Socialist Realism, Modernism, and Dmitry Shostakovich's *Odna* (*Alone*, 1931)

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Abstract:

After the somewhat unsuccessful premiere of *The New Babylon* in 1929, Grigoriy Kozintsev and Leonid Trauberg embarked on a new film, *Odna (Alone).* At this point in time, the arts, including music and film, were experiencing a shift into what would become the socialist realist aesthetic that dominated the 1930s and beyond. Composers, artists, writers and film directors were placed in a position where they were increasingly forced to negotiate between state politics and progressive art. On the film 'front', technology was rapidly changing. The March 1928 Party Conference on Cinema questioned and further defined the 'Soviet' film, which placed greater demands and restrictions on film-makers. These conferences and state organizations required that film be entertaining, profitable and properly socialist - a difficult request to fulfil, since many Soviet-made films were educational and therefore unpopular when compared to those starring Charlie Chaplin. With the introduction of the possibilities of sound film in the early 1930s, many directors, such as Kozintsev and Trauberg, were already beginning to experiment by adding music and sound effects to their film projects. In 1931, the first sound films were introduced to the public, among them *Alone* and Dziga Vertov's *Enthusiasm (Symphony of the Donbass).*

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*****Note: Full text of article below**

5 Socialist realism, modernism and Dmitriy Shostakovich's *Odna* (*Alone*, 1929–1931)

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After the somewhat unsuccessful premiere of *The New Babylon* in 1929, Grigoriy Kozintsev and Leonid Trauberg embarked on a new film, *Odna* (*Alone*). At this point in time, the arts, including music and film, were experiencing a shift into what would become the socialist realist aesthetic that dominated the 1930s and beyond.[1] Composers, artists, writers and film directors were placed in a position where they were increasingly forced to negotiate between state politics and progressive art. On the film 'front', technology was rapidly changing. The March 1928 Party Conference on Cinema questioned and further defined the 'Soviet' film, which placed greater demands and restrictions on film-makers.[2] These conferences and state organizations required that film be entertaining, profitable and properly socialist – a difficult request to fulfil, since many Soviet-made films were educational and therefore unpopular when compared to those starring Charlie Chaplin.[3] With the introduction of the possibilities of sound film in the early 1930s, many directors, such as Kozintsev and Trauberg, were already beginning to experiment by adding music and sound effects to their film projects. In 1931, the first sound films were introduced to the public, among them *Alone* and Dziga Vertov's *Enthusiasm* (*Symphony of the Donbass*).

Film underwent changes in technology, formal technique and approach to narrative, drawing from modernist and agitational-propaganda ('agit-prop') trends from the mid 1920s forward. Regarded as the most innovative medium of all the arts because of its potential to carry the socialist message, film was required by Sovkino (the state film organization) to be 'intelligible to the millions'.[4] Film music, particularly from 1928 to 1932, therefore needed to follow this vague guideline. Shostakovich's score to *Alone* was evaluated accordingly, as either 'intelligible' enough to the public or too formalist, that is, modernist, to serve the 'millions'.

Alone, the first sound film for which Shostakovich composed music, embodies and symbolizes a transition from the aesthetics of the 1920s to those of the early 1930s, often described as a move from modernism to socialist realism.[5] Beginning with *The New Babylon*, institutions such as Sovkino regarded music for film as part of the propaganda machine.[6] Such music could serve the political agenda of the post-revolutionary period by

providing an outlet for the function of music – music could finally be 'for the masses'. Moderate-modern composers such as Shostakovich became part of the process of negotiating between innovative musical trends and the increasing need for music that reflected socialist ideas in film. *Alone* thus presents a case where this negotiation reveals greater complexity than the terms 'modernism' and 'socialist realism' imply.

Instead of presuming a simplistic transition from one monolithic trend to another, scholars have been challenging the implied dichotomy of the two trends of modernism and socialist realism. Boris Groys, Irina Gutkin and Neil Edmunds among others have shown that there are overlapping connections or shared tropes between elements of modernism and socialist realism, ultimately revealing that the boundary between the two concepts is far more fluid than previously thought.[7] The fluidity of this boundary is apparent in musical culture as well. Many composers who were often categorized as modernist throughout the 1920s, including Shostakovich, wrote for the socialist cause. As early as the 1930s, contemporaneous writers such as Leonid Sabaneyev observed this overlapping of modernism and socialist realism in musical trends.[8] This observation has also been made by scholars today such as Levon Hakobian and David Haas, who have recognized that modernist composers such as Shostakovich had written for socialist content.[9] It therefore comes as no surprise that Shostakovich was especially prepared to write film music, such as the score for *Alone*, which combined musical innovation with socialist goals.

After *The New Babylon*, a film that used the defeat of the 1871 Parisian Commune as a symbol of the proletariat, Kozintsev and Trauberg sought to represent the construction of an individual who embodies the motives and power of socialist politics.[10] Inspired by a newspaper article about a woman rescued by the government from nearly freezing to death in Siberia, Trauberg initiated the idea of having a 'positive' heroine who undergoes character transformation as the central focus of the film.[11] The title, *Alone*, refers to a young woman, played by Yelena Kuz'mina. A recent graduate from the Pedagogical Technical School in Leningrad, Kuz'mina is sent by the government to teach Oirat villagers in the Altai region of Siberia.[12] The first half of the film concentrates on her naive anticipation of her new life after graduation and her hesitant acceptance of her appointment in the Altai.[13] The second half of the film is designed to contrast with the first in terms of film style, music and Kuz'mina's character development. As Kozintsev wrote, the cheery 'tonality' of the first half was 'important for the contrast with the real life' of the second part of the film.[14] Shot entirely in the Altai, the second part consists of scenes of the everyday pastoral, pre-Soviet life of the villagers; and Kuz'mina's eventual involvement in the conflict between the Oirat villagers, the *bai* (the owner of the land), the chairman of the village council (*sel'sovet*)

and a vilified, unnamed 'kulak'. Although initially interested only in teaching the children, Kuz'mina finds herself in the middle of a class war, which begins when the *bai* and the chairman sell the villagers' sheep to this unknown kulak. After nearly freezing to death in order to find the villagers help, the film ends with the villagers revolting, having adopted Kuz'mina's newly discovered Soviet spirit, and with Kuz'mina being flown on the 'airplane from heaven' to the nearest city to receive medical treatment. Received as one of the first 'psychological' and realist films, *Alone* reveals a significant shift from the 1920s-era idea of the individual superficially representing the mass, seen in films such as *Battleship Potemkin*. Instead, it focuses on the exploration of an individual's inner world: in this case, Kuz'mina's transformation from the child-like 'bourgeois' *intelligent* into a representative of the socialist state.

The intention of Kozintsev and Trauberg to create a realist film based on the transformation of the individual can be viewed in part as a metaphor for their own transformation as film directors.[15] By the end of the 1920s, the 'eccentrism' expressed in their earlier films was becoming more conservative and less of a modernist 'slap in the face'. Kozintsev repeatedly emphasized in his writings that the Soviet montage technique and character typage, exemplified by Sergey Eisenstein and Dziga Vertov, had 'outlived their usefulness', that is, failed to be useful in discovering the inner world of an individual character.[16] Thus, Kozintsev and Trauberg approached *Alone* differently, utilizing longer, lingering shots, slower editing, and only occasional dialectical montage that served to depict the inner world of the heroine or represent the Oirat villagers in a near-documentary fashion.[17] This style and approach to character development moved towards what would become Kozintsev and Trauberg's brand of realism, in severe contrast with their rebellious and modernist style of the mid 1920s. Although born of experimentation in the spirit of modernism, the realism of the final version of *Alone* would become common to dramatic socialist realist film for the remainder of the 1930s.[18]

Just as *Alone* is transitional in terms of its plot and film techniques, that is, caught between two aesthetics that are regarded as mutually exclusive, it is also transitional and innovative in its approach to sound. *Alone* was the first Soviet film to be conceived as a 'sound' film. In actual practice, *Alone* uses a combination of both silent film techniques and sound film, which resulted from the newness of the technology and unavailability of sound equipment during shooting in the Altai.[19] As a result, intertitles relate the speech of the characters, with only one instance of synchronized voice.[20] Despite faulty recording equipment and technical restrictions, however, Kozintsev stated that the film was shot 'theoretically' with sound in mind.[21] For Kozintsev, the sound design of the film involved more than Shostakovich's score – it included pre-recorded song and 'found' sound effects, such as car horns or ticking clocks, which were often layered or interwoven into Shostakovich's score.[22] It

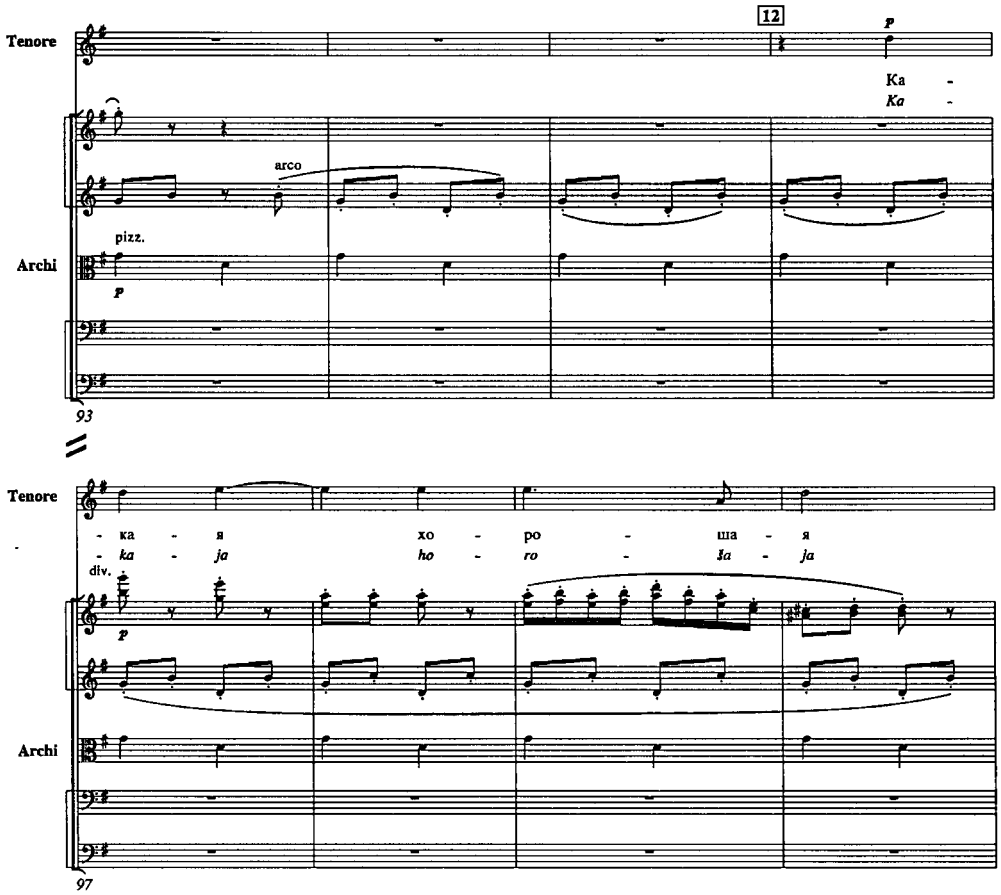
was after the shooting was completed that the sound effects, recorded song and Shostakovich's music were compiled and recorded by Lenfil'm's hired orchestra as a whole soundtrack.

