The University of Adelaide
Elder Conservatorium of Music
Faculty of Arts

Masters by Research
Thesis

Compositional Approach and the Five-Movement Form: An Analytical Investigation of Three Different Approaches to the Five-Movement Form by Beethoven, Bartók, and Shostakovich

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2022

submitted in partial fulfilment of the requirements
for the degree of MPhil: Masters by Research

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Abstract

The three principal works subject to this project's analytical and meta-analytical investigation represent three distinct approaches to composing multi-movement works, using the five-movement form as a paradigm. Although each work is a result of varying factors, they all serve as quintessential examples of each composer's specific and unique approach to the five-movement form. Beethoven's Symphony No.6 "Pastoral", Op.68 (1808) explores how various manifestations of musical depiction can be incorporated into a serious piece of instrumental music. Consequently, it became one of the most significant precursors to the type of music that later became defined as 'program music'. Bartók's Fourth String Quartet (1928) explores the employment of symmetrical and asymmetrical geometric proportions in harmony, rhythm, phrase structure, and form, based on musical principles derived from numerical sequences appearing in nature. Finally, Shostakovich's Eighth String Quartet, Op.110 (1960) uses a wealth of musical quotations and references to realise an emotionally charged work imbued with personal and hidden meaning within the five-movement form. In addition to these three works, examples of alternative approaches using the five-movement form composed after the Pastoral Symphony to the present day are presented to provide a greater understanding of the potential possibilities for the composition of multi-movement works.

Declaration

I certify that this work contains no material which has been accepted for the award of any other degree or diploma in my name, in any university or other tertiary institution and, to the best of my knowledge and belief, contains no material previously published or written by another person, except where due reference has been made in the text. In addition, I certify that no part of this work will, in the future, be used in a submission in my name, for any other degree or diploma in any university or other tertiary institution without the prior approval of the University of Adelaide and where applicable, any partner institution responsible for the joint-award of this degree.

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I acknowledge the support I have received for my research through the provision of an Australian Government Research Training Program Scholarship.

David Paterson

Acknowledgements

I would foremost like to acknowledge and express my gratitude to my supervisors Prof. Jennie Shaw and Prof. Graeme Koehne, who despite their hectic schedules, consistently provided valuable feedback and stimulating conversations about avenues for research during my candidature.

Special thanks must go to composers Oliver Rudland and Vlad Maistorovici for taking the time and effort to not only fill in the HREC composer survey for inclusion in this project, but for the interesting, insightful, and jovial discussions that accompanied my research on not only their own works, but on many other aspects related to the composition of music. Their exceptional display of generosity with their time proved most valuable to the final chapter of this thesis.

I also give considerable thanks to Prof. Charles Bodman Rae for his encouragement as Head of Postgraduate Studies at the Elder Conservatorium of Music, University of Adelaide. It is due to his (alongside other staff members') consistent feedback that helped me justify the worth of in-depth analysis on oft-discussed works from the Western canon, as well as the value of repetition when presenting one's ideas in a peer-review environment.

I would also like to thank my fellow research students who through their research areas and discussions, challenged and refined my research methods and ideas. I am also grateful for the assistance provided by the Elder Conservatorium, Faculty of Arts, Human Research Ethics Committee, and Adelaide Graduate Centre.

Chapter 1 – Approaching the Five-Movement Form

The Five-Movement Form as Paradigm and Perspective

The focus of this project's analytical investigation is centred around how the musical material contained within each work functions according to its approach within the paradigm of the five-movement form. My definition of the term 'approach' accounts for the function of the various elements that directly inform compositional decisions in the five-movement forms examined. The five-movement form was chosen as a paradigm due to the dearth of analytical literature dedicated to addressing five-movement works in comparison to that of three and four-movement works from the Western canon. In addition to the reason of literary contribution, the five-movement form contains particularly interesting properties compared to other multiple-movement forms, i.e., the opportunity for thematic variety and development, the possibility for a rich and in-depth teleological experience, and ample scope for sophisticated relationships between movements, to mention but a few. These properties can, of course, be realised in numerous ways within any work containing multiple movements; or even in a single movement work with multiple sections. However, this investigation will focus, as a paradigm, on those specific successful examples employing the five-movement form.

The three works covered in chapters 2, 3, and 4 were chosen as successful examples of the five-movement form written by three master composers. By first looking at 'what' is contained within each given work alongside extant literature written about it, the journey of discovering the 'how' and 'why' through theoretical analysis may begin. And by establishing the 'what', 'how', and 'why', the decision-making process attached to interpretation and composition of the reader/listener becomes better informed. The goal attached to the employment of the positivist analysis employed in this investigation is one of gaining a comprehensive understanding of how each work functions within its individual approach, how each composer's approach guided their compositional process, and how certain key elements directly influenced the compositional decisions made within the paradigm of the five-movement form.

Given there is a wealth of literature written about the three main works investigated in this thesis, the employment of meta-analysis (analysis of extant analyses) alongside my own original analysis is necessary to contextualise the investigational process. I argue that certain excerpts from pieces of key literature prove worthy of scrutiny while providing an appurtenant lens with which to inspect the investigational analysis. This reveals how an uncritical acceptance of established literature can lead to the proliferation of misinformation and a flawed theoretical understanding of the music itself. The cited material from established literature in this thesis serves firstly to acknowledge the extant analysis prevalent in the canon, and secondly, either to dispute certain claims/assertions made providing empirical and theoretical evidence where possible, or to support certain claims/assertions using links from my own analysis – providing additional evidence to that presented by the sources cited. The combination of critical, historical, and biographical material is integral to the arguments put forward regarding compositional approach. It also provides a meaningful context for the theoretical analysis presented. The intended result of this project is to provide the reader with a composer's lens with which to scrutinise the possible perspectives of the five-movement form, consequently further informing the compositional decision-making process for composers. For performers, it serves to enrich the musical interpretations made during the performance preparation process.

Thesis Aims, Research Questions, and Methodology

When investigating oft-studied works, it is important to retain a sense of open-mindedness when undertaking one's own, and scrutinising others', analysis and commentary. No single author is capable of providing a conclusively comprehensive analysis on any subject: yet the compilation of multiple authors' work on a particular subject will often serve to reveal analytical discrepancies and oversights, especially when dealing with complex and sophisticated subjects. Furthermore, the process of analysing such subjects in depth can illuminate new research perspectives, reveal previously undiscovered relationships in extant material/resources, and provide a much clearer view of the differences between what we can credibly know, known unknowns, and uncover possible unknown unknowns. What is intended to be gained by adding to extant literature on any given subject is a gradual dilution of errata in

favour for accurate, insightful analysis, and a strengthening of reputable claims in support of establishing a meaningfully reliable corpus.

To this end, my investigation has been conducted according to the following five aims:

1. To establish and present the relevant theoretical elements which constitute the specific approach of each of the three five-movement works;
2. To discuss events both personal and historical that directly affected each composer's decision to realise a five-movement work using the specific approach employed;
3. To present my own analysis of each work whilst acknowledging when my assertions coincide with extant literature alongside arguments posited against published analysis perceived and/or proven to be erroneous/inaccurate;
4. To investigate how each composer's specific approach to the five-movement form has been realised musically; and
5. To discuss alternative approaches to the five-movement form using both historical and contemporary examples.

These aims will be realised with the application of the following research questions:

1. What musical elements define each composer's specific approach and what were possible reasons why they were employed?
2. Were there specific historical or personal events/circumstances that directly affected the composer's compositional decision-making process, relating to both the work's conception and construction?
3. What does the published analytical literature on these works contain and what does it reveal? Are there any disputed sources surrounding the published literature on the works and lives of the featured composers and have those sources meaningfully affected subsequent discourse on their music?
4. How is each respective approach realised musically within each five-movement work? Do the roles and function of musical elements differ in each work respective to the approach taken?

5. How does each of the three featured five-movement works function structurally and what might be alternative applications of/approaches to the five-movement form?

Proportional data for the three main works is presented as an additional analytical lens, the value of which is dependent on the function of each approach. For example, the proportional data for Bartók's Fourth String Quartet reveals the geometric and mathematical function of its employment of the five-movement form, whereas for Beethoven's Pastoral Symphony and Shostakovich's Eighth String Quartet, it reveals the teleological function of the five-movement forms used. This is not to suggest that other worthwhile analysis cannot be drawn from this data. Within the scope of this project, I merely suggest possible applications of it – especially due to the absence of such data in extant literature covering these three main works.

The discussion on the topic of the five-movement form in the three central chapters is chiefly focussed on how each compositional approach affects the function of the movement structure within the overall form. The most valuable component of this investigation lies with the detailed analysis of each movement contained in the corresponding subchapters on each work. This analysis is designed to take the reader through the compositional decision-making process for each work, with an emphasis on how its individual approach affects the function of the music – from the construction of the motif to the overall form (and pertinent relationships that exist in between). The compositional methods used to construct form covered by the analysis may well be applied to multiple-movement works that fall outside of the five-movement paradigm. However, for the purposes of defining a scope within which to conduct qualitative analysis, I chose three exemplary five-movement works utilising different compositional approaches. The intention of the analysis is to reveal how the music functions and thereby enriching our experience of it.

Narrative Conventions and the Five-Movement Form

From the archives of great Grecian tragedies by Sophocles, Aeschylus and Euripides, which form the source material for many of the plays of Seneca the Younger, we see the five-act form becoming a convention, at least in 1st century Rome. Since Aristotle famously wrote that a play must have a beginning, a middle, and an end, the essence of structure has been documented in the annals of history. In his work on dramatic theory,[1] Aristotle states that drama is not an imitation of character, but of life, which consists of action. From how this action is presented – that is to say, how the drama unfolds – lies the basis of form and structure.

The five-act convention continued into classical theatrical/dramatic forms. Editors began structuring Shakespeare's plays according to the five-act structure as appears in Nicholas Rowe's six volume edition of *The Works of Mr. William Shakespear* (1709).[2] Note that Shakespeare did not initially divide – nor conceive – his plays in this manner.

German novelist and playwright Gustav Freytag, in his *Die Technik des Dramas* (1863),[3] rationalises the five-act structure, presenting the following model:

Act I – Exposition. The setting and characters are introduced, ending with the play's significant piece of action.
Act II – Complication. This action is then complicated based on already established material.
Act III – Climax. Fortunes of the character or characters are reversed – either good to bad or bad to worse.
Act IV – Reversal. The results of the reversal are played out, putting the final outcome in doubt.

[1] S. Halliwell and Aristotle, *Aristotle's Poetics* (North Carolina, University of North Carolina Press, 1986).
[2] N. Rowe, *THE WORKS OF Mr. William Shakespear; IN SIX VOLUMES. ADORN'D with CUTS. Revis'd and Corrected, with an Account of the Life and Writings of the Author* (London: Jacob Tonson, 1709).
[3] G. Freytag, *Freytag's Technique of the Drama, An Exposition of Dramatic Composition and Art by Dr. Gustav Freytag: An Authorized Translation from the Sixth German Edition by Elias J. MacEwan, M.A.* (3rd ed.), (Chicago: Scott, Foresman and Company, 1900), 115.

Act V – Denouement. Consequences of the resolution are presented, and all loose ends are tied up.

The five-movement structure in music emerged more recently. Placing early opera to one side (due to the development and employment of its structure being primarily influenced by extra-musical concerns), the theatrical employment of the five-act structure has no significant early musical counterpart. Although works containing multiple movements derived from different dance types (usually no more than five) were banded together and presented as a single suite as early as the late fourteenth century, thematic and tonal relationships between these movements were not formally incorporated into the suite until the early seventeenth century; by which stage, the term “suite” became increasingly used as a title pertaining to a work comprising of multiple movements, which may or may not include movements derived from dance. Other multiple-movement forms emerged, such as the concerto, which also began to employ more standardised structural parameters in comparison to earlier works containing multiple-movements. By the turn of the eighteenth century, the popularity of these multiple-movement forms was superseded by the evolution of the sonata, concerto, and symphony.

Up to the early nineteenth century, works containing five movements were mostly either a result of the compilation of interchangeable movements, or a set of dances appearing in a conventional sequence. Consequently, compositional approach was dictated largely by formal convention rather than an expression of individual ideas or unique musical principles. The relative freedom of thought celebrated by the ‘Age of Enlightenment’ affected rapid development within a wide range of fields, from the arts and literature through to interior design. Within music, however, the freedom to compose works outside strict conventions and utilise subject material previously deemed inappropriate or trivial, resulted in exciting innovations to compositional approach explored by composers of the Rococo. Inevitably, these innovations of the time would eventually affect multiple movement forms, providing the opportunity for a range of compositional approaches to be employed using the relatively unexplored five-movement form.

It is not until the time of Franz Liszt (1811-1886) where the term 'programme music' appears.[4] This is a term now frequently used to refer to music that contains/follows a prescribed narrative, although it is important to note that very few of Liszt's symphonic poems are of a narrative character. Liszt did not regard music as a direct means of describing objects; rather he thought that music could put the listener in the same frame of mind as could the objects themselves. In this way, by suggesting the emotional reality of things, music could indirectly represent them. Considering this, when Beethoven's five-movement Pastoral Symphony (1808) is frequently described as being 'programmatic', the retroactive use of the term is often overlooked. Liszt's ideas on the subject – already prevalent in the writings of Rousseau – were also expressed by Beethoven when he described his Pastoral Symphony as *'mehr Ausdruck der Empfindung als Malerei'* ('more the expression of feeling than painting').[5] The German word *Malerei,* meaning "painting", is often translated as "tone-painting" in context of Beethoven's inscription. Although "tone-painting" is not a literal translation of the original text, its usage in this context is a reasonable assumption based on the precedent of the compositional technique appearing in a number of significant works written before 1808. Therefore, these terms are used synonymously in the forthcoming chapters in confluence with the sources cited on the subject of Beethoven's Pastoral Symphony.

Many of the depictions contained within the Pastoral Symphony are attributed to elements of nature, whether it be a scene of the countryside, the representation of birdsong, or a particular weather event. Beethoven's love of nature and his essential daily walks with his pocket sketchbooks point to a composer who gathered and formulated many of his musical ideas in the outdoors.[6] At the very least, this is true of the Pastoral Symphony according to accounts given by his protégés and friends who often accompanied Beethoven on his walks.[7] As described by Alexander Thayer, these walks did not solely serve a therapeutic purpose, but also indulged a more noble

[4] R. Scruton, "Program music", *Grove Music Online* (2001), Retrieved 12 Oct. 2020, from www.oxfordmusiconline.com

[5] See D. Tovey, *Essays in Musical Analysis* (London: Oxford University Press, 1938), 45, and D. W. Jones, *Beethoven: Pastoral Symphony* (Cambridge: Cambridge University Press, 1995), 42.

[6] S. Bowden, "The Theming Magpie: The Influence of Birdsong on Beethoven Motifs." *The Musical Times,* 149/1903, (2008), 17.

[7] F. Ries and F. Wegeler, *Biographische notizen über Ludwig van Beethoven,* (Berlin and Leipzig: Schuster & Loeffler, 1906), 78-79.

passion “to awaken and foster a taste for, and the understanding of, the beauties of nature”.[8]

Beethoven’s affinity with nature was also shared by Béla Bartók. Although the manifestations of various elements of nature represented in certain examples of their respective works appeared in significantly different forms, both approaches utilise their respective musical principles in a uniquely fascinating manner, worthy of detailed analysis.

Five-Movement Form and Organic Symmetry

On the topic of Bartók’s musical principles and the role nature plays within them (with specific reference to the Fibonacci series), Ernö Lendvai states the following:

> The Fibonacci series reflects, in fact, the law of *natural growth.* To take a simple example. If every branch of a tree, in one year shoots a new branch, and these new branches are doubled after two years, the number of the branches shows the following yearly increase: 2, 3, 5, 8, 13, 21, 34...
> “*We follow nature in composition*,” wrote Bartók, and was indeed directed by *natural* phenomena to his discovery of these regularities. He was constantly augmenting his collection of plants, insects, and mineral specimens. . . According to Bartók “also folk music is a phenomenon of nature. Its formations developed as spontaneously as other living natural organisms: the flowers, animals, etc.” (“At the sources of Folk Music”: 1925).
> This is why the form-world of Bartók’s music reminds us most directly of *natural* pictures and formations.[9]

[8] A. W. Thayer, "The Man Beethoven: An Estimate of His Character." *The Musical Quarterly,* 7/4, (1921), 489-90.
[9] E. Lendvai, *Béla Bartók: An Analysis of his Music* (London: Kahn & Averill, 1971), 29.

Regarding the Fourth String Quartet in particular, Elliot Antokoletz writes the following:

> The six string quartets by Bela Bartok (1881-1945), which were composed over a period of thirty-one years, reveal a compositional trend. The first three (written in 1908, 1915-17, and 1927) move from the lyrical, romantic style of the First Quartet to the intellectually abstract, expressionistic style of the Third. The last three quartets (written in 1928, 1934, and 1939), on the other hand, move in the opposite direction. The Fourth Quartet, which stands approximately at the midpoint of this quartet cycle, may be seen in many respects as the epitome of his compositional experimentation. While the form of each of the five movements clearly resembles such traditional classical forms as either sonata or A B A' (with coda), each of these forms seems to serve as a framework within which Bartok organizes diversified pitch formations into a highly integrated network of relationships.[10]

The harmonic system used in Bartók's Fourth String Quartet is derived from functional music. An uninterrupted line of evolution can be followed from the beginnings of functional concepts, through the harmonies of Viennese classicism and the tone-world of romanticism to his *axis system.*[11] Bartók's employment of this system can primarily be shown to possess the essential properties of classical harmony by way of,

a) The functional affinities of the fourth and fifth degrees
b) The relationship of relative and minor keys
c) The overtone relations
d) The role of leading notes
e) The opposite tension of the dominant and subdominant
f) The duality of tonal and distance principles[12]

In defiance of other experimental artistic movements becoming manifest in the medium of music, Bartók held true to his own principles. He believed that in order for

[10] E. Antokoletz, *'Principles of pitch organization in Bartok's Fourth String Quartet.',* PhD dissertation (The City University of New York, Dissertation Abstracts International Section A- Humanities & Social Sciences, vol. 36, 1975), vii.
[11] Bartók's axis system is explained in chapter 3, Intuition in Proportion.
[12] Lendvai, *Béla Bartók: An Analysis of his Music,* 1.

a harmonic system to be coherent, there must be an aurally discernible interplay between relative consonance and dissonance, and in order for harmonic direction to exist, there must be an identifiable point of reference, i.e., a harmonic gravity towards a functional tonic.

Five-Movement Form as Autobiography?

These were notions largely held by Dmitri Shostakovich also, although realised in a very different way. In the time and place of which Shostakovich found himself a subject – living through the October Revolution and subsequent state of the Soviet Union under Lenin, Stalin, Khrushchev, and Brezhnev – composition provided him with a medium in which to codify his thoughts and sentiments publicly during a time when freedom of expression was severely restricted.

The argument over the meaning behind Shostakovich's music and the consequent effect of his apparent political allegiances has fuelled many a debate since his death in 1975. Regarding the Eighth Quartet,[13] simply to describe it as an autobiographical work, as Keldysh states,[14] resulting from the abundance of references to Shostakovich's earlier works, only tells part of the story. As to which part of the story it tells, it is important to take into account that Keldysh was the Editor of *Sovyetskaya Muzyka,* a peer-reviewed academic journal established by the Union of Soviet Composers and the Soviet Ministry of Culture in 1933, during the period 1957-1961.

On the inclusion of the self-referential musical quotes, one must address their *fons et origo*. To take but two examples that appear in the third and fourth movements respectively; the Jewish melody first appearing in the second Piano Trio, and Katerina's aria "Seryozha, my love" from *Lady Macbeth of Mtsensk*, if one does not address from where the Jewish melody derives or what the dramatic significance of the aria is, the meaning behind their inclusion in the Eighth Quartet is inevitably lost and can potentially be skewed.

[13] Shostakovich, D. *String Quartet No.8 in C minor, Op.110* (1960).
[14] Y. Keldysh, 'An Autobiographical Quartet.' *The Musical Times,* 102/1418, (1961), 226-228.

Another important contributing factor behind the creation of the Eighth Quartet lies with the events that led to Shostakovich's appointment as General Secretary of the Composers' Union which consequently required him to become a member of the Communist Party: the very party that had been responsible for the public denunciations of Shostakovich in 1936[15] and 1948[16] under Stalin's rule. Accounts by his son Maxim of the effect that these events had on Shostakovich give the impression that this was far from a happy period of his life.[17]

Five-Movement Form in Service of the Analysis of Compositional Approach

Such extra-musical elements can often influence compositional decisions in a variety of ways. By examining these elements attributed to the great works from the Western canon, we can gain a deeper insight into why particular musical decisions were made, enriching the analytical process. However, the key to gaining a comprehensive understanding of how a successful composition is constructed still lies chiefly in the quality and accuracy of the analysis. If 'what' we think is governed by 'how' we think – as we delve into the theoretical analysis of these three iconic works – what we will discover is 'how' the function of each work's approach affects the construction of the five-movement form, within the context of each composer's approach and unique compositional voice.

During the process of this investigation, discrepancies in extant literature will be addressed and justification of analysis will be presented where analytical errata occur in the literature. The method employed – combining theoretical analysis with relevant critical, historical, and biographical material – is designed to illuminate why certain compositional decisions were made in the construction of, and why a five-movement structure was ultimately chosen as, the form for each of the works.

[15] Pertaining to multiple critical articles published in *Pravda* in addition to Stalin's reaction to Shostakovich's opera *Lady Macbeth of the Mtsensk District.*
[16] Pertaining to claims of "formalism" stated in the Zhdanov decree condemning fellow composers Sergei Prokofiev and Aram Khachaturian.
[17] A. B. Ho and D. Feofanov, *Shostakovich Reconsidered* (London: Toccata, 1998), 390.

Where my assertions coincide with extant literature, to the best of my knowledge, credit is given to the corresponding author/claimant. Sources for all published analyses and assertions are given in the footnotes. Footnotes are also used to denote where my own original analysis is presented.

Chapter 2 – A Characteristically Pastoral Symphony

Beethoven: Symphony No.6 "Pastoral", Op.68 (1808)

> This astonishing landscape seems as if it were the joint work of Poussin and Michael Angelo. A desire to depict the calm of the country-side and the shepherd's gentle ways now actuates the composer of "Fidelio" and of the "Eroïca." But let us understand one another; for here is no question of the gaily bedecked shepherds of M. de Florian, and still less of those of M. Lebrun; author of "Rossignol," or of those of J.-J. Rousseau, author of the "Devin de village." The question is of Nature, in all its simple truth.[18]

For composers, the inescapable reality of their work being subject to the constantly shifting cultural and artistic currents of the time has resulted in some of the most profound, forward-thinking, and significant contributions to the canon. Such contributions are often born from a need to react against conventional ideas and principles. This is unarguably true for Beethoven's Pastoral Symphony, as the elements surrounding its conception and construction helped develop the ideas and tenets that eventually became defined as "program music". Written more or less concurrently with the Fifth Symphony (Op.67 *"Große"* in C minor) to be premiered in the same concert alongside the Pastoral, Beethoven set out to provide an alternative offering to the grand and serious tone contained in the fifth – which has since become an iconic example of "absolute" music. In contrast to this "Grand Symphony", the depiction of scenes based on peasant life contained in the Pastoral provided an opportunity for Beethoven to present an eclectic coupling of symphonies in the premiere program; a concert produced for the express financial benefit of the composer.[19]

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[18] H. Berlioz, *A Critical Study of Beethoven's Nine Symphonies*, trans. Edwin Evans (London: WM. Reeves, 1913), 71.

[19] Further relationships between the two symphonies lie with the structural connections via use of *attacca* between the Scherzo and Finale of the Fifth Symphony and Scherzo, Storm, and Finale of the Sixth Symphony. Given their intended programming in the same concert, this demonstrates an application of different approaches to the connection of movements within the symphonic plan, suggesting a conscious grappling with large-scale structure across multi-movement works. The identification of musical ideas with the progression of the storm in the Sixth Symphony, effectively unfolding a narrative across the movement, provides an effective elucidation of the musical/programmatic function of the movement, as the interpolation between the more conventional scherzo and finale movements which precede and follow.

By scrutinising positivist analysis typical of much twentieth-century musicology whilst taking into account the distinctive vernacular of the literature, alongside contextualising the evidence of events that affected Beethoven's life, we can begin to paint an informed picture of the compositional process employed by Beethoven in his Pastoral Symphony.

An Ode to Peasantry?

The *Pastoral Symphony* was Beethoven's first five-movement symphony. Although the concept of using an expression of feeling represented through music was established in works that predate the sixth symphony, the 'narrative' – if we define it as a sequence of expressions of feeling[20] – goes a long way to explaining why the five-movement form appears not only at this point in history, but at this stage of Beethoven's life. In the case of the Pastoral, the depiction of an interruptive storm in the fourth movement is a crucial inclusion to the scenes that unfold with each movement. It is due to this integral additional scene to the narrative progression, that the Pastoral became a five-movement symphony.

