

Notes

- 1 *Novejsaja russkaja poezija. Nabrosok pervyj* [Recent Russian Poetry, Sketch I] (Prague, 1921), p. 11.
- 2 "O zvukax stixotvornogo jazyka" in *Sborniki po teorii poeticeskogo jazyka, Vypusk pervyj* (Petrograd, 1916).
- 3 See Andrej Belyj's articles in the collection of essays, *Skify* (1917), and in *Vetv* (1917), and in my article, "O zvukax v stixe" [On Sound in Verse] (1920), reprinted in the collection of my essays, *Skvoz literaturu* (1924).
- 4 "Zvukovye povtory," in *Sborniki po teorii poeticeskogo jazyka, Vypusk II* (Petrograd, 1917).
- 5 *Voskresenie slova*.
- 6 The Russian word "priëm" has usually been translated as "device" or "technique." We follow Striedter's suggestion that the word be translated as "procedure." See "Zur formalistischen Theorie der Prosa und der literarischen Evolution," in *Texte der Russischen Formalisten* (Munich, 1969) (cited by Jan Broekman, *Structuralism: Moscow, Prague, Paris* (Boston, 1974)).
- 7 "Iskusstvo kak priëm," in *Sborniki po teorii poeticeskogo jazyka, Vypusk II* (Petrograd, 1917).
- 8 "Potebnja," in *Poetika: Sborniki po teorii poeticeskogo jazyka* (Petrograd, 1919).
- 9 *Razvertivanie sjuzeta and Tristam Sendi Sterna i teorija romana* (published separately by *Opojaz* in 1921).
- 10 "Kak sdelana 'Sinel' Gogolja," in *Poetika* (1919).
- 11 "O ritmiko-sintakticeskix figurax" (a report delivered to *Opojaz* in 1920 and not only never published but even, I believe, never fully completed).

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Viktor Shklovsky, *Russian critic, 1893-1984*.
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CHAPTER 3

"Art as Technique"

Viktor Shklovsky

If we start to examine the general laws of perception, we see that as perception becomes habitual, it becomes automatic. Thus, for example, all of our habits retreat into the area of the unconsciously automatic; if one remembers the sensations of holding a pen or of speaking in a foreign language for the first time and compares that with his feeling at performing the action for the ten thousandth time, he will agree with us. Such habituation explains the principles by which, in ordinary speech, we leave phrases unfinished and words half expressed. In this process, ideally realized in algebra, things are replaced by symbols. Complete words are not expressed in rapid speech; their initial sounds are barely perceived. Alexander Pogodin offers the example of a boy considering the sentence "The Swiss mountains are beautiful" in the form of a series of letters: *T, S, m, a, b*.¹

This characteristic of thought not only suggests the method of algebra, but even prompts the choice of symbols (letters, especially initial letters). By this "algebraic" method of thought we apprehend objects only as shapes with imprecise extensions; we do not see them in their entirety but rather recognize them by their main characteristics. We see the object as though it were enveloped in a sack. We know what it is by its configuration, but we see only its silhouette. The object, perceived thus in the manner of prose perception, fades and does not leave even a first impression; ultimately even the essence of what it was is forgotten. Such perception explains why we fail to hear the prose word in its entirety (see Leo Jakobinsky's article²) and, hence, why (along with other slips of the tongue) we fail to pronounce it. The process of "algebrization," the over-automatization of an object, permits the greatest economy of perceptive effort. Either objects are assigned only one proper feature – a number, for example – or else they function as though by formula and do not even appear in cognition:

I was cleaning and, meandering about, approached the divan and couldn't remember whether or not I had dusted it. Since these movements are habitual and unconscious I could not remember and felt that it was impossible to remember – so that if I had dusted it and forgot – that is, had acted unconsciously, then it was the same as if I had not. If some conscious person had been watching, then the fact could be established. If, however, no one was looking, or looking on unconsciously, if the whole complex lives of many people go on unconsciously, then such lives are as if they had never been.³

And so life is reckoned as nothing. Habitualization devours work, clothes, furniture, one's wife, and the fear of war. "If the whole complex lives of many people go on unconsciously, then such lives are as if they had never been." And art exists that one may recover the sensation of life; it exists to make one feel things, to make the stone *stony*. The purpose of art is to impart the sensation of things as they are perceived and not as they are known. The technique of art is to make objects "unfamiliar," to make forms difficult, to increase the difficulty and length of perception because the process of perception is an aesthetic end in itself and must be prolonged. *Art is a way of experiencing the artfulness of an object: the object is not important...*

After we see an object several times, we begin to recognize it. The object is in front of us and we know about it, but we do not see it⁴ – hence we cannot say anything significant about it. Art removes objects from the automatism of perception in several ways. Here I want to illustrate a way used repeatedly by Leo Tolstoy, that writer who, for Merezhkovsky at least, seems to present things as if he himself saw them, saw them in their entirety, and did not alter them.

