

Kracauer, Siegfried. "Caligari" in *The Cabinet of Dr. Caligari. Texts, Contexts, Histories.* ed. Mike Budd. New Brunswick: Rutgers UP, 1990. 241-255.

The Czech Hans Janowitz, one of the two authors of the film *Das Cabinet des Dr. Caligari* (*The Cabinet of Dr. Caligari*), was brought up in Prague—that city where reality fuses with dreams, and dreams turn into visions of horror.<sup>1</sup> One evening in October 1913 this Young poet was strolling through a fair at Hamburg, trying to find a girl whose beauty and manner had attracted him. The tents of the fair covered the Reeperbahn, known to any sailor as one of the world's chief pleasure spots. Nearby, on the Holstenwall, Lederer's gigantic Bismarck monument stood sentinel over the ships in the harbor. In search of the girl, Janowitz followed the fragile trail of a laugh that he thought hers into a dim park bordering the Holstenwall. The laugh, which apparently served to lure a young man, vanished somewhere in the shrubbery. When, a short time later, the young man departed, another shadow, hidden until then in the bushes, suddenly emerged and moved along—as if on the scent of that laugh. Passing this uncanny shadow, Janowitz caught a glimpse of him: he looked like an average bourgeois. Darkness reabsorbed the man and made further pursuit impossible. The following day big headlines in the local press announced: "Horrible sex crime on the Holstenwall! Young Gertrude ... murdered." An obscure feeling that Gertrude might have been the girl of the fair impelled Janowitz to attend the victim's funeral. During the ceremony he suddenly had the sensation of discovering the murderer, who had not yet been captured. The man he suspected seemed to recognize him, too. It was the bourgeois—the shadow in the bushes.

Carl Mayer, co-author with Janowitz of *Caligari*, was born in the Austrian provincial capital of Graz, where his father, a wealthy businessman, would have prospered had he not been obsessed by the idea of becoming a "scientific" gambler. In the prime of life he sold his property, went, armed with an infallible "system," to Monte Carlo, and reappeared a few months later in Graz, broke. Under the stress of this catastrophe, the monomaniac father turned the sixteen-year-old Carl and his three younger brothers out into the street and finally committed suicide. A mere boy, Carl Mayer was responsible for the three children. While he toured through Austria, peddling barometers, singing in choirs, and playing extras in peasant theaters, he became increasingly interested in the state. There was no branch of theatrical production that he did not explore during those years of nomadic life—years full of experiences that were to be of immense use in his future career as a film poet. At the beginning of the war, the adolescent made his living by sketching Hindenburg portraits on postcards in Munich cafes. Later in the war, Janowitz reports, he had to undergo repeated examinations of his mental condition. Mayer seems to have been very embittered against the high-ranking military psychiatrist in charge of his case.

The war was over. Janowitz, who from its outbreak had been an officer in an infantry regiment, returned as a convinced pacifist, animated by hatred of an authority that had sent millions of men to death. He felt that absolute authority was bad in itself. He settled in Berlin, met Carl Mayer there, and soon found out that this eccentric young man, who had never before written a line, shared his revolutionary moods and views. Why not express them on the screen? Intoxicated with Wegener's films, Janowitz believed that this new medium might lend itself to powerful poetic revelations. As youth will, the two friends embarked on endless discussions that hovered around Janowitz's Holstenwall adventure as well as Mayer's mental duel with the

psychiatrist. These stories seemed to evoke and supplement each other. After such discussions the pair would stroll through the night, irresistibly attracted by a dazzling and clamorous fair on Kantstrasse. It was a bright jungle, more hell than paradise, but a paradise to those who had exchanged the horror of war for the terror of want. One evening, Mayer dragged his companion to a sideshow by which he had been impressed. Under the title "Man or Machine" it presented a strong man who achieved miracles of strength in an apparent stupor. He acted as if he were hypnotized. The strangest thing was that he accompanied his feats with utterances that affected the spellbound spectators as pregnant forebodings.

Any creative process approaches a moment when only one additional experience is needed to integrate all elements into a whole. The mysterious figure of the strong man supplied such an experience. On the night of this show the friends first visualized the original story of *Caligari*. They wrote the manuscript in the following six weeks. Defining the part each took in the work, Janowitz calls himself "the father who planted the seed, and Mayer the mother who conceived and ripened it." At the end, one small problem arose: the authors were at a loss as to what to christen their main character, a psychiatrist shaped after Mayer's archenemy during the war. A rare volume, *Unknown Letters of Stendhal*, offered the solution. While Janowitz was skimming through this find of his, he happened to notice that Stendhal, just come from the battlefield, met at La Scala in Milan an officer named Caligari. The name clicked with both authors.