In a notebook from 1807, referring to Op.68 as both '*Sinfonia caracteristica*' and '*Sinfonia pastorella*', Beethoven writes:

> It is left to the listener to discover the situation… Every kind of painting[21] loses by being carried too far in instrumental music… Anyone who has the faintest idea of rural life will have no need of descriptive titles to enable him to imagine for himself what the composer intends. Even without a description one will be able to recognise it all… [22]

[20] D. Tovey, *Essays in musical analysis*, 45, and D. W. Jones, *Beethoven: Pastoral Symphony*, 42.
[21] Beethoven addresses the issue of tone-painting by using the sole word "painting". Its usage within a musical context can be reasonably assumed, following the point made in Chapter One on this subject.
[22] A. Hopkins, *The Nine Symphonies of Beethoven* (Aldershot: Scolar Press, 1996), 167.

This is consistent with statements made about earlier works, such as the third symphony '*Eroica',*[23] about which Tovey states of Beethoven's point of view, "that the symphony is not a reasonable vehicle for a chronological biography of Napoleon; but it is the best possible way of expressing his feelings about heroes and hero-worship."[24] The popular sentiment surrounding Napoleon in certain parts of western Europe during the late eighteenth century was not dissimilar to that attached to Lord Byron a few decades later. Certain actions in their lives – and the consequences thereof – resonated through artistic and literary circles, heavily influencing the artistic output of the time, not least giving rise to the trope of each respective archetypal 'hero'. In Napoleon's case, it was his anti-royalist position and the role he played in the events that unfolded in western Europe during the 1790s that most likely resonated with Beethoven's own ideals and which initially elevated Napoleon to such 'heroic' status in Beethoven's mind. Beethoven's friend and pupil, Ferdinand Ries, who later published his own biographical reminiscences of Beethoven describes the intense betrayal Beethoven felt upon learning that Napoleon had proclaimed himself Emperor.[25]

Although Beethoven's initial solidarity with Napoleon is well known and well documented,[26] another party that played a significant role in the events of 1789 that unfolded in France were the lower classes - drawing a possible parallel with the "*landleute"* (country-people) described and depicted in Beethoven's Pastoral Symphony. This is not to suggest that Beethoven identified as a *landmensch*; far from it, though the revolutionary mantra, *liberté, égalité, fraternité*[27] would have reflected his own strongly held views on humanity and the role of mankind. But it is possible that the events surrounding the French revolution of 1789 and those leading up to the siege of Vienna in 1809 played a part in the conception of an entire symphony, written in 1808, based on scenes of country life.

[23] Initially dedicated to Napoleon Bonaparte as a champion of the ideals attached to the French revolution of 1789, Beethoven stripped the dedication upon learning of Napoleon's official transition from First Consul to self-appointed Emperor. See Hopkins, *The Nine Symphonies of Beethoven,* 60-61.
[24] Tovey, *Essays in musical analysis*, 29.
[25] See Appendix A, item i.
[26] See Hopkins, *The Nine Symphonies of Beethoven,* p.63.
[27] The ideals of which are evident in the Declaration of the Rights of Man and of the Citizen introduced on August 26, 1789, proclaiming liberty, equality, the inviolability of property, and the right to resist oppression.

Reception, Criticism, and Program

On the evening of December 22nd, 1808, in the Theater an der Wien, a four-hour long concert of works exclusively by Beethoven occurred, opening with the Pastoral Symphony. From the handbill outlining the eight works presented in this concert (see Appendix A, item ii), we can see what a marathon this event was for its audience and the musicians involved,[28] not to mention for Beethoven himself.

Although Beethoven had a loyal and enthusiastic following amongst a handful of nobles and fellow contemporary composers, his reputation for a lack of brevity was well known. Candidly, one reviewer of the December 22nd concert observed:

> *Alle diese angeführten Stücke zu beurtheilen, ist nach erstem und einmaligem Anhören, besonders da die Rede von Beethovenschen Werke ist, deren hier so viele nach einander gegeben wurden, und die meistens so gross und lang sind – geradezu unmöglich.*
> (The task of reviewing all of these pieces, especially when the works are of Beethoven's, of which so many have been programmed here, and which are usually so grand and long, all after only a single hearing – is almost impossible.)[29]

Both the Fifth and Sixth Symphonies were written concurrently during the period 1807-1808, and at the time of their premieres were labelled in the reverse order that we have now come to know them. Thankfully the supplementary pieces of information *Pastoral*, *Große*, and *C moll*, were included in the handbill, in addition to the alternative numerical categorisation.

Beethoven was revered as a musical genius during his lifetime; however, his major works did not always escape criticism. After the eighteenth-century artistic movement

[28] The concert mentioned was one of a subscription series presented by an organisation usually referred to as the *Liebhaber Concerte* (Amateur Concerts) amongst a slew of alternate titles. Performers consisted of professional and amateur ("of a sufficient ability") musicians. See D. W. Jones, *Beethoven: Pastoral Symphony*, 5.
[29] Anonymous reviewer, *Allgemeine musikalische Zeitung,* 25 January 1809 issue (Leipzig: Breitkopf und Härtel), 268.

of the *Stil galant* had long been established, Beethoven's bold attempts to propel his music into a new age succeeded in making a name for himself, however, his compositional devices often drew the attention of a more conservative audience as exemplified in the following comments published in *Musical World,* London, March 1836:

> Beethoven mystified his passages by a new treatment of the resolution of discords, which can only be described in words by the term, 'resolution by ellipsis,' or the omission of the chord upon which the discordant notes should descend. . . Many of his passages also appear confused and unintelligible, by a singular freedom in the use of diatonic discords and discords of transition; many instances appear of passages by contrary motion, each carrying their harmonies with them.[30]

Such a description could possibly be in reference to a number of Beethoven's works, especially those written when his hearing loss reached its most advanced stage. However, much of the criticism surrounding his symphonies centred around the question of their length. Established convention had trained audiences to expect a symphonic experience that was divided into three parts (two fast with a slow one in between), and to be ready to offer up their applause well before half an hour had passed. So, when a 30-year-old Beethoven demanded audiences sit through a four-movement symphony in 1800 (by way of his First Symphony), it was generally deemed acceptable due to its conventional duration.[31] His Second Symphony (1801-02) tested the boundaries of the audience's patience, breaking the 30-minute mark. By the Third (1803), something had to be said, and in an article appearing in *The Harmonicon,* London, April 1829, the following excerpt exemplifies what 'was' said:

> The *Heroic Symphony* contains much to admire, but it is difficult to keep up admiration of this kind during three long quarters of an hour. It is infinitely too lengthy. . . If this symphony is not by some means abridged, it will soon fall into disuse.[32]

---

[30] N. Slonimsky, *Lexicon of Musical Invective* (Seattle and London: University of Washington Press, 1953), 46.
[31] Although the four-movement symphony had also been accepted as convention by 1800, symphonies that far exceeded half an hour most definitely had not.
[32] *Ibid.,* 46.

Similar sentiments were published in the *Literary Gazette,* in response to the Fourth Symphony (see Appendix A, item iii). Continuing this trend of ostensibly retaining a complete disregard for the struggling attention span of sections of his audience, Beethoven's Ninth Symphony (1822-24) elicited an even more acerbic response (see Appendix A, item iv).

As expected, the Pastoral Symphony fell victim to similar criticism in addition to criticism of the repetitive nature of the musical material used. In a letter to the editor of the *Quarterly Musical Magazine* published in 1827, one writer offers an audience's perspective:

> Now, Sir, what is the tendency of instrumental music? Is it not to excite in us a disposition to reverie? ...But this charm of the imagination, which we have been considering, cannot be long continued, though so delightful. Someone [sic] has said, "It is a law of our nature, that impressions, often repeated, should lose their force." This is strikingly proved by our author: take, for example, his Pastoral Symphony. When that is performed, you at first give into all the illusion which he would create, and your mind is insensibly filled with rural images; but the stimulus is too long applied—you are roused from your reverie, find a number of vacant faces about you, and heartily wish the movement at an end.[33]

This letter is typical of the criticism that took the gradual, almost minimalistic development of material in the Pastoral Symphony as evidence of there being a distinct lack of development. Beethoven was in no way afraid to repeat his material, as is prevalent in Dudley Moore's *Beethoven Sonata Parody*,[34] the humour of which relies on established knowledge of the repetitive nature contained in sections of Beethoven's music in conjunction with the incongruous use of *Colonel Bogey's March*. Although repetition played a prominent role in his earlier symphonies (especially the Fifth in C minor, Op. 67), it was mostly linked to clear and dynamic motific

[33] Musicus [pseud.], letter to the editor, *Quarterly Musical Magazine and Review*, London, 1827, 164-65.
[34] An item originally performed by Dudley Moore as part of the British comedy stage revue, *Beyond the Fringe,* initially gaining popularity in the 1960s.

development. The Pastoral Symphony takes this notion to another level entirely, which in context of the time, was always going to attract attention, one way or another.

These concerns propagated on the audience's behalf, prompted action from conductors who on one hand wished to perform the great works of the time – like the Pastoral Symphony – and on the other felt a duty to pander to the whims of their audiences, as their very positions often relied on audience's support. In an effort to address these concerns, some performances were given omitting certain movements; some performing movements in isolation, and on at least one occasion, a significant raising of all the marked tempi (see Appendix A, item v).

In opposition to critics who published sentiments addressing the length and monotony of the Pastoral Symphony,[35] there were still critics who argued that the integrity of the composer's decision was paramount, defending Beethoven's intuition and his innovative approach. History has since fallen on the side of the latter.

One of the elements of the Pastoral Symphony that garnered a positive reaction from audiences was that attributed to the programmatic nature of the music. The coupling of descriptions of feelings with mental imagery made this type of music more accessible to a wider audience. By removing the relative abstractive element sufficiently for the untrained ear to understand, and consequently to appreciate the meaning attached to what they were hearing, its subsequent perceived accessibility played an important role in its overall appeal. These sentiments are reflected in a number of editorial pieces similar to the following:

> The directors are honestly entitled to praise for the fulfilment of their promise that 'no pains would be spared to render the programmes varied and interesting, and attractive to all sections of the musical public;' and it is in every way gratifying to find that. . . the musical public [has] been delighted.[36]

[35] The identities of critics often remained anonymous during much of the 18th and 19th-centuries. See Mary Sue Morrow, *German Music Criticism in the Late Eighteenth Century: Aesthetic Issues in Instrumental Music* (Cambridge: Cambridge University Press, 1997), 36.

[36] Drinkwater Hard [pseud.], review of concert performance by the Crystal Palace orchestra, Crystal Palace, Sydenham, England, *Musical World* (April 20, 1867), 247. Full quotation included in Appendix A, item vi.

Presented in these examples is the expression-filled prose inspired by the programmatic elements contained within Beethoven's work. Although the descriptions that accompany each movement that appear in program notes were written and sanctioned by Beethoven, he was adamant that audiences would recognise the programmatic elements regardless of whether they had read the program notes or not. Tovey expresses a similar sentiment:

> In the whole symphony there is not a note of which the musical value would be altered if cuckoos and nightingales, and country folk, and thunder and lightning, and the howling and whistling of the wind, were things that had never been named by man, either in connexion with music or with anything else. Whether we have words for common object and events of the countryside, or whether we have no words, there are feelings evoked by these objects in proportion to our intelligent susceptibility; and the great master of any language, whether that language by music, painting, sculpture, architecture, or speech, can invoke the deepest part of these feelings in his own terms. And his art will always remain pure as long as he holds Beethoven's dictum; which may be philosophically re-translated 'more the expression of feelings than the illustration of things'.[37]

Tovey lists a number of specific objects used as conduits for the evocation of feelings or sentiments in the Pastoral Symphony through music. When discussing the programmatic elements of this symphony, we're often warned against interpreting the music as directly depicting common objects, using Beethoven's words "*mehr Ausdruck der Empfindung als Malerei*" (more an expression of feeling than painting) as evidence. Some authors focus on the feelings or emotions evoked by the music without addressing exactly how such sentiments are initially evoked, some descend into the philosophical debate over whether an art form that exists within a temporal medium can ever truly depict an object, where others purport that the music simply serves to place the audience in the same frame of mind as suggested by the objects in the program.[38] It is important to note that the term "program" when used in relation

[37] Tovey, *Essays in musical analysis,* 45-46.
[38] See R. Scruton, "Programme music", *Grove Music Online* (2001). Retrieved 12 Oct. 2020, from https://www-oxfordmusiconline-com.

to music, had no specific definition in 1808. It simply referred to music that related in some way to a given programme as opposed to music that did not. The program in question could contain a variety of elements with varying degrees of relevance to the music presented. It is not until Liszt wrote his tone-poems when a concerted effort was made not only to define the term "program music", but also to defend it. The late eighteenth and early nineteenth centuries witnessed repeated attacks on composers of music who used "tone-painting" to realise their programs, for their purported inability to create satisfactory musical structures. Such criticisms went along with, and were to some extent inspired by, a widespread conviction that programmatic works were based on "extramusical" considerations rather than on the specifically musical principles that underpinned "absolute" instrumental music.[39] High profile works that predate the Pastoral Symphony were also subject to similar criticism, which would suggest Beethoven's line about the "expression of feeling" was an attempt to avoid similar connotations being attached to his work and the subsequent criticisms that would serve to detract from the integrity of not only the work but its composer as well.

In his article 'Time, Morality, and Humanity in Beethoven's Pastoral Symphony', Richard Will addresses the Zeitgeist surrounding the program in music in a detailed footnote:

> The defense of the symphony really began with Beethoven's own "more the expression of emotion than tone-painting," which was undoubtedly meant, at least in part, to pre-empt such criticisms as had been levelled a few years earlier at Joseph Haydn for the tone-paintings in his *Creation* and *Seasons*.[40]

In the case of the Pastoral Symphony, the imagery alluded to by the words contained in Beethoven's program notes accompanying each movement is realised by way of audibly recognisable depictions of objects related to the program's subject designed to evoke the feelings attached to such objects. To suggest otherwise is to neglect the question; how is the "expression of feelings" achieved in the first place? From the

[39] R. Will, "Time, Morality, and Humanity in Beethoven's Pastoral Symphony", *Journal of the American Musicological Society*, 50/2, 1997, 275.
[40] *Ibid.,* 273-74. Full quotation included in Appendix A, item vii.

almost literal depiction of bird calls at the end of the second movement to the variety of effects used by way of orchestration to depict elements of a storm in the fourth movement, it stands to reason that there is a myriad of other musical depictions contained within the Pastoral Symphony that "even without a [textual] description, one will be able to recognise it all. . .".[41]

Analysis of Beethoven's Symphony No.6 "Pastoral", Op.68

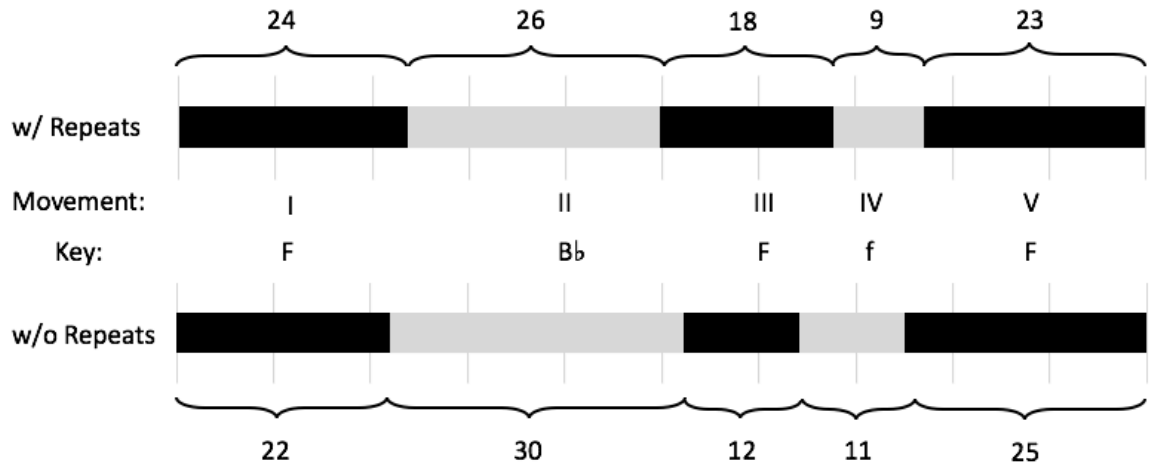
The following analysis identifies how each of the musical depictions is realised within Beethoven's bold new five-movement form. Accompanying the analysis are tables containing structural and proportional data for each movement appearing under their subsequent subheadings. Duration is calculated using the formula $\frac{(Number\ of\ beats)\times(Beats\ per\ bar)}{Beats\ per\ minute\times 60}$ to give the number of seconds for each movement. The proportional percentage is calculated using the number of seconds. Although no metronome markings appear in the original manuscript, those included in the published score are, for the most part, considerably higher than the tempi of many interpretations that appear in recordings and performances from the last fifty years or so. The calculation for duration does not take into account the general pauses between the first three movements (movements III, IV and V are joined and played *attacca*), nor any fluctuations in tempo. Consequently, the overall duration of most performances is significantly longer than the data suggests. Due to the first movement being in sonata-allegro form and early attempts to curtail the overall duration of the symphony may well have seen the exposition repeat omitted, data for both iterations are displayed. The same treatment of data is presented for the third movement. Proportional data of each movement in context of the entire work is displayed in Table 1, with proportional charts in Figure 1.

[41] Hopkins, *The Nine Symphonies of Beethoven,* 167.

Table 1 - Proportional data for Beethoven's Pastoral Symphony[42]

Movement	# Bars total		Beats per bar	Beat unit	# Beats total		Tempo (BPM)	Duration		Proportional %	
	w/o repeats	w/ repeats			w/o repeats	w/ repeats		w/o repeats	w/ repeats	w/o repeats	w/ repeats
I	512	650	1	minim	512	650	66	7:45	9:50	22%	24%
II	139		4	dotted crotchet		556	50	11:07		30%	26%
III	264	468	1/2	dotted minim/crotchet	304	548	108-132	4:11	7:50	12%	18%
IV	155		2	minim		310	80	3:52		11%	9%
V	264		2	dotted crotchet		528	60	8:48		25%	23%
Total	1334	1676			2210	2592		35:43	41.27	100%	

Figure 1 - Proportional charts for Beethoven's Pastoral Symphony[43]



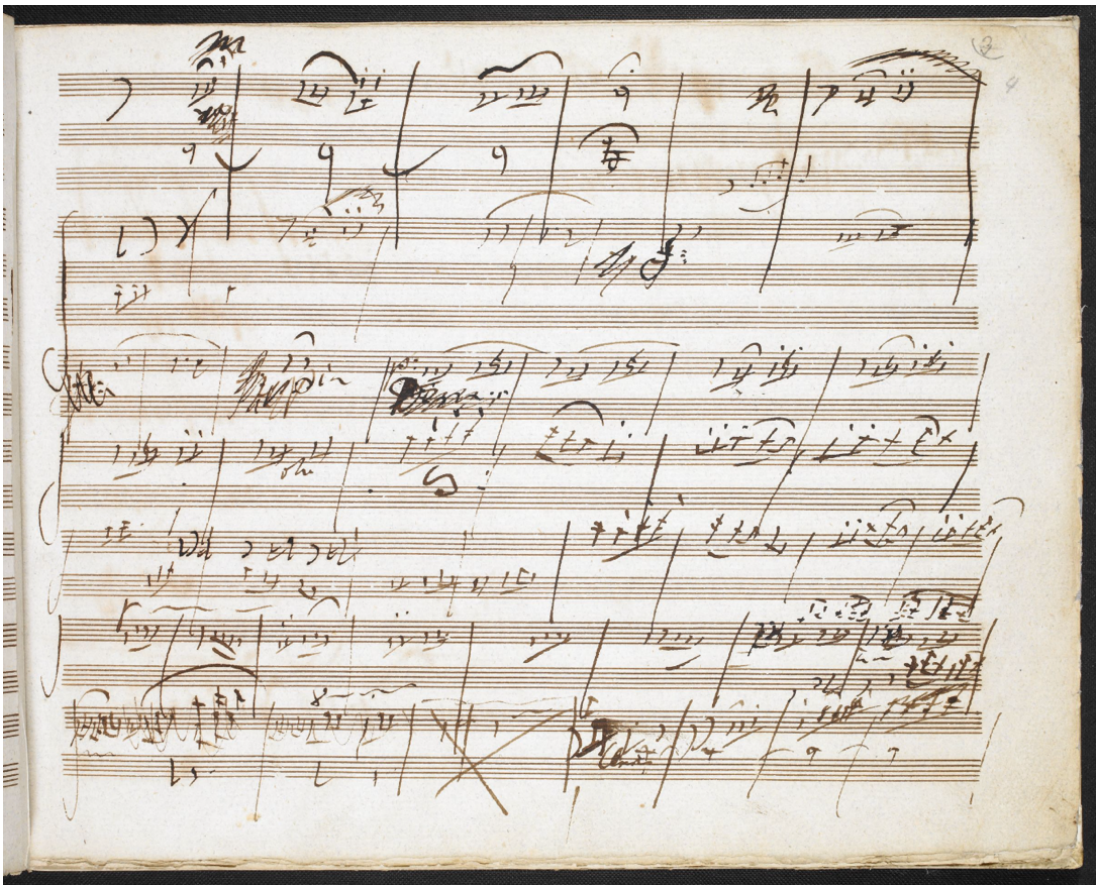
[42] Analysis mine
[43] Analysis mine

I – The Awakening of Pleasant Feelings upon Arrival in the Countryside

Table 2 - Formal data for Beethoven's Pastoral Symphony (Movement I)[44]

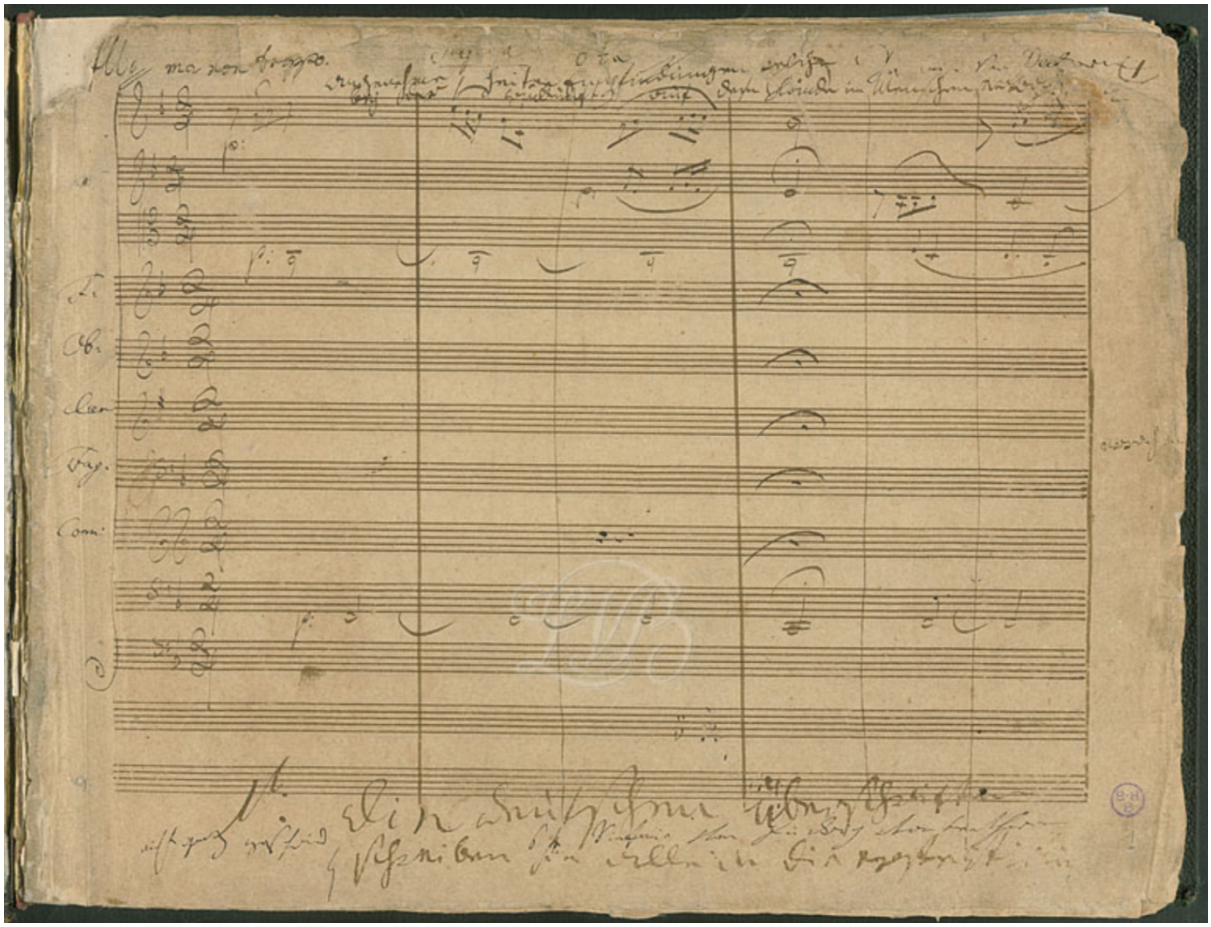
Section	Bar Range	# of Bars		Tempo	Proportional %	
Exposition		w/o repeats	w/ repeats		w/o repeats	w/ repeats
1st Subject	1-66	66	132	66	13%	20%
2nd Subject	67-138	72	144	66	14%	22%
		138	**276**		**27%**	**42%**
Development	139-278	**140**		66	**27%**	**22%**
Recapitulation						
1st Subject	279-345	67		66	13%	10%
2nd Subject	346-417	72		66	14%	11%
		139			**27%**	**21%**
Coda	418-512	**95**		66	**19%**	**15%**
Total		**512**	**650**		**100%**	

Plate 1 - Page from sketchbook dated (early) 1808 containing the first subject from the first movement of the Pastoral Symphony.[45]



[44] Analysis mine. Further data on tempi, metre, and metronome markings can be found in Michael Talbot, The Finale in Western Instrumental Music (London: Oxford University Press), 2001, 53.
[45] Digitised manuscript accessed from the British Library website on 20/01/21: http://www.bl.uk/manuscripts/FullDisplay.aspx?ref=Add_MS_31766

Plate 2 - Folio of the first page from the autograph score of Beethoven's Symphony No.6 in F Major Op.68.[46]

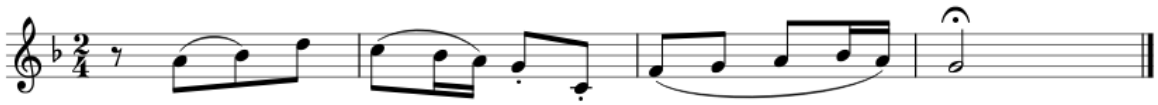


Upon arriving in the countryside, we're immediately greeted with a drone (cello playing a low F with the open C string in the violas) reminiscent of a musette, evoking feelings of a rustic, folk-like nature. The melodic material from the first subject establishes an opening antecedent four-bar phrase emphasised with a fermata at its end (Ex.1). Although there are precedents of fermatas being used in the opening phrases of large-scale orchestral works (e.g., Haydn's Symphony No.103 "Drumroll, and No.104 "London", not to mention the iconic opening to Beethoven's Fifth Symphony Op.67), the application in the opening of the Pastoral is one that is unique. Its function is not to accentuate a grand, majestic statement, nor to create an increasing amount of tension as part of an introductory statement. When the dominant key arrives, it provides the audience with an opportunity to assimilate itself into the atmosphere

[46] Autograph score accessed on 20/01/21 from https://imslp.org/wiki/Symphony_No.6%2C_Op.68_(Beethoven%2C_Ludwig_van). All subsequent images from the autograph score were accessed from the same source on the same date.

created by the opening phrase – not unlike arriving at a destination and inhaling a long, scenery-absorbing breath of fresh air.

