a majority of purely dynamic effects can produce positive results:
Example 3 (in October): the dramatic moment of the union of the Motorcycle Battalion with the Congress of Soviets was dynamized by shots of abstractly spinning bi-cycle wheels, in association with the entrance of the new delegates. In this way the large-scale emotional content of the event was transformed into actual dynamics.

This same principle – giving birth to concepts, to emotions, by juxtaposing two disparate events – led to:

IV. Liberation of the whole action from the definition of time and space. My first attempts at this were in October.

Example I: a trench crowded with soldiers appears to be crushed by an enormous gun-base that comes down inexorably. As an anti-militarist symbol seen from the viewpoint of subject alone, the effect is achieved by an apparent bringing together of an independently existing trench and an overwhelming military product, just as physically independent.

Example 2: in the scene of Kornilov's putsch, which puts an end to Kerensky's Bonapartist dreams. Here one of Kornilov's tanks climbs up and crushes a plaster-of-Paris Napoleon standing on Kerensky's desk in the Winter Palace, a juxtaposition of purely symbolic significance.

This method has now been used by Dovzhenko in Arsenal to shape whole sequences, as well as by Esther Schub in her use of library footage in The Russia of Nikolai II and Lev Tolstoy.

I wish to offer another example of this method, to upset the traditional ways of handling plot—although it has not yet been put into practice.

In 1924-1925 I was mulling over the idea of a filmic portrait of actual man. At that time, there prevailed a tendency to show actual man in films only in long uncut dramatic scenes. It was believed that cutting (montage) would destroy the idea of actual man. Abram Room established something of a record in this respect when he used in The Death Ship uncut dramatic shots as long as 40 meters or 135 feet. I considered (and still do) such a concept to be utterly unfilmic.

Very well – what would be a linguistically accurate characterization of a man?

His raven-black hair…
The waves of his hair…
His eyes radiating azure beams…
His steely muscles…

Even in a less exaggerated description, any verbal account of a person is bound to find itself employing an assortment of waterfalls, lightning-rods, landscapes, birds, etc.

Now why should the cinema follow the forms of theater and painting rather than the methodology of language, which allows wholly new concepts of ideas to arise from the combination of two concrete denotations of two concrete objects? Language is much
closer to film than painting is. For example, in painting the form arises from abstract elements of line and color, while in cinema the material concreteness of the image within the frame presents – as an element – the greatest difficulty in manipulation. So why not rather lean towards the system of language, which is forced to use the same mechanics in inventing words and word-complexes?

On the other hand, why is it that montage cannot be dispensed with in orthodox films? The differentiation in montage-pieces lies in their lack of existence as single units. Each piece can evoke no more than a certain association. The accumulation of such associations can achieve the same effect as is provided for the spectator by purely physiological means in the plot of a realistically produced play. For instance, murder on the stage has a purely physiological effect. Photographed in one montage-piece, it can function simply as information, as a sub-title. Emotional effect begins only with the reconstruction of the event in montage fragments, each of which will summon a certain association – the sum of which will be an all-embracing complex of emotional feeling. Traditionally:

1. A hand lifts a knife.
2. The eyes of the victim open suddenly.
3. His hands clutch the table.
4. The knife is jerked up.
5. The eyes blink involuntarily.
7. A mouth shrieks.
8. Something drips onto a shoe . . .

and similar film clichés. Nevertheless, in regard to the action as a whole, each fragment-piece is almost abstract. The more differentiated they are the more abstract they become, provoking no more than a certain association.

Quite logically the thought occurs: could not the same thing be accomplished more productively by not following the plot so slavishly, but by materializing the idea, the impression, of Murder through a free accumulation of associative matter? For the most important task is still to establish the idea of murder – the feeling of murder, as such. The plot is no more than a device without which one isn’t yet capable of telling something to the spectator! In any case, effort in this direction would certainly produce the most interesting variety of forms.

Someone should try, at least! Since this thought occurred to me, I have not had time to make this experiment. And today I am more concerned with quite different problems. But, returning to the main line of our syntax, something there may bring us closer to these tasks.

While, with I, II, and III, tension was calculated for purely physiological effect – from the purely optical to the emotional, we must mention here also the case of the same conflict-tension serving the ends of new concepts – of new attitudes, that is, of purely intellectual aims.

Example 1 (in October): Kerensky’s rise to power and dictatorship after the July uprising of 1917. A comic effect was gained by sub-titles indicating regular ascending ranks (“Dictator” – “Generalissimo” – “Minister of Navy-and of Army” – etc.) climbing higher and higher-cut into five or six shots of Kerensky, climbing
the stairs of the Winter Palace, all with exactly the same pace. Here a conflict between the flummery of the ascending ranks and the "hero's" trotting up the same unchanging flight of stairs yields an intellectual result: Kerensky's essential nonentity is shown satirically. We have the counterpoint of a literally expressed conventional idea with the pictured action of a particular person who is unequal to his swiftly increasing duties. The incongruence of these two factors results in the spectator's purely intellectual decision at the expense of this particular person. Intellectual dynamization.

Example 2 (in October): Kornilov's march on Petrograd was under the banner of "In the Name of God and Country." Here we attempted to reveal the religious significance of this episode in a rationalistic way. A number of religious images, from a magnificent Baroque Christ to an Eskimo idol, were cut together. The conflict in this case was between the concept and the symbolization of God. While idea and image appear to accord completely in the first statue shown, the two elements move further from each other with each successive image (see Figure 10). Maintaining the denotation of "God," the images increasingly disagree with our concept of God, inevitably leading to individual conclusions about the true nature of all deities. In this case, too, a chain of images attempted to achieve a purely intellectual resolution, resulting from a conflict between a preconception and a gradual discrediting of it in purposeful steps.

Step by step, by a process of comparing each new image with the common denotation, power is accumulated behind a process that can be formally identified with that of logical deduction. The decision to release these ideas, as well as the method used, is already intellectually conceived.

The conventional descriptive form for film leads to the formal possibility of a kind of filmic reasoning. While the conventional film directs the emotions, this suggests an opportunity to encourage and direct the whole thought process, as well. These two particular sequences of experiment were very much opposed by the majority of critics. Because they were understood as purely political. I would not attempt to deny that this form is most suitable for the expression of ideologically pointed theses, but it is a pity that the critics completely overlooked the purely filmic potentialities of this approach.

In these two experiments we have taken the first embryonic step towards a totally new form of film expression. Towards a purely intellectual film, freed from traditional limitations, achieving direct forms for ideas, systems, and concepts, with- out any need for transitions and paraphrases. We may yet have a

\[ \text{synthesis of art and science.} \]

This would be the proper name for our new epoch in the field of art. This would be the final justification for Lenin's words, that "the cinema is the most important of all the arts."

Moscow, April 1929