Their story is located in a fictitious North German town near the Dutch border, significantly called Holstenwall. One day a fair moves into the town, with merry-go-rounds and sideshows—among the latter that of Dr. Caligari, a weird, bespectacled man advertising the somnambulist Cesare. To procure a license, Caligari goes to the town hall, where he is treated haughtily by an arrogant official. The following morning this official is found murdered in his room, which does not prevent the townspeople from enjoying the fair's pleasures. Along with numerous onlookers, Francis and Alan—two students in love with Jane, a medical man's daughter—enter the tent of Dr. Caligari and watch Cesare slowly stepping out of an upright, coffinlike box. Caligari tells the thrilled audience that the somnambulist will answer questions about the future. Alan, in an excited state, asks how long he has to live. Cesare opens his mouth; he seems to be dominated by a terrific, hypnotic power emanating from his master. "Until dawn," he answers. At dawn Francis learns that his friend has been stabbed in exactly the same manner as the official. The student, suspicious of Caligari, persuades Jane's father to assist him in an investigation. With a search warrant the two force their way into the showman's wagon and demand that he end the trance of his medium. However, at this very moment they are called away to the police station to attend the examination of a criminal who has been caught in the act of killing a woman, and who now frantically denies that he is the pursued serial murderer.

Francis continues spying on Caligari and, after nightfall, secretly peers through a window of the wagon. But while he imagines he sees Cesare lying in his box, Cesare in reality breaks into Jane's bedroom, lifts a dagger to pierce the sleeping girl, gazes at her, puts the dagger away and flees, with the screaming Jane in his arms, over roofs and roads. Chased by her father, he drops the girl, who is then escorted home, whereas the lonely kidnapper dies of exhaustion. As Jane, in flagrant contradiction of what Francis believes to be the truth, insists on having recognized Cesare, Francis approaches Caligari a second time to solve the torturing riddle. The

two policemen in his company seize the coffinlike box, and Francis draws out of it—a dummy representing the somnambulist. Profiting by the investigators' carelessness, Caligari himself manages to escape. He seeks shelter in a lunatic asylum. The student follows him, calls on the director of the asylum to inquire about the fugitive, and recoils horror-struck: the director and Caligari are one and the same person.

The following night—the director has fallen asleep—Francis and three members of the medical staff whom he has initiated into the case search the director's office and discover material fully establishing the guilt of this authority in psychiatric matters. Among a pile of books they find an old volume about a showman named Caligari who, in the eighteenth century, traveled through North Italy, hypnotized his medium Cesare into murdering sundry people, and, during Cesare's absence, substituted a wax figure to deceive the police. The main exhibit is the director's clinical records; they evidence that he desired to verify the account of Caligari's hypnotic faculties, that his desire grew into an obsession, and that, when a somnambulist was entrusted to his care, he could not resist the temptation of repeating with him those terrible games. He had adopted the identity of Caligari. To make him admit his crimes, Francis confronts the director with the corpse of his tool, the somnambulist. No sooner does the monster realize Cesare is dead than he begins to rave. Trained attendants put him into a straitjacket.

This horror tale in the spirit of E. T. A. Hoffmann was an outspoken revolutionary story. In it, as Janowitz indicates, he and Carl Mayer half-intentionally stigmatized the omnipotence of a state authority manifesting itself in universal conscription and declarations of war. The German war government seemed to the authors the prototype of such voracious authority. Subjects of the Austro-Hungarian monarchy, they were in a better position than most citizens of the Reich to penetrate the fatal tendencies inherent in the German system. The character of Caligari embodies these tendencies; he stands for an unlimited authority that idolizes power as such, and, to satisfy its lust for domination, ruthlessly violates all human rights and values. Functioning as a mere instrument, Cesare is not so much a guilty murderer as Caligari's innocent victim. This is how the authors themselves understood him. According to the pacifist-minded Janowitz, they had created Cesare with the dim design of portraying the common man who, under the pressure of compulsory military service, is drilled to kill and to be killed. The revolutionary meaning of the story reveals itself unmistakably at the end, with the disclosure of the psychiatrist as Caligari: reason overpowers unreasonable power, insane authority is symbolically abolished. Similar ideas were also being expressed on the contemporary stage, but the authors of Caligari transferred them to the screen without including any of those eulogies of the authority-freed "New Man" in which many expressionist plays indulged.

A miracle occurred: Erich Pommer, chief executive of Decla-Bioscop, accepted this unusual, if not subversive, script. Was it a miracle? Since in those early postwar days the conviction prevailed that foreign markets could only be conquered by artistic achievements, the German film industry was of course anxious to experiment in the field of aesthetically qualified entertainment.<sup>2</sup> Art assured export, and export meant salvation. An ardent partisan of this doctrine, Pommer had moreover an incomparable flair for cinematic values and popular demands. Regardless of whether he grasped the significance of the strange story Mayer and Janowitz submitted to him, he certainly sensed its timely atmosphere and interesting scenic

potentialities. He was a born promoter who handled screen and business affairs with equal facility and, above all, excelled in stimulating the creative energies of directors and players. In 1923, Ufa was to make him chief of its entire production.<sup>3</sup> His behind-the-scenes activities were to leave their imprint on the pre-Hitler screen.