Ex. 1 - Opening four-bar melody played by first violins



Ex. 2 - Development of opening phrase[47]

The succeeding consequent phrase resumes with its melodic material fragmented between the first and second violins (bb.5-8) before alternating between homo-rhythmic and homophonic textures using melodic material derived from the opening phrase (Ex.2), which leads to the first instance of prolonged repetition (from b.16), where the bar-long motif in the first violins is repeated a full ten times before moving up sequentially, returning to the tonic (passing through the second violins, clarinet, then the oboe). Again, there are precedents for repeated motifs that far exceed the unwritten "rule of three",[48] e.g., in the final movement of Haydn's *Symphony No.44 "Trauer"*, bb.79-95, the motif from the beginning of the movement is repeated in an ascending sequence nine times,[49] and in the final movement of Mozart's *Ein Musikalischer Spaß* (A Musical Joke), following the failed fugue in section B, a four-bar phrase is repeated six times.[50] Precedent also appears in Beethoven's earlier works, prompting inclusion of a quote from his Fourth Symphony's first movement in Louis Andriessen's parodic collage, *The Nine Symphonies of Beethoven for*

[47] Analysis mine

[48] The rule, regarding immediately repeated material, states something akin to; The first time something is played, it is registered. The second time it is played, our interest is piqued. The third time it is played, we are riveted. The fourth time it is played, we are disinterested and yearn for it to cease immediately. This is evident in passages of music that used repetition predating the *Pastoral* back to the late sixteenth-century. This was used as a way for composition students to avoid monotony in stretti, sequences, development sections, etc.

[49] If the succeeding descending sequence is included, the repetitions increase to fifteen before the motif is diminished.

[50] Like with most of the treatment of material in Mozart's "musical joke", it is done for comical effect unlike in the *Pastoral.*

Promenade Orchestra and Ice Cream Vendor's Bell (1970),[51] where Beethoven's work is repeated in the manner of a damaged record constantly skipping back to the same position, replaying the same section of music. The repeated material from b.16 in the Pastoral Symphony is only the first of many instances where material is repeated in a significantly prolonged fashion, the culmination of which drew the attention of many critics during the nineteenth century. On the other hand, Hopkins puts forward another point of view where the material "grows" akin to nature, rather than being "developed" in the more traditional sense:

> One of the most notable characteristics of the entire first movement is its exploitation of repetition, the repetition of patterns that we find throughout nature. We do not need to count the leaves of an oak tree to be aware of their similarity, nor, when we see a meadow brightly caparisoned with buttercups and daisies, do we mistake one for the other. Beethoven is concerned to capture both the infinite similarity and the infinite variety of nature's patterns; therefore he gives us an unusual amount of repetition but also many subtle deviations.[52]

The first full, unbroken statement of the opening theme appears in b.29, played first by the oboe over the perfect-fifth drone in the horns and cellos, then the clarinets and bassoons building up to a tutti version completing a full three repetitions of the four-bar phrase, all over the same drone. Although the drone remains constant during these fourteen bars, the harmony moves between the tonic, subdominant and dominant due to the melodic contour, providing the necessary harmonic movement to carry the repeated statement of the theme whilst establishing the key of F major in the most stable way possible. In fact, the only accidentals that appear between bb.29-53, are in the appoggiatura embellishments in the flutes (b.42), which mimic bird calls over the first subject theme played by the oboes, clarinets and violins.

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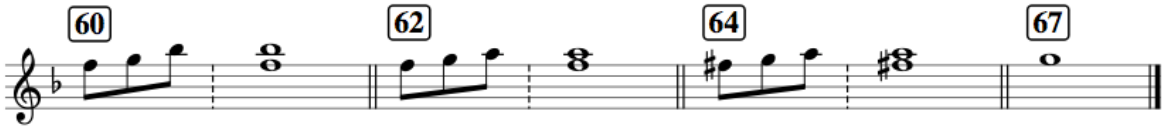
[51] "Louis Andriessen composed *The Nine Symphonies of Beethoven for Promenade Orchestra and Ice Cream Vendor's Bell* as a musical contribution to the Beethoven bicentenary celebrations in 1970. See S. Loy, "Music, Activism and Tradition: Louis Andriessen's 'Nine Symphonies of Beethoven'." *Context: Journal of Music Research,* 2009, 15.

[52] Hopkins, *The Nine Symphonies of Beethoven,* 169.

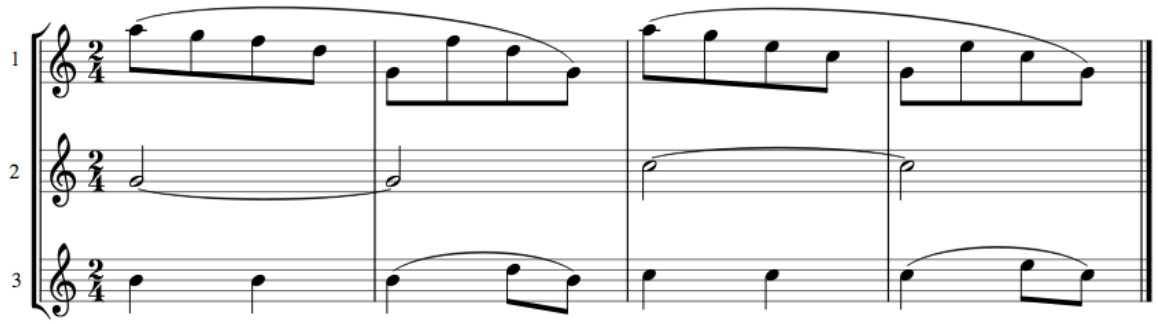
This rate of harmonic pacing in the first minute of the symphony may suggest the audience's tolerance is going to be exceeded yet again upon its completion. However, upon arrival at bar 53, the process of modulation to the dominant for the second subject occurs by way of diminution (of range) of the opening motif which points the melodic movement towards the pitch G – functioning as the dominant of the dominant (Ex.3).

Ex. 3 - Process of modulation bb.60-67[53]



The second subject (b.67) does not function like a conventional melody. As Tovey describes it: "[The] second subject [sic] slowly stretches itself out over tonic and dominant as a sort of three-part round" (Ex.4). Affirming this notion of a "round", is the harmonic pacing constantly alternating between tonic and dominant every two bars till b.93. Musical forms such as the round, or perpetual canon, are reminiscent of village work-songs, drinking songs and children's songs.

Ex. 4 - Three-part round from b.67 [54]



The "round" is broken by the introduction of the subdominant harmony, F major (bb.93-96). In similar fashion to how the harmony alternates in regular intervals in the "round", the subdominant harmony is alternated between tonic and dominant harmony at the

[53] Analysis mine
[54] Tovey, *Essays in Musical Analysis,* 47.

bar, creating a four-bar phrase which is repeated until the 'C' pedal-note appears (b.115) and is functionally sustained for 21 bars. Again, the harmonies that appear over the 'C' pedal-note are that of the tonic, dominant and subdominant.

The notion of "growth" purported by Hopkins, is exemplified in the development section. Unusually, the development exceeds the length of the exposition by two bars (repeats not withstanding). This is in part due to the long phrases and comparatively static nature of the harmony outlined by multiple ostinati. The static nature of the harmonic pacing is required to fully emphasise the harmonic progression utilising unrelated keys. Using bb.151-190 as an example, these forty bars consist of only two harmonies, B♭ major (12 bars) and D major (28 bars). By skipping four keys in an ascending (clockwise) direction on the circle of fifths to D major (a major third above B♭),[55] with absolutely no harmonic preparation, the surprise of the new harmony provides an emphatically uplifting feeling – accentuated by the static nature of the harmonic pacing. The sense of "growth" is reinforced with a *cresc. poco a poco,* lasting twenty-four bars, taking the dynamic level from *p* to *ff*. After eight bars of a blooming *ff* D major chord, the succeeding bars gradually diminuendo to *p,* in order to repeat the process again from G major (b.191). However, instead of moving to B major after twelve bars of G major, Beethoven skips three keys on the circle of fifths to E major (a minor third below G), another unrelated key arrived at in an equally unexpected fashion.

After moving through the circle of fifths in a more conventional manner (E-A-D-G-C), the development arrives at the recapitulation (b.279), which unfolds in a similar manner to the opening with a few subtle changes. The initial function of the fermata from the opening phrase is realised with a three-bar long trill played by the first violins upon the completion of the same antecedent phrase. This trill turns into a solo transitory passage into the succeeding consequent phrase. The remaining material up to b.312 is adorned with a type of *obbligato* part in triplets played by the first violins

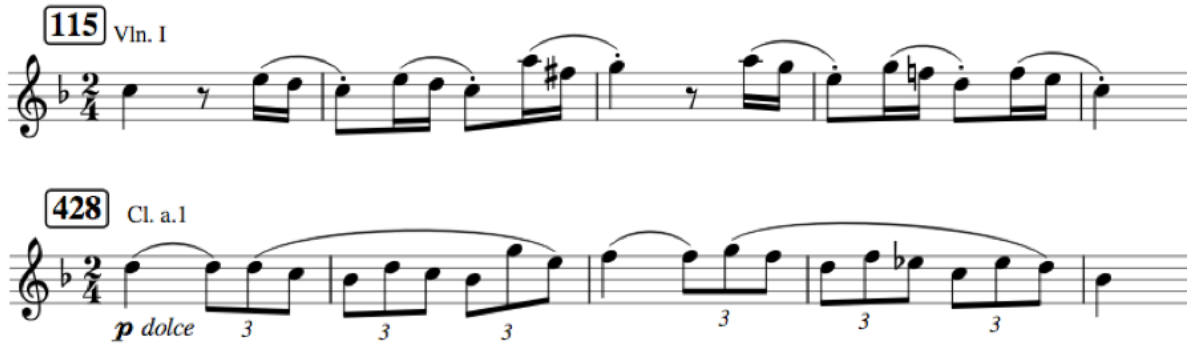
[55] Beethoven had already utilised harmonic progression through unrelated keys, as well as part of the harmonic structure: e.g., in the first movement of his Piano Sonata in C major, Op.53 "Waldstein" (1804), the key of B♭ major is arrived on in the third bar after beginning in the tonic of C major, and the second subject of the exposition appears in E major.

which is used to help build the momentum towards the climax of the first subject, marked *ff* in contrast to the exposition which is marked *f*.

In the same way the accidental F♯ was used to point the harmony towards G (dominant of the dominant) in preparation for the second subject in the exposition (b.64-66), the ascending sequential movement used to introduce B♮, points the harmony back towards C (dominant of the tonic), in order to retain the second subject in the tonic key (b.346). The remainder of the second subject follows the same order of statement of material, with some subtle changes to the orchestration, causing the proportions of both the exposition and the recapitulation to be almost exactly the same (see Table 2).

The first few bars of the coda succeed the second subject as it does at the beginning of the development, possibly striking fear into the hearts of critics who believe the movement should already have come to a close. Instead, Beethoven launches into a four-bar *forte* statement of the first subject theme before quickly returning to the final theme from the second subject, this time relaxing the rhythm into triplets instead of semiquavers (Ex.5).

Ex. 5 - Development of final theme from second subject



This theme from the second subject in triplet form is developed into the final climax of the movement, which subsides to reveal a type of village dance played by the clarinet and bassoon (b.476). A brief return to the opening theme from the first subject ends with a repeated five-note scale leading to the tonic, similar in fashion to how the end of the phrase functions in the exposition (b.28, second violins). The five-note scale is

then used to prepare the final perfect cadence, marked *f* with *sforzati*, with the final two restatements of the tonic chord marked *p.*

II – Scene by the Brook

Table 3 - Formal data for Beethoven's Pastoral Symphony (Movement II)[56]

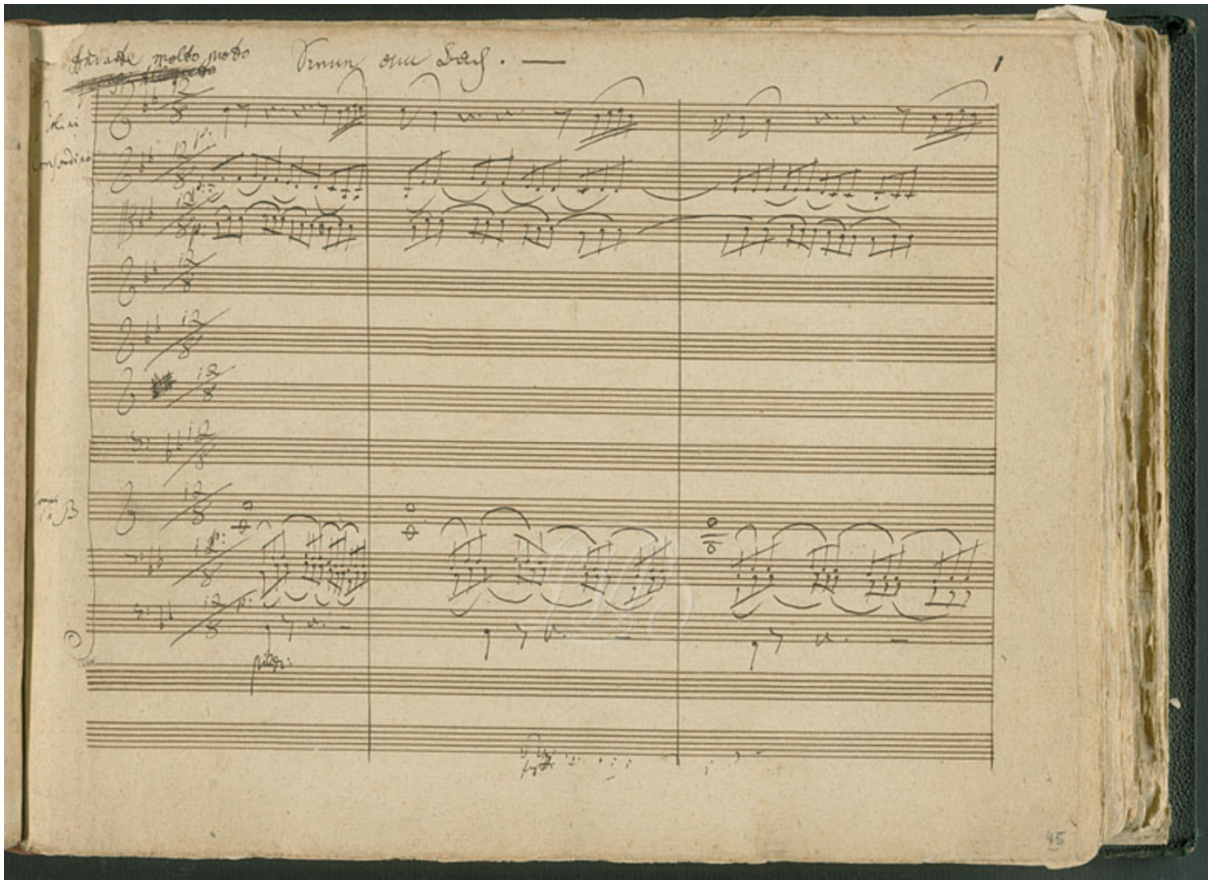
Section	Bar Range	# of Bars	Tempo	Proportional %
Exposition				
1st Subject	1-26	26	50	19%
2nd Subject	27-53	27	50	19%
		53		**38%**
Development	54-90	**37**	50	**27%**
Recapitulation				
1st Subject	91-98	8	50	6%
2nd Subject	99-123	25	50	18%
		33		**24%**
Coda	124-139	**16**	50	**11%**
Total		**139**		**100%**

Beginning in B♭ major (subdominant of F), the first subject is introduced by a flowing line with *molto mosso* and accented dissonances[57] that accompanies a melody containing more rests than notes (Plate 3). These elements provide an image of a gentle stroll towards a brook, where upon one's arrival, the melody blooms (in b.5), revealing ripples in the water created by the current. This is represented by the semiquaver ostinato, morphed from the flowing quaver line introduced by the second violins, violas and cellos in the opening. Although there is no documented account of this imagery by Beethoven, one could well be forgiven for finding it difficult to hear this semiquaver ostinato any other way, especially when paired with its program note *"Scene am Bach"*.

[56] Analysis mine

[57] Pitches that fall outside of the B♭ major triad appear on the first subdivision of each beat. Further momentum is realised by the bowings stipulated by Beethoven in the second violins, violas and two solo muted cellos.

Plate 3 - Folio of the first page of the second movement from the autograph score of Beethoven's – Symphony No.6 in F Major Op.68.



Published editions of the score attach the cello stave with the instruction "*Due Violincelli soli con sordini*" (two solo cellos with mutes),[58] which continues for the entire movement. As we can see from the autograph score, there is no such instruction (as with many other missing markings), prompting us to assume these instructions were either contained in the letter to the publisher accompanying the autograph score, or they were inclusions made by the editor made with or without Beethoven's consent. Another point worth noting from the folio from the autograph score is the tempo marking *Allegretto* which has been struck-through and replaced with *Andante molto moto.* This clearly reveals Beethoven's intention for this movement to move forward,

[58] Jonathan del Mar, in his critical commentary of Beethoven's Pastoral Symphony, states: ". . . Beethoven conveyed his final intentions concerning Vc and Cb in his letter to Breitkopf & Härtel of 28 March 1809. Up to this point the upper line was simply *Violoncelli,* the lower *Bassi;* he now requested that the upper line be played only by *due Violoncelli* [sic] *Solo 1mo e 2do con Sordino [,] gli Violoncello tutti coi Bassi.* See Beethoven, L. van, *Symphonie Nr. 6 in F-Dur* (Symphony No. 6 in F Major), *Pastorale, Op. 68,* ed. Jonathan Del Mar, Critical Commentary, (Kassel: Bärenreiter-Verlag, 1998), 32.

rendering relaxed and static interpretations inexcusably erroneous. After all, the liquid that travels through a brook is water, not treacle.[59]

At the end of the second theme of the first subject, the motif consisting of six semiquavers from the first movement (b.53) appears again (end of b.18) as a transitory passage for the third entry of the first theme from the first subject. Hopkins describes this motif as possibly being the cooing of woodpigeons.[60] In the absence of documented evidence attributed to this motif, or any other motif for that matter,[61] it is very easy to imagine that the restatement of the motif not only contributes to the work's unity, but it is designed to represent 'something'. At the very least, it is certainly congruous with the atmosphere created by the material eliciting the particular "feelings" intended to be "expressed" by the composer.

An interesting feature about the second subject (b.27) lies with the fact that although the key is undoubtedly in F major, the harmony mostly revolves around the F major 6/4 (second inversion) and C^7 chords. Functionally speaking, pre-cadential harmonies are predominantly used, which remained unresolved until b.48, where material from the first subject appears in reverse order leading into the development. This essentially renders the entire second subject as an incredibly prolonged cadence, establishing key for the succeeding development section.

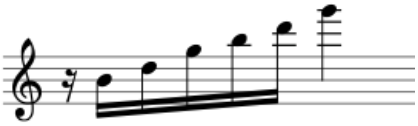
Similar to the development in the first movement, the development of the second transitions through a series of relatively unrelated keys (G-E♭-B♮), each time stating melodic material from the opening theme, giving a refreshing harmonic context for each appearance. After a development containing material almost exclusively from the first subject, a rapid harmonic progression leading to the dominant (F^7) prepares the recapitulation in the tonic key (B♭).

The dovetailed arpeggio figures that appear in accompaniment to the recapitulated melody (b.91) are derived from earlier instances of this gesture (e.g., flute b.58, violas

[59] Hopkins states that compared to the brook in Schubert's '*Schöne Müllerin'*, "these waters would seem to run somewhat sluggishly. . .", *The Nine Symphonies of Beethoven,* 176.
[60] *Ibid.*, 170.
[61] Discounting the calls of the three birds marked by Beethoven in the autograph score at the end of the second movement.

b.69). On this subject, Hopkins[62] describes an anecdote concerning one of Beethoven's students, Anton Schindler:

> Once, while taking a walk through the countryside with his disciple Schindler, Beethoven paused and said, 'Here I composed the scene by the brook, and the yellowhammers up there, the quails, nightingales and cuckoos roundabout, composed with me'. Schindler, earnest and literal-minded, at once asked the composer whereabouts in the score the yellowhammers appeared, the other three species being clearly labelled on the final page. In reply Beethoven jotted down the flute arpeggio mentioned above:



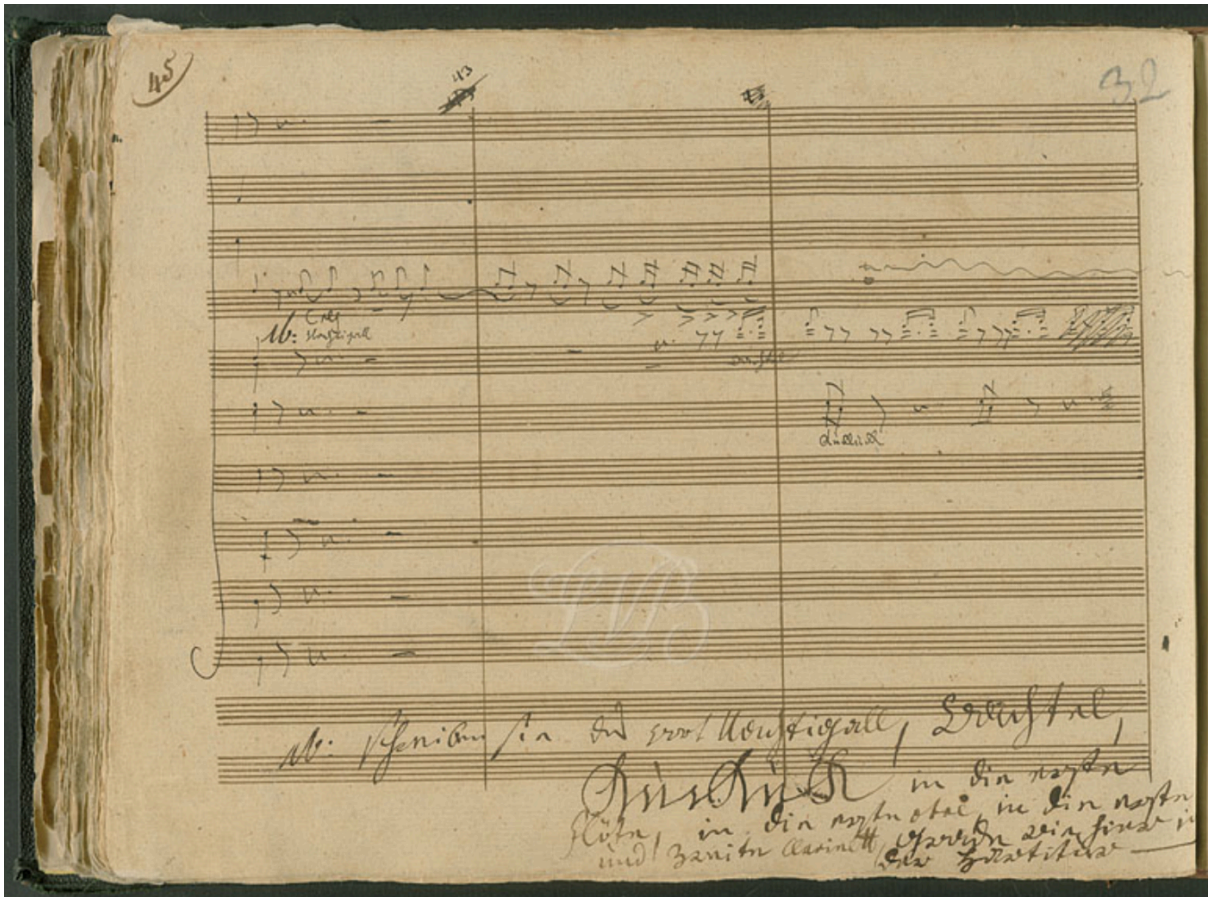
> . . . no bird known to man, least of all a yellowhammer, would be capable of such a phrase. If it was anything more than an unkind joke played on a gullible fellow, Beethoven's reply was simply an injunction to listen to the numerous sublimations of bird-song scattered throughout the movement.[63]

The twenty-one-bar elongated pre-cadential passage in B♭ major, otherwise known as the second subject of the recapitulation, leads into the coda (b.124), which contains the iconic interplay between the nightingale, quail, and cuckoo (b.129). These three avian species depicted are clearly marked in the autograph score with an instruction to the publisher to attach the words to the relevant points in the score and woodwind parts (Plate 4).