In his book *The Deep Screen*, Kozintsev expressed how he had wanted to continue the work of *The New Babylon* with Shostakovich, implying that he wanted to make the music, and had later considered it to be, an integral part of the film.[23] Even though music was deemed a necessary part of film at this time, the execution of 'music in film' was still relatively new in the Soviet Union. Shostakovich's music permeates most of the film, acting as a commentary or character in the drama, and extends the philosophy of sound/image interaction with which the directors and composer had begun to experiment in *The New Babylon*.[24] The score predominantly contains recurring motives and repeated sections. These motives interact with other recorded sounds, such as ethnographic recording to depict the characters and their inner worlds, or to serve as placeholders for speech. The composer and the directors thus created a score that went beyond basic accompaniment; instead, it exemplified what directors such as Eisenstein and Vsevolod Pudovkin called the 'counterpoint' between sound and image.[25]

Since this film was designed with contrast in mind, the first half was intended to represent Kuz'mina's life before her transformation. As Kozintsev had stated in *The Deep Screen*, music and image were created as two aspects of one idea. The music in the first half of the film therefore echoed the cinematographer Andrey Moskvin's focus on the colour white – bright, tonal and clear. The song, 'Kakaya khoroshaya budet zhizn" (How Good Life Will Be), functions as the main motive of the film, acting as an aural complement to the visual brightness (Ex. 5.1).

This song also plays a significant role in character development and acts as a commentary on the main social message of the film. It appears after Kuz'mina prepares for the day and meets her fiancé on the street, and is therefore initially associated with the happy young couple. They travel around the city, gazing through store windows at china sets, and picking out new furniture and other fixtures for their future 'bourgeois' home. Dressed in white, these two lovers prance around in ecstasy, hanging off trolleybuses covered in white flowers and playing instruments and metal pots in department stores, while the song plays in the background. The words 'How Good Life Will Be' are reiterated throughout, with little variation in the text or the music. Kozintsev retrospectively stated that this song, which he called a galop, was intended to be 'ironic' in its depiction of a young naive girl and her unarticulated and trite desires.[26] The bright quality of the music and the images, especially the use of the colour white, was designed to parody the radiant, permanently smiling young people building their new lives. As Kozintsev declared in 1966, the work team of *Alone* did not subscribe to the

Example 5.1 An excerpt from *Alone*, No. 6, the beginning of the vocal part of the 'How Good Life Will Be' episode. The overall form of the section is: *Instrumental (Intro–A–A–B–Intro) – Song (C–C–D–D[1]–D) – Instrumental coda (E–E–F)*, of which this page shows the vocal line from the beginning of the 'C' section. *NCW*, vol. CXXIII (Moscow: DSCH Publishers, 2004), bb. 93–100. All subsequent examples are from this edition unless otherwise indicated.



non-stop smiling aesthetic that, ironically, later became the crux of the socialist realist film-making aesthetic.[27] The shooting and the editing in combination with the exaggerated 'happy' content of the music therefore create a sense of irony. By itself, however, the music may not easily be interpreted as ironic. Shostakovich had already commented, when referring to his opera *The Nose*, that his music did not try to 'be witty': 'The music does not carry any deliberately "parodying" overtone ... Despite all of the comicalness of what is happening on stage, the music does not make things comical.'[28]

It is possible that 'How Good Life Will Be' was composed and carefully placed in the film with the same principle in mind. The *combination* of the shooting, colour palette, music and editing creates the irony of which

Table 5.1 Table of motives in *Alone*

Motive/idea	*Motive type*[a]	*Number(s)*[b]	*Reel(s)*	*Association(s)*[c]
How good life will be	Leitmotive	6, 14, 25	1, 2	Kuz'mina
Barrel-organ	Reminiscence	3, 13, 18 (R3), 19	1, 2, 3	Urban/bourgeois
March A	Motive	4, 7, 12	1, 2	Kuz'mina's attitude
March B	Non-recurring	10, 11	1, 2	Girl in hallway
Russian lot	Reminiscence	20, 24, 40	4, 7	Altai/people of Altai
Bai	Reminiscence	17, 22, 30	3, 4, 5	*Bai*
Chairman of village council (snoring)	Reminiscence	26, 33 (R5), 43	4, 5, 7	Chairman of village council

Notes: [a] At times, I use the term 'reminiscence motive' instead of 'leitmotive' to indicate that a motive is connected to a secondary theme in the film as opposed to its primary theme. For more information on my motive distinctions, see Joan Titus, 'Modernism, Socialist Realism, and Identity, in the Early Film Music of Dmitry Shostakovich, 1929–1932', Ph.D. dissertation, Ohio State University, 2006, chapters 2 and 4.
[b] These numbers correspond to the numbers in the recent version of *Alone* in the *New Collected Works of Shostakovich*. See *NCW*, vol. CXXIII (Moscow: DSCH Publishers, 2004). Not all of the numbers are indicated here, since my discussion focuses on a few recurring themes within the work. Numbers that are missing (for example, '1') are other motives not discussed here or underscoring. For a more detailed table of motives throughout *Alone*, see Titus, 'Modernism, Socialist Realism and Identity', p. 417.
[c] 'Association(s)' can refer to a character, place or idea.

Kozintsev wrote. The images of the white and sunny clothing and character of the couple, their playing of pots, pans and a violoncello in department stores, and carefree rides on the tram are edited to converge exactly with specific cadences, climaxes and repetitions of the musical phrases. It was Shostakovich's sense of musical timing and humour that contributed to the end result – an overly positive rendering of the couple that Kozintsev felt was a parody of bourgeois ideals. These scenes act in contrast to the burgeoning socialist ideals that would appear in the second half of the film.

This notion of contrast permeates the film and begins at the point when Kuz'mina receives her assignment. Walking out from a building's shadow, creating a shot that is half black and half white, Kuz'mina stands silent while a 'march', as it is notated in the score, sounds in the underscoring.[29] This march (labelled March A in Table 5.1) had appeared initially when Kuz'mina walked on to the street to wait for her fiancé earlier in the day. The martial dotted rhythmic-melodic idea in the key of C major dominates the tune and appears to emulate the physical motion of Kuz'mina's cheerful walking in its initial appearance. On the street with her new, Altai assignment, however, the march, generally unchanged, takes on a different character in its new key of E minor, as she stands contemplating her fate. The music here 'anchors' the image, demonstrating Shostakovich's continued use of his first principle, his 'principle of the shot', which he had theorized after having composed his

score to *The New Babylon*.[30] The reappearance of the march directly refers to her dreams and previous naive attitude towards her future, while its change in key indicates a souring of her dreams and a change in her life's direction.

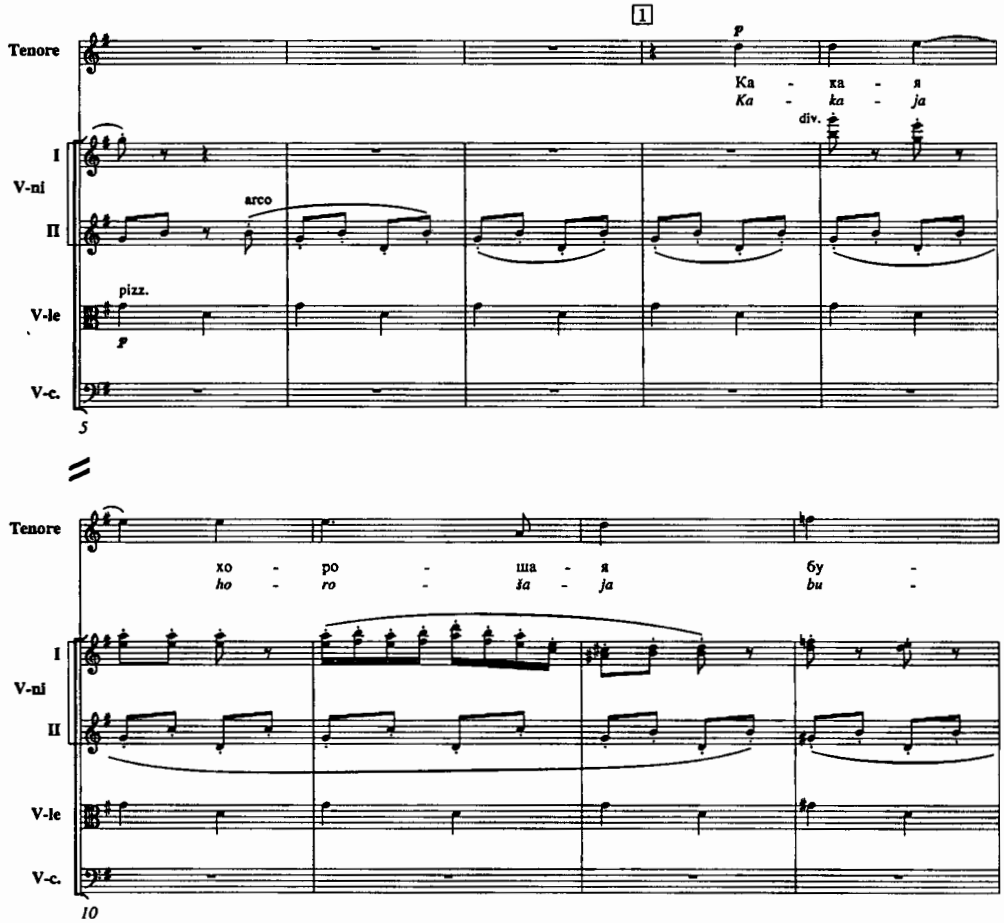
Other recurring motives, such as March A and the main leitmotive 'How Good Life Will Be', continue to play a role in the creation of contrast and irony, yet change meaning as Kuz'mina transforms throughout the film. Standing in the hallway of the building where she received her assignment, with a new march in the underscoring (March B), she encounters an enthusiastic citizen who wishes to be sent far away, but is not allowed to go (Table 5.1).[31] Kuz'mina momentarily doubts her desire to request a different position. Nonetheless, she complains and begs not to be sent to the Altai, especially since she is to be married and was going to buy new furniture. At this point, March A returns to accompany her question 'Why am I chosen to go the Altai?' (Table 5.1).[32] As she then begins to enumerate all of the lovely things she anticipated, March A immediately segues into a reappearance of the barrel-organ motive in exactly the same key, another reminiscence motive also associated with Kuz'mina's naive optimism that was depicted earlier in the film.[33] The instrumentation has changed, however, to a 'hand organ'.[34] This formerly underscored tune initially attributed to the diegetic barrel-organ player on the street from earlier in the film is, for the first time, played on the instrument for which it was intended, further reinforcing the association with the image of the barrel-organ player. The reappearance and elision of these motives in connection with Kuz'mina's daydreaming lend an ironic character to this scene, and continue to emphasize the intended 'parodic-naive' tone of the first half of the film.