Pommer assigned Fritz Lang to direct *Caligari*, but in the middle of the preliminary discussions Lang was ordered to finish his serial *The Spiders*; the distributors of this film urged its completion.<sup>4</sup> Lang's successor was Dr. Robert Wiene. Since his father, a once-famous Dresden actor, had become slightly insane toward the end of his life, Wiene was not entirely unprepared to tackle the case of Dr. Caligari. He suggested, in complete harmony with what Lang had planned, an essential change of the original story—a change against which the two authors violently protested. But no one heeded them.<sup>5</sup>

The original story was an account of real horrors; Wiene's version transforms that account into a chimera concocted and narrated by the mentally deranged Francis. To effect this transformation the body of the original story is put into a framing story that introduces Francis as a madman. The film *Caligari* opens with the first of the two episodes composing the frame. Francis is shown sitting on a bench in the park of the lunatic asylum, listening to the confused babble of a fellow sufferer. Moving slowly, like an apparition, a female inmate of the asylum passes by: it is Jane. Francis says to his companion: "What I have experienced with her is still stranger than what you have encountered. I will tell it to you."<sup>6</sup> Fade-out. Then a view of Holstenwall fades in, and the original story unfolds, ending, as has been seen, with the identification of Caligari. After a new fade-out the second and final episode of the framing story begins. Francis, having finished the narration, follows his companion back to the asylum, where he mingles with a crowd of sad figures—among them Cesare, who absent-mindedly caresses a little flower. The director of the asylum, a mild and understanding-looking person, joins the crowd. Lost in the maze of his hallucinations, Francis takes the director for the nightmarish character he himself has created and accuses this imaginary fiend of being a dangerous madman. He screams, he fights the attendants in a frenzy. The scene is switched over to a sickroom, with the director putting on horn-rimmed spectacles that immediately change his appearance: it seems to be Caligari who examines the exhausted Francis. After this he removes his spectacles and, all mildness, tells his assistants that Francis believes him to be Caligari. Now that he understands the case of his patient, the director concludes, he will be able to heal him. With this cheerful message the audience is dismissed.

Janowitz and Mayer knew why they raged against the framing story: it perverted, if not reversed, their intrinsic intentions. While the original story exposed the madness inherent in authority, Wiene's *Caligari* glorified authority and convicted its antagonist of madness. A revolutionary film was thus turned into a conformist one—following the much-used pattern of declaring some normal but troublesome individual insane and sending him to a lunatic asylum. This change undoubtedly resulted not so much from Wiene's personal predilections as from his instinctive submission to the necessities of the screen; films, at least commercial films, are forced to answer to mass desires. In its changed form *Caligari* was no longer a product expressing, at best, sentiments characteristic of the intelligentsia, but a film supposed equally to be in harmony with what the less educated felt and liked.

If it holds true that during the postwar years most Germans eagerly tended to withdraw from a harsh outer world into the intangible realm of the soul, Wiene's version was certainly more consistent with their attitude than the original story; for, by putting the original into a box, this version faithfully mirrored the general retreat into a shell. In *Caligari* (and several other films of the time) the device of a framing story was not only an aesthetic form but also had symbolic content. Significantly, Wiene avoided mutilating the original story itself. Even though *Caligari* had become a conformist film, it preserved and emphasized this revolutionary story—as a madman's fantasy. Caligari's defeat now belonged among psychological experiences. In this way Wiene's film does suggest that during their retreat into themselves the Germans were stirred to reconsider their traditional belief in authority. Down to the bulk of social democratic workers they refrained from revolutionary action; yet at the same time a psychological revolution seems to have prepared itself in the depths of the collective soul. The film reflects this double aspect of German life by coupling a reality in which Caligari's authority triumphs with a hallucination in which the same authority is overthrown. There could be no better configuration of symbols for that uprising against the authoritarian dispositions which apparently occurred under the cover of a behavior rejecting uprising.