Following the birdcalls, the final four bars use a motif from the first subject in an imitative fashion which is passed around the first violins, bassoon, clarinet, and flute, preparing the final cadence, marked in a dynamically similar way.

[62] This point is also alluded to by Tovey, *Essays in Musical Analysis,* 51.
[63] Hopkins, *The Nine Symphonies of Beethoven,* 178-79.

Plate 4 - Folio from the autograph score of Beethoven's – Symphony No.6 in F Major Op.68. containing the birdcalls in the second movement with written instructions for the copyist.

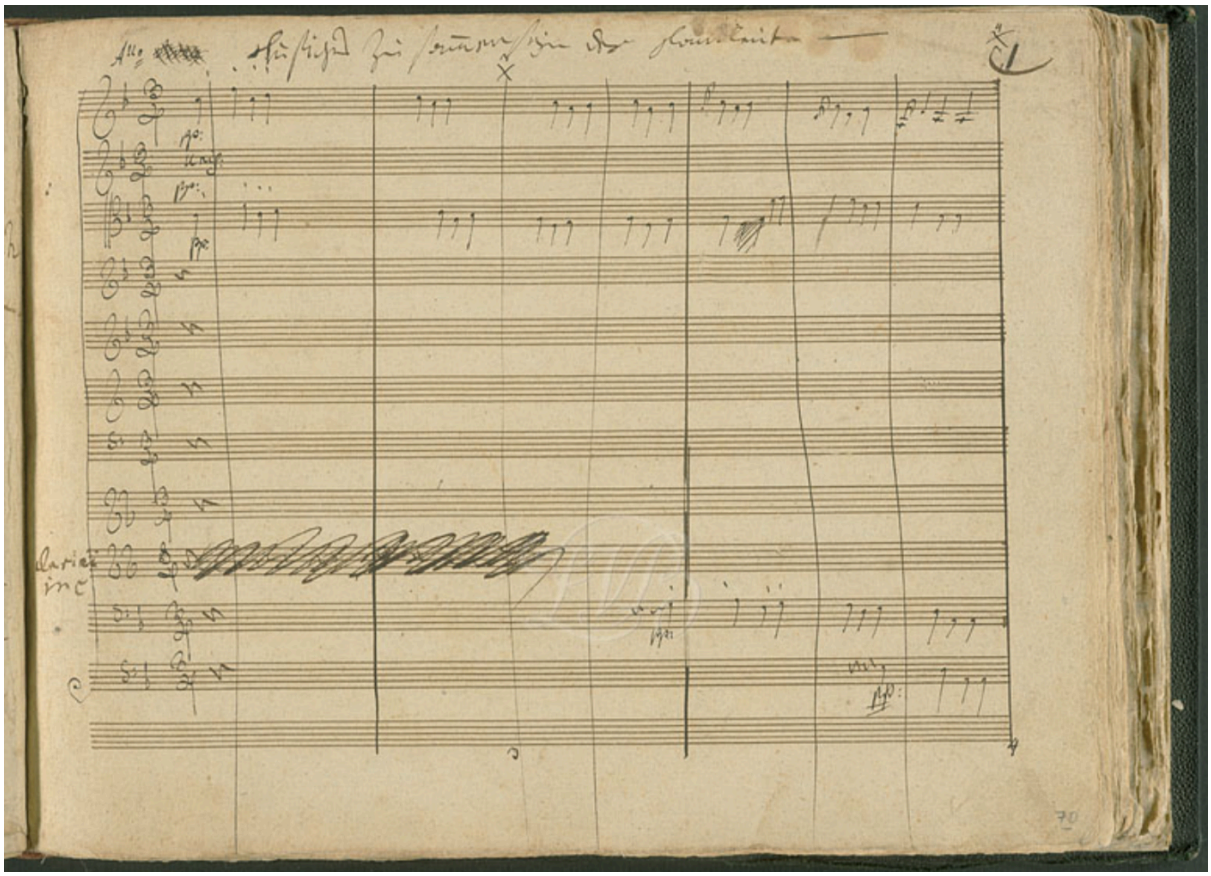


III – The Peasants Convene Merrily

Table 4 - Formal data for Beethoven's Pastoral Symphony (Movement III)[64]

Section	Bar Range	# of Bars		Tempo	Proportional %	
Scherzo		w/o repeats	w/ repeats		w/o repeats	w/ repeats
A	1-86	86	172	108	38%	41%
B	87-164	72	156	108	33%	37%
		164	**328**		**73%**	**78%**
Trio	165-204	**42**	**84**	132	**14%**	**15%**
Scherzo						
A	205-264	**60**		108+	**13%**	**7%**
Total		**266**	**472**		**100%**	

Plate 5 - Folio of the first page from the third movement from the autograph score of Beethoven's – Symphony No.6 in F Major Op.68.



[64] Analysis mine

As would traditionally appear after a fast and slow movement in a symphony, Beethoven presents us with a third movement in the form of a strict scherzo and trio. Tracing its origins to its parent form, the minuet, Beethoven uses the scherzo and trio form to depict a number of different types of dance – undoubtedly engaged in by those mentioned in the program notes.

The opening dance (possibly dances) portrayed in the first two phrases contain two contrasting themes. The first monodic antecedent phrase, which contains acciaccaturas reminiscent of embellishments typically played by bagpipers, does not end on the dominant of the tonic key. Instead, it ends on the dominant of the relative minor (A, of D minor), which prepares the sudden harmonic movement to D major in the succeeding consequent phrase. The interplay between the unrelated F major (one flat), and D major (two sharps) further emphasises the contrasting nature of the two opening phrases. Adding to the rustic “feeling” in the second phrase is the way in which the rhythm of the drone (in the bassoon and double bass) is accentuated. Many examples of folk music contain a static bass note that begins on a weak beat and crescendos to a tenuto on the strong beat. This manner of playing is due to the power of the bow used by folk bass instruments lying in the middle. Owing to the accessible nature of folk music, and the musicians not necessarily needing to be of the highest calibre, this presents an easy and effective way to produce sound on the given instrument. This is also the case for the variety of accordion-like instruments often used in folk music. In the case of the Pastoral Symphony, the bassoon begins each note on the weak third beat of the bar while the basses accentuate the drone by entering on the strong first beat of each bar, mimicking the aforementioned folk instruments.

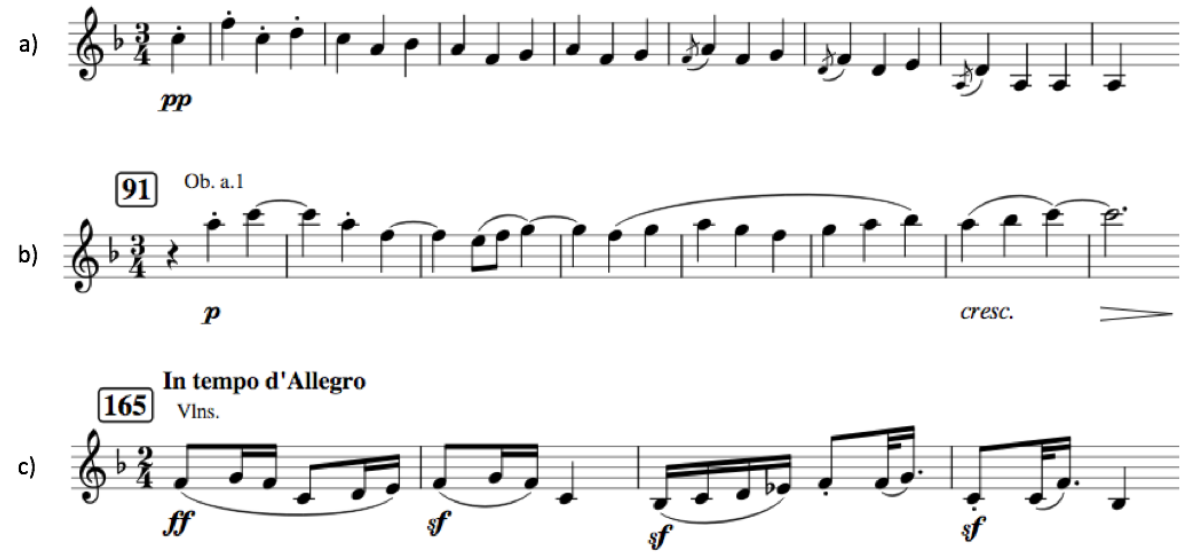
After the jubilant final theme of the scherzo’s A section (bb.59-86), the violins take over the inverted waltz ostinato from the horns and bassoons. This unusual ostinato possibly depicts a certain contingent of locals who have possibly over-imbibed, especially when placed against a melody rife with syncopation (Ex.6*b*). Adding an extra humorous element to this scene is the infamous line in the bassoons, containing all of three notes. At the risk of ruining a joke by way of explanation, in context of the melody and mid-range ostinato, one may well expect to hear a bassline that supports this texture from the beginning of the phrase, yet this is not what eventuates. On this

occasion, the possible reasons for the timing and manner of the bassoon entries in this section are better imagined than described. In keeping with the theme of simplicity, the trumpets make their first entrance of the entire symphony in the following trio section. As far as grand trumpet entries go, their cameo in the Pastoral symphony features rather low on the list, with their entry (b.181) highlighting a change of harmony, then bolstering the brass texture until the first trumpet shares the sustained fermatas with the first violins at the end of the trio. All in all, a grand total of three pitches are played by the first trumpet and two pitches by the second trumpet for the entire movement.

Amongst available sources, there seems to be a discrepancy between formal analyses. In the analysis provided with the 1941 Boosey and Hawkes score,[65] it states the scherzo is in three parts; part 1 bb.1-32, part 2 bb.33-86 (which contains a repetition of the first thirty-two bars), part 3 bb.87-161. The trio begins in bar 165, and the scherzo da capo – beginning in bar 205 – is "suddenly interrupted by the sound of distant thunder". Tovey, on the other hand (despite the contrasting nature of the sections described) states: "The trio begins, not as some commentators would have it, with the change to 2/4 time (there is a double bar there simply because the change of time demands it), but with the following delightful theme:"[66] (see Ex.6*b*). According to Hopkins, a formal analysis of the third movement does not warrant inclusion[67] (unlike his commentary on the first two movements).

[65] *Beethoven Symphony 6 'Pastorale' F Major Opus 68* (London: Boosey and Hawkes, 1941), app.
[66] Tovey, *Essays in Musical Analysis,* 53.
[67] Hopkins, *The Nine Symphonies of Beethoven,* 181-182, refers to the various sections within the third movement as "dances" (i.e., "first dance", "second dance").

Ex. 6 - Thematic material from Movement III[68]



Based on the thematic material in context of how scherzo and trio form functions, it would make the most sense for the scherzo to be in two sections (first section Ex.6*a* and second section Ex.6*b*), with the trio beginning upon the change of tempo in bar 165. Although a scherzo does not need to be in triple metre, unlike its derivative form the minuet, neither does a trio. Accompanying this line of analysis, it stands to reason that if a storm is to cause an interruption of the scherzo da capo, it should happen after the recapitulation of the first section – interrupting the scherzo, not politely waiting for the end of the scherzo before making an entrance.

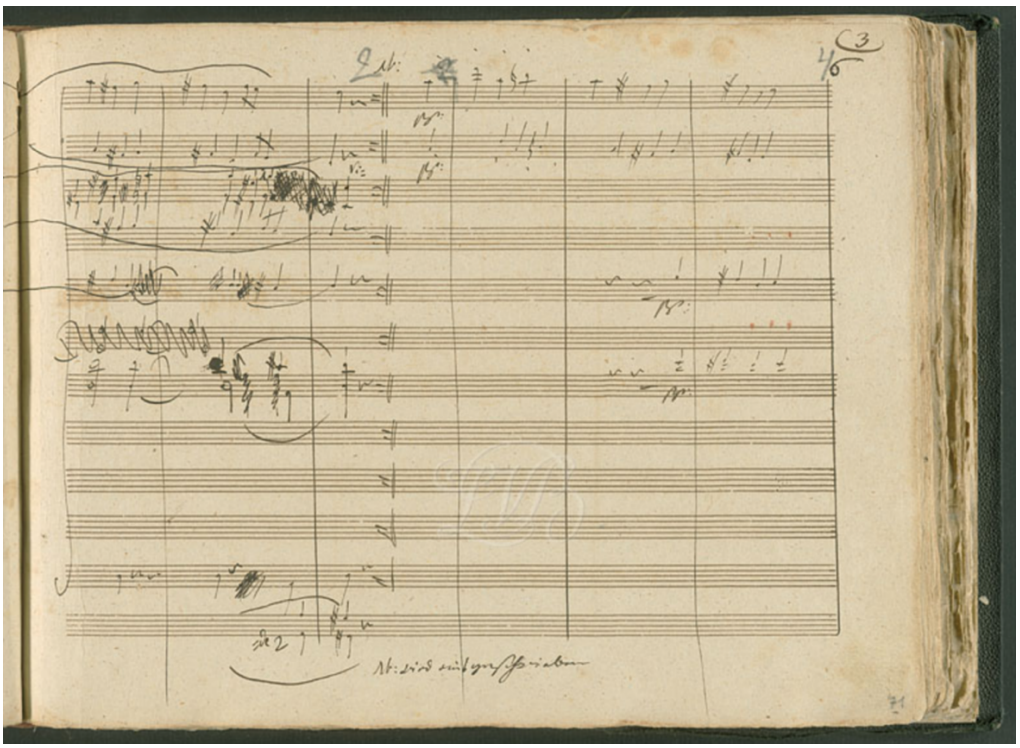
On the topic of Beethoven's scherzos, Tovey postulates the following:

> [Beethoven] did not in his most typical examples allow the themes to become so developed as to give the movement a character of dramatic progress; on the contrary he insisted that, however large his scherzo and his trio might be in themselves, the listener should thoroughly realize that they were two dances that were going to alternate not once but twice, and but for the intervention of some rather drastic closure even thrice. Since Beethoven's time, the doctrine has arisen that the purpose of music is to convey information; so that what has been said clearly once need not be repeated to listeners of ordinary intelligence. On the same principle we may as well demolish any part of a building which symmetrically repeats any

[68] Analysis mine

other part. Experience soon convinced Beethoven of the necessity of writing out the repeats of his typical scherzos in full,[69] as performers will be more afraid to cut out whole written pages than to disobey a mere repeat-mark. But this has not protected his scherzos from serious damage to much more dramatic structures. The whole question depends upon whether architectural and formal motives or dramatic impulses and processes preponderate. . . Beethoven had seen during the rehearsal for the first performance that the dramatic power of the scherzo of the C minor symphony [Symphony No.5 in C minor, Op. 67] was far too intense for any such insistence on its dance-form. But here in the Pastoral Symphony it would be a crime [this so-called "crime" is committed by Herbert von Karajan in his 1977 recording with the Berlin Philharmonic, where he omits all repeats in the first and third movements; to provide but one example] not to let Beethoven's rustics have their dance out before the thunderstorm intervenes.[70]

Plate 6 - Folio from the third movement of the autograph score of Beethoven's – Symphony No.6 in F Major Op.68, displaying a repeat sign and a note directing the copyist to typeset bb.17-32 the same as bb.1-16.



[69] The first edition score and parts (Leipzig: Breitkopf und Härtel, 1809) display repeated passages and repeat signs as instructed in Beethoven's autograph score (see Plates 6, 7, and 8).
[70] Tovey, *Essays in Musical Analysis,* 52-53.

Plate 7 - Folio from the third movement of the autograph score of Beethoven's – Symphony No.6 in F Major Op.68, displaying a repeat sign and a note to the copyist that the eight bars from b.165 are to be written out again with the flute part included in the second repetition.

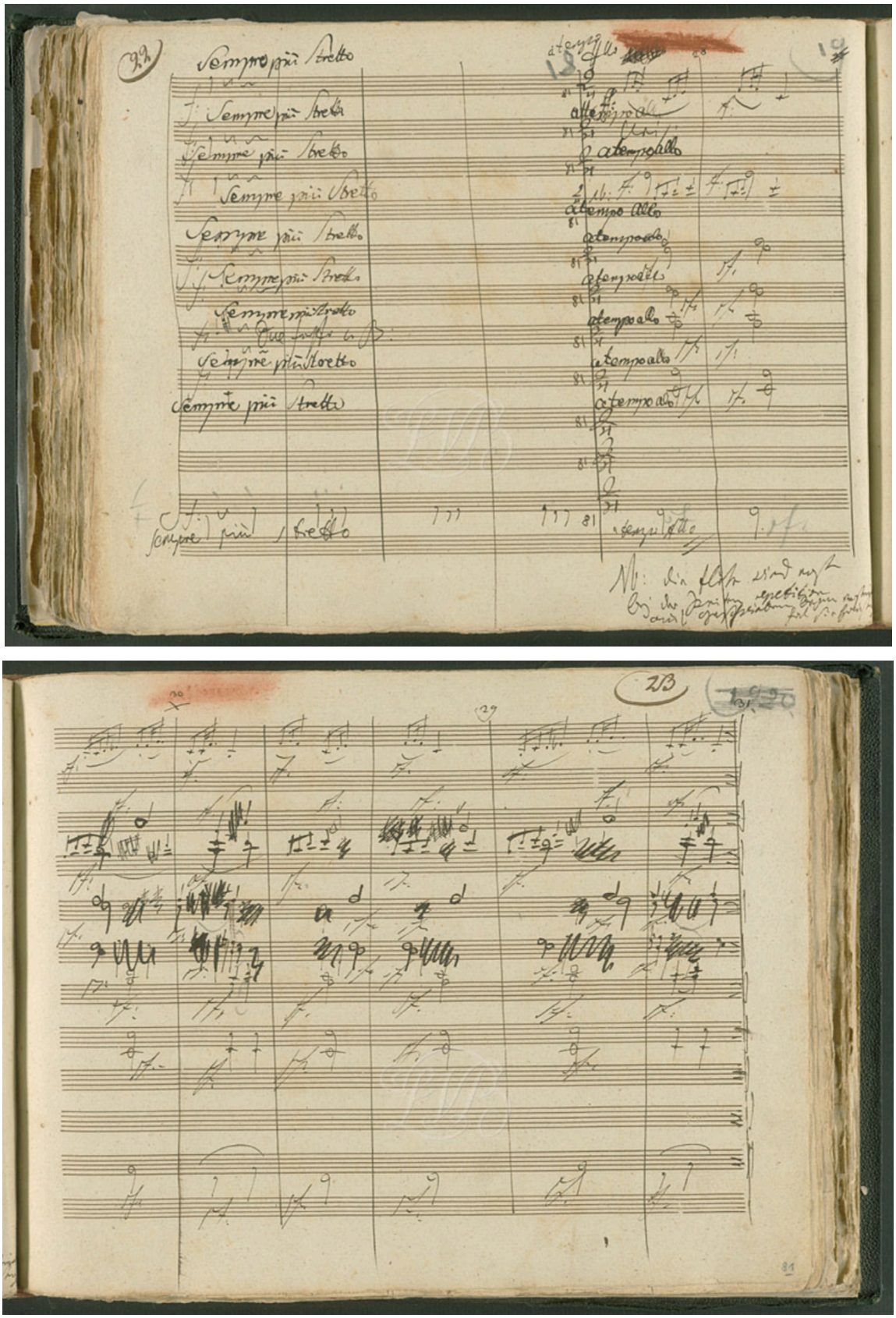
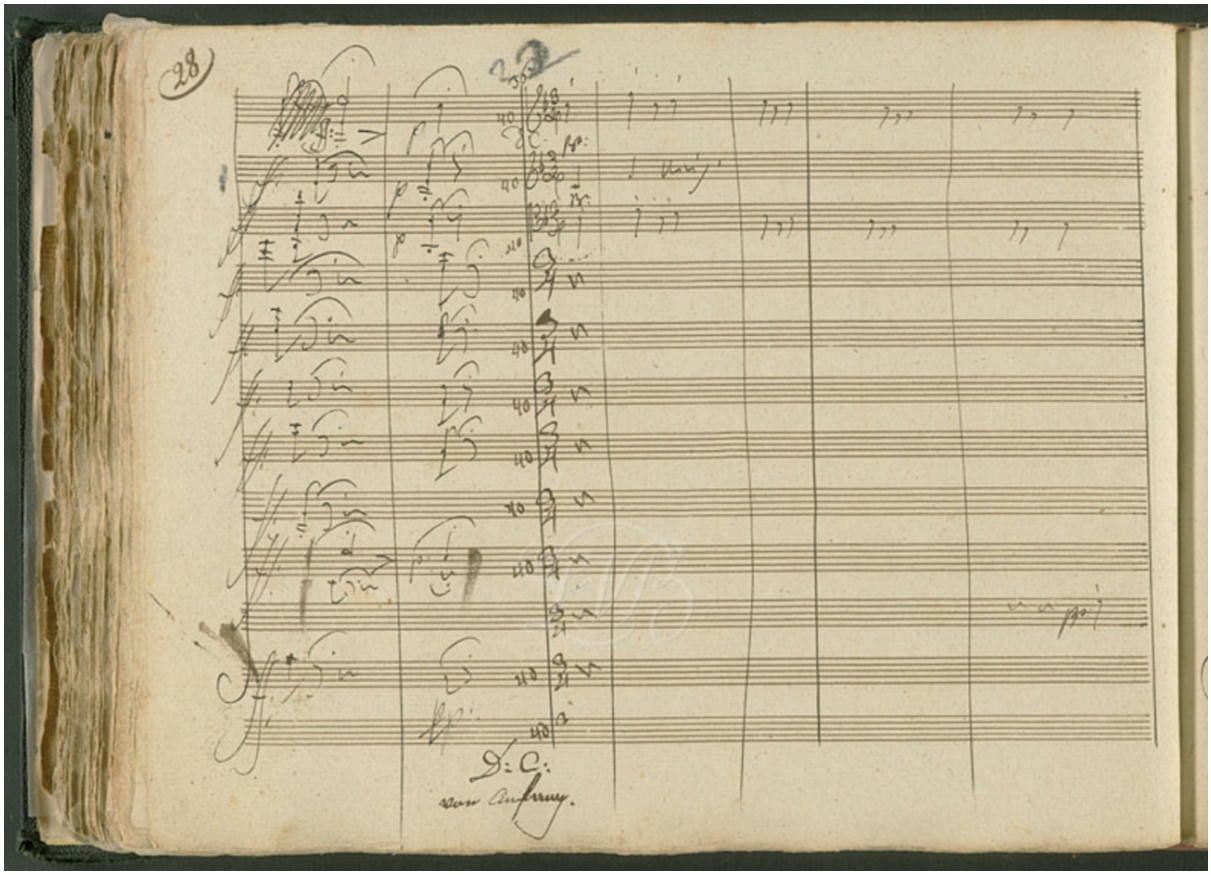


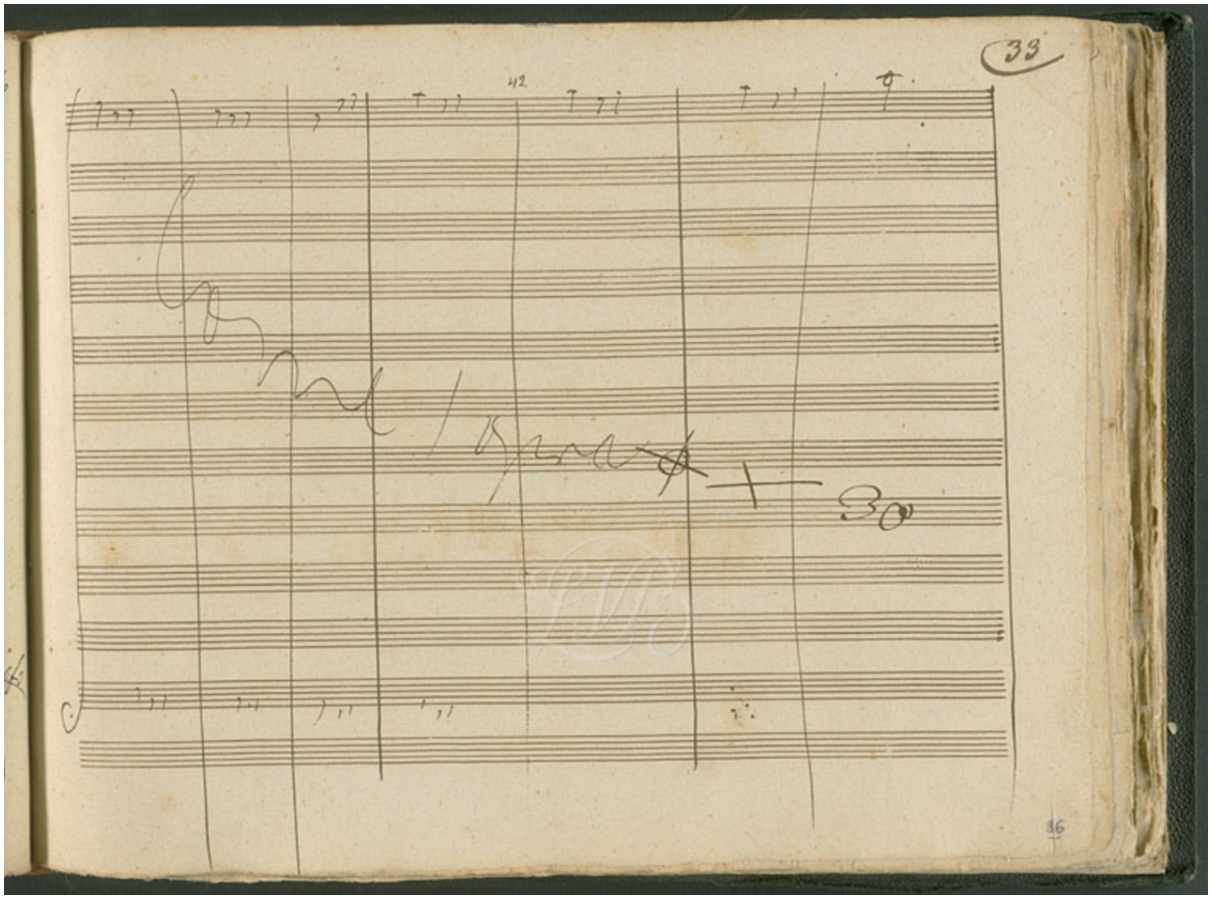
Plate 8 - Folio from the third movement of the autograph score of Beethoven's – Symphony No.6 in F Major Op.68, displaying the Da Capo marking signifying a repeat to the beginning of the movement.