After leaving the room with her new assignment, Kuz'mina stops in the hall, contemplative. Confronted by an older man who begins to commiserate with her, the main leitmotive 'How Good Life Will Be' returns with its original text and original key area of G major, finishing with an overdubbed spoken statement of the song's text (see Table 5.1 and Ex. 5.2).

At that moment, Kuz'mina tears up the new assignment and storms out of the building, having decided to accept the post in the Altai. The leitmotive here is less forceful, given its slower tempo marking, and is clearly placed at a turning point in the action. It signals a deserting of her possible 'good life' for another path that, as the film later shows, is a better 'socialist' life than the one she would have had.[35]

The main leitmotive makes its final appearance in the second half of the film when Kuz'mina confronts the chairman of the village council in his home, confirming the heroine's complete transformation. The scene begins with Kuz'mina screaming twice at the chairman to get out of bed; instead of her voice, the rattling of an alarm clock, originally used earlier in the film, sounds. After a quick montage of images of the chairman's home, the leitmotive enters

Example 5.2 An excerpt from the reappearance of 'How Good Life Will Be', an exact repetition of the song part of No. 6. *Alone*, No. 14, bb. 5–13



the moment Kuz'mina speaks to the awakened man, and acts in the interest of the village.[36] The song reappears exactly as it did in No. 6. Instead of ironically depicting Kuz'mina's bourgeois 'good life' in the beginning of the film, the song could function as a ironic commentary on the anti-Soviet life of the chairman. This commentary becomes apparent when, after the appearance of this motive, the chairman reveals his allegiance to the *bai* and disinterest in the life of the villagers. Since the focus is on Kuz'mina, this leitmotive could have a secondary meaning, as a commentary on her new 'good life', which involves the building of socialism in this remote village. The original ironic meaning is therefore transformed by the new context. While it may still remain a parody of anti-Soviet life, it may also be sincere: in this film, a 'good life' is a socialist life. Although musically unchanged, the main motive of the film therefore mirrors the dramatic focal point of the film – Kuz'mina's character transformation from 'bourgeois' *intelligent* to socialist citizen.

The approach to the song 'How Good Life Will Be' can be read as a combination of modernist and socialist realist traits. The ironic first appearance of the song is modernist in its potential for multivalency and sense of humour, similar to the techniques Shostakovich used in *The Nose*. This irony was apparent to critics such as Yeremiya Yoffe, who considered the section with the 'flying tram' and 'How Good Life Will Be' 'parodic', especially in comparison to the 'internal, subjective' musical nature of the second half of the film.[37] Another critic, Pavina Rïbakova, also wrote that the leitmotivic song had 'mocking bourgeois characteristics'.[38] The final appearance of the tune clarifies that this modernist use of irony was eventually intended for a socialist meaning – it was Kuz'mina's character, not the musical idea, that was initially insincere.

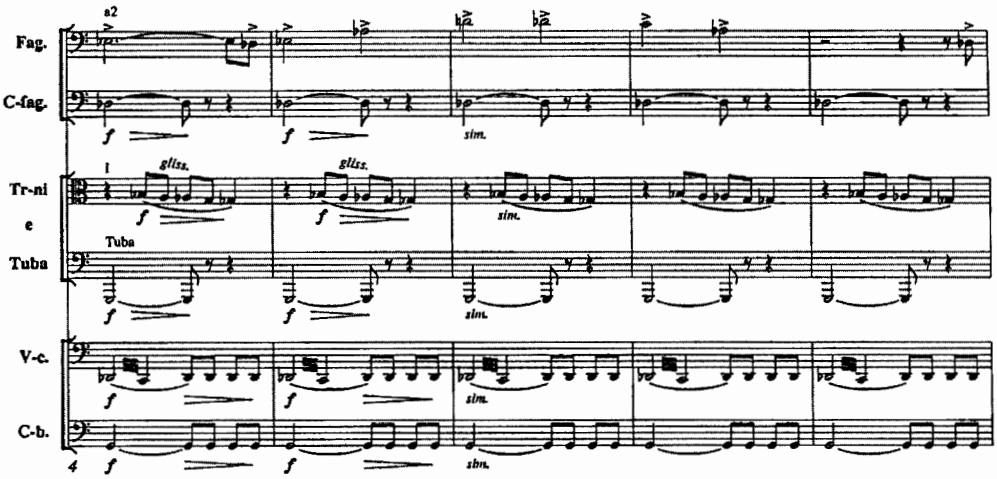
As Kozintsev noted, the second half of the film was designed to stand in stark contrast to the first half. Recurring motives function in a grotesque manner, representing anti-Soviet characters such as the *bai* or the chairman, while 'folk' music and ethnographic recordings are associated with Kuz'mina and the villagers. For the chairman, a reminiscence motive/section is first heard when Kuz'mina finds him in his home sleeping and accompanying himself with obnoxious snoring. In an instance of movement between the diegetic space of the film and the non-diegetic underscoring, the loud snore of the napping chairman is made musical. Kozintsev described this 'snoring scene':[39]

> The snoring, at first usual, mundane, was the only sound of the scene; then the snore became louder, started to burst and whistle (we invited a special imitator) and finally, the whole symphony orchestra joins in a hoarse wheeze, turning his loud snore into a kind of prehistoric animal. The teacher begs and pleads, tears appear in her eyes, but slowly and heavily the musical action gathers strength, growing into a symphonic snore.[40]

After finally rising out of bed, the chairman is accompanied by this 'symphonic snore', which enters with a dirge-like motive in the contrabassoons and low brass. This consists of an undulating minim motive accompanied by snore-like glissandi in the high range of the trombones, musically picking up the actor's snore and using it as an ostinato throughout the remainder of the scene, where the chairman denies Kuz'mina any help in her situation (Ex. 5.3).

Kozintsev's description of the snore turning orchestral – or, as he also described it, the use of a sound to lead the image – again picks up on Shostakovich's 'principle of the shot', which he used in *The New Babylon*.[41] He uses his music as the main agent of meaning to clearly depict the chairman as grotesque and antithetical to Kuz'mina. This is reminiscent of similar musical techniques in *The Nose* used to express the physicality of the imagery. In the opening act of the opera, the vulgar snore of the main character, Kovalyov, acts as part of the orchestral texture, which mainly consists of

Example 5.3 An excerpt from the reminiscence motive/section of the 'snoring' scene. *Alone*, No. 26, bb. 4–8



glissando slides in the trombone and the violin. A similar orchestration and texture appear in *Alone*, where the music comes to depict the chairman's indifference to Kuz'mina as well as his questionable and boorish character. The chairman's position is made clearer when the same section of music recurs during his last two appearances, when he indifferently watches the *bai* undermine the villagers (see Table 5.1). Shostakovich thus continued the experiment of *The New Babylon* by musically reinforcing the main idea of the scene – he made the physical musical, while characterizing the chairman as an 'enemy'.

The *bai* is also characterized as similarly anti-Soviet, particularly through Shostakovich's music. Unlike other associative music in the film, no specific melody represents the *bai*. Instead, the *bai* is associated with the general idea of the Altai through musical colour, or timbre. On one level, musically linking the Altai and the *bai* can be understood in terms of the musical representation of the second half of the film. As Kozintsev has remarked, the music had changed from the 'bright' tone of the first half of the film to a 'darker' tone for the second.[42] The music of the second half opposes the 'bright' tonal homophony of the first half with minor-mode linear layering of solo wind instruments, including oboe, bassoon and flute. This instrumentation and timbral quality are used both for images of the Altai and for the *bai*, although the Altai music is accompanied by either a semitonal undulating line, sometimes played in the solo bassoon or oboe, or a scalar melody that ends in a long trill.[43] There are instances, however, of consistent instrumentation and melodic ideas that almost constitute a motive for the *bai*. In fact, the composer intended that the use of solo woodwinds for the motives associated with the Altai and the *bai*

should have a timbral association, that is, should function as 'leit-timbre'.[44] These melodies are played by one or two solo woodwinds, which are accompanied sparsely with either steady quavers or a drone, scalar in ascent and descent, and use grace note 'hiccups', almost 'leit-gestures' that add to the grotesque sound of the *bai*. These specific instruments and their motives vary each time they reappear throughout the remainder of the film and only in association with the *bai*. He appears in three moments throughout the second half of the film: (1) when Kuz'mina introduces herself to the chairman; (2) in the classroom to intimidate Kuz'mina and take the children into the field to help tend the sheep; and (3) at the end, when they argue over the fate of the sheep and the villagers (see Table 5.1). This is therefore an instance where associations are more strongly rooted in timbral quality than in melodic motive, showing the versatility of Shostakovich's ability to represent and depict the grotesquerie of anti-Soviet characters in the film.

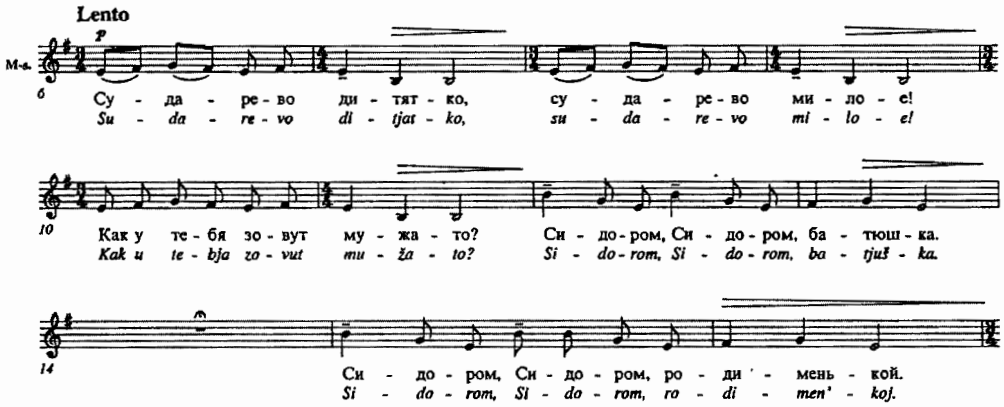
As part of the contrastive comparison of the first and second halves of the film, Kozintsev wrote that the three instances of the *bai*'s 'leit-timbres' acted in sharp contrast to Kuz'mina's leitmotive of the 'good life'. These angular instrumental motives and their respective instruments reappear to reinforce the power of the *bai* and, as Kozintsev has written, act as his 'old and rattling voice'.[45] The texture, instrumentation and perceived 'atonal' quality, as noticed by contemporaneous critics, contribute to the exaggeration and physicality that lend the *bai*'s motive a grotesque quality.[46] This is particularly apparent when it is seen as a substitute for his unheard voice. These aspects also serve as a musical depiction and reinforcement of the landscape of the Altai as sparse, highlighting how Kuz'mina is 'alone'.[47] Yet the *bai*'s 'rattling' voice was not only received as generally physical. Since there was only one instance of synchronized speech in *Alone*, the music was received as 'vocal' in its own way. Yoffe, who argued that instrumental music is a metaphor for speech, described Shostakovich's music as 'imitating speech' in an almost onomatopoeic manner.[48] Using the musical metaphorical 'speech' of the *bai* as a case in point, Yoffe argued that the music imitates not only the speech intonation and the general emotions of the character, but also the timbres, accents and rhythms of the 'intonational-vocal image' of the person.[49] In this sense, the music acts as a substitute for speech, allowing it an even more specific 'coding'.[50] The music, when representing the *bai*, therefore acts not only as a quasi-motive but also as a bridge between diegetic and non-diegetic space, almost a 'fantastical gap'.[51] It is a kind of musicalized speech.