Janowitz suggested that the settings for *Caligari* be designed by the painter and illustrator Alfred Kubin, who, a forerunner of the surrealists, made eerie phantoms invade harmless scenery and visions of torture emerge from the subconscious. Wiene took to the idea of painted canvases but preferred to Kubin three expressionist artists: Hermann Warm, Walter Röhrig, and Walter Reimann. They were affiliated with the Berlin Sturm group, which, through Herwarth Walden's magazine *Sturm*, promoted expressionism in every field of art.<sup>7</sup>

Although expressionist painting and literature had evolved years before the war, they acquired a public only after 1918. In this respect the case of Germany somewhat resembled that of Soviet Russia where, during the short period of war communism, diverse currents of abstract art enjoyed a veritable heyday.<sup>8</sup> To a revolutionized people expressionism seemed to combine the denial of bourgeois traditions with faith in man's power freely to shape society and nature. On account of such virtues it may have cast a spell over many Germans upset by the breakdown of their universe.<sup>9</sup>

"Films must be drawings brought to life": this was Hermann Warm's formula at the time that he and his two fellow designers were constructing the *Caligari* world.<sup>10</sup> In accordance with his beliefs, the canvases and draperies of *Caligari* abounded in complexes of jagged, sharp-pointed forms strongly reminiscent of gothic patterns. Products of a style that by then had become almost a mannerism, these complexes suggested houses, walls, landscapes. Except for a few slips or concessions—some backgrounds opposed the pictorial convention in too direct a manner, while others all but preserved them—the settings amounted to a perfect transformation of material objects into emotional ornaments. With its oblique chimneys on pell-mell roofs, its windows in the form of arrows or kites, and its treelike arabesques that were threats rather than trees, Holstenwall resembled those visions of unheard-of cities that the painter Lyonel Feininger evoked through his edgy, crystalline compositions.<sup>11</sup> In addition, the ornamental system in *Caligari* expanded through space, annulling its conventional aspect by means of painted shadows in disharmony with the lighting effects and zigzag delineations designed to efface all rules of perspective. Space now dwindled to a flat

plane, now augmented its dimensions to become what one writer called a “stereoscopic universe.”<sup>12</sup>

Lettering was introduced as an essential element of the settings—appropriately enough, considering the close relationship between lettering and drawing. In one scene the mad psychiatrist’s desire to imitate Caligari materializes in jittery characters composing the words “I must become Caligari” –words that loom before his eyes on the road, in the clouds, in the treetops. The incorporation of human beings and their movements into the texture of these surroundings was tremendously difficult. Of all the players only the two protagonists seemed actually to be created by a draftman’s imagination. Werner Krauss as Caligari had the appearance of a phantom magician himself weaving the lines and shades through which he paced, and when Conrad Veidt’s Cesare prowled along a wall, it was as if the wall had exuded him. The figure of an old dwarf and the crowd’s antiquated costumes helped to remove the throng on the fair’s tent-street from reality and make it share the bizarre life of abstract forms.

If Decla had chosen to leave the original story of Mayer and Janowitz as it was, these “drawings brought to life” would have told it perfectly. As expressionist abstractions they were animated by the same revolutionary spirit that impelled the two scriptwriters to accuse authority—the kind of authority revered in Germany—of inhuman excesses. However, Wiene’s version disavowed this revolutionary meaning of expressionist staging, or, at least, put it, like the original story itself, in brackets. In the film *Caligari* expressionism seems to be nothing more than the adequate translation of a madman’s fantasy into pictorial terms. This was how many contemporary German reviewers understood, and relished, the settings and gestures. One of the critics stated with self-assured ignorance: “The idea of rendering the notions of sick brains ... through expressionist pictures is not only well conceived but also well realized. Here this style has a right to exist, proves an outcome of solid logic.”<sup>13</sup>

In their triumph the philistines overlooked one significant fact: even though *Caligari* stigmatized the oblique chimneys as crazy, it never restored the perpendicular ones as the normal. Expressionist ornaments also overrun the film’s concluding episode, in which, from the philistines’ viewpoint, perpendiculars should have been expected to characterize the revival of conventional reality. In consequence, the *Caligari* style was as far from depicting madness as it was from transmitting revolutionary messages. What function did it really assume?

During the postwar years expressionism was frequently considered a shaping of primitive sensations and experiences. Gerhart Hauptmann’s brother Carl—a distinguished writer and poet with expressionist inclinations—adopted this definition, and then asked how the spontaneous manifestations of a profoundly agitated soul might best be formulated. While modern language, he contended, is too perverted to serve this purpose, the film—or the bioscop, as he termed it—offers a unique opportunity to externalize the fermentation of inner life. Of course, he said, the bioscop must feature only those gestures of things and of human beings that are truly soulful.<sup>14</sup>

Carl Hauptmann's views elucidate the expressionist style of *Caligari*. It had the function of characterizing the phenomena on the screen as phenomena of the soul—a function that overshadowed its revolutionary meaning. By making the film an outward projection of psychological events, expressionist staging symbolized—much more strikingly than did the device of a framing story—that general retreat into a shell which occurred in postwar Germany. It is not accidental that, as long as this collective process was effective, odd gestures and settings in an expressionist or similar style marked many a conspicuous film. *Variety*, of 1925, showed the final traces of them. Owing to their stereotyped character, these settings and gestures were like some familiar street sign—"Men at Work," for instance. Only here the lettering was different. The sign read: "Soul at Work."