These statements by Tovey seem to contradict the evidence displayed in both the autograph score and first edition publication (and most subsequent publications[71] for that matter). There are numerous examples of Beethoven's shorthand contained in his autograph scores. Although the final recapitulation of the scherzo (b.205) is written out by Beethoven, this is most likely due to the fact that it is cut short by the sudden introduction of the following "storm" movement. Plate 9 shows another example of Beethoven's shorthand by only writing out the first violin part and adding a note instructing the remaining orchestration is to appear as it was previously written out. This shorthand is continued through to the end of the movement.

[71] Editions referenced: Autograph score; Beethoven, L. van, *Sinfonie Pastorale en fa majeur*, Violino I part (Leipzig: Breitkopf und Härtel, 1809), 8-9; Beethoven, L. van, *Sinfonie Pastorale en fa majeur* (Leipzig: Breitkopf und Härtel, 1826), 99-119; Beethoven, L. van, *Symphonien für grosses Orchester No. 6* (Leipzig: Breitkopf und Härtel, 1863), 45-53; Beethoven, L. van, *Symphony No.6 "Pastoral" in F major, Op. 68* (Braunschweig: Henry Litolff's Verlag, 1880), 39-46; Beethoven, L. van, *Symphony No.6 "Pastoral" in F major, Op. 68* (Leipzig: Ernst Eulenburg, 1938), 77-89; and Beethoven, L. van, *Symphony 6 'Pastorale' F Major Opus 68* (London: Boosey and Hawkes, 1941), 65-77.

Plate 9 - Folio from the third movement of the autograph score of Beethoven's – Symphony No.6 in F Major Op.68 (bb.235-241).



IV – Thunderstorm

The formal analysis for this movement is often referred to as being a type of "free-form", mainly due to the construction of each section being based on the different stages of a storm rather than on the thematic material appearing in a certain order. This does not necessarily mean that a formal analysis of this movement cannot be done – as many analysts have avoided doing. Putting ourselves in Beethoven's position, at the outset of writing a movement intended to represent a storm, the term "free-form" does not provide much assistance in way of making well-informed decisions about its formal construction.

If we take the liberty of labelling each stage (and/or elements) of a storm, we allow ourselves the ability to define a set number of sections attributed to each stage. Given a storm contains a number of varying elements (rain, wind, thunder, lightning, etc.), they rarely occur at the same level simultaneously, meaning that any musical material attached to a given element can play a more or less dominant role in a given section based on the stage of the storm the music is depicting. The descriptions of each section outlined in Table 5 merely sets out to differentiate the different stages of the storm depicted in the fourth movement. It is not designed to dictate exactly what each motif or theme is intentionally depicting, to save indulging arguments about how apparently thunder appears before lightning, even though light travels much faster than sound.

To give another set of labels, Hector Berlioz provides us with the following:

> I despair of being able to give an idea of this prodigious movement. It must be heard in order to form an idea of the degree of truth and sublimity descriptive music can attain in the hands of a man like Beethoven. Listen! – listen to those rain-charged squalls of wind; to the dull grumblings of the basses; also to the keen whistling of the piccolo, which announces to us that a horrible tempest is on the point of breaking out. The hurricane approaches and grows in force; an immense chromatic feature, starting from the heights of the instrumentation, pursues its course until it gropes its way to the lowest orchestral depths. There it secures the basses, dragging

them with it upwards; the whole shuddering like a whirlwind sweeping everything before it. Then, the trombones burst forth, the thunder of the kettledrums becomes redoubled in violence, it is no longer merely rain and wind, but an awful cataclysm, the universal deluge – the end of the world.[72]

Table 5 - Formal data for Beethoven's Pastoral Symphony (Movement IV)[73]

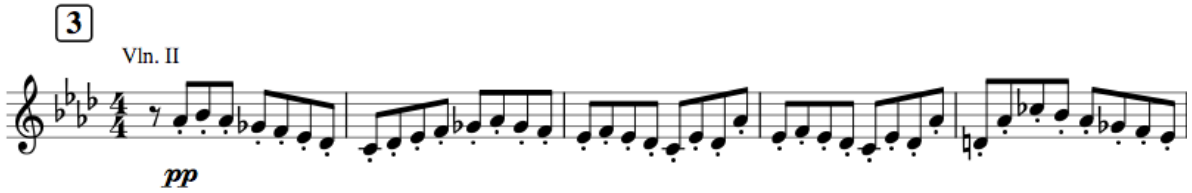
Section	Bar Range	# of Bars	Tempo	Proportional %
Raindrops	1-20	20	minim=80	13%
Heavy rain	21-32	12	minim=80	8%
Lightning	33-55	23	minim=80	15%
Lull	56-77	22	minim=80	14%
Roaring winds	78-118	41	minim=80	26%
Storm begins to subside	119-145	27	minim=80	17%
Appearance of sunrays	146-155	10	minim=80	6%
Total		155		100%

If the musical depictions contained in the preceding three movements were not already a clear representation of the program, the fourth movement bearing the title "*Donner und Sturm*" (Thunder and Storm), could not be clearer. The impending fearsome thunderstorm is anticipated by the peasant-folk via an increase in tempo towards the end of the scherzo, marked *Presto*. In addition to the depictions of distant thunder (cellos and basses bb.1-3), rain droplets (second violins b.3), and gradually increasing gusts of wind (first violins bb.5-6 and bb.15-16), the remnants of happy and merry feelings carry over from the activities of the preceding movement by way of the D♭ major harmony outlined by the raindrops represented in the second violins (Ex.7). These feelings are soon dissipated by the introduction of diminished harmony in bar 7, accentuated by the augmented fourth appearing in the winds (bb.9-10). The distant thunder first noticed via a low D♭ in the opening, draws nearer by rising a semitone (supporting the diminished dominant harmony), resolving to an E♭ containing subsequent raindrops that outline E♭ minor. During this chromatically ascending bassline, the asymmetrical progression of harmonic pacing within the opening two

[72] Berlioz, *A Critical Study of Beethoven's Nine Symphonies,* 75.
[73] Analysis mine

symmetrical ten-bar long phrases, further adds to the sense of unease and impending terror.

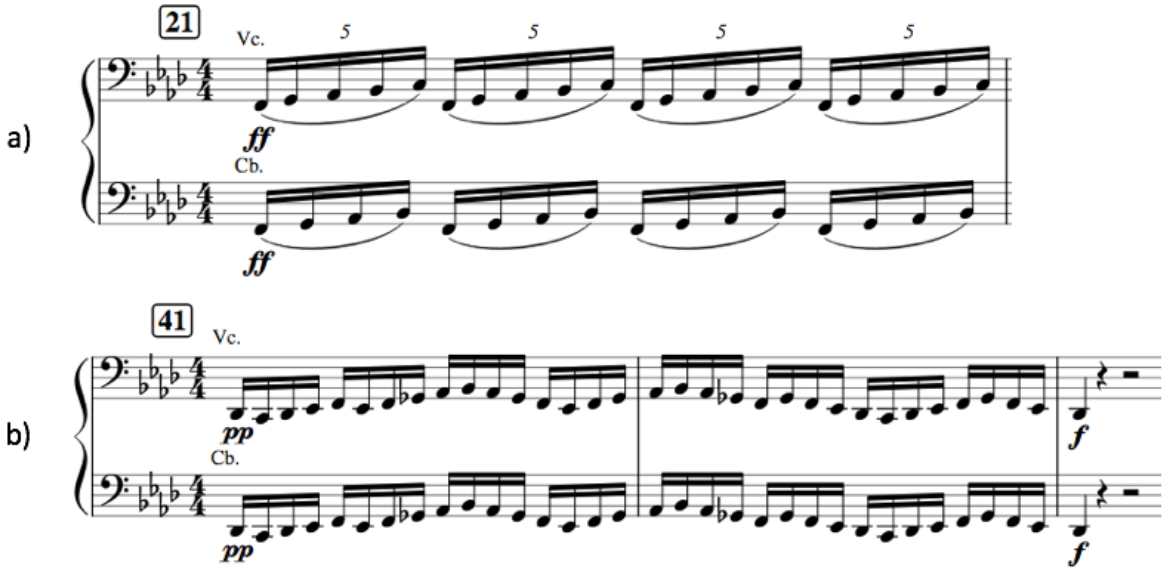
Ex. 7 - Raindrops represented in the second violins



Many commentators have drawn attention to the ingenuity of Beethoven's orchestration in realising certain effects throughout the movement, chief of which concerns the terrifying entry of the timpani and its textural effect on subsequent stages of the storm,[74] though its role within the symphony is limited to this movement alone. However, regarding the effect contained in the cellos and basses from b.21 (Ex.8*a*), one crucial consideration is often overlooked. At the tempo which Beethoven would have conceived the music – one fast enough to effectively realise cracks of thunder (e.g., b.43) and howling winds (e.g., b.95) – the actual realisation of these notated passages border on the physically impossible, especially for an orchestra containing amateur musicians as members (i.e., the orchestra that gave the premiere performance). The resulting aural effect would have been nothing more than a low rumble. Even if the notes were realised with perfect accuracy, the effect would be virtually indistinguishable. This notion also applies to the semiquaver passages in the cellos and basses appearing in bb.41-42 (Ex.8*b*). If this passage were to appear in the context of say, a piano sonata, we would reasonably expect to hear every note played with clarity and aplomb. Though in context of it appearing on instruments not particularly well-suited to this type of writing (especially during the era), the resulting effect is similar to that created by the preceding polyrhythmic figure.

[74] Hopkins alludes to Beethoven's genius regarding the opening "rumble" in the cellos and basses by "the obvious cliché of timpani being subtly avoided at this stage" (see *The Nine Symphonies of Beethoven,* 182). Although the effect works perfectly well without the addition of timpani in the orchestration, its omission most likely due to more practical limitations attributed to the two kettle drums being fixed to the pitches 'C' and 'F', as stipulated in the beginning of the movement. The impracticability of changing the pitch of one drum from a degree contained within D♭ major, only to change the pitch back to 'C' or 'F' during a relatively short *pianissimo* passage, would have been well considered in Beethoven's mind.

Ex. 8 - Orchestral effect in cellos and basses.



Despite the use of "free-form", and the possibility of different types of thematic material being used to represent similar elements, thematic unity plays a vital role in the "expression of feeling" throughout the movement. This is exemplified from the section portraying the subsiding of the storm, where almost every motif appearing during the height of the storm is featured in some type of dynamically diminutive form, suggesting the elements of the storm are either dying down or moving elsewhere (or both).

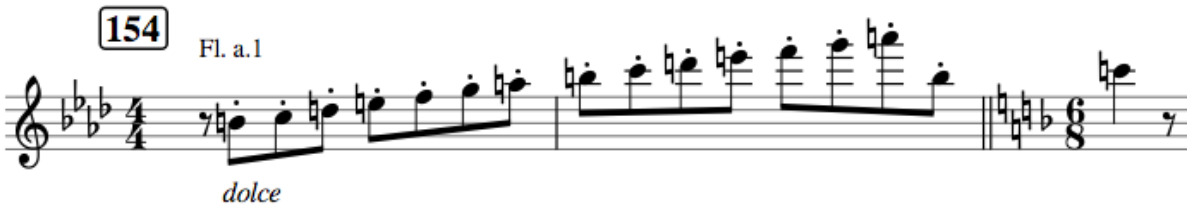
Thematic unity also helps provide the transition of weather from storm to sunshine, as the bar of quavers played by the second violins (Ex.7) in the opening is augmented into a glorious melody appearing in the oboe and first violins in octaves (Ex.9). This melody has often been likened to a rainbow appearing behind rays of morning sunshine.[75]

Ex. 9 - Rainbow appearing behind rays of morning sunshine.

[75] Tovey, *Essays in Musical Analysis,* 55. This melodic line has also been understood to be a quotation of the last phrase of J.S. Bach's chorale melody *Ermuntre dich, mein schwacher Geist*, which is set against the text "*und letztlich Frieden bringen"* (and finally brings peace). See Robert W. Ottman, and Frank D. Mainous, *Rudiments of Music* (New Jersey: Prentice-Hall, 1966), 8.

The second bar of the theme displayed in Ex.7 also provides the material for the flute part (b.154, Ex.10) which leads the final perfect cadence in C major into the following movement. Note that both scales begin on the same degree (leading note) despite falling on different parts of the bar. If the initial quaver rest is replaced with a tonic note, the contour becomes an inversion of the first bar of Ex.7, showing a further example of thematic unity.

Ex. 10 - Flute part leading into following movement.



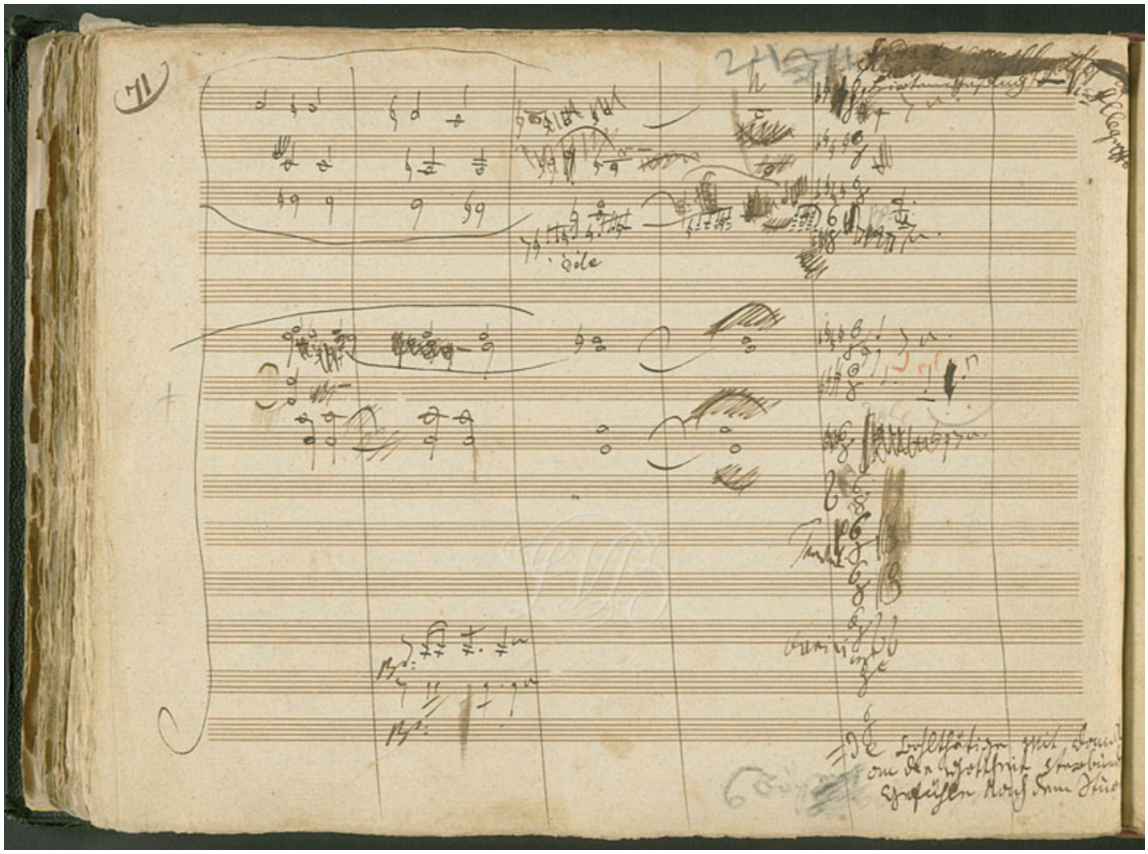
V – Calm after the Storm, Eliciting Heartfelt Thanks to the Lord

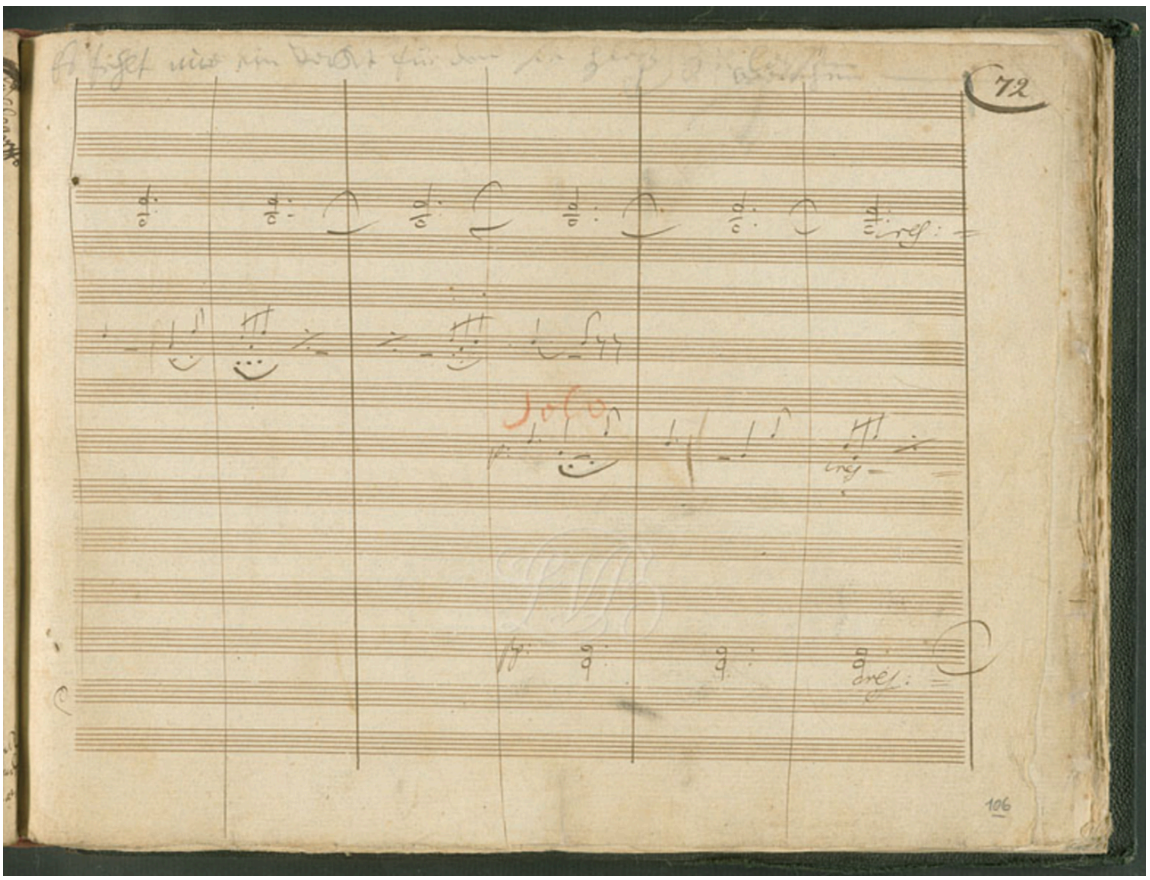
Table 6 - Formal data for Beethoven's Pastoral Symphony (Movement V)[76]

Section	Bar Range	# of Bars	Tempo	Proportional %
Introduction	1-8	8	dotted crotchet=60	3%
A	9-31	23	dotted crotchet=60	9%
B	32-63	32	dotted crotchet=60	12%
A	64-79	16	dotted crotchet=60	6%
C	80-116	37	dotted crotchet=60	14%
A	117-139	23	dotted crotchet=60	9%
B	140-176	37	dotted crotchet=60	14%
Coda	177-264	88	dotted crotchet=60	33%
Total		264		100%

[76] Analysis mine

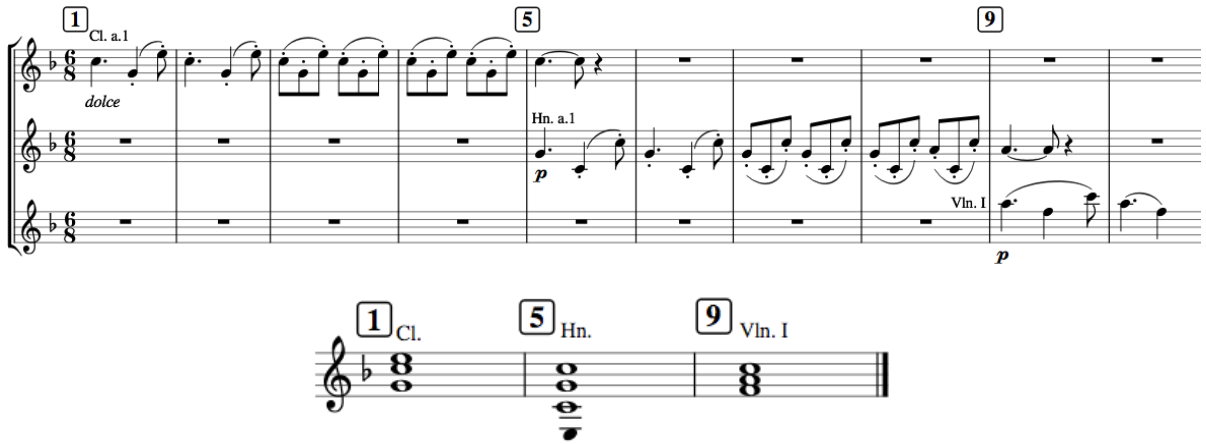
Plate 10 - Folios of the transition into the final movement from the autograph score of Beethoven's – Symphony No.6 in F Major Op.68, displaying the originally penned title/program note.