The use of leit-timbre appears throughout the score in association with other specific situations or characters aside from the *bai*.[52] The barrel-organ for Kuz'mina and urban life, for example, also shows that instrumentation is attached to specific characters or places.[53] Cheremukhin pointed out that the trombone glissandi of the chairman's 'snoring' scene act as a 'leit-timbre',

returning later in the film and falling into the category of low-range instruments and their association with the Altai and *bai* throughout the film.[54] Since the trombone glissandi appear only in the second half of the film, I suggest that they are linked with the smug indifference of the chairman, since they occur in three places specifically associated with him: (1) the initial 'snoring' scene, (2) shortly after the 'snoring' scene when the chairman drinks tea with his wife and comments on the uselessness of Soviet propaganda posters[55] and (3) at the end, when he discusses Kuz'mina's impending death. This leit-timbre of the trombone glissandi goes beyond associations in this film. Trombone glissandi were first used by Shostakovich in *The Nose* and *The New Babylon*; they also appear in *The Lady Macbeth of Mtsensk District* as an aural signifier in the love scene between Sergey and Katerina. Instrumentation, therefore, plays a significant role as a code in musical form and meaning, and the relation between form and the plot in *Alone*, as well as potentially in Shostakovich's other film scores and operas.[56]

In contrast, the villagers were musically depicted without grotesquerie and irony. Instead, village song, revolutionary song and ethnographic recordings were used to realistically represent Oirat life. Although this approach to musical representation was likely intended to correspond with the ethnographic realism that Kozintsev and Trauberg sought, it also allowed that realism to be construed as socialist. Village song was used to represent pre-Soviet life in the Altai, which was often regarded as pagan or backward from the socialist perspective. One tune, entitled by Yoffe as 'Dolyushka russkaya' (The Russian lot), functions in part as a representation of the Altai, and repeats three times throughout the fourth and seventh reels, first as an instrumental motive that introduces the snowy winter of the Altai and later as a vocal song dubbed over the acted singing of the chairman's sombre wife (see Ex. 5.4 and Table 5.1).

Example 5.4 The first full phrase of the second appearance of the 'Russian Lot' motive, with text (from *Alone*, No. 24). The first appearance is in No. 20, in piccolo, over images of the Altai. No. 24, bb. 6–16

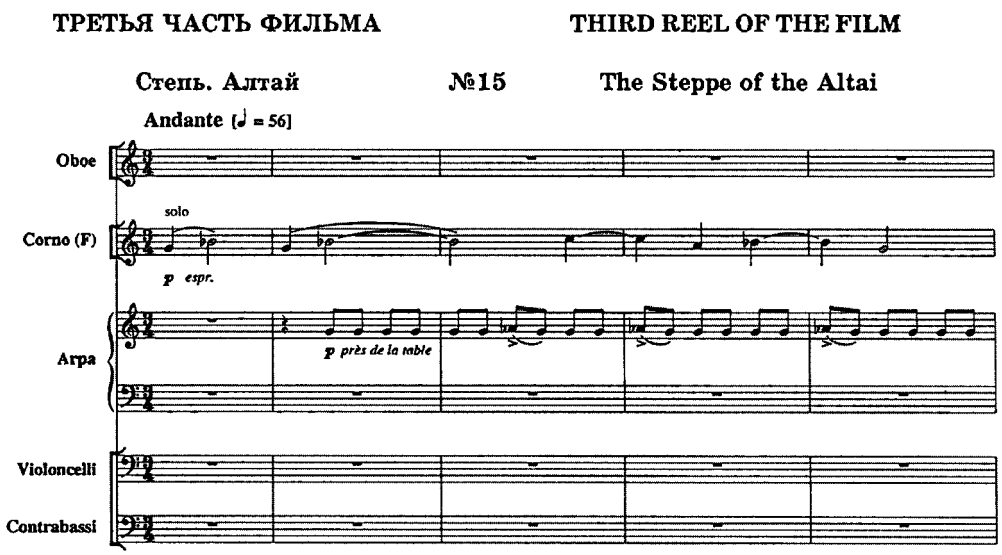


This song bears a slight resemblance to Russian village music (changing metre, melodic contour and limited range) and was said to be written by Shostakovich, though it does not appear in any of his known manuscripts.[57] It is unclear whether this tune was borrowed or was composed with Russian village music in mind. Regardless, it is used once as an instrumental 'number', directly before the moment when the chairman's wife 'sings' the tune; from that point forward, it is used only as underscoring. It lastly appears over a series of images of the Altai and of Kuz'mina on her sickbed (Table 5.1, No. 40). This move from underscoring to diegesis to underscoring again shows how fluidly music moves between these two spaces and how this particular tune can represent both the people and the landscape. As Kozintsev later related, the directors were attempting to characterize the Oirat villagers in the most 'authentic' way possible to avoid misrepresentation. This reminiscence motive is localized to the second half of the film and appears initially and finally to epitomize the forlorn character and the desolation of the Altai wilderness, while also serving as a segue into Kuz'mina's unsuccessful confrontation with the chairman. It sets up the contrast between Kuz'mina and the chairman during this scene and helps reveal the chairman's anti-Soviet position later in the scene.

Overtone singing, a style common to the region where the directors shot the Altai section of the film, is also used to epitomize this region and represent village life. It first appears in the second half of the film over landscape images of the Altai, setting up the scene of Kuz'mina's arrival. Many groups of the Altai region, categorized as 'Altai Turks' or 'Altai Mongols', use overtone singing for various contexts, ranging from lullabies to hunting.[58] The singing in *Alone* is only a fragment, leaving the context unclear. Original context and functional meaning may not have been the intent of the directors, since this appearance of overtone singing appears to signify the Altai region generally, rather than a specific ritual or a group. The use of this fragment of overtone singing appears to reinforce the 'folk' aspect of the film and the directors' desire for 'authenticity' and realism.

The directors also achieve a kind of folk realism in the second half of the film by using an *akïn*, or village bard, who appears when the villagers are working and when Kuz'mina is taken away by aeroplane. Each time, he appears with a string instrument that resembles a *dombra*, an instrument typically used by an *akïn* in the Altai region.[59] Although he accompanies his singing with this instrument, the sound he creates is not heard, since sound equipment was unavailable during shooting in the Altai. Instead, Shostakovich's music stands in for his music. In his first appearance, he sings to the villagers as they shear sheep, while Shostakovich's music, consisting of a horn line of a rising third and a harp line of two undulating notes, sounds in the score (Ex. 5.5).

Example 5.5 *Alone*, No. 15, bb. 1–5



The use of the conventional Western harp is particularly creative, since it is the only orchestral solo string instrument that has the volume to be heard over the horn. Shostakovich has thus found a unique way of dealing with the lack of 'real' synchronized sound by substituting a near-equivalent in the score to evoke the everyday life of the villagers and the traditions of the Altai.

Ethnographic recording also plays a significant role in creating realism and, inevitably, representing the socialist message in the film. After shooting in the Altai, Kozintsev invited a genuine shaman, Kondraty Tanashev, back to Leningrad.[60] Seeking realism, Kozintsev made an ethnographic recording of Tanashev performing a healing ritual that was later dubbed over the images of the shaman's ritual in the film.[61] This recording of the shaman can be read as an aural equivalent to the horse skin draped on a pole, a sign of shamanism. The recording first appears after Kuz'mina gazes at the horse skin and converses with the chairman upon her arrival in the Altai. During this conversation, they both hear the shaman's music, which, as they attend stage left, is made visible through a cut to the image of a shaman healing a sick woman. In response to this diegetic interruption, the chairman explains that the shaman is continuing the old, pre-Soviet ways. Thus, not only does the viewer/listener then associate the shaman and his music with the Altai, but the montage, strongly influenced by Lev Kuleshov's early experiments of montage between different locales, indicates that the shaman and his music are diegetic, that is, part of Kuz'mina's surrounding soundscape. This ethnographic recording thus adds a degree of aural realism that reinforces the visual realism obtained through on-location shooting in the Altai.