After a thorough propaganda campaign culminating in the puzzling poster "You must become Caligari," Decla released the film in February 1920 in the Berlin Marmorhaus.<sup>15</sup> Among the press reviews—they were unanimous in praising *Caligari* as the first work of art on the screen—that of *Vorwärts*, the leading Social Democratic Party organ, distinguished itself by utter absurdity. It commented upon the film's final scene, in which the director of the asylum promises to heal Francis, with the words: "This film is also morally invulnerable inasmuch as it evokes sympathy for the mentally diseased, and comprehension for the self-sacrificing activity of the psychiatrists and attendants."<sup>16</sup> Instead of recognizing that Francis's attack against an odious authority harmonized with the Party's own antiauthoritarian doctrine, *Vorwärts* preferred to pass off authority itself as a paragon of progressive virtues. It was always the same psychological mechanism: the rationalized middle-class propensities of the Social Democrats interfering with their rational socialist designs. While the Germans were too close to *Caligari* to appraise its symptomatic value, the French realized that this film was more than just an exceptional film. They coined the term "*Caligarisme*" and applied it to a postwar world seemingly all upside down; which, at any rate, proves that they sensed the film's bearing on the structure of society. The New York premiere of *Caligari*, in April 1921, firmly established its world fame. But apart from giving rise to stray imitations and serving as a yardstick for artistic endeavors, this "most widely discussed film of the time" never seriously influenced the course of the American or French cinema.<sup>17</sup> It stood out lonely, like a monolith.

*Caligari* shows the "Soul at Work." On what adventures does the revolutionized soul embark? The narrative and pictorial elements of the film gravitate toward two opposite poles. One can be labeled "Authority," or, more explicitly, "Tyranny." The theme of tyranny, with which the authors were obsessed, pervades the screen from beginning to end. Swivel-chairs of enormous height symbolize the superiority of the city officials turning on them, and, similarly, the gigantic back of the chair in Alan's attic testifies to the invisible presence of powers that have their grip on him. Staircases reinforce the effect of the furniture: numerous steps ascend to police headquarters, and in the lunatic asylum itself no less than three parallel flights of stairs are called upon to mark Dr. Caligari's position at the top of the hierarchy. That the film succeeds in picturing him as a tyrant figure of the stamp of Homunculus and Lubitsch's Henry VIII is substantiated by a most illuminating statement in Joseph Freeman's novel, *Never Call Retreat*. Its hero, a Viennese professor of history, tells of his life in a German concentration camp where, after being tortured, he is thrown into a cell: "Lying alone in that cell, I thought of Dr. Caligari; then, without transition, of the Emperor Valentinian, master of the Roman world, who took great delight in imposing the death sentence for slight or imaginary offenses.

This Caesar's favorite expressions were: 'Strike off his head!' – 'Burn him alive!' – 'Let him be beaten with clubs till he expires!' I thought what a genuine twentieth century ruler the emperor was, and promptly fell asleep."<sup>18</sup>

This dreamlike reasoning penetrates Dr. Caligari to the core by conceiving him as a counterpart of Valentinian and a premonition of Hitler. Caligari is a very specific premonition in the sense that he uses hypnotic power to force his will upon his tool—a technique foreshadowing, in content and purpose, that manipulation of the soul which Hitler was the first to practice on a gigantic scale. Even though, at the time of *Caligari*, the motif of the masterful hypnotizer was not unknown on the screen—it played a prominent role in the American film *Trilby*, shown in Berlin during the war—nothing in their environment invited the two authors to feature it.<sup>19</sup> They must have been driven by one of those dark impulses that, stemming from the slowly moving foundations of a people's life, sometimes engender true visions.

One should expect the pole opposing that of tyranny to be the pole of freedom; for it was doubtless their love of freedom that made Janowitz and Mayer disclose the nature of tyranny. Now this counterpole is the rallying-point of elements pertaining to the fair—the fair with its rows of tents, its confused crowds besieging them, and its diversity of thrilling amusements. Here Francis and Alan happily join the swarm of onlookers; here, on the scene of his triumphs, Dr. Caligari is finally trapped. In their attempts to define the character of a fair, literary sources repeatedly evoke the memory of Babel and Babylon alike. A seventeenth-century pamphlet describes the noise typical of a fair as “such a distracted noise that you would think Babel not comparable to it,” and, almost two hundred years later, a young English poet feels enthusiastic about “that Babylon of booths—the Fair”<sup>20</sup> The manner in which such Biblical images insert themselves unmistakably characterizes the fair as an enclave of anarchy in the sphere of entertainment. This accounts for its eternal attractiveness. People of all classes and ages enjoy losing themselves in a wilderness of glaring colors and shrill sounds, which is populated with monsters and abounding in bodily sensations—from violent shocks to tastes of incredible sweetness. For adults it is a regression into childhood days, in which games and serious affairs are identical, real and imagined things mingle, and anarchical desires aimlessly test infinite possibilities. By means of this regression the adult escapes a civilization that tends to overgrow and starve out the chaos of instincts—escapes it to restore that chaos upon which civilization nevertheless rests. The fair is not freedom but anarchy entailing chaos.