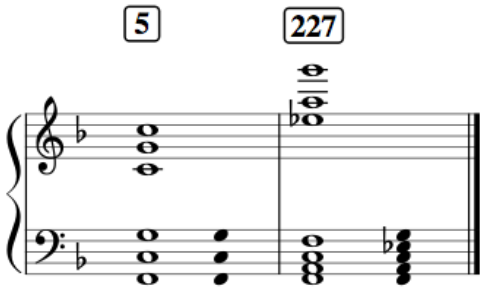
The perfect cadence in C major prepared at the end of the preceding movement is succeeded by an eight-bar introduction which not only introduces the motif on which the rondo theme is based but serves to return the harmony to F major. The way in which Beethoven achieves this shift from C major to F major is more a process of phasing than of traditional modulation. If we look at the three melodic phrases that open the final movement (punctuated by the clarinet, horn, then first violins displayed in Ex.11), we notice they are constructed of three pitches outlining different cyclical permutations of triadic harmony – successively beginning on each degree of the triad according to the functional harmony at their point of entry. The first phrase (clarinet), beginning on the tonic ('C') of C major, outlines a 6/4 (second inversion G-C-E) triad. The second phrase (horn), beginning on the dominant ('G') of the functional C major harmony outlines a triad (C-G-C) devoid of a mediant ('E'), the voicing of which is often used in harmony where the mediant appears in the bass, outlining a 6/3 (first inversion E-G-C) triad. The first two bars of the third phrase, which is incidentally the opening theme, begins on the mediant ('A') of F major, outlining a 5/3 (root position C-E-G) triad. As far as the hierarchy of triadic quality goes, we have gone from the least stable position (6/4) to the most stable (5/3) in the process of establishing the tonic key of F major. Additionally, the omission of all leading notes (of both C major and F major) is an integral element to the initial smooth transition and establishment of the successive key over that of the preceding one. The stylistically atypical harmony created by the superimposed drones of a perfect fifth (bb.5-8) is later exploited (with all thirds present, outlining a dominant 9 chord in bar 227) in the coda to glorious effect (Ex.12).

Ex. 11 - Opening of Movement V bb.1-10[77]



[77] Analysis mine

Ex. 12 - Comparison of harmonic material between b.5 & b.227[78]



The introduction has frequently been referred to as a shepherd's call which turns into a "shepherd's song"[79] in the opening rondo theme. There is little in the way of evidence suggesting this is exactly what Beethoven intended, apart from the very slight possibility of the inclusion of the word "*Hirtengesang*" (Shepherd's song) atop the folio in the autograph score. However, this is barely legible. Many sources also publish the translated title of the final movement without reference to the celestial entity included in the handbill from the premiere performance.[80] Berlioz gives an example along with his description of the opening:

> The symphony concludes with:
>
> *"Hirtengesang. Frohe, dankbare Gefüle nach dem Sturm."*
>
> When everything resumes its cheerfulness. The herdsmen reappear upon the mountains, calling together their scattered flock; the sky is serene, the rain has almost disappeared and calm returns. With its reappearance we hear again those rustic songs the gentle melody of which is such repose to the soul after the consternation and shock produced by the magnificent horror of the previous picture.
>
> After that, can anyone really consider it necessary to allude to any strangeness of style which may be met within this gigantic work? Shall we take exception to the five-note groups of violoncellos, opposed to those of

[78] Analysis mine

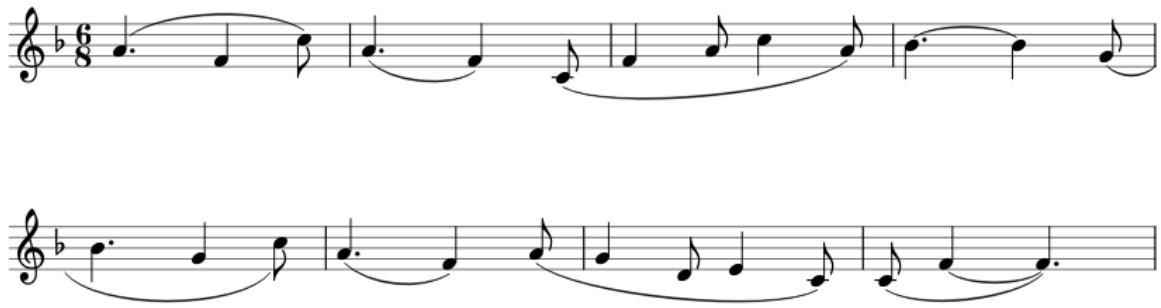
[79] E.g., ". . .herdsmen reappear upon the mountains, calling together their scattered flocks. . ." Berlioz, *A Critical Study of Beethoven's Nine Symphonies,* 76. M. Geck, Beethoven's Symphonies, Nine Approaches to Art and Ideas, trans. S. Spencer, (Chicago and London: The University of Chicago Press, 2017), 14, 105, 108, 113. Hopkins, *The Nine Symphonies of Beethoven,* 186.

[80] Beethoven's relationship with God ostensibly fluctuated during his lifetime. See J. Swafford, *Beethoven: Anguish and Triumph* (Boston and New York: Houghton Mifflin Harcourt, 2014), 306.

> four notes in the double basses, which jostle one another without ever subsiding into unison? Must we exclaim about the horn-call, which arpeggios the chord of C whilst the stringed instruments are holding that of F?
>
> Truly, I cannot do it. For a task of this nature one must reason coldly; and how can we be guaranteed from excitement when the mind is preoccupied with such a subject![81]

Regardless of the labels one attaches to Beethoven's motifs and themes, the final movement still unfolds in an 'arch-like' rondo form – with the coda using thematic material exclusively from the A sections, thus completing the symmetry of the form. The rondo theme (Ex.13) in the opening A section appears three times, first in the first violins accompanied by a light, simple homophonic texture outlining the harmonic progression attached to the melodic line. This texture is developed upon the second instance of the rondo theme with the first violins adopting an ostinato reminiscent of the previous scene by the brook. Underlying the second instance of the rondo theme is a crescendo that builds towards a third instance including the whole orchestra (except timpani) marked *ff.* The number three plays a prominent role in this movement, with many of the repeated passages appearing three times. Whether the employment of this number has any religious significance, which it often did in works containing sacred references, can only be speculated.

Ex. 13 - Rondo theme from Movement V

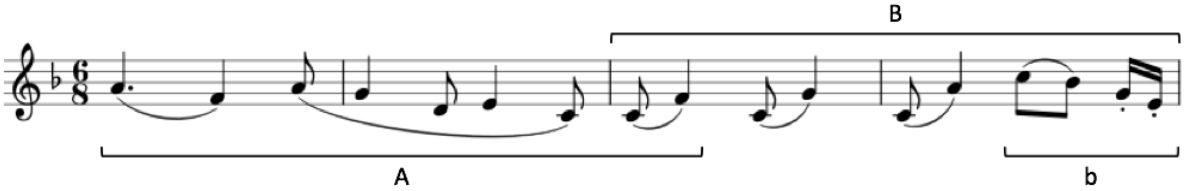


The transition into the succeeding B section uses the final two notes of the rondo theme as the first two notes of the new B section theme (b.32, Ex.14). In a similar

[81] Berlioz, *A Critical Study of Beethoven's Nine Symphonies,* 76.

fashion, the material from the final beat of the first B section phrase (Ex.14b), is used in the following passage (bb.44-45), which in turn prepares the harmonic movement that is repeated in the succeeding passage (bb.46-49). The harmonic movement helps move the harmony to the dominant (C major, b.50), only to modulate (in a similar manner to the introduction) back to the tonic for the return of the rondo theme (b.64).

Ex. 14 - Transition between rondo and B section themes[82]

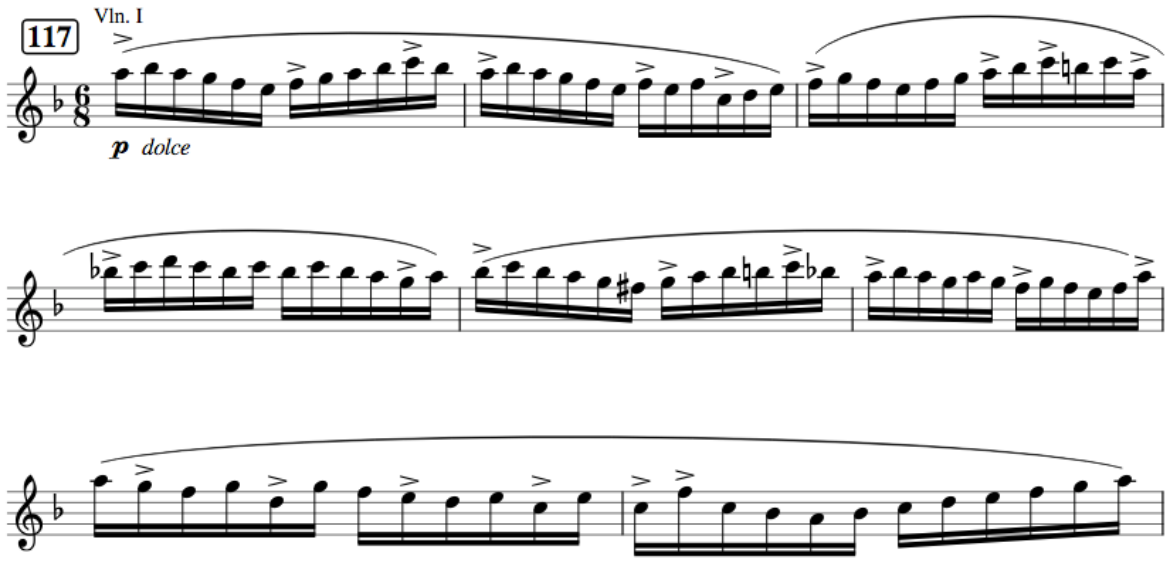


The second A section uses the opening theme to develop the harmony beyond the tonic and dominant keys used thus far. By lowering the leading note (E-E♭), a modulation to the subdominant (B♭) is achieved for the introduction of the new C section melody (b.80). The beginning of the C section continues to move using related harmonies until the motif from the first bar of the opening theme is used over a chromatically ascending bassline to take the harmony to C major. The significance of reaching the destination of C major is due to the way in which Beethoven has modulated back to F major upon every statement of the A section thus far; he duly prepares the dominant harmony of C major, introduces the tonic (F) as a functional pedal-note, then resolves to the rondo theme in F major. Every time this harmonic transition occurs, it appears in a more thickly orchestrated realisation. This treatment of harmony is just as effective at creating unity within the whole work as the elements attributed to thematic structure and repetition of motifs can be.

With the return of the third A section, the rondo theme is transformed into a passage of running semiquavers with the original melody contained within. As with the first A section, this semiquaver variant is played three times, first by the first violins, second by the second violins an octave lower, then the violas and cellos in unison down yet another octave. The accents appearing in Ex.15 display the pitches and relative rhythm of the rondo theme (Ex.13), contained in the semiquaver variation.

[82] Analysis mine

Ex. 15 - Variation of rondo theme[83]



The third instance of the rondo theme variation leads into the second B section theme as naturally as it did the first-time round. Thematically, it unfolds in the same manner with a few additional figures of filigree, in order to continue the activity of running semiquavers whilst developing the orchestral texture during its recapitulation. As with the previous B section, the opening rondo theme motif appears (b.162) in a transitory passage, this time in F major, leading into the coda (b.177).

Once the full orchestral F major chord dissipates, we are left with a lone unison melody in the cellos and bassoons which sets up a four-bar round that is repeated three times, with more and more instruments joining in each time. Now that this structural crescendo has been established, we are presented with the first climax of the coda. Beethoven, always looking for unorthodox ways of presenting his musical ideas, places the thematic material in the bass line under the harmony sustained by the rest of the orchestra. One could speculate that this scene depicts humankind raising arms towards the glorious heavens above in reverence and gratitude. This climax cut short upon arrival at the dominant of the dominant (G), in order to return the harmony to F major so that the process of building momentum can begin again. In a similar way to how the initial rondo theme is developed by way of its semiquaver variation, the four-bar round returns once again in the cellos and bassoons with the melodic material

[83] Analysis mine

developed into running semiquavers, again outlining the original melody via the contour. Upon arrival at the second climax, thematic material in the bassline is developed into ascending arpeggios spanning two octaves in contrast to the multiple descending two-octave arpeggio figures contained in the preceding storm movement.[84] The climax this time is allowed to flourish and follow its natural denouement with the expansive arpeggios in the bassline gradually diminishing into the motif from which it is derived appearing in the first violins (b.237). With the rondo theme gradually broken into its more basic components, the ultimate perfect cadence is realised with a four-bar long dominant seventh (C^7) chord held over an ascending and descending, two-octave dominant seventh arpeggio in the cellos and double basses (bb.254-257) – putting the years of rudimentary practice of its performers to good use. Given the justifiable length of the dominant harmony in the final cadence, the tonic harmony requires an apposite length in order to firmly establish the feeling of completion attached to the arrival at the tonic key. Beethoven uses the same technique of passing a motif through different sections of the orchestra from the first and second movement endings to adorn the final return to the tonic, however, this time it is also accompanied by the opening motif from the introduction of the movement by a solo muted horn – providing us with an ending that could not be more unified.

Evolution of the Musicological Zeitgeist

Even though Beethoven was suffering from advanced stages of the malady that resulted in his gradual loss of hearing, he somehow managed to produce one of the most ambitious concerts of a single composer's works ever given.[85] It defies belief that he was able to perform the numerous works included in the program, least of all the Fourth Piano Concerto. From the sentiments expressed in a letter written, signed, sealed and addressed to his brothers Carl and Johann, dated October 6, 1802 – otherwise known as the *Heiligenstadt Testament;* it is unmistakably clear that the

[84] For instance, Movement IV: bb.23-29, bb.78-89, bb.119-130.
[85] Referring to the concert given on December 22nd, 1808 at the Theater an der Wien.

degradation in his hearing was affecting all aspects of his life, both physically and mentally.[86]

The theme of suicide pervades much of the letter. Initially intended as his final words,[87] Beethoven laments the notion of leaving the world before having realised his greatest work. He reiterates how his art remained his only saving grace:

> But what a humiliation for me when someone standing next to me heard a flute in the distance and I heard nothing, or someone heard a shepherd singing and again I heard nothing. Such incidents drove me to despair, a little more of that and I would have ended my life. It was only my art that held me back. Oh, it seemed impossible to me to leave this world before I had produced all that I felt capable of producing, and so I prolonged this wretched existence – truly wretched for so susceptible a body that a sudden change can plunge me from the best into the worst of states.[88]

The letter became one of the talismans he would always keep with him. While the others were keepsakes from lost loves, this was a keepsake from lost joy in life.[89]

The reference to Beethoven's inability to hear the flute or the singing shepherd is confirmed by Ries, who describes an incident while on one of the many walks he took with Beethoven where a shepherd was piping and "for half an hour Beethoven could hear nothing."[90] This would suggest that during the creation of the Pastoral Symphony, it would have been many years since Beethoven had heard the types of folksongs, dances, and attributed sounds of the countryside depicted in his work.[91] In order to

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[86] L. Lockwood, *Beethoven: The Music and the Life* (New York and London: W.W. Norton & Company, 2005), 118.

[87] Beethoven states the intentions of his will by way of detailing the division of his possessions amongst the brothers in a manner they deemed fit.

[88] Swafford, *Beethoven: Anguish and Triumph*, 304.

[89] *Ibid.,* 302.

[90] Ries and Wegeler, *Biographische notizen über Ludwig van Beethoven,* 78-79.

[91] "It has been alleged that large tracts of [the Pastoral Symphony] are transcribed from Rhenish folk-songs. It would take too long to investigate this matter thoroughly; but it will all eventually come to this, that the symphony is a composition in large and diversely coherent paragraphs, and that when Beethoven is writing under the inspiration of country life, he uses appropriate types of melody." Tovey, *Essays in Musical Analysis,* 46.

create the various depictions contained within, Beethoven employs a plethora of compositional devices and key musical elements drawn from a variety of musical styles and forms in order to affect his depictions with the intended expressions of emotion. It is from his understanding of how each type of music functions which informed and inspired his compositional decisions and ideas, rather than relying on references and quotations from extant songs or melodies as the impetus for expression. It is from this process where students of composition and musicology can learn the most lessons, for discovering the musical function of a work of this level of sophistication holds far more value than an unsubstantiated and misguided discussion about mere emotional responses. Why do we have these emotional responses in the first instance? What is the essence of the stimuli for such responses, and how is the effect of each stimulus achieved/constructed? The answers generated from these types of questions will inevitably bear more fruit than mere indulgence of opinion.

An easily identifiable marker for indulgences of opinion come in the form of excessive use of adjectives and adverbs to aid description. There is an inherent difference between descriptions used to aid the purposes of identification of an excerpt or element in question, and descriptions that project onto the reader what is contained within. This is not to suggest that the offering of possible interpretations cannot serve to stimulate the readers mind as to formulate their own thoughts on the matter, however, if the vernacular or syntax actively replaces the role of the right-hemisphere of the brain, it takes away the most precious element of musical engagement – that of the process of forming our own personal reactions and responses to a musical stimulus.

In a literary style that he helped foster and proliferate, Hector Berlioz rallies his readership with an inferred call to action regarding the process of experiencing Beethoven's Pastoral Symphony:

> But this poem of Beethoven! – these long periods so richly coloured! – these living pictures! – these perfumes! – that light! – that eloquent silence! – that vast horizon! – those enchanted nooks secreted in the woods! – those golden harvests! – those rose-tinted clouds like wandering flecks upon the surface of the sky! – that immense plain seeming to slumber beneath the

> rays of the mid-day sun! – Man is absent, and Nature alone reveals itself to admiration! – and this profound repose of everything that lives! – This happy life of all which is at rest ! – the little brook which runs rippling towards the river! – the river itself, parent of waters, which, in majestic silence, flows down to the great sea! – Then Man intervenes; he of the fields, robust and God-fearing – his joyous diversion is interrupted by the storm – and we have his terror, his hymn of gratitude.
>
> Veil your faces! Ye poor, great, ancient poets – poor Immortals! Your conventional diction with all its harmonious purity can never engage in contest with the art of sounds. You are glorious, but vanquished! . . .
>
> Yes! Great and adored poets! You are conquered:
>
> Inclyte sed victi.[92]

These sentiments expressed by Berlioz and his contemporary commentators were integral to the establishment of Beethoven's Pastoral Symphony as one of the great works of the Western canon. Despite criticisms surrounding the employment of tone-painting in "serious" works held by certain circles at the time, Beethoven proved that compositional decisions inspired by a program could result in a work that functions on the same plane as any substantial example of absolute music. Breaking conventional rules and expanding the boundaries of expectation was always part of Beethoven's *modus operandi* as a composer, and the compositional decisions employed in the Pastoral Symphony ultimately served to communicate effectively his ideas to a wider audience. In constructing this unique five-movement work, Beethoven paved the way forward for not only the future of what was to become program music, but how a substantial work in excess of four movements could function.

On the subject of the program, and especially to Beethoven's avoidance of any attachment to "tone-painting" and the controversy surrounding it: musical depiction is inescapably subject to the medium in which it exists. The insertion of a musical monogram (e.g., B-A-C-H[93]), inclusion of a particular instrument, or use of established compositional devices, can only ever serve to stimulate thoughts and connotations

[92] Berlioz, *A Critical Study of Beethoven's Nine Symphonies,* 78-79. Latin translates as "Noble but defeated."
[93] The musical monogram used by J.S. Bach appears in a number of his works (e.g., *Die Kunst der Fuge* [The Art of Fugue], BWV 1080), which spell the pitches B♭, A, C, B♮ in German notation.

attached to our own relationship with the familiar and recognisable. For if someone born a thousand years in the future with no knowledge of any depictions contained within the Pastoral Symphony were to experience it (solely) aurally, they would have no option but to listen to it as an example of 'absolute' music. The addition of the "Storm" by way of the fourth movement, making it a five-movement work, would arguably serve as a contrasting movement between the third and fifth movements. Would it then be any less or more worthwhile a piece of art in their mind? It is perhaps this point that prompted Beethoven to pen the phrase "*mehr Ausdruck der Empfindung als Malerei"* in pre-emptive defence against criticism of perceived "tone-painting" in his work. Although Beethoven undeniably drew from programmatic elements to construct this example of the five-movement form, he ensured they were employed in a manner that preserved the integrity of the musical elements attributed to its function and status as an 'absolute' work. It is therefore no wonder why Beethoven's Pastoral Symphony became widely considered to be one of the most important precursors to what was eventually become "program music".

Chapter 3 – Intuition in Proportion

Bartók: String Quartet No.4 (1928)

Bartók's Musical Principles

"Every art has the right to strike its roots in the art of a previous age; it not only has the right to, but must stem from it", Bartók once declared.[94] Bartók's efforts to contribute to the evolution of western art music retained crucial elements steeped in tradition. He nurtured a binary concept of tension and release (for example, through consonance and dissonance in harmony) as integral to his musical vernacular. Contrary to egalitarian notions of pitch held by the second Viennese school, Bartók's harmonic language retains the concept of harmonic gravity, previously achieved by establishment and movement of key (and in earlier music by organum and drones).

This is evident in Bartók's fourth quartet through the use of antecedent and consequent phrases (e.g., in the opening 4 bars [see Ex.21]), and interplay between close and open harmonies (e.g., X and Y pitch sets [see Figure 8 and Ex.16]). Further traditional compositional conventions include; imitation, canon, sequence; voice-leading (preserving contrary and oblique motion); monodic, homophonic, and polyphonic textures; development of motifs by way of augmentation, diminution, inversion, retrograde, and retrograde-inversion. It is important to note that Bartók recognised the parallels between nature, mathematics and music as essential principles for a cohesive musical language, and this served as the basis for his own pursuits in refining his musical principles throughout his lifetime.[95]

An element in keeping with his musical principles is that of symmetry. Symmetry, by the early twentieth century, had been utilised on occasion by composers,[96] but remained relatively little explored – compared to the depth of detail Bartók was to develop and implement. This notion is explained by George Perle in the following way:

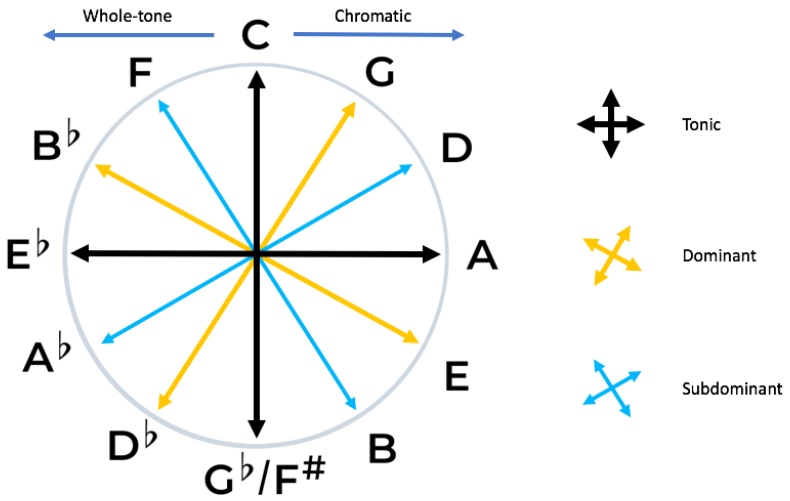
---

[94] E. Lendvai, *Béla Bartók: An Analysis of his Music,* 1.
[95] *Ibid.,* 29.
[96] For example, the palindromic isometric motets of Guillaume de Machaut and Haydn's *Minuetto al Roverso*.

> The derivation of harmonic structure and motion by means of symmetrical patterns, originally a radical impressionistic device, was popularized with the diffusion of impressionism, appropriated by the commercial musician and eventually elaborated and exploited by certain musical cranks as a superior and streamlined method of musical composition, as convenient and modern as a precooked frozen food package. To serious musicians the limitations of the symmetrical constructions of impressionism soon became evident.[97]

The basis for Bartók's tonal principles lies with the axis system. This system not only provides structural markers for harmonic movement, but also for how the music moves between these markers – on both a cellular and sectional scale. In Lendvai's analysis of this system,[98] he provides a comprehensive approach to its conception and application in Bartók's music. However, for the purposes of developing a basic understanding of the constructional elements of the fourth quartet, I will use a version of Lendvai's explanation using the circle of fifths (Figure 2). It is essential that the axes should not be considered as chords of the diminished seventh, but as the functional relationships of four different tonalities, comparable to the relative major/minor relationship between keys of the western tonal system.

Figure 2 - Axis system displaying Tonic, Dominant, and Subdominant axes.[99]



[97] G. Perle, *The Right Notes: Twenty-three Selected Essays by George Perle on Twentieth-century Music*, (New York: Pendragon Press, 1995), 189.
[98] Lendvai, *Béla Bartók,* 1-16.
[99] Diagram adopted from Lendvai, *Béla Bartók,* 2-3.

From this visualisation, we can see the four points of each of the three axes for the tonic (T), dominant (D), and subdominant (S) cover all 12 chromatic pitches. Using these symmetrical axes, chromatic and whole-tone movement can be achieved by alternating axis arms clockwise (T-D-S-T) and anti-clockwise (T-S-D-T) respectively.