Tolstoy makes the familiar seem strange by not naming the familiar object. He describes an object as if he were seeing it for the first time, an event as if it were happening for the first time. In describing something he avoids the accepted names of its parts and instead names corresponding parts of other objects. For example, in "Shame" Tolstoy "defamiliarizes" the idea of flogging in this way: "to strip people who have broken the law, to hurl them to the floor, and to rap on their bottoms with switches," and, after a few lines, "to lash about on the naked buttocks." Then he remarks:

Just why precisely this stupid, savage means of causing pain and not any other – why not prick the shoulders or any part of the body with needles, squeeze the hands or the feet in a vise, or anything like that?

I apologize for this harsh example, but it is typical of Tolstoy's way of pricking the conscience. The familiar act of flogging is made unfamiliar both by the description and by the proposal to change its form without changing its nature. Tolstoy uses this technique of "defamiliarization" constantly. The narrator of "Kholstomer," for example, is a horse, and it is the horse's point of view (rather than a person's) that makes the content of the story seem unfamiliar. Here is how the horse regards the institution of private property:

I understood well what they said about whipping and Christianity. But then I was absolutely in the dark. What's the meaning of "his own," "his colt"? From these phrases I saw that people thought there was some sort of connection between me and the stable. At the time I simply could not understand the connection. Only much later, when they separated me from the other horses, did I begin to understand. But even then I simply could not see what it meant when they called me "man's property." The words "my horse" referred to me, a living horse, and seemed as strange to me as the words "my land," "my air," "my water."

But the words made a strong impression on me. I thought about them constantly, and only after the most diverse experiences with people did I understand, finally, what they meant. They meant this: In life people are guided by words, not by deeds. It's not so much that they love the possibility of doing or not doing something as it is the possibility of speaking with words, agreed on among themselves, about various topics. Such are the words "my" and "mine," which they apply to different things, creatures, objects, and even to land, people, and horses. They agree that only one may say "mine" about this, that or the other thing. And the one who says "mine" about the greatest number of things is, according to the game which they've agreed to among themselves, the one they consider the most happy. I don't know the point of all this, but it's true. For a long time I tried to explain it to myself in terms of some kind of real gain, but I had to reject that explanation because it was wrong.

Many of those, for instance, who called me their own never rode on me – although others did. And so with those who fed me. Then again, the coachman, the veterinarians, and the outsiders in general treated me kindly, yet those who called me their own did not. In due time, having widened the scope of my observations, I satisfied myself that the notion "my," not only has relation to us horses, has no other basis than a narrow human instinct which is called a sense of or right to private property. A man says "this house is mine" and never lives in it; he only worries about its construction and upkeep. A merchant says "my shop," or "my dry goods shop," for instance, and does not even wear clothes made from the better cloth he keeps in his own shop.

There are people who call a tract of land their own, but they never set eyes on it and never take a stroll on it. There are people who call others their own, yet never see them. And the whole relationship between them is that the so-called "owners" treat the others unjustly.

There are people who call women their own, or their "wives," but their women live with other men. And people strive not for the good in life, but for goods they can call their own.

I am now convinced that this is the essential difference between people and ourselves. And therefore, not even considering the other ways in which we are superior, but considering just this one virtue, we can bravely claim to stand higher than men on the ladder of living creatures. The actions of men, at least those with whom I have had dealings, are guided by *words* – ours by *deeds*.

The horse is killed before the end of the story, but the manner of the narrative, its technique, does not change:

Much later they put Serpukhovsky's body, which had experienced the world, which had eaten and drunk, into the ground. They could profitably send neither his hide, nor his flesh, nor his bones anywhere.

But since his dead body, which had gone about in the world for twenty years, was a great burden to everyone, its burial was only a superfluous embarrassment for the people. For a long time no one had needed him; for a long time he had been a burden on all. But nevertheless, the dead who buried the dead found it necessary to dress this bloated body, which immediately began to rot, in a good uniform and good boots; to lay it in a good new coffin with new tassels at the four corners, then to place this new coffin in another of lead and ship it to Moscow; there to exhume ancient bones

and at just that spot, to hide this putrefying body, swarming with maggots, in its new uniform and clean boots, and to cover it over completely with dirt.

Thus we see that at the end of the story Tolstoy continues to use the technique even though the motivation for it (the reason for its use) is gone.