Significantly, most fair scenes in *Caligari* open with a small iris-in exhibiting an organ-grinder whose arm constantly rotates, and, behind him, the top of a merry-go-round that never ceases its circular movement.<sup>21</sup> The circle here becomes a symbol of chaos. While freedom resembles a river, chaos resembles a whirlpool. Forgetful of self, one may plunge into chaos; one cannot move on in it. That the two authors selected a fair with its liberties as contrast to the oppressions of Caligari betrays the flaw in their revolutionary aspirations. Much as they longed for freedom, they were apparently incapable of imagining its contours. There is something Bohemian in their conception; it seems the product of naive idealism rather than true insight. But it might be said that the fair faithfully reflected the chaotic condition of postwar Germany.

Whether intentionally or not, *Caligari* exposes the soul wavering between tyranny and chaos and facing a desperate situation: any escape from tyranny seems to throw it into a state of utter

confusion. Quite logically, the film spreads an all-pervading atmosphere of horror. Like the Nazi world, that of *Caligari* overflows with sinister portents, acts of terror and outbursts of panic. The equation of horror and hopelessness comes to a climax in the final episode that pretends to reestablish normal life. Except for the ambiguous figure of the director and the shadowy members of his staff, normality realizes itself though the crowd of insane moving in their bizarre surroundings. The normal as a madhouse: frustration could not be pictured more finally. And in this film, as well as in *Homunculus*, is unleashed a strong sadism and an appetite for destruction. The reappearance of these traits on the screen once more testifies to their prominence in the German collective soul.

Technical peculiarities betray peculiarities of meaning. In *Caligari* methods begin to assert themselves that belong among the special properties of German film technique. *Caligari* initiates a long procession of 100 percent studio-made films. Whereas, for instance, the Swedes at that time went to great pains to capture the actual appearance of a snowstorm or a wood, the German directors, at least until 1924, were so infatuated with indoor effects that they built up whole landscapes within the studio walls. They preferred the command of an artificial universe to dependence upon a haphazard outer world. Their withdrawal into the studio was part of the general retreat into a shell. Once the Germans had determined to seek shelter within the soul, they could not well allow the screen to explore that very reality which they abandoned. This explains the conspicuous role of architecture after *Caligari*—a role that has struck many an observer. “It is of the utmost importance,” Paul Rotha remarks in a survey of the postwar period, “to grasp the significant part played by the architect in the development of the German cinema.”<sup>22</sup> How could it be otherwise? The architect’s facades and rooms were not merely backgrounds but hieroglyphs. They expressed the structure of the soul in terms of space.

*Caligari* also mobilizes light. It is a lighting device that enables the spectators to watch the murder of Alan without seeing it; what they see, on the wall of the student’s attic, is the shadow of Cesare stabbing that of Alan. Such devices developed into a specialty of the German studios. Jean Cassou credits the Germans with having invented a “laboratory-made fairy illumination,”<sup>23</sup> and Harry Alan Potamkin considers the handling of the light in the German film its “major contribution to the cinema.”<sup>24</sup> This emphasis upon light can be traced to an experiment Max Reinhardt made on the stage shortly before *Caligari*. In his *mise-en-scène* of Sorge’s prewar drama *The Beggar (Der Bettler)*—one of the earliest and most vigorous manifestations of expressionism—he substituted for normal settings imaginary ones created by means of lighting effects.<sup>25</sup> Reinhardt doubtless introduced these effects to be true to the drama’s style. The analogy to the films of the postwar period is obvious: it was their expressionist nature that impelled many a German director of photography to breed shadows as rampant as weeds and associate ethereal phantoms with strangely lit arabesques or faces. These efforts were designed to bathe all scenery in an unearthly illumination marking it as scenery of the soul. “Light has breathed soul into the expressionist films,” Rudolph Kurtz states in his book on the expressionist cinema.<sup>26</sup> Exactly the reverse holds true: in those films the soul was the virtual source of the light. The task of switching on this inner illumination was somewhat facilitated by powerful romantic traditions.