The shaman's music appears a second time when Kuz'mina settles down in her new hut and starts to think of her life in the city, which is indicated by her gazing at the portrait of her fiancé and repeating exercises that she performed at the beginning of the film. Kozintsev described the scene:

> The sound fabric of the episode of the teacher's arrival was complex. The young woman was settling in, unpacking her things; suddenly the alarm clock went off, and then the tune of the distant city barrel-organ was heard. A tambourine's crude strikes and the hoarse cry of the shaman (a genuine recording) invaded the merry motive. A device for threshing corn pounded and squeaked (a genuine recording), and then, as if stitched into the sound fabric, a woodwind phrase arose – the voice of the *bai*, composed by Shostakovich.[62]

The shaman's recording acts again as interruption, this time of the barrel-organ tune, which repeats music first heard in Kuz'mina's courtyard as she awoke in the opening scene of the film and is associated with her ideal city life. In the manuscript draft and recently published edition of the score to *Alone*, the only music that appears is a ten-bar ostinato for organ and low woodwinds (bass clarinet, bassoon and contrabassoon). This ostinato is repeated once and continues into a cor anglais solo, which accompanies images of the Altai and Kuz'mina's gaze as she looks out of the window.[63] After the cor anglais solo, the barrel-organ player's music enters in C minor, in contrast to the original appearance of the tune in C major. Here, the barrel-organ music is technically non-diegetic, though it could be a sound that she hears in the diegetic space of her mind, her 'imaginary' soundscape, as opposed to the general diegetic space of the film. This barrel-organ thus represents her ideal city life, and according to Kozintsev, is a 'real-life' symbol – 'a reminder of her thoughtless past' (Table 5.1).[64] The sudden and diegetic intrusion of the shaman's music on her daydream is indicated in part by her sudden turn towards to the window, stage left. Slowly, the barrel-organ music overlaps with the shaman's music, which is not indicated in the original manuscript, but appears in the finished soundtrack of the film.[65] The barrel-organ and music of the shaman in combination with the eventual addition of a hammering and pounding sound create a temporary polyphonic cacophony.[66] This musical layering continues over a montage of images of the shaman, villagers working, and a horse skin. This layering approach to music and sound, characteristic of the montagist style employed in Shostakovich's score to *The New Babylon*, is used to represent the wild, non-Soviet character of the land, particularly in contrast with the new urban arrival.[67] It also provides a brief glimpse into Kuz'mina's state of mind and her (in)ability to adapt to her new surroundings. Just as the urban, naive Kuz'mina seems to resist her new rural surroundings and seeks simply to teach the children, Shostakovich's music, the recording of the shaman, and found sounds fail to blend together. This layering highlights the difference between light/dark, urban/rural and

Soviet/pre-Soviet, encapsulated in the cinematic/musical moment and related to the concept of contrast that permeates the film. This difference is underscored in Kozintsev's use of the recording of the shaman in particular, which he described as 'authentic'. It could also be read as a fetishizing of the 'folk' Other to embrace diversity as a symbolic depiction *of* the 'folk' *to* the 'folk', which later became popular under the doctrine of socialist realism.[68] The realist intent, however, was overshadowed by the montagist presentation – as the critic Kliment Korchmaryov put it, the scene was one of the 'defects' of the film, because it was symbolic instead of 'real'.[69]

There is one successful reference to socialism in the film that uses a revolutionary song to deliver the film's message. In a later scene, Kuz'mina sits with the children of the village and attempts to teach them about the kulak resistance during collectivization. To keep from freezing, she then invites the children to dance in a circle, at which moment the music shifts instrumentation (low strings and clarinet to flute) and key/mode (from D♭ minor to F major) into a recognizable reference to a Civil War song known as 'Marsh Budyonnogo [March of Budyonniy]'.[70] This reference becomes clearer when the intertitles appear with the phrase 'Konnaya Budyonnogo' (cavalry of Budyonniy), which coincides with a quaver pattering of the tune that more clearly resembles the original song, as well as evoking connotations of the famous Civil War hero (Exx. 5.6 and 5.7).

Example 5.6 Dmitriy Pokrass, 'Marsh Budyonnogo [March of Budyonniy]' (1920), from Mikhail Druskin, *Russkaya revolyutsionnaya pesnya* [Russian revolutionary song] (Leningrad: MUZGIZ, 1959), p. 46

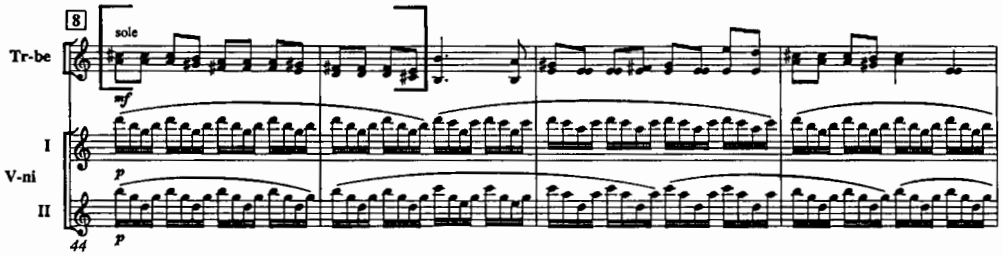
23. МАРШ БУДЕННОГО

(Мы — красные кавалеристы)

Быстро, оживленно

Мы — красны_е ка_ва_ле_рис_ты и про нас бы_лин_ни_ки ре_
_чис_ты_е ве_дут рас_сказ: о том, как в но_чи яс_ны_е, о
том, кан в дни не_наст_ны_е мы гор_до, мы сме_ло в бой и_дем. Ве_
_ди ж, Бу_ден_ный, нас сме_ле_е в бой! Пусть гром гре_мит,
пус_кай по_жар кру_гом; мы без_за_вет_ны_е ге_
ро_и все, и вся-то на_ша жизнь есть борь_ба!

Example 5.7 *Alone*, No. 29, bb. 44–7



The content of this well-placed song creates an apparently effective connection to the idea of socialist building in the Altai, since Korchmaryov, who gave the film score a negative overall review, considered the song to be an 'especially impressive' moment in the score. This song, well known throughout the 1920s and associated with socialism, was still seen as appropriate musical material to cite in a film score, as indicated by Korchmaryov's review.[71] The appropriation of the music to the 'March of Budyonniy' therefore functions as a positive rendering of the state and of socialist construction during this moment in the film.

Since sound technology and composing for film were becoming increasingly common, critics of *Alone* focused their discussions of the music differently from those about *The New Babylon*. Music in film was still considered integral and necessary, and to be a carrier of meaning or a method for heightening emotion. Yet unlike *The New Babylon*, *Alone* was generally received as an 'emotional' film that explored the inner psychology of the main characters and the social situations in which they were found. The reception of the score therefore centred on three intersecting sets of issues: realism, socialist ideals and the representation of people of varying classes; the music's interaction with the cinematic action and the musical depiction of the heroine's inner world; and the use of sound technology by the directors and Shostakovich. In various reports, newspaper articles and other essays, a majority of the critics praised Shostakovich's music and recognized the intention of the directors and composer to create an 'intelligible' and socialist film, while only a few dissenters disapproved of the music's interaction with the image or disagreed on the appropriateness of the musical 'content'. This reception was varied and complex, indicating changes in the art politics of the early 1930s.

With the 'Statement on Sound' in recent memory, many critics and the directors commented on the relationship of music and image, focusing on whether or not the music accompanied the action or operated as an equal partner to it.[72] As Kozintsev explained, 'we wanted to continue Shostakovich's experiment from *The New Babylon*', making the music as much of a character in the film as the heroine herself.[73] As he stated in his discussion of the music to *The New Babylon*,

> In those years music was used to strengthen the emotions of reality, or, to use the current terminology, to illustrate the frame. We immediately came to an agreement with the composer that the music would be linked to the inner meaning and not to the external action, that it should develop by cutting across events, and as the antithesis of the mood of a specific scene.[74]

To continue the experiment from *The New Babylon*, Kozintsev wanted to 'reinforce the visual images, to have them juxtapose with sound'.[75] This is reminiscent of one of the main points from the 'Statement on Sound', which expressed the intent to keep the art of montage intact while incorporating sound, producing a 'counterpoint' to the image.[76] According to the Statement, the result would be a montage or juxtaposition of the sound with the images, while the images themselves were organized according to the principles of the Soviet montage technique of the 1920s. Although *Alone* appears to employ a different style from *The New Babylon*, Kozintsev's desire to 'reinforce the visual images, to have them juxtapose with sound', indicated a continuing preoccupation with the experiment of sound and music as an integral part of the film's language.

Kozintsev's desired effect of counterpoint of sound and image was recognized by critics of his time. Some critics, such as the prominent film music scholar and composer Sergey Bugoslavskiy, praised Shostakovich's music as an integral part of the film: a notable comment, since film music was only beginning to be considered something other than mere accompaniment. In one of the most revealing statements of Lenfil'm's Sound Committee report, Bugoslavskiy plainly stated, 'The music of Shostakovich appears to be a major step towards the work of montage film music.'[77] This statement, followed by a long description of Shostakovich's music, clearly reveals that the music was heard as an active player in the film, working in counterpoint with the images. Boris Al'pers, who authored the newspaper article 'The Mistakes of FEKS', supported Bugoslavskiy's interpretation: 'The action of the film almost always is accompanied by symphonic music which plays the role of psychological commentary on dramatic situations.'[78] Both Bugoslavskiy and Al'pers described how the music 'grows out of the whole ideological conception of the work',[79] and that

> The music of Shostakovich is worthy of being placed on the level of active involvement in the action, in the discovery of the connection between the characters and their behaviour, [and] in the establishment of leitmotives, which characterize the experiences of individual social groups (the bourgeois attitude and the kulaks).[80]

In these interpretations and Kozintsev's descriptions of the sound design in *Alone*, Shostakovich's music had clearly transcended the role of accompaniment and had become integral to the film.

A set of surveys of *Alone*, taken during the film's first showing for the employees of Soyuzkino Studio on 10 March 1929, demonstrates how the

score to *Alone* was received by many as an incredible achievement for sound film.[81] Nearly 800 people answered the questionnaire and debated over the film for several hours. Many people in the audience, including the actor Kuz'mina herself, were deeply moved by Shostakovich's music.[82] They showed overwhelming support for it, leading some to state that 'the music saved the picture. The picture is a kind of illustration to Shostakovich's music.'[83] A few years later, the composer Valeryan Bogdanov-Berezovskiy found Shostakovich's music to be 'correct' and 'Soviet'.[84] *Alone* was also one of the first sound films that Stalin watched, prompting him to suggest that the industry needed more support to continue its growth in sound film-making.[85]

Negative reviews focused on Shostakovich's musical language. Another Sound Committee member complained that 'the music is leftist, deeply intellectual, far from the proletarian ideology, difficult to understand; it is complicated'.[86] In this instance, the words 'leftist' and 'intellectual' pejoratively refer to the modernist musical practices of the 1920s, which were received as contrary to later socialist realist musical practices. Another critic, Korchmaryov, summed up Shostakovich's music more generally with descriptors such as 'atonal muddle' or 'ambivalent'.[87] Korchmaryov continued with an insincere compliment:

> There is one pleasing moment in the work of Shostakovich – the move from atonal muddle, borrowing from the painful, negative model of the bourgeois West, to clear harmonic and melodic concepts. Of course, the path of the Soviet composer lies not in the looking back on decadent models of the West, but in a satisfying and understandable, mass manner of execution.[88]

The focus on the musical language, as opposed to its interaction with the image, led these critics to use the usual descriptors 'leftist', 'atonal', 'bourgeois' or 'decadent' to emphasize the excessive modernism of the film. Instead, critics such as Korchmaryov wanted a style that was 'intelligible to the millions', as indicated by his plea for an 'understandable, mass manner of execution'. Yoffe also deemed *Alone* and Shostakovich's other early music as 'formalist' and 'constructivist'.[89] He specifically described Shostakovich's music to *Alone* as 'grotesque' and 'parodic', particularly when instrumental music replaced the speech of the characters, as in the case of the *bai*.[90] Korchmaryov also perceived the *bai* similarly, and described the linear texture and instrumentation as the 'atonal wandering of lonely instruments'.[91]

The contemporary critic Rïbakova also noted that the speech that was included in *Alone* was secondary to the musical underscoring. Rïbakova insisted that the music either reveals the 'veiled meaning' of the scenes, implying that the music acts as a substitute for speech in this silent-styled film, or brings out the film's deficiencies that would otherwise go unnoticed in

its silent version.[92] She also claimed that Shostakovich's use of 'folk' songs and dances as motives to represent characters or groups was ineffective because it was too generalized or misrepresentative in the context of the main theme of the film: the 'rebuilding' of Kuz'mina.[93] Rïbakova instead considered Kuz'mina's themes (the barrel-organ and 'How Good Life Will Be') to be 'hostile music' for a young woman from a 'Soviet city', implying that she thought Kuz'mina's themes to be perhaps too 'bourgeois'.[94] As Rïbakova complained earlier, no 'revolutionary songs' were used by Shostakovich, which should naturally have a 'connection with the struggle of the proletariat'.[95] This is incorrect, since Shostakovich did use a revolutionary song, the 'March of Budyonniy', that went unnoticed by this critic. Positive or negative, Shostakovich's music was effective as an integral part of the film. Yet, the variety of the reviews shows that what was appropriately 'Soviet' at the time was still being debated.