In *War and Peace* Tolstoy uses the same technique in describing whole battles as if battles were something new. These descriptions are too long to quote; it would be necessary to extract a considerable part of the four-volume novel. But Tolstoy uses the same method in describing the drawing room and the theater:

The middle of the stage consisted of flat boards; by the sides stood painted pictures representing trees, and at the back a linen cloth was stretched down to the floor boards. Maidens in red bodices and white skirts sat on the middle of the stage. One, very fat, in a white silk dress, sat apart on a narrow bench to which a green pasteboard box was glued from behind. They were all singing something. When they had finished, the maiden in white approached the prompter's box. A man in silk with tight-fitting pants on his fat legs approached her with a plume and began to sing and spread his arms in dismay. The man in the tight pants finished his song alone; then the girl sang. After that both remained silent as the music resounded; and the man, obviously waiting to begin singing his part with her again, began to run his fingers over the hand of the girl in the white dress. They finished their song together, and everyone in the theater began to clap and shout. But the men and women on stage, who represented lovers, started to bow, smiling and raising their hands.

In the second act were pictures representing monuments and openings in the linen cloth representing the moonlight, and they raised lamp shades on a frame. As the musicians started to play the bass horn and counter-bass, a large number of people in black mantels poured onto the stage from right and left. The people, with something like daggers in their hands, started to wave their arms. Then still more people came running out and began to drag away the maiden who had been wearing a white dress but who now wore one of sky blue. They did not drag her off immediately, but sang with her for a long time before dragging her away. Three times they struck on something metallic behind the side scenes, and everyone got down on his knees and began to chant a prayer. Several times all of this activity was interrupted by enthusiastic shouts from the spectators...

Anyone who knows Tolstoy can find several hundred such passages in his work. His method of seeing things out of their normal context is also apparent in his last works. Tolstoy described the dogmas and rituals he attacked as if they were unfamiliar, substituting everyday meanings for the customarily religious meanings of the words common in church ritual. Many persons were painfully wounded; they considered it blasphemy to present as strange and monstrous what they accepted as sacred. Their reaction was due chiefly to the technique through which Tolstoy perceived and reported his environment. And after turning to what he had long avoided, Tolstoy found that his perceptions had unsettled his faith.

The technique of defamiliarization is not Tolstoy's alone. I cited Tolstoy because his work is generally known.

Now, having explained the nature of this technique, let us try to determine the approximate limits of its application. I personally feel that defamiliarization is found almost everywhere form is found. . . An image is not a permanent referent for those mutable complexities of life which are revealed through it, its purpose is not to make us perceive meaning, but to create a special perception of the object – *it creates a vision of the object instead of serving as a means for knowing it...*

Such constructions as "the pestle and the mortar," or "Old Nick and the infernal regions" (*Decameron*) are also examples of the technique of defamiliarization. And in my article on plot construction I write about defamiliarization in psychological parallelism. Here, then, I repeat that the perception of disharmony in a harmonious context is important in parallelism. The purpose of parallelism, like the general purpose of imagery, is to transfer the usual perception of an object into the sphere of new perception – that is, to make a unique semantic modification.

In studying poetic speech in its phonetic and lexical structure as well as in its characteristic distribution of words and in the characteristic thought structures compounded from the words, we find everywhere the artistic trademark – that is, we find material obviously created to remove the automatism or perception; the author's purpose is to create the vision which results from that deautomatized perception. A work is created "artistically" so that its perception is impeded and the greatest possible effect is produced through the slowness of the perception. As a result of this lingering, the object is perceived not in its extension in space, but, so to speak, in its continuity. Thus "poetic language" gives satisfaction. According to Aristotle, poetic language must appear strange and wonderful; and, in fact, it is often actually foreign: the Sumerian used by the Assyrians, the Latin of Europe during the Middle Ages, the Arabisms of the Persians, the Old Bulgarian of Russian literature, or the elevated, almost literary language of folk songs. The common archaisms of poetic language, the intricacy of the sweet new style [*dolce stil nuovo*],⁵ the obscure style of the language of Arnaut Daniel with the "roughened" [*harte*] forms *which make pronunciation difficult* – these are used in much the same way. Leo Jakubinsky has demonstrated the principle of phonetic "roughening" of poetic language in the particular case of the repetition of identical sounds. The language of poetry is, then, a difficult, roughened, impeded language. In a few special instances the language of poetry approximates the language of prose, but this does not violate the principle of "roughened" form.

Her sister was called Tatyana
For the first time we shall
Willfully brighten the delicate
Pages of a novel with such a name

wrote Pushkin. The usual poetic language for Pushkin's contemporaries was the elegant style of Derzhavin; but Pushkin's style, because it seemed trivial then, was unexpectedly difficult for them. We should remember the consternation of Pushkin's contemporaries over the vulgarity of his expressions. He used the popular

language as a special device for prolonging attention, just as his contemporaries generally used Russian words in their usually French speech (see Tolstoy's examples in *War and Peace*).