The attempt made in *Caligari* to coordinate settings, players, lighting, and action is symptomatic of the sense of structural organization that, from this film on, manifests itself on

the German screen. Rotha coins the term “studio constructivism” to characterize “that curious air of completeness, of finality, that surrounds each product of the German studios.”<sup>27</sup> But organizational completeness can be achieved only if the material to be organized does not object to it. (The ability of the Germans to organize themselves owes much to their longing for submission.) Since reality is essentially incalculable and therefore demands to be observed rather than commanded, realism on the screen and total organization exclude each other. Through their “studio constructivism” no less than their lighting the German films revealed that they dealt with unreal events displayed in a sphere basically controllable.<sup>28</sup>

In the course of a visit to Paris about six years after the premiere of *Caligari*, Janowitz called on Count Etienne de Beaumont in his old city residence, where he lived among Louis Seize furniture and Picassos. The Count voiced his admiration of *Caligari*, terming it “as fascinating and abstruse as the German soul.” He continued: “Now the time has come for the German soul to speak, Monsieur. The French soul spoke more than a century ago, in the Revolution, and you have been mute. . . . Now we are waiting for what you have to impart to us, to the world.”<sup>29</sup>

The Count did not have long to wait.

## NOTES

1. The following episode, along with other data appearing in my pages on *Caligari*, is drawn from an interesting manuscript Mr. Hans Janowitz has written about the genesis of this film. I feel greatly indebted to him for having put his material at my disposal. I am thus in a position to base my interpretation of *Caligari* on the true inside story, up to now unknown.
2. Carl Vincent, *Histoire de l'Art Cinematographique* (Brussels, 1939), p. 140.
3. *Jahrbuch der Filmindustrie*, 1922/3, pp. 35, 46. For an appraisal of Pommer, see C. A. Lejeune; *Cinema* (London, 1931), pp. 125-131.
4. Information offered by Mr. Lang.
5. Extracted from Mr. Janowitz's manuscript. See also Vincent, *Histoire de l'Art Cinematographique*, pp. 140, 143-144.
6. Film license, issued by Board of Censors, Berlin, 1921 and 1925 (Museum of Modern Art Library, clipping files); *Film Society Programme*, March 14, 1926.
7. Mr. Janowitz's manuscript; Vincent, *Histoire de l'Art Cinematographique*, p. 144; Paul Rotha, *The Film Till Now* (London, 1930) p. 43.
8. Rudolf Kurtz, *Expressionismus und Film* (Berlin, 1926), p. 61.
9. In Berlin, immediately after the war, Karl Heinz Martin staged two little dramas by Ernst Toller and Walter Hasenclever within expressionist settings. Cf. Kurtz, *Expressionismus*, p. 43; Vincent, *Histoire de l'Art Cinematographique*, pp. 142-143; Schapiro, “The Nature of Abstract Art,” *Marxist Quarterly*, Jan.-March 1937, p. 97.
10. Quotation from Kurtz, *Expressionismus*, p. 66. Warms' views, which implied a verdict on films as photographed reality, harmonized with those of Viking Eggeling, an abstract Swedish painter living in Germany. Having eliminated all objects from his canvases, Eggeling deemed it logical to involve the surviving geometrical compositions in rhythmic movements. He and his painter friend Hans Richter submitted this idea to Ufa, and Ufa, guided as ever by the maxim that art is good business or, at least, good propaganda, enabled the two artists to go ahead with their experiments. The first abstract films appeared in 1921. While Eggeling—he

died in 1925—orchestrated spiral lines and comblike figures in a short he called *Diagonal Symphony*, Richter composed his *Rhythm 21* of squares in black, gray and white. One year later, Walter Ruttmann, also a painter, joined in the trend with *Opus I*, which was a dynamic display of spots vaguely recalling X-ray photographs. As the titles reveal, the authors themselves considered their products a sort of optical music. It was a music that, whatever else it tried to impart, marked an utter withdrawal from the outer world. This esoteric *avant-garde* movement soon spread over other countries. From about 1924, such advanced French artists as Fernand Leger and Rene Clair made films that, less abstract than the German ones, showed an affinity for the formal beauty of machine parts and molded all kinds of objects and motions into surrealistic dreams. —I feel indebted to Mr. Hans Richter for having permitted me to use his unpublished manuscript, *Avant-garde, History and Dates of the Only Independent Artistic Film Movement, 1921-1931.*” See also *Film Society Programme*, Oct. 16, 1927; Kurtz, *Expressionismus*, pp. 86, 94; Vincent, *Histoire de l’Art Cinematographique*, pp. 159-61; Man Ray, *Answer to a Questionnaire*,” *Film Art*, no. 7, 1936, p. 9; Kraszna-Krausz, “Exhibition in Stuttgart, June 1929, and Its Effects,” *Close Up*, Dec. 1929, pp. 461-462.