Table 7 - Clockwise and Anti-Clockwise sequence of axes using the axis system.[100]

Clockwise

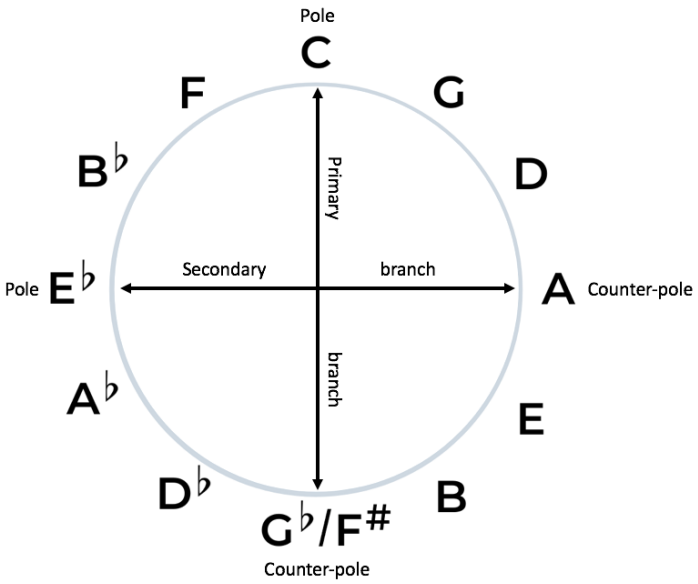
Pitch	Axis
C	T
C#	D
D	S
D#	T

Anti-clockwise

Pitch	Axis
C	T
D	S
E	D
F#	T

Furthermore, if we alternate between any two axes, the octatonic scale/mode can be constructed. Each axis consists of a primary and secondary 'branch', the arms of which, each consist of a 'Pole' and 'Counter-Pole' according to Lendvai (Figure 3). Consequently, we begin to see the role of symmetry in Bartók's tonal principles.

Figure 3 - 'Primary' and 'Secondary' axis branches.[101]



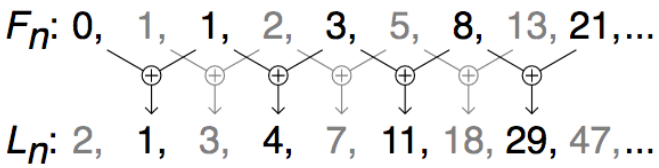
[100] Analysis mine
[101] Lendvai, *Béla Bartók,* 5.

The fourth quartet utilises a number of key elements of Bartók's musical principles, chiefly; symmetry and Fibonacci's numerical series (1, 1, 2, 3, 5, 8, 13, 21, 34, 55, etc.). The pitch, rhythm, and structure are all based on these principles. Bartók also employed dimensions and proportions based on the Lucas numbers (Figure 4), as they are closely related to Fibonacci's numbers.[102]

Figure 4 - Relationship between Fibonacci and Lucas numbers.

F_n: Fibonacci numbers

L_n: Lucas numbers



With the semitone functioning as the single unit of measurement, the following intervals are represented by the Fibonacci Series (FS):

1 = Semitone
2 = Whole tone
3 = Minor third
5 = Perfect fourth
8 = Minor sixth
13 = Augmented octave/Minor ninth, etc.

Subdivisions of each subsequent interval follow the proportions of the preceding numbers in the sequence, e.g., 5 is divided into 3+2, 8 is divided into 5+3 and so on. Dividing intervals in this way will present the subdivision at the Golden Section (GS) or Golden Ratio, as the ratio between two consecutive FS numbers converge nearer the Golden Section as the sequence progresses. The same is true for Lucas numbers.

[102] *Ibid.,* 27.

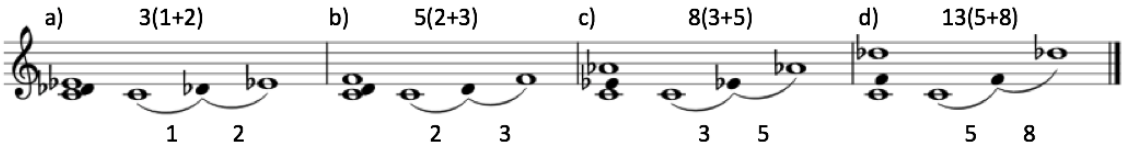
For example, if the Golden Section is displayed as:

$$\varphi = \frac{1+\sqrt{5}}{2} = 1.6180339887\ldots$$

$\frac{5}{3}$ = 1.6667., $\frac{8}{5}$ = 1.6, $\frac{13}{8}$ = 1.625, $\frac{21}{13}$ = 1.6154., $\frac{34}{21}$ = 1.6190., $\frac{55}{34}$ = 1.6176., $\frac{89}{55}$ = 1.6182., etc.

Using this system, the following triads may be constructed (Figure 5):

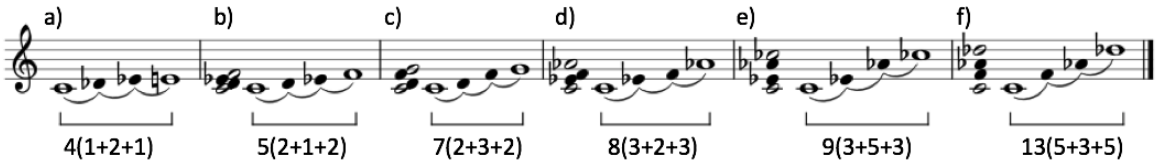
Figure 5 - Fibonacci triads[103]



Regarding c), the pitches outline a major 6/3 triad. If the division is inverted (i.e., 5+3), the pitches outline a minor 6/4 triad.

When an extra interval is added to create a symmetrical tetrachord, the following harmonies appear (Figure 6):

Figure 6 - Fibonacci tetrachords[104]



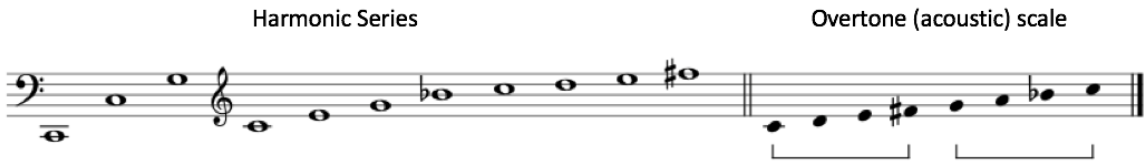
Regarding a) and b), the inversion of the intervallic division creates a tetrachord of both transpositions of the octatonic scale/mode; c) and d) creates a tetrachord that appears in the pentatonic scale; e) and f) create instances of both major and minor triads.

[103] Analysis mine
[104] Analysis mine

Furthermore, when moving by step, symmetrical scales/modes can be created; namely chromatic (1+1+1+1...), whole tone (2+2+2+2...), and octatonic (1+2+1+2...).

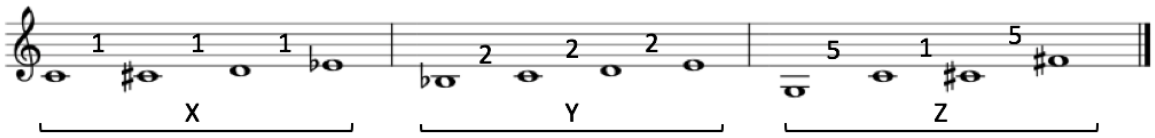
Another prominent scale/mode used in the fourth quartet is the 'overtone' or 'acoustic' scale, a diatonic realisation derived from the order of partials/overtones that appear in the harmonic series (Figure 7). This scale contains similar symmetrical properties. When the scale is divided into its two tetrachords, the lower tetrachord contains symmetry via its whole tone pattern, and the upper tetrachord contains symmetry via its octatonic pattern.

Figure 7 - Harmonic series and Overtone scale [105]



From these principles of pitch organisation, three main symmetrical pitch cells are used to construct all of the material contained in the fourth quartet. These cells will be referred to as X, Y, and Z (Figure 8).

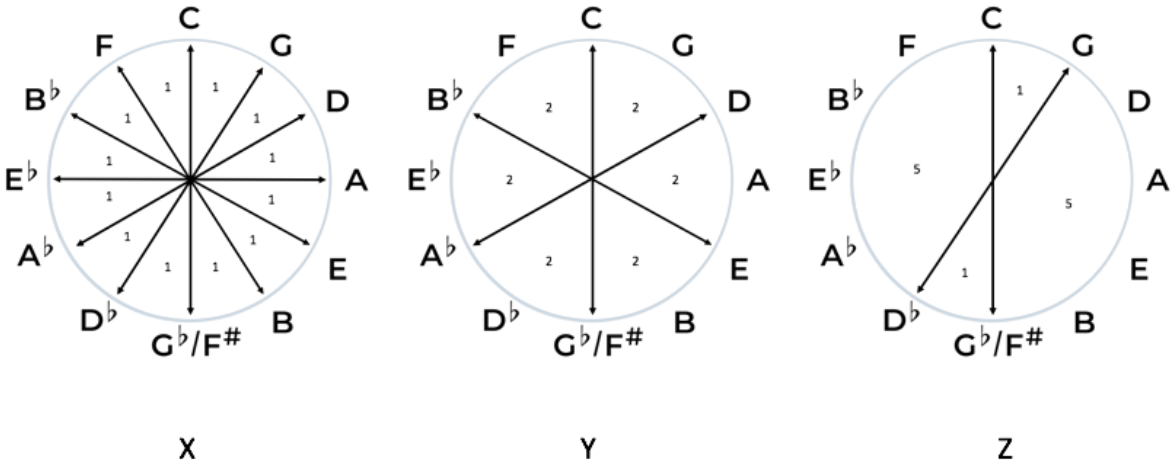
Figure 8 - X, Y, and Z cells [106]



All three cells are derived from the symmetrical axis system (Figure 9).

[105] E. Lendvai, *Béla Bartók,* 67.
[106] E. Antokoletz, *'Principles of Pitch Organization in Bartok's Fourth String Quartet.',* iv.

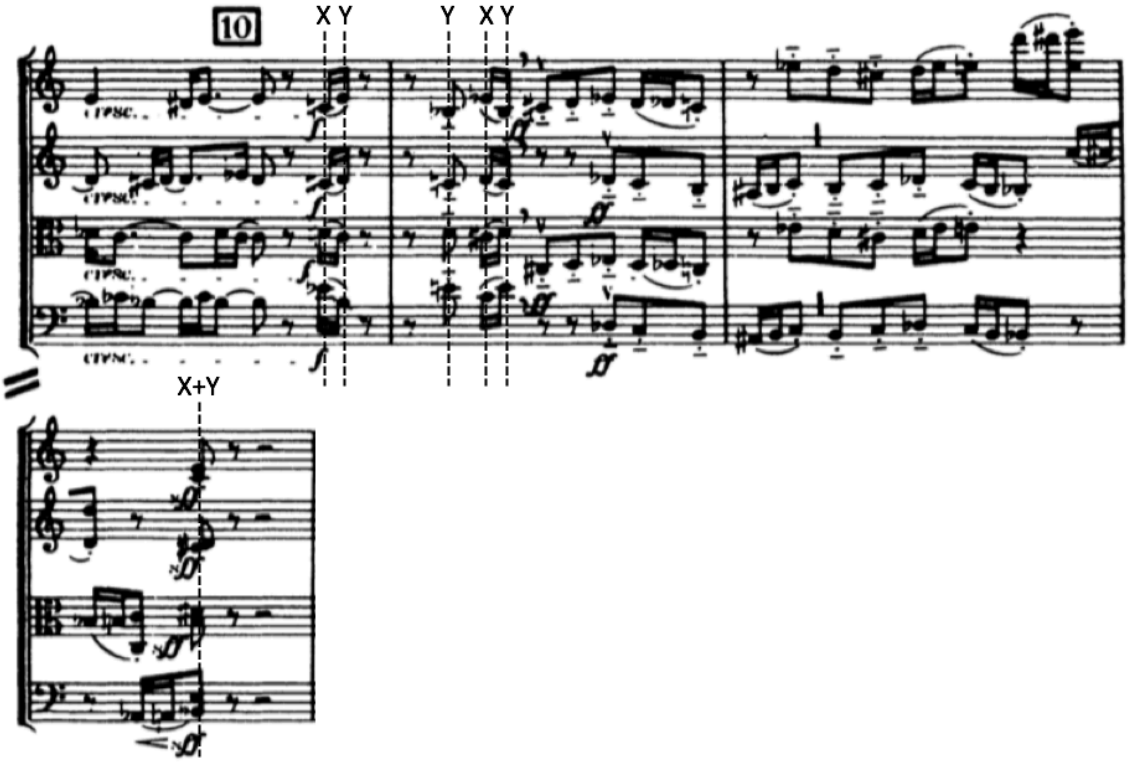
Figure 9 - Symmetrical division of Axis System.[107]



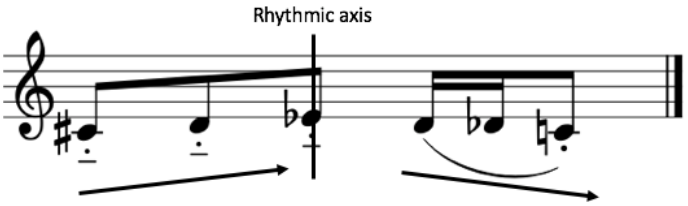
Symmetry also appears in the rhythms and contours of many motifs or cells in addition to vertical harmony (Ex.16). If we take the prominent motif displayed in Ex.17, we see the direction of the melodic contour change at the rhythmic axis point as it reaches an end of its pitch range. In this instance, the motif uses the X pitch cell. It is important to note the enharmonic spelling of each motif is determined by its contextual function. For instance, when the motif first appears in the cello part in bar 7 (Ex.18), it is approached from a B-flat, and it follows the same enharmonic path in both directions. When it appears 4 bars later in the violin I and viola parts, it is spelled according to the direction of the melodic contour – sharps pointing upwards and flats point downward. There is no blanket rule for enharmonic spelling. In some instances, the spelling preserves intervallic relationships, in others it displays the direction of the melodic contour. However, in most instances, it can provide us with useful clues to discover the function of any given note or set of notes.

[107] Analysis mine

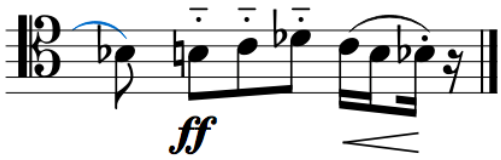
Ex. 16 - Movement I bb.10-13 displaying vertical employment of the symmetrical X & Y pitch sets.[108]



Ex. 17 - Motif b.11.



Ex. 18 - Motif b.7.



On the subject of functional tonal nomenclature, Bartók stated the following in his lecture entitled “The Relation Between Folk Music and Art Music” given at Harvard University in 1943:

[108] Analysis mine

> To point out the essential difference between atonality, polytonality, and polymodality, [. . .] we may say that atonal music offers no fundamental tone at all, polytonality offers – or is supposed to offer – several of them, and polymodality offers a single one. Therefor our music, I mean the new Hungarian art music, is always based on a single fundamental tone, in its sections as well as in its whole.[109]

Concerning the macro scale, the tonal centres or 'keys' of each movement utilise all three axes (tonic, dominant, and subdominant) on the circle of fifths.

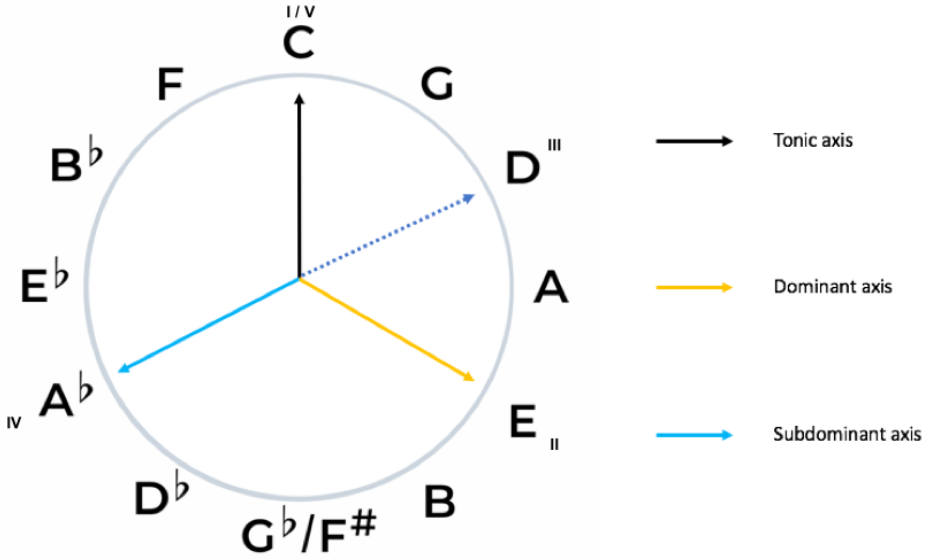
Movement	**I**	**II**	**III**	**IV**	**V**
Key	C	E	D	A♭	C

At first glance, it seems as though the key of the third movement is aberrant compared to the other four movements that follow a symmetrical pitch sequence of descending intervals of 8 semitones (minor sixth), or if positioned within the octave outline an augmented triad. However, when placed within the context of the pitch axis system, a more sensical progression unfolds (Figure 10).

After the keys C and E are established by the first two movements, the axis point between these keys is D. This is also the counter-pole to the subdominant A♭ axis, which appears in the fourth movement. Upon return to C in the fifth movement, symmetry is restored and the harmonic gravitational pull towards the tonic is realised.

[109] B. Bartók, B. Suchoff ed., *Béla Bartók Essays* (London: Faber & Faber, 1976), 370-71.

Figure 10 - Tonal centres for each movement displayed on Axis System.[110]



When taking into account these particular elements in the Fourth Quartet, the potential application of symmetry offered within a five-movement form provided Bartók with the perfect architectural structure within which to realise his geometric and proportional principles regarding duration, tempo, and pitch. In Bartók's own words, he describes the work as follows:[111]

> The work is in five movements; their character corresponds to classical sonata form.
>
> The slow movement is the kernel of the work; the other movements are, as it were, arranged in layers around it. Movement IV is a free variation of II, and I and V have the same thematic material; that is, around the kernel (Movement III), metaphorically speaking, I and V are the outer, II and IV the inner layers.
>
> Time required for performance: ca. 21 min.[112]

[110] Analysis mine
[111] *Ibid.,* 412.
[112] 21, being a number in the Fibonacci sequence, may have possibly provided Bartók with an overall durational paradigm within which to work.

László Somfai claims that this quartet was originally intended to be a four-movement work, according to early drafts of the quartet and that movement IV was a late insertion, "an afterthought".[113] However, it is important to note that at the point Bartók deemed the fourth quartet complete enough to be published, he submitted the score as a five-movement work accompanied by his own formal analysis to be included in the first published edition.[114]

[113] L. Somfai, *Béla Bartók: Composition, Concepts, and Autograph Sources* (Berkeley and Los Angeles: University of California Press, 1996), 100.

[114] This point is supported by Antokoletz in his review: E. Antokoletz, *'Béla Bartók: Composition, Concepts, and Autograph Sources,* by László Somfai', *In Theory Only* 13/5-8 (Ann Arbor, Michigan: In Theory Only, 2007), 117–18.

Analysis of Bartók's String Quartet No.4

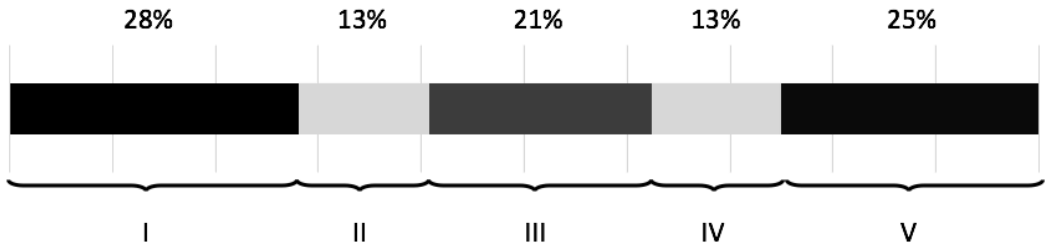
Table 8 displays data for proportional analysis. Duration is calculated using the formula $\frac{(Number\ of\ beats)\times(Beats\ per\ bar)}{Beats\ per\ minute\times 60}$ to give the number of seconds for each movement. The proportional percentage is calculated using the number of seconds. Where a tempo range is given, the median is used. Although this formula does not take into account elements that add to the overall duration of the work during performance (e.g., pauses between movements, caesuras, fermatas), it is an accurate method for drawing data points from events that occur within the score.

Table 8 - Proportional data for Bartók's Fourth String Quartet.[115]

Movement	# Bars total	Beats per bar	# Beats total	Duration (mm:ss)	Proportional % (Duration)
I	161	4	644	5:51	28%
II	250	2	500	2:33-2:50	13%
III	71	4	284	4:32-4:33	21%
IV	124	3	372	2:36	13%
V	392	2	784	5:13	25%
Total	998		2584	20:54 (median)	100

The proportional percentage of each movement reveals evidence of their symmetrical relationship (Figure 11).

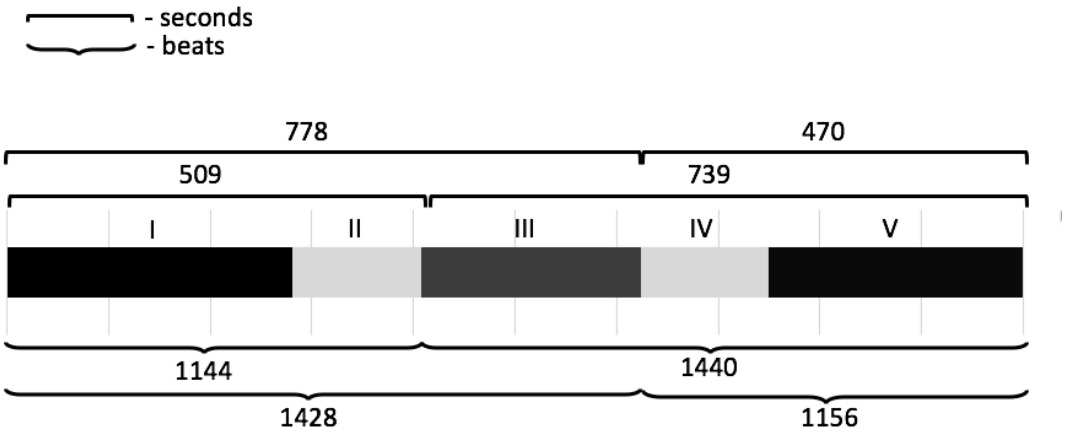
Figure 11 - Proportional chart for Bartók's Fourth String Quartet.[116]



[115] Analysis mine
[116] Analysis mine

Figure 12 shows further symmetrical relationships by way of sums of the seconds and total beats of movements on either side of the central axis.[117]

Figure 12 - Proportional chart for Bartók's Fourth String Quartet, displaying number of beats and seconds.[118]



Despite time signatures remaining mostly unchanged, the underlying metre and phrase construction rarely follow the beat structure of the given time signature. Phrases and motifs appear unimpeded across bar lines with the metric construction of which, often signified by a combination of beaming, articulations and expression markings. Consequently, bar lines merely serve as referential markers to provide a structural framework for the material contained within – essentially rendering the stave into a grid. On this subject, Somfai observes the following:

> …[It] is extremely rare in Bartók's music in that although the music of all five movements is unusually rich in metric changes, asymmetrical phrases, and polymetric textures, in the notation itself there is not a single change of meter ... the actual beats, accents, stresses, deviant from the natural [i.e., notated] beats in the meter, are clearly indicated with expression marks.[119]

From sketches and drafts of the fourth quartet, Bartók's use of pitch clearly follows his principles of tonality, consequently requiring very little revision over the harmony and entry points of the material. However, constructing the rhythmic/metric framework for

[117] Although numerous alternative sums may be drawn, Figure 12 is used to display further facets of symmetry contained in the relationships between the five movements.
[118] Analysis mine
[119] L. Somfai, *Béla Bartók: Composition, Concepts, and Autograph Sources,* 81–82.

these pitches proved an area of intense deliberation and calculation. Somfai concludes that "the much analyzed pitch content of the beginning of String Quartet no. 4 came without hesitation in the very first rough draft, while Bartók had to work hard on the proper rhythmic/metric notation of the characteristic textures."[120]

I – Expansion, Contraction, and Metamorphosis

Table 9 displays data drawn from the first movement using analysis that identifies sections based on significant markers in the musical material (motifs, pitch cells, expression/tempo markings) where applicable. Where the decimal points appear in the Bar Range column, the number proceeding the decimal place denotes a specific beat of the bar (e.g., 4.2 = bar 4, beat 2). When the number representing the beat appears twice within the same bar, the end of the preceding section and the beginning of the succeeding section share the same beat. Accompanying this data, the formal analyses by Antokoletz,[121] Bartók's own analysis,[122] and that contained within the preface of the first edition score (most likely drawn from Bartók's analysis if not by the composer himself)[123] are listed as additional points of reference. Due to the discrepancies between the formal structural analyses of this work by numerous sources regarding where each section begins and ends, and to an extent, how to define these points, sectional analysis from external sources will be presented alongside Bartók's own (including descriptions) for each movement conterminously. It is important to note that no name is attached to the preface of the score, nor that of an editor. This may well be due to the fact that the analysis in the preface follows that of what appears in Bartók's essays (Suchoff ed.) almost verbatim – the differing terminology may well be attributed to translation. Due to these differences, the analysis from the first edition score is included.

[120] *Ibid.,* 158.
[121] E. Antokoletz, *'Principles of Pitch Organization in Bartok's Fourth String Quartet.',* 12-13.
[122] Bartók, Suchoff ed., *Béla Bartók Essays*, 412-13.
[123] B. Bartók, Streichquartett IV, (editor unnamed) (Vienna/Leigpzig/New York, Wiener Philharmonischer Verlag A. G., 1929).