Just now a still more characteristic phenomenon is under way. Russian literary language, which was originally foreign to Russia, has so permeated the language of the people that it has blended with their conversation. On the other hand, literature has now begun to show a tendency towards the use of dialects (Remizov, Klyuyev, Essenin, and others,⁶ so unequal in talent and so alike in language, are intentionally provincial) and or barbarisms (which gave rise to the Severyanin group⁷). And currently Maxim Gorky is changing his diction from the old literary language to the new literary colloquialism of Leskov.⁸ Ordinary speech and literary language have thereby changed places (see the work of Vyacheslav Ivanov and many others). And finally, a strong tendency, led by Khlebnikov, to create a new and properly poetic language has emerged. In the light of these developments we can define poetry as *attenuated, tortuous* speech. Poetic speech is *formed speech*. Prose is ordinary speech – economical, easy, proper, the goddess of prose [*dea prosae*] is a goddess of the accurate, facile type, of the “direct” expression of a child. I shall discuss roughened form and retardation as the general *law* of art at greater length in an article on plot construction.⁹

Nevertheless, the position of those who urge the idea of the economy of artistic energy as something which exists in and even distinguishes poetic language seems, at first glance, tenable for the problem rhythm. Spencer's description of rhythm would seem to be absolutely incontestable:

Just as the body in receiving a series of varying concussions, must keep the muscles ready to meet the most violent of them, as not knowing when such may come: so, the mind in receiving unarranged articulations, must keep its perspectives active enough to recognize the least easily caught sounds. And as, if the concussions recur in definite order, the body may husband its forces by adjusting the resistance needful for each concussion; so, if the syllables be rhythmically arranged, the mind may economize its energies by anticipating the attention required for each syllable.¹⁰

This apparent observation suffers from the common fallacy, the confusion of the laws of poetic and prosaic language. In *The Philosophy of Style* Spencer failed utterly to distinguish between them. But rhythm may have two functions. The rhythm of prose, or a work song like “Dubinushka,” permits the members of the work crew to do their necessary “groaning together” and also eases the work by making it automatic. And, in fact, it is easier to march with music than without it, and to march during an animated conversation is even easier, for the walking is done unconsciously. Thus the rhythm of prose is an important automatizing element; the rhythm of poetry is not. There is “order” in art, yet not a single column of a Greek temple stands exactly in its proper order; poetic rhythm is similarly disordered rhythm. Attempts to systematize the irregularities have been made, and such attempts are part of the current problem in the theory of rhythm. It is obvious that the systematization will not work, for in reality the problem is not one of

complicating the rhythm but of disordering the rhythm – a disordering which cannot be predicted. Should the disordering of rhythm become a convention, it would be ineffective as a procedure for the roughening of language. But I will not discuss rhythm in more detail since I intend to write a book about it.

Notes

- 1 Alexander Pogodin, *Yazyk, kak tvorchestvo* [*Language as Art*] (Kharkov, 1913), p. 42. [The original sentence was in French, “*Les montagnes de la Suisse sont belles,*” with the appropriate initials.]
- 2 Leo Jakubinsky, *Sborniki*, I (1916).
- 3 Leo Tolstoy's *Diary*, entry dated February 29, 1897. [The date is transcribed incorrectly; it should read March 1, 1897.]
- 4 Viktor Shklovsky, *Voskresheniye slova* [*The Resurrection of the Word*] (Petersburg, 1914).
- 5 Dante, *Purgatorio*, 24:56. Dante refers to the new lyric style of his contemporaries. [Trans.]
- 6 Alexy Remizov (1877–1957) is best known as a novelist and satirist; Nicholas Klyuyev (1885–1937) and Sergey Essenin (1895–1925) were “peasant poets.” All three were noted for their faithful reproduction of Russian dialects and colloquial language. [Trans.]
- 7 A group noted for its opulent and sensuous verse style. [Trans.]
- 8 Nicholas Leskov (1831–95), novelist and short story writer, helped popularize the *skaz*, or yarn, and hence, because of the part dialect peculiarities play in the *skaz*, also altered Russian literary language. [Trans.]
- 9 Shklovsky is probably referring to his *Razvyortyvaniye syuzheta* [*Plot Development*] (Petrograd, 1921). [Trans.]
- 10 Herbert Spencer, *The Philosophy of Style* [(Humboldt Library, vol. XXXIV; New York, 1882), p. 169. The Russian text is slightly shortened from the original].