Other criticisms and comments about the film were concerned more with the technology than with artistic direction or musical style. Since Kozintsev and Trauberg were among the first to experiment with sound in film, they made mistakes and encountered difficulties with recording and producing sound effects.[96] Although Shostakovich's music, particularly his use of orchestral colour, was generally received well, many critics commented that the placement of the recording microphones diminished the quality of the sound.[97] One critic claimed that the flute and oboe were 'deficient' in timbre, while another stated that these same instruments were 'badly recorded'.[98] Sergey Gerasimov, the actor who played the role of the chairman, also commented that the music to *Alone* lacked technical sophistication.[99] Kozintsev also related that Shostakovich was reported to the authorities by sound specialists at the studio for failing to consider the limitations of the recording equipment when composing his score, claiming that the composer attempted to sabotage the film.[100] This criticism of Shostakovich resonates with contemporaneous arguments by Ippolit Sokolov, who had published an article before the film's release that scolded film directors for misunderstanding the limitations of the equipment and allowing the novelty of sound to act as a substitute for 'content and form':

> There is now a battle going on in sound cinema between technology and content plus form. In art, the substitution of naked technology for content and form is the most extreme kind of Formalism, the narrowest form of technicization.[101]

Approximately six months after the film's release, Shostakovich himself also commented on the terrible quality of the film's recording:

> I cannot complain about the orchestra in my own work for *Alone* and *Golden Mountains*. I had an exceptionally high quality orchestra under the direction of the extremely talented conductor N[ikolay] Rabinovich. And the result? When you're listening to the soundtrack, you become convinced that all the work was reduced to

> dust: the screen wheezes, hiccups and emits various sounds, which brings to naught the works of a first-class orchestra and of the composer.[102]

Almost twenty years later, Shostakovich recalled *Alone* as 'not really a sound film'.[103] He stated that 'in those years, the methods, techniques and decisions for the real artistic connection of sound and image were only just being sought'.[104] Contemporaneously and in hindsight, it is clear that much experimentation still needed to be done when recording a symphony orchestra for film in the early 1930s.

Alone is a key example of the transitional nature of politics, music and film in the late 1920s and early 1930s. At the time of its premiere, *Alone* had a mixed reception because of the lack of agreement as to what was 'intelligible to the millions', the unreliable sound technology and the changing role of the composer. The reception responded to the techniques used in the film and its score, which exhibit traits typical of 1920s-era modernism, along with the traits that would soon be recognized as socialist realist. The latter traits involved a move away from modernist character typage and fast-paced, quickly edited shots, and towards a 'realist' approach to sound and socialist content. The use of sound was at times 'modernist' in the way that the directors chose to layer the ambient sounds of everyday life and 'authentic' recordings with Shostakovich's musical score, as demonstrated in the hut scene. At the same time, the film-makers regarded these sound effects and 'authentic' recordings as realistic. The musical approaches that Shostakovich used in *Alone*, like those used in *The New Babylon*, reveal the composer's continued sensitivity to editing, shooting and *mis en scène*. The invention of a song-leitmotive, musical evocations of the 'folk' and the use of leit-timbre and musicalized speech illustrate that Shostakovich's music was innovative and played an integral role in the creation of meaning in the film as a whole. His music often served as a representation of the personality and political position of a character – as ironic, grotesque or sincere; or as evocations of the heroine's inner world. For the first time, Shostakovich had the opportunity to fully explore the movement between diegetic and non-diegetic sound, as heard in the snoring scene, and to explore the 'fantastical gap' with the *bai*'s musicalized speech. Using revolutionary song as a musical reference to the 'folk' also anticipated socialist realism, which sometimes evoked praise from reviewers in regard to the socialist message of the film. His music was received both positively and negatively, yet was considered effective in the midst of the eventual shift to the politically dominant socialist realist aesthetic. Both *Alone* and its varied reception are therefore rich historical documents of a time when modernist and realist means were used to a socialist end.

Hartmut Hein and Wolfram Steinbeck (eds.), *Schostakowitsch und die Symphonie* (Frankfurt: Peter Lang, 2007), p. 184.

19. James Hepokoski and Warren Darcy, *Elements of Sonata Theory* (New York: Oxford University Press, 2006), esp. pp. 614–21.
20. It is explained as a general principle of intellectual enquiry in Meyer, *The Spheres of Music* (University of Chicago Press, 2000), pp. 44, 274.
21. On Yavorsky, see Gordon McQuere, 'The Theories of Boleslav Yavorsky', in McQuere (ed.), *Russian Theoretical Thought in Music* (Ann Arbor: UMI Research Press, 1983), pp. 109–64.

Chapter 5

All translations are mine unless otherwise noted. Many thanks go to Margarita Mazo, Danielle Fosler-Lussier and J. Ronald Green for their guidance on the dissertation chapter that has become this work; and to Brian Thacker for helping me prepare the examples. My sincere thanks go to Pauline Fairclough for her invitation to write this chapter.

1. The 'Cultural Revolution' is one way of describing the period of 1928–32, which coexisted with the first Five-Year Plan in the Soviet Union under Stalin. As James Billington states, 'This "proletarian episode" in Russian culture ... [was] part of the unprecedented effort to transform Russian society by forced-draft industrialization and collectivization.' Everything changed drastically during this period, including increased government control over the arts and a fierce movement to create a socialist realist aesthetic. See James Billington, *The Icon and the Axe: An Interpretative History of Russian Culture* (New York: Vintage Books, 1970), p. 523.
2. 'Party Cinema Conference Resolution: The Results of Cinema Construction in the USSR and the Tasks of Soviet Cinema', in Richard Taylor and Ian Christie (eds.), *The Film Factory: Russian and Soviet Cinema in Documents 1896–1939* (London: Routledge & Kegan Paul, 1988), p. 212.
3. I also discuss these issues in regard to *The New Babylon*. See Titus, *Silents*; and chapter 3 of Joan Titus, 'Modernism, Socialist Realism, and Identity in the Early Film Music of Dmitry Shostakovich, 1929–1932', Ph.D. dissertation, Ohio State University, 2006.
4. The phrase 'intelligible to the millions' was repeated continually into the 1930s, after being introduced at the Sovkino conference in December 1928. See 'Sovkino Workers' Conference Resolution: Sovkino's New Course', in Taylor and Christie (eds.), *The Film Factory*, pp. 241–5.
5. Hélène Bernatchez reinforces the dichotomy between modernism and socialist realism in regard to *Alone* and to Shostakovich's other film scores, which I challenge here. See Hélène Bernatchez, *Schostakowitsch und die Fabrik des exzentrischen Schauspielers* (Munich: Martin Meidenbauer Verlagbuchhandlung, 2006).
6. See Titus, *Silents*.
7. Boris Groys, 'The Birth of Socialist Realism from the Spirit of the Russian Avant-Garde', in John E. Bowlt and Olga Matich (eds.), *Laboratory of Dreams: The Russian Avant-Garde and Cultural Experiment* (Stanford University Press, 1996), pp. 193–218; Boris Groys, *The Total Art of Stalinism: Avant-Garde,*

Aesthetic Dictatorship, and Beyond, trans. C. Rougle (Princeton University Press, 1992); Irina Gutkin, *The Cultural Origins of the Socialist Realist Aesthetic, 1890–1934* (Evanston, IL: Northwestern University Press, 1999); and Neil Edmunds, 'The Ambiguous Origins of Socialist Realism and Musical Life in the Soviet Union', in Mikulas Bek, Geoffrey Chew and Petr Macek (eds.), *Socialist Realism and Music* (Prague: Koniasch Latin Press, 2004), pp. 115–30.

8. Leonid Sabaneyev, 'Musical Tendencies in Contemporary Russia', *Musical Quarterly*, 16 (1930), 469–81.
9. Levon Hakobian, *Music of the Soviet Age: 1917–1987* (Stockholm: Melos Music Literature, 1998), and David Haas, *Leningrad's Modernists: Studies in Composition and Musical Thought, 1917–1932* (New York: Peter Lang, 1998).
10. As seen in the films of Sergey Eisenstein, such as *Battleship Potemkin* (1925) and *Strike* (1924).
11. Grigoriy Kozintsev, 'Odna [Alone]', *Iskusstvo kino* [The art of cinema], 1 (1967), 45 (published in his *Glubokiy ekran* [The deep screen] (Moscow: Iskusstvo, 1969; reprinted in 2nd edn in 1971)). Katerina Clark used the term 'positive hero', to which I refer here. See Katerina Clark, *The Soviet Novel: History as Ritual*, 3rd edn (Bloomington: Indiana University Press, 2000).
12. Kuz'mina is also the name of the character in the film. It was a common practice to name the character after the actor at this time.
13. Kozintsev, 'Odna', 47.
14. Kozintsev, *Glubokiy ekran* (2nd edn), p. 152.
15. I. Medvedevskiy analyses *Alone* as part of the biography of the directors, coming close to this idea of *Alone* as a metaphor of their shift in personal taste and aesthetics: I. Medvedevskiy, 'Odna [Alone]', unidentified essay from the 'Odna' folder, yed. khr. 1579, Gosfil'mofond Archive, Belïe Stolbïe, Russia.
16. Kozintsev, *Glubokiy ekran* (2nd edn), p. 47.
17. 'Dialectical montage' is a term used to describe Sergey Eisenstein's approach to montage and generally to reference Soviet montage styles of the 1920s. Some of the approaches to montage exemplified in Eisenstein's early films involved the juxtaposition of a series of images in order to reflect the Hegelian dialectic (thesis–antithesis–synthesis), thus leading the viewer to a specific conclusion drawn by the director. For Eisenstein's discussion of his own early film style, see Richard Taylor (ed.), *S. M. Eisenstein: Selected Works*, vol. I, *Writings: 1922–1934*, trans. Michael Glenny (London: BFI Publishing, 1988), and vol. II, *Towards a Theory of Montage: 1937–1940* (London: British Film Institute, 1996).
18. For a brief history of other film scores of the 1930s, see Tatiana Egorova, *Soviet Film Music: A Historical Survey* (Amsterdam: Harwood Academic Publishers, 1997).
19. As Kozintsev related, it was impossible to take sound equipment to the Altai, so the sound was added after the shooting. See Kozintsev, *Glubokiy ekran* (2nd edn), pp. 155–6.
20. *The Jazz Singer* has been canonized as one of the first American 'talkies'.
21. Kozintsev, *Glubokiy ekran* (2nd edn), p. 155.
22. Early versions of the scenario show that music was already part of the film's design. See TsGALI SPb, f. 257, op. 16, d. 192.