11. Mr. Feininger wrote to me about his relation to *Caligari* on Sept. 13, 1944: “Thank you for your ... letter of Sept. 8. But if there has been anything I never had a part in nor the slightest knowledge of at the time, it is the film *Caligari*. I have never even seen the film...I never met nor knew the artists you name [Warm, Röhrig and Reimann] who devised the settings. Some time about 1911 I made, for my own edification, a series of drawings which I entitled: ‘Die Stadt am Ende der Welt.’ Some of those drawings were printed, some were exhibited. Later, after the birth of *Caligari*, I was frequently asked whether I had had a hand in its devising. This is all I can tell you....”
12. Cited by Huntly Carter, *The New Spirit in Cinema* (London, 1930), p. 250, from H. G. Scheffauer, *The New Spirit in the German Arts—For the Caligari decor*, see also Kurtz, *Expressionismus*, p. 66; Rotha, *Film Till Now*, p. 46; Valerio Jahier, “42 Ans de Cinéma,” *La Rôle intellectuel du Cinéma*, Société des Nations, Cahier 3 (Paris, 1937), pp. 60-61; “The Cabinet of Dr. Caligari,” *Exceptional Photoplays*, March 1921, p. 4; Fred.-Ph. Amiguet, *Cinéma! Cinéma!* (Lausanne and Geneva, 1923), p. 50. For the beginnings of Werner Krauss and Conrad Veidt, see Oskar Kalbus, *Vom Werden deutscher Filmkunst* (Altona-Behrenfeld, Germany, 1935), 1:28, 30, and Veidt, “Mein Leben,” *Ufa-Magazin*, Jan. 14-20, 1927.
13. Review in *8 Uhr Abendblatt*, cited in *Caligari-Heft, Was deutsche Zeitungen über den Film berichten* (Berlin) (a publicity pamphlet issued by Decla-Bioscop-Konzern), p. B.
14. Carl Hauptmann, “Film und Theater,” in *Der Film von Morgen*, ed. Hugo Zehder (Berlin-Dresden, 1923) p. 20. See also Alten, “Die Kunst in Deutschland,” *Ganymed*, 1920, p. 146; Kurtz, *Expressionismus*, p. 14.
15. *Jahrbuch der Filmindustrie*, 1922/3, p. 81.
16. Quoted from *Caligari-Heft*, p. 23.
17. Quotation from Lewis Jacobs, *The Rise of the American Film: A Critical History* (New York, 1939), p. 303; see also pp. 304-305.
18. Joseph Freeman, *Never Call Retreat* (New York, Toronto, 1943), p. 528.
19. Kalbus, *Deutsche Filmkunst*, 1:95.
20. Samuel McKechnie, *Popular Entertainments Through the Ages* (London, 1931), pp. 33, 47.
21. Rotha, *Film Till Now*, p. 285. For the role of fairs in films, see E. W. and M. M. Robson, *The Film Answers Back* (London, 1939), pp. 196-97. —An iris-in is a technical term for opening up the scene from a small circle of light in a dark screen until the whole frame is revealed.

22. Rotha, *Film Till Now*, p. 180. Cf. Potamkin, "Kino and Lichtspiel," *Close Up*, Nov. 1929, p. 387.
23. Cited in Leprohon, "Le Cinéma Allemand," *Le Rouge et le Noir*, July 1928, p. 135.
24. Potamkin, "The Rise and Fall of the German Film," *Cinema*, April 1930, p. 24.
25. Kurtz, *Expressionismus*, p. 59.
26. *Ibid.*, p. 60.
27. Rotha, *Film Till Now*, pp. 107-8. Cf. Potamkin, "Kino and Lichtspiel," *Close Up*, Nov. 1929, p. 388, and "The Rise and Fall of the German Film," *Cinema*, April 1930, p. 24.
28. Film connoisseurs have repeatedly criticized *Caligari* for being a stage imitation. This aspect of the film partly results from its genuinely theatrical action. It is action of a well-constructed dramatic conflict in stationary surroundings—action that does not depend upon screen representation for significance. Like *Caligari*, all "indoor" films of the postwar period showed affinity for the stage in that they favored inner-life dramas at the expense of conflicts involving outer reality. However, this did not necessarily prevent them from growing into true films. When, in the wake of *Caligari*, film technique steadily progressed, the psychological screen dramas increasingly exhibited an imagery that elaborated the significance of their action. *Caligari*'s theatrical affinity was also due to technical backwardness. An immovable camera focused upon the printed decor; no cutting device added a meaning of its own to that of the pictures. One should, of course, not forget the reciprocal influence *Caligari* and kindred films exerted, for their part, on the German stage. Stimulated by the use they made of the iris-in, stage lighting took to singling out a lone player, or some important sector of the scene. Cf. Iris Barry, *Program Notes* (New York: Museum of Modern Art Film Library) Series 111, program 1; Joseph Gregor, *Das Zeitalter des Films*, 3rd ed. (Vienna, 1932), pp. 134, 144-145; Rotha, *Film Till Now*, p. 275; Vincent, *Histoire de l'Art Cinématographique*, p. 139.
29. From Janowitz's manuscript.