23. Kozintsev, *Glubokiy ekran* (2nd edn), p. 151.
24. See Titus, *Silents*, and 'Modernism, Socialist Realism, and Identity', chapter 3.
25. The 'Statement on Sound' was an essay written in 1928 by directors Sergey Eisenstein, Vsevolod Pudovkin and Grigoriy Alexandrov that discussed ways in which to incorporate sound into film. It also revealed their fears of the loss of the visual language specific to the Soviet montage technique of the time. See Sergey Eisenstein, Vsevolod Pudovkin and Grigory Aleksandrov, 'Statement on Sound', in Taylor and Christie (eds.), *The Film Factory*, pp. 234–5.
26. Kozintsev, *Glubokiy ekran* (2nd edn), pp. 151–2.
27. Kozintsev, 'Odna', 53.
28. Dmitriy Shostakovich, 'Nakanune prem'yerï "Nosa": pochemu "Nos'"? [On the eve of the premiere of *The Nose*: why *The Nose*?]', *Rabochiy i teatr*, 3 (1930), 15 January. This translation is taken from Caryl Emerson, 'Shostakovich and the Russian Literary Tradition,' in Fay (ed.), *Shostakovich and His World*, p. 191. It is also cited in a different translation in Dmitri Sollertinsky and Ludmilla Sollertinsky, *Pages from the Life of Dmitri Shostakovich* (London: Robert Hale, 1980), pp. 52–3.
29. After the couple finish their excursion, they end up situated in the middle of a long shot that is divided into black and white halves. The black side is the shadow cast by a building and cuts diagonally across the scene and the couple. It creates a strong effect, especially when Kuz'mina initially walks into the dark side of the screen, ultimately to receive the news of her position in the Altai.
30. 'Anchorage' is a term used to describe music that reinforces or further refines the meaning of an image. For more on the idea of anchorage, see Roland Barthes, 'The Rhetoric of the Image', in Barthes, *Image – Music – Text* (New York: Hill & Wang, 1977), pp. 32–51. See Titus, *Silents*, and 'Modernism, Socialist Realism, and Identity', chapter 3, for a discussion of Shostakovich's 'principles'. For his essay in the original Russian, see Dmitriy Shostakovich, 'O muzïke k "Novomu Vavilonu" [About the music to *The New Babylon*]', *Sovetskiy ekran*, 11 (1929), 5.
31. This march appears only once and is repeated in the following number. It bears a strong resemblance to the first theme of the 'chase' music of Shostakovich's theatre piece *Hamlet* (1932). It is likely that he reused this march of *Alone* for the first theme/section of this number in *Hamlet*.
32. This is No. 12 in the score.
33. There is an indication of *attacca* in the score between Nos. 12 (march) and 13 (barrel-organ).
34. As noted in the score. See *NCW*, vol. CXXIII (Moscow: DSCH Publishers, 2004), p. 68.
35. The previous marking was Allegro, crotchet = 168, and the slower tempo marking at this point is Allegro, crotchet = 128–132.
36. This is No. 25 in the score. See also Table 5.1.
37. Yeremiya I. Yoffe, *Muzïka sovetskogo kino* [The music of Soviet cinema] (Leningrad: State Musical Scientific-Research Institute, 1938), p. 34.
38. Pavina Rïbakova, 'Muzïka Shostakovicha k zvukovïm fil'mam "Odna" i "Zlatïe gorï" [Shostakovich's music to the sound films *Alone* and *Golden Mountains*]', *Rabochiy i teatr*, (1933) 24 August, 40.

39. Kozintsev, *Glubokiy ekran* (2nd edn), p. 154.
40. *Ibid.*, p. 155.
41. See Titus, *Silents*, and 'Modernism, Socialist Realism, and Identity', chapter 3; and Shostakovich, 'O muzïke k "Novomu Vavilonu"', 5. In a letter from Kozintsev in December 1947, one can see the closeness of the relationship between visual/aural and director/composer. He expressed to Shostakovich, 'I already for many years have repeated: when I hear your music, I hear my ideas.' See Grigoriy Kozintsev, *Perepiska G. M. Kozintseva* [The correspondence of G. M. Kozintsev] (Moscow: Artist, Rezhissyor, Teatr, 1998), p. 83. This quote was brought to my attention by Ol'ga Dombrovskaya, in 'The Music of Shostakovich to Kozintsev's Films *Hamlet* and *King Lear*', paper presented at the Shostakovich Festival and Symposium 2006, Rutgers University, NJ, 7–9 April 2006.
42. Kozintsev, *Glubokiy ekran* (2nd edn), p. 152.
43. See *NCW*, vol. CXXIII, Nos. 15 and 16, pp. 73–4.
44. Kozintsev relates that the association of the woodwinds and flute with the *bai* was created by Shostakovich. See *Glubokiy ekran* (2nd edn), p. 154. 'Leit-timbre' is a term in use by Russian musicologists. See Yuri Keldysh, Mark Aranovsky, L. Korabel'nikova and Yu. Khokhlov (eds.), *Muzïkal'nïy entsiklopedicheskiy slovar'* [The musical encyclopedic dictionary] (Moscow: Sovetskaya entsiklopediya, 1990). It has also been used in reference to film music in the Soviet era. See Mikhail Cheremukhin, *Muzïka zvukovogo fil'ma* [The music of sound film] (Moscow: Goskinoizdat, 1939), p. 143. Cheremukhin mentions both 'leit-timbres' and 'leit-colours' in this text.
45. Kozintsev, *Glubokiy ekran* (2nd edn), p. 154.
46. Klimenty Korchmaryov, 'Muzïka k fil'me "Odna" [Music of the film *Alone*]', *Sovetskoye iskusstvo*, 58 (1931) 15 June.
47. Kozintsev, *Glubokiy ekran* (2nd edn), p. 154.
48. Yoffe, *Muzïka sovetskogo kino*, p. 11.
49. *Ibid.*, pp. 35–6. When Yoffe described music as speech, he was referring to the scene where the *bai* interrupts Kuz'mina as she teaches the children. The first two staves of the musical example that he provides between pp. 35 and 36, however, are the beginning music from the 'snoring scene', not from the scene between *bai* and Kuz'mina. The remaining lines are from a later incarnation of the music of the 'snoring scene' from the end of the fifth reel, probably where the kulaks and the *bai* are making a deal over the sheep. See *NCW*, vol. CXXIII, No. 33, pp. 185–7.
50. Film scholars such as Claudia Gorbman and Kathryn Kalinak refer to or use this term to describe musical ideas that have embedded meanings in past musical works. See Claudia Gorbman, *Unheard Melodies: Narrative Film Music* (Bloomington: Indiana University Press, 1987), and Kathryn Kalinak, *Settling the Score: Music and the Classical Hollywood Film* (Madison: University of Wisconsin Press, 1992).
51. The 'fantastical gap' is a phrase coined by Robynn Stilwell and James Buhler to describe the sometimes indescribable space between the diegetic and non-diegetic, calling attention to the potential inflexibility of these concepts. See Robynn Stilwell, 'The Fantastical Gap Between Diegetic and Non-Diegetic', in

Daniel Goldmark, Lawrence Kramer and Richard Leppert (eds.), *Beyond the Soundtrack: Representing Music in Cinema* (Berkeley: University of California Press, 2007), pp. 184–202.

52. To some degree, *The New Babylon* uses instrumentation in this manner, though not consistently enough to be called 'leit-timbre'.
53. The aural montage of the hut scene, which I discuss shortly, would not have the same effect if certain themes/instrumentation were not already imbued with specific character or place associations.
54. Cheremukhin, *Muzïka zvukovogo fil'ma*, p. 127.
55. *NCW*, vol. CXXIII, No. 28, p. 127.
56. Cheremukhin, *Muzïka zvukovogo fil'ma*, p. 128. This idea of 'coding' between Shostakovich's film and concert music is one that I address in my forthcoming book, *Dmitry Shostakovich and Film Music of the Cultural Revolution*.
57. This song appears only in the phonogram, that is, the soundtrack. See *NCW*, vol. CXXIII, p. 366, and Yoffe, *Muzïka sovetskogo kino*, p. 34. Manashir Yakubov takes his version of the song from Yoffe's book, which was its first publication. Yoffe took his transcription from the phonogram of the film.
58. For information about overtone singing and other musical traditions in the Altai, see Theodore Levin, *Where Rivers and Mountains Sing: Sound, Music, and Nomadism in Tuva and Beyond* (Bloomington: Indiana University Press, 2006). For a general overview of Siberian overtone singing, see C. Pegg, 'Overtone Singing', *Grove Music Online*, Laura Macy (ed.), www.grovemusic.com, and Yuri Sheikin, 'Russian Federation, Traditional Music (II), Siberian Peoples (3)', *Grove Music Online*, www.grovemusic.com.
59. There are other plucked lutes from this region used for accompanying narrative songs that could also be in place of the Kazakh *dombra*, such as the *komuz* (long-necked lute played by Kyrgyz performers) and the *doshpuluur* (plucked lute). See Levin, *Where Rivers and Mountains Sing*, pp. 99–100 and 147–8.
60. It is unclear how Kozintsev found Tanashev, but an unsupported claim has been made that Tanashev was introduced to Kozintsev by ethnomusicologist Andrey Anokhin. See Henny van der Groep, 'The Premiere of *Odna* and Shamanism', *DSCH Journal*, 19 (July 2003), 43–4.
61. Kozintsev relates a fascinating opinion of the shaman whom he invited to Leningrad to record. He wrote, 'I met Kondraty Tanashev. He was a professional shaman and knew his business. He worked on real fuel, never free-wheeling: an epileptic, he knew the signs, how to take advantage of an oncoming fit. Besides that, he was an inveterate drunkard. He used to heal sick children before my very eyes in the dark, smoky, yurt. He would strike his tambourines with a stick, wail, intone some sort of incantation in a husky voice and then leap up, twirl round and round, stamping his boots ... We took Tanashev to Leningrad to film him in the studio. He obligingly repeated (several times) the whole gamut of his incantations. Nothing of their power came over on the screen.' See Grigoriy Kozintsev, *King Lear. The Space of Tragedy: The Diary of a Film Director*, trans. Mary Mackintosh (Berkeley: University of California Press, 1977), pp. 225–6, for further information.
62. See Kozintsev, *Glubokiy ekran* (2nd edn), p. 154, for the original Russian, and Yakubov, 'Dmitri Shostakovich's Music to the Film *Alone*. How It

Was Composed, Critics' Appraisal', *NCW*, vol. CXXIII, p. 331, for another translation.

63. 'Odna', fragments, f. 32, yed. khr. 109, GTsMMK and Archive of D. D. Shostakovich.
64. Kozintsev, *Glubokiy ekran* (2nd edn), p. 154.
65. *NCW*, vol. CXXIII, No. 18, pp. 87–95.
66. Egorova mentions that there is 'polyphonic sound montage' in *Alone*, perhaps referencing scenes like this one, though she does not specify what she means by this phrase. See Egorova, *Soviet Film Music*, p. 17. Polyphonic layering of sound was also common to other films such as Vsevolod Pudovkin's *The Deserter* [Desertir] and Dziga Vertov's *Enthusiasm* [Entuziazm]. She also compares the early film experiments of sound layering with 'constructivist' symphonies by composers such as Alexander Mosolov and Vladimir Deshevov. See Egorova, *Soviet Film Music*, p. 14.
67. See Titus, *Silents*.
68. Greg Castillo has discussed this issue of taking elements of peripheral culture of the Soviet Union and melding them into the socialist realist aesthetic in architecture under Stalinism. See Greg Castillo, 'Peoples at an Exhibition: Soviet Architecture and the National Question', in Thomas Lahusen and Evgeny Dobrenko (eds.), *Socialist Realism Without Shores* (Durham, NC: Duke University Press, 1997), pp. 91–119. Although shamanism was disallowed under the Soviet regime later in the 1930s, Kozintsev viewed the shaman and his music with greater interest. See n. 64 and Levin, *Where Rivers and Mountains Sing*, p. 16.
69. Korchmaryov, 'Muzïka k fil'me "Odna"'.
70. My thanks to Margarita Mazo for helping me to identify this song. See Amy Nelson, *Music for the Revolution: Musicians and Power in Early Soviet Russia* (University Park, PA: Penn State University Press, 2004), p. 85, for another version of the 'March of Budyonniy', written by Alexander Davidenko. Davidenko's version has a similar descending musical line and a different text. The text in Davidenko's version is the same as the film's intertitles, while the music in Dmitriy Pokrass's version is virtually the same as Shostakovich's music.
71. See also Mikhail Druskin, *Russkaya revolyutsionnaya pesnya* [Russian revolutionary song] (Leningrad: MUZGIZ, 1959), pp. 46–7, and Nelson, *Music for the Revolution*.
72. See Eisenstein, Pudovkin and Aleksandrov, 'Statement on Sound', pp. 234–5. See also Titus, 'Modernism, Socialist Realism and Identity', chapter 2, for a discussion of the statement.
73. Kozintsev, 'Odna', 48.
74. Kozintsev, *Sobraniye sochineniy*, vol. I, pp. 156–7, translated in Wilson, *Shostakovich: A Life Remembered*, p. 87.
75. Kozintsev, 'Odna', 48.
76. Eisenstein, Pudovkin and Aleksandrov, 'Statement on Sound', and Titus, 'Modernism, Socialist Realism, and Identity', chapter 2.
77. Sergey Bugoslavskiy, 'Gruppï po zvukovomu kino proizvodstven sektora Soyuzkino [Group on sound film of the production sector of Soyuzkino]',

16 March 1931, Lenfil'm Studios, 'Odna' folder, yed. khr. no. 1579, Gosfil'mofond [State Film Archive], Belïe Stolbïe, Russia, 1.

78. B. Al'pers, 'Oshibka Feksov [The mistakes of FEKS]', *Sovetskoye iskusstvo*, 54 (18 May 1931). Here, 'symphonic' simply means underscoring.
79. *Ibid.*
80. Bugoslavskiy, 'Gruppï po zvukovomu kino', 1.
81. This is based on Yakubov's summary of surveys found in TsGALI SPb. See Yakubov, 'Dmitri Shostakovich's Music to the Film *Alone*', p. 332. Also note that by 1931 Sovkino had changed its name to Soyuzkino.
82. For more discussion of the crowd's reaction and Kuz'mina's in particular, see Yakubov, *ibid.*, p. 332, and Yelena Kuz'mina, *O tom, chto ya pomnyu* [On what I remember] (Moscow: Iskusstvo, 1989), pp. 251–2.
83. Yakubov, 'Dmitri Shostakovich's Music to the Film *Alone*'.
84. Valeryan Bogdanov-Berezovskiy, 'Slushaya zvukovoi fil'm . . .' [Listening to a sound film . . .]', *Rabochiy i teatr*, 24 (1933), 14.
85. Yoffe, *Muzïka sovetskogo kino*, p. 16.
86. Bugoslavskiy, 'Gruppï po zvukovomu kino', 1.
87. Korchmaryov, 'Muzïka k fil'me "Odna"'.
88. *Ibid.*
89. Yoffe, *Muzïka sovetskogo kino*, pp. 33 and 45. Yoffe described *The Bolt*, *The Nose* and *The New Babylon* as 'formalist' and 'constructivist'.
90. *Ibid.*, pp. 36–7.
91. Korchmaryov, 'Muzïka k fil'me "Odna"'.
92. Rïbakova, 'Muzïka Shostakovicha', 39.
93. *Ibid.*, 40–1.
94. *Ibid.*, 41.
95. *Ibid.*
96. For information on other early sound film experiments, see Ian Christie, 'Making Sense of Early Soviet Sound', in Richard Taylor and Ian Christie (eds.), *Inside the Film Factory: New Approaches to Russian and Soviet Cinema* (London: Routledge, 1994), pp. 176–92.
97. Korchmaryov, 'Muzïka k fil'me "Odna"', and Bugoslavskiy, 'Gruppï po zvukovomu kino', 1.
98. Korchmaryov, 'Muzïka k fil'me "Odna"', and Bugoslavskiy, 'Gruppï po zvokovomu kino', 1. Cheremukhin wrote that early recording apparatuses had difficulty in picking up extreme ranges of some instruments such as trombones and flutes and had great difficulty with instruments at either extreme such as double basses or piccolos. See Cheremukhin, *Muzïka zvukovogo fil'ma*, p. 21.
99. Sergey Gerasimov, 'Out of the Factory of the Eccentric Actor', in Luda Schnitzer, Jean Schnitzer and M. Martin (eds.), *Cinema in Revolution: The Heroic Era of the Soviet Film* (New York: Da Capo Press, 1987), pp. 117–18.
100. Kozintsev, 'Odna', 53. Egorova also wrote about the film's technical sound difficulties and their impact on the music. See Egorova, *Soviet Film Music*, p. 15.
101. Ippolit Sokolov, 'Vtoraya programma tonfil'm [The Second Sound Film Programme]', trans. Richard Taylor and Ian Christie, in Taylor and Christie (eds.), *The Film Factory*, pp. 308–9.

102. Dmitriy Shostakovich, 'Deklaratsya obyazannostey kompozitora [Declaration of a composer's duties]', *Rabochiy i teatr*, 31 (1931), 6; also found in Bobïkina (ed.), *Dmitriy Shostakovich v pis'makh*, pp. 493–6.
103. Dmitriy Shostakovich, 'Kino kak shkola kompozitora [Cinema as the composer's school]', in D. I. Yeremin (ed.), *30 let sovetskoy kinematografii* [30 years of Soviet cinematography] (Moscow: Goskinoizdat, 1950), p. 354.
104. *Ibid.*

Chapter 6

1. Laurel E. Fay, 'From *Lady Macbeth* to *Katerina*', in Fanning (ed.), *Shostakovich Studies*, p. 168.
2. Ellon D. Carpenter, 'Russian Theorists on Modality in Shostakovich's Music', in Fanning (ed.), *Shostakovich Studies*, pp. 92–6; David Fanning, 'Shostakovich in Harmony: Untranslatable Messages', in Rosamund Bartlett (ed.), *Shostakovich in Context* (Oxford University Press, 2000), pp. 33–5; Fanning notes a veiled allusion to the Passacaglia and its mode, at the same C♯ pitch level, in his analysis of the fourth movement of Shostakovich's Eighth String Quartet, in his *Shostakovich: String Quartet No. 8*, pp. 110–12; Pauline Fairclough observes that the First Waltz in the opening movement of the composer's Fourth Symphony makes use of the same mode, at the same pitch level, in *A Soviet Credo: Shostakovich's Fourth Symphony* (Aldershot, UK: Ashgate, 2006), pp. 116–20.
3. David Haas, 'The Rough Guide to Shostakovich's Harmonic Language', in Fairclough and Fanning (eds.), *Cambridge Companion to Shostakovich*, pp. 298–324; citation from n. 5, pp. 383–4. For a hearing of the theme in D minor, see Eckart Kröplin, *Frühe sowjetische Oper: Schostakowitsch, Prokofjew* (Berlin: Henschelverlag, 1985), p. 224 (cited in Fanning, 'Shostakovich in Harmony', p. 34).
4. David Beach, 'A Recurring Pattern in Mozart's Music', *Journal of Music Theory*, 27/1 (1983), 1–29; Michael C. Tusa, 'Beethoven's "C-Minor Mood": Some Thoughts on Structural Implications of Key Choice', *Beethoven Forum*, 2 (1993), 1–27; Warren Darcy, 'In Search of C Major: Tonal Structure and Formal Design in Act III of *Die Meistersinger*', in Matthew Bribitzer-Stull, Alex Lubet and Gottfried Wagner (eds.), *Richard Wagner for the New Millennium: Essays in Music and Culture* (New York: Palgrave Macmillan, 2007), pp. 111–28; David Fanning, 'Shostakovich: The Present-Day Master of the C-Major Key', *Acta Musicologica*, 73/2 (2001), 101–40; Rita Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries*, 2nd edn (University of Rochester Press, 2002; orig. pub. 1983).
5. Richard Taruskin notes the connection of the two symphonies by key in 'Public Lies and Unspeakable Truth: Interpreting Shostakovich's Fifth Symphony', in Fanning (ed.), *Shostakovich Studies*, p. 29. The essay is reprinted in Taruskin's *Defining Russia Musically: Historical and Hermeneutical Essays* (Princeton University Press, 1997), pp. 511–44. On Beethoven worship in the Stalinist 1930s, see Sheila Fitzpatrick, 'The *Lady Macbeth* Affair: Shostakovich and the Soviet Puritans', in Fitzpatrick, *The Cultural Front*.