Table 9 - Formal data for Bartók's Fourth String Quartet (Movement I).[124]

Section	Bar Range	# of Bars	Beats per bar	# Beats total	Tempo Range	Proportional %
Exposition						
1st subject	1-13	13	4	52	110	8%
2nd subject	14-29	16	4	64	110	10%
3rd subject	30-49.1	19.25	4	77	110	12%
						30%
Development	49.2-92.2	43.25	4	173	110	**27%**
Recapitulation						
1st subject	92.3-104.2	12	4	48	110	7%
2nd subject	104.3-119.1	14.75	4	59	110	9%
3rd subject	119.2-126.3	7.5	4	30	110	5%
						21%
Coda	126.3-161	35.25	4	141	100-120	**22%**
Total		161		644	100-120	100%

Table 10 - Formal analysis for Bartók's Fourth String Quartet (Movement I) (Bartók).[125]

The first movement is in three sections of sonata form: exposition, development, recapitulation.

Measures	**Description**
	Structure of the Exposition:
1-13	Main theme (group of main themes);
14-29	Transitory passage;
30-43	Secondary theme;
44-48	Closing theme, derived from a motive of the main theme (measures 7, 11-13).
49-92	Development
	Structure of the Recapitulation:
93-104	Main theme;
104-119	Transitory passage;
119-126	Secondary theme;
126-161	Closing theme, augmented to serve as a coda.

[124] Analysis mine
[125] Bartók, Suchoff ed., *Béla Bartók Essays*, 412.

Table 11 - Formal analysis for Bartók's Fourth String Quartet (Movement I) (Antokoletz).[126]

Measures	**Section**
1-49	Exposition
1-13	First Subject
14-26	Second Subject
26-40	Transition (initiated, mm. 26-29, by a varied return of the First Subject)
40-43	Third Subject
44-49	Codetta
49-93	Development
93-134	Recapitulation
126	(piu mosso) through m. 134 Codetta
134-161	Coda

Table 12 - Formal analysis for Bartók's Fourth String Quartet (Movement I) (Score: Wiener Philharmonischer Verlag).[127]

Bars	**Description**
	Structure of the Exposition:
1-13	Principal section (group of principal themes)
14-29	Transitory passage
30-43	Subsidiary section
44-48	Closing section, formed of a motive from the principal section (bars 7. And 11-13)
49-92	Development
	Structure of the Recapitulation:
93-102	Principal section
104-119	Transitory passage
119-126	Subsidiary section
126-161	Closing section augmented to serve as Coda

Bartók's development of musical material is based on the expression of numerous permutations of small and often simple elements drawn from his own musical

[126] Antokoletz, Principles of Pitch Organization in Bartok's Fourth String Quartet, xi.
[127] Bartók, *Streichquartett IV*, (Wien: Wiener Philharmonischer Verlag A. G.), 1929.

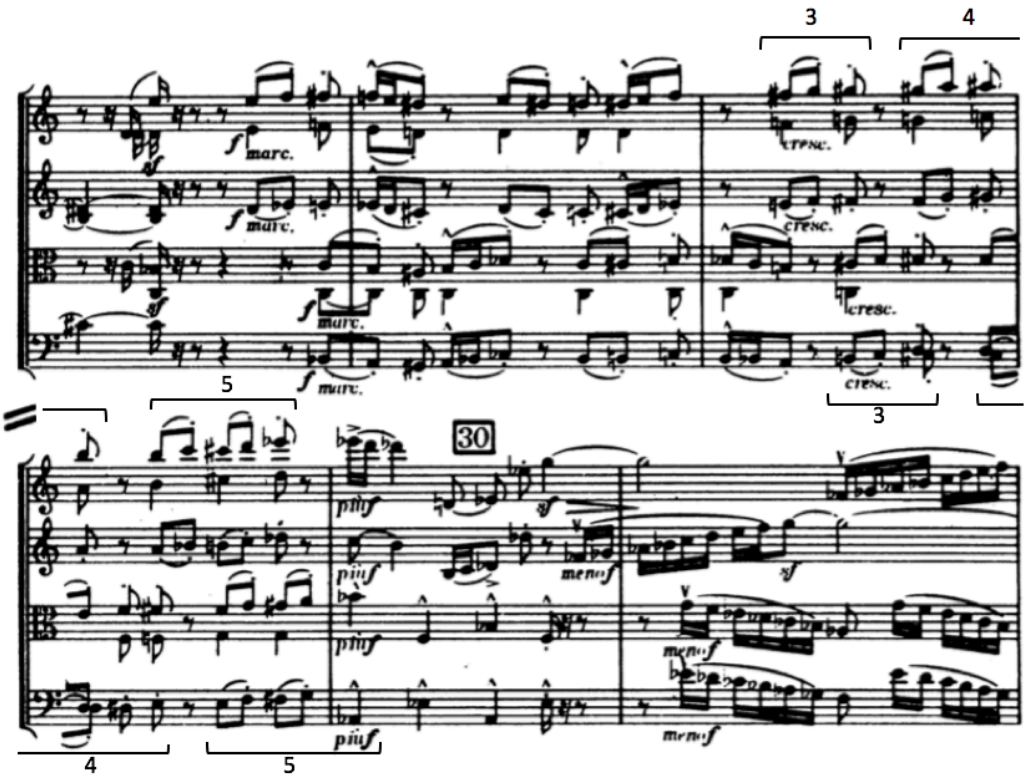
principles. This often results in a lot of music stemming from a small amount of key material, ultimately creating unity and a strong sense of cohesion in his music. The sophisticated employment of these simple elements is what not only makes his music so effective and engaging, but in some respects makes it rather difficult to reverse-engineer, and therefore to analyse. There are a number of factors that contribute to this confusion; different sections sharing the same motific material, transitory passages that use differing motific material, constant interplay between different textures, functional silence (rests), and overlapping material from different sections, to mention but a few.

The description of sonata form used in the first movement is provided within Bartók's analysis,[128] but this doesn't particularly enlighten us on how the material within the movement functions. In certain places, the transition between sections can be ambiguous, as there are often a number of concurrent structural considerations at play.

A unique technique Bartók uses to develop motific material is the 'expansive/contractive' method, which often appears in an additive or subtractive manner. For example, in Ex.19, a division of the preceding motif is used in a sequential manner with an additional note in each subsequent iteration, expanding both the metric proportion and pitch range of the initial sequential cell.

[128] See also, G. Perle, "Symmetrical Formations in the String Quartets of Béla Bartók", *Music Review*, 16 (1955), 300–12; Antokoletz, 'Principles of Pitch Organization in Bartok's Fourth String Quartet.'; P. Wilson, "Sonata Form in the First Movement of Bartók's Fourth String Quartet" chapter from Biró, D. and Krebs, H. (ed.), *The String Quartets of Béla Bartók: Tradition and Legacy in Analytical Perspective* (Oxford Scholarship Online: May 2014), 1-11.

Ex. 19 - Additive motific development in Movement I (bb. 28-30).[129]



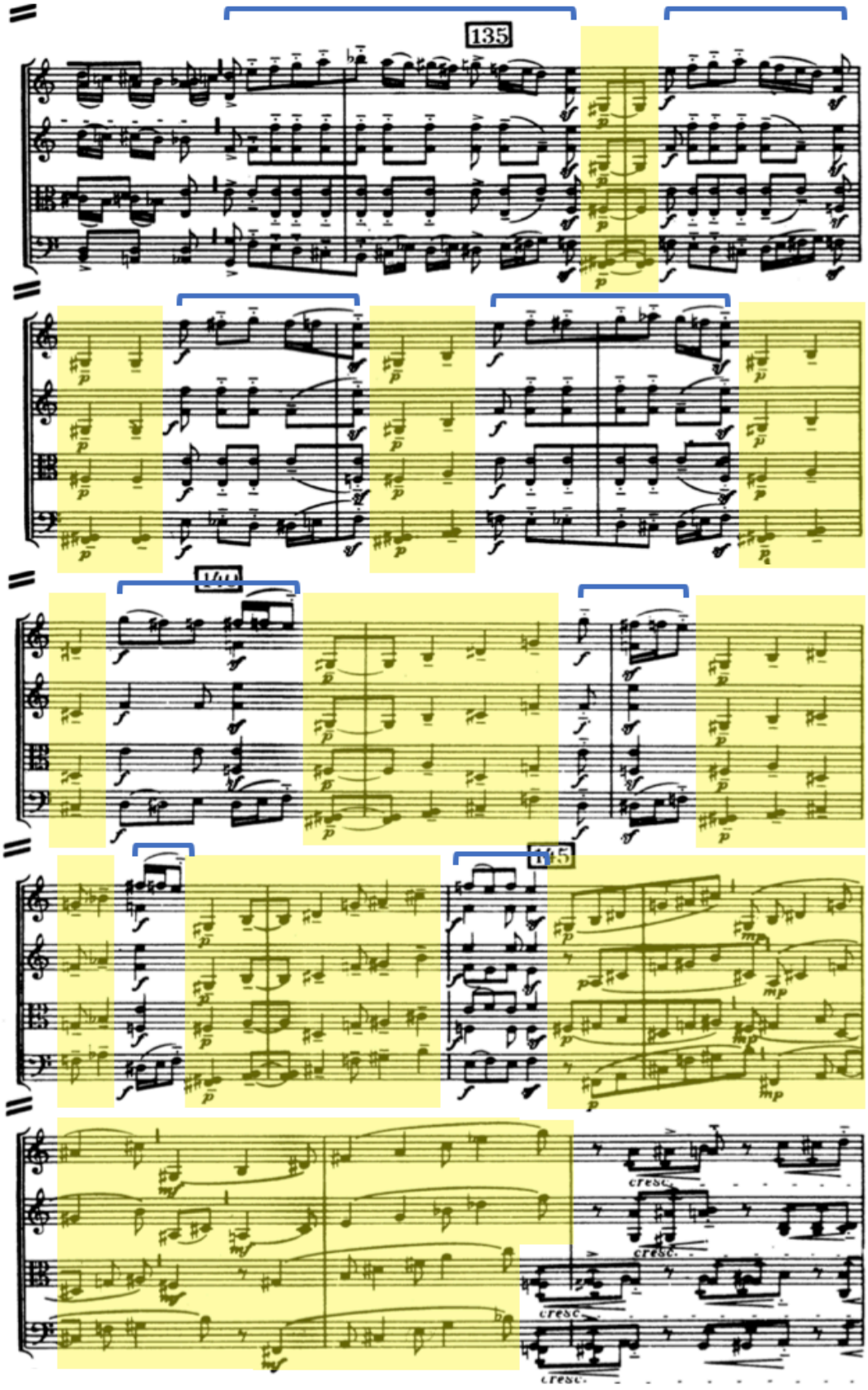
This technique often appears during a transitory passage effectively serving as an arrow pointing towards the direction the momentum is headed. It may appear as either an expansive/contractive development of rhythm, pitch, or often both.

Another technique used is that of – what I like to call – the 'metamorphosis' effect (a reference to M.C. Escher's *Metamorphosis*), where contrasting material is alternated in an expansive/contractive manner. For example, in Ex.20, the bracketed sections are in the process of contracting; following the metric proportional sequence: 12, 7, 5, 7, 5, 3, 2, 5; with the pitch range of the two outer moving parts diminishing/contracting with each iteration – beginning with a range of 8 semitones and diminishing/contracting to 1. Conversely, the highlighted sections display an expansion of the initial F#/G# interval that appears in bar 135 following the additive (pitch) sequence: 1; 1, 1; 1, 2; 1, 2, 3; 1, 2, 3, 4; 1, 2, 3, 4, 5; 1, 2, 3, 4, 5, 6;[130] before expanding further, free of the shackles of the preceding (bracketed) material.

[129] Analysis mine

[130] Each number in this sequence represents the scale degrees of Major 2nds from F#/G# (F#/G# =1). The scale of Major 2nds follows a S, T, T, S, S sequence (S = semitone, T = whole-tone).

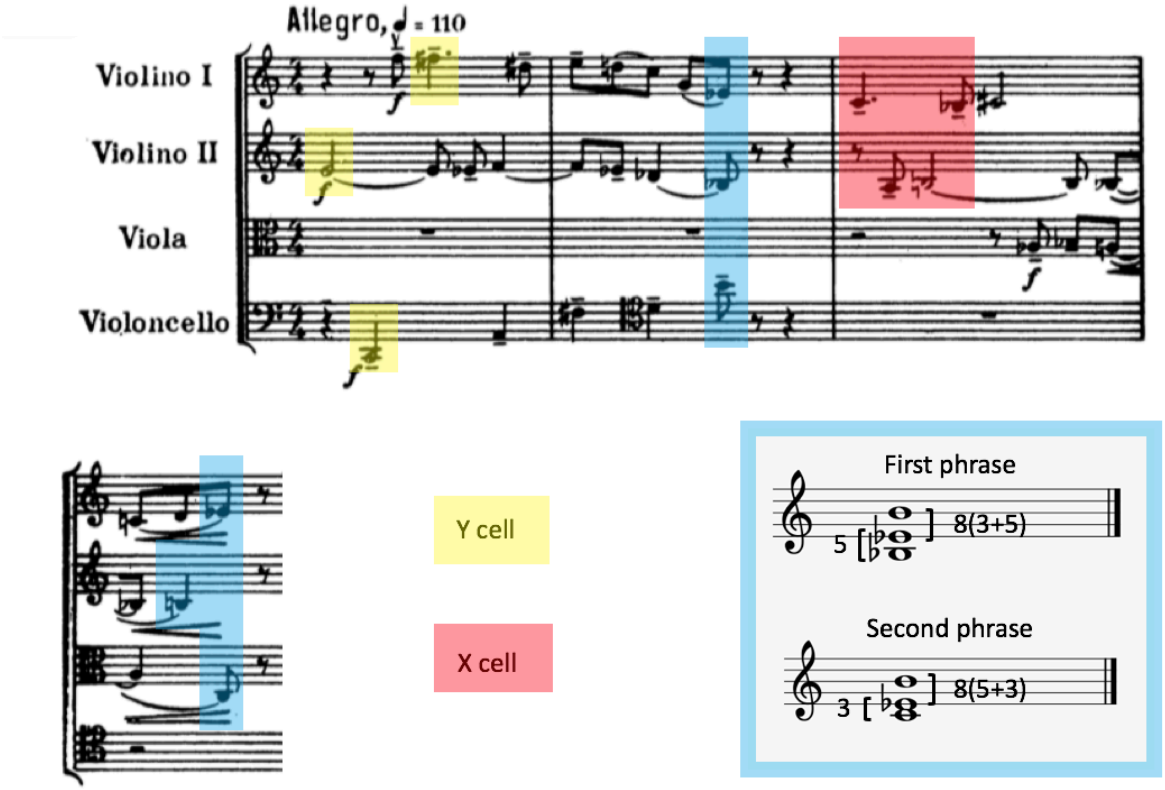
Ex. 20 - 'Metamorphosis' effect in Movement I (bb.134-147).[131]



[131] Analysis mine

In accordance with traditional conventions, the beginning of the first movement establishes the musical material to be developed throughout the entire work – namely the X and Y Pitch cells, and FS harmony (Ex.21). Furthermore, Bartók chooses to establish this material using an antecedent phrase and a consequent phrase – a convention of the classical era. The opening antecedent phrase begins with the statement of the Y pitch cell (C, E, F♯) – albeit with one omission (D) and ends with a symmetrical FS chord (5+3+5) – again with one omission (G♭/F♯). The consequent phrase that follows establishes the X pitch cell in the first four pitches and ends with the inversion of the initial FS chord (3+5+3) – again with an omission (A♭/G♯). Note that the voicing of the chords has been arranged in close position to show the intervallic relationships.

Ex. 21 - Statement of X and Y cells in the opening four bars.[132]

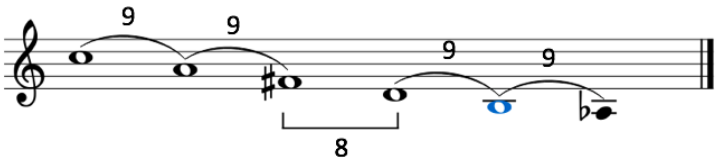


This pattern of symmetry with a single omission is also evident in the cello part. The significance of the major sixth lies with the relation of its intervallic inversion (minor

[132] Analysis mine

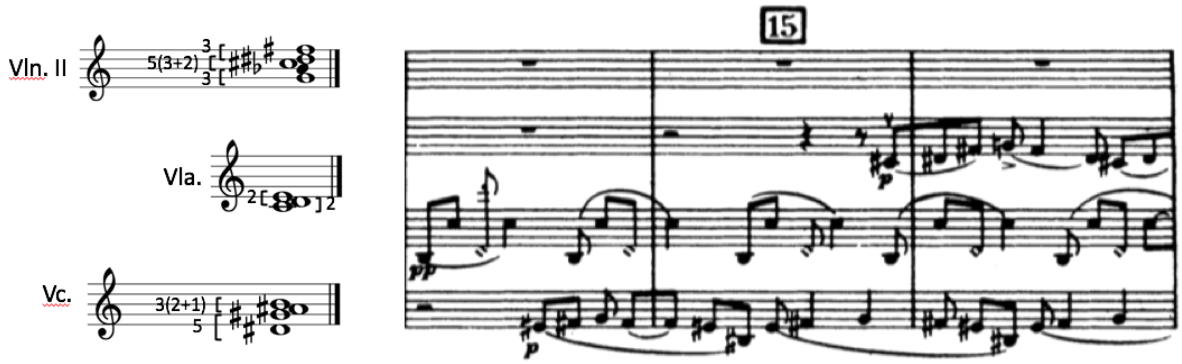
3rd/3 semitones) being the pitch range of the X pitch cell. Figure 13 shows the symmetrical sequence created by the pitches in the cello part (intervals have been inverted as to fit onto a single stave). Although the final A♭ does not appear in the first phrase, it appears as the first note of the succeeding cello entry (upbeat to bar 5).

Figure 13 - Symmetry in cello part (bb.1-2).[133]



The second subject of the exposition is defined by a shift in prominence of the established material. In addition, there is a distinct change in dynamics and articulation. From bar 14 the viola plays a symmetrical ostinato using three notes from the Y pitch cell. The intervallic relationships contained in the parts of subsequent entries adhere to FS principals (Ex.22). The violin I entry in bar 17 uses the same material as the violin II part transposed up a perfect fifth.

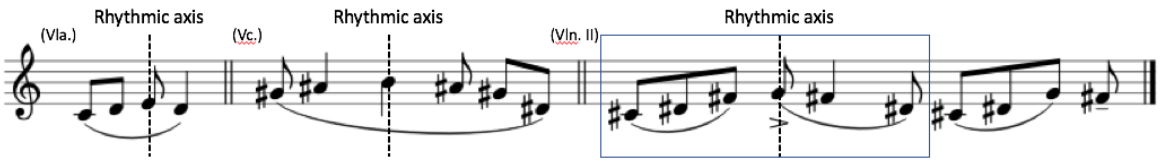
Ex. 22 - Fibonacci numbers used in melodic lines (bb.14-16).[134]



In a similar manner to the motif presented in Ex.17, the material in all four parts contain elements of symmetry (Ex.23). These symmetrical cells are dispersed amongst asymmetrical cells (of related pitch material), and as each part enters in canon, this creates constantly shifting climax points within the overall texture.

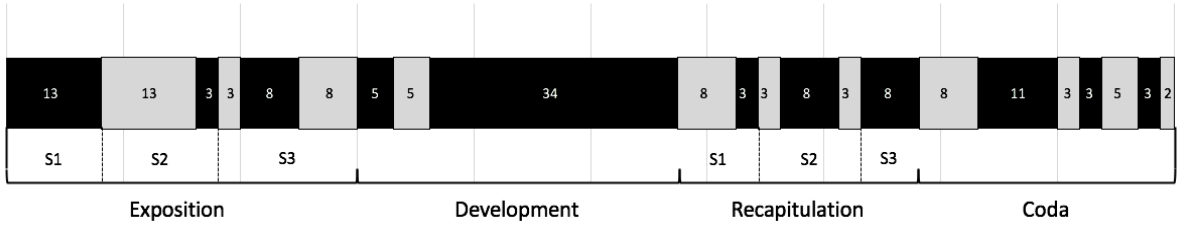
[133] Analysis mine
[134] Analysis mine

Ex. 23 - Rhythmic axes in material (bb. 14-18).[135]



The material of the second subject is contained within an 8-bar block followed by a 3-bar transition to the third subject. Having been preceded by a 13-bar first subject, the emergence of structural blocks based on FS numbers becomes increasingly clear. If we analyse the remainder of the movement in this fashion, we see the following number patterns appear (Figure 14). The reasoning behind the use of the term 'block' is derived from the manner in which the material appears. As previously stated, music based on Bartók's principles used in the fourth quartet does not adhere to the written metric structure in a traditional sense.

Figure 14 - Proportional chart displaying employment of Fibonacci numbers.[136]



These blocks are in some cases approximations due to the nature of material crossing bar lines, resulting in phrases often beginning and ending in parts of the bar that bear no relation to the metre. They also do not take into account the exact duration of rests at either end of each block. Therefore, the total number of bars displayed on the chart does not equal the exact number of bars that appears in the movement. This method of analysis merely presents the proportions of each block of material contained within each section of the movement to show how Fibonacci's numbers appear in the construction of the overall structure.

[135] Analysis mine
[136] Analysis mine

II – A Scherzo Character

Table 13 - Formal data for Bartók's Fourth String Quartet (Movement II).[137]

Section	Bar Range	# of Bars	Beats per bar	# Beats total	Tempo Range	Proportional %
A	1-61	61	2	122	172-194	24%
trans.	62-677	16	2	16	172-194	6
B	78-188	111	2	222	172-194	44%
A	189-222	34	2	68	172-194	14%
Coda	223-250	28	2	56	172-194	11%
Total		250		500	172-194	100%

Table 14 - Formal analysis for Bartók's Fourth String Quartet (Movement II) (Bartók).[138]

Measures	**Description**
1-61	Part One;
62-77	Transition;
78-188	Part Two (articulated as follows: 78-101, 102-136, 137-174 and 176-188 as a retrogression up to Part Three);
189-222	Part Three (free recapitulation);
223-250	Coda.

Table 15 - Formal analysis for Bartók's Fourth String Quartet (Movement II) (Antokoletz).[139]

Measures	**Section**
1-75	A
75-188	B
189-212	A’
213-250	Coda

[137] Analysis mine
[138] Bartók, Suchoff ed., *Béla Bartók Essays*, 412.
[139] Antokoletz, ‘Principles of pitch organization in Bartok’s Fourth String Quartet’, xi.

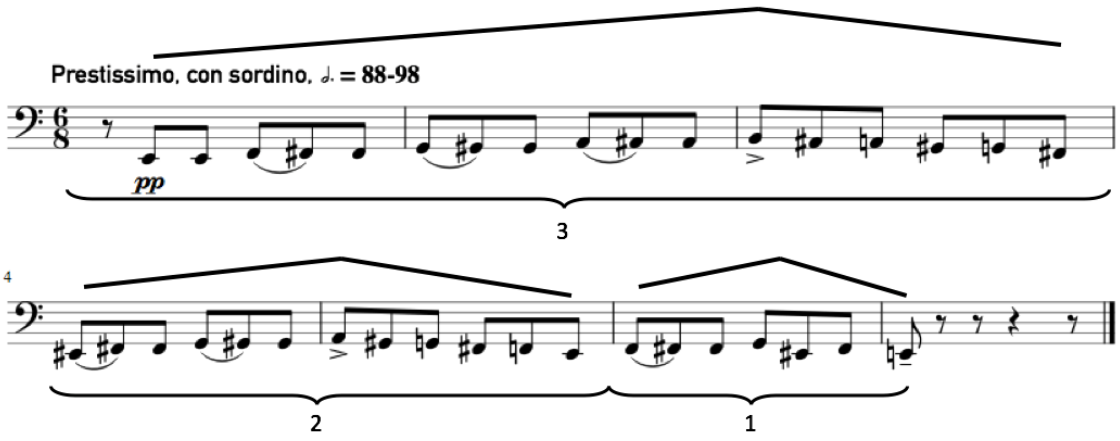
Table 16 - Formal analysis for Bartók's Fourth String Quartet (Movement II) (Score: Wiener Philharmonischer Verlag).[140]

The second movement has a scherzo character and is in three sections:

Section	Bars and description
I	1-61, then after a 16-bar transition,
II	78-188 articulated as follows: 78-101, 102-136, 137-174 and 176-188 retrograding to
III	189-222 free recapitulation and beginning from 223 the Coda.

Although the second movement has a different character to the first, there are a number of similarities between the two movements regarding the development and use of the pitch cells – which ultimately contributes to the unity of the overall work. Firstly, if we view the contour of the opening melodic line in the viola and cello Parts (bb.1-7) in comparison with the Ex.17 motif from the first movement, we can see how this melody is an expansive development of the X pitch cell – or an augmented version of the Ex.17 motif (Ex.24). It is also important to note the range of this augmentation is extended to that of a perfect fifth (E-B), an interval that plays a prominent role throughout the movement.

Ex. 24 - Opening of Movement II cello part (bb.1-7).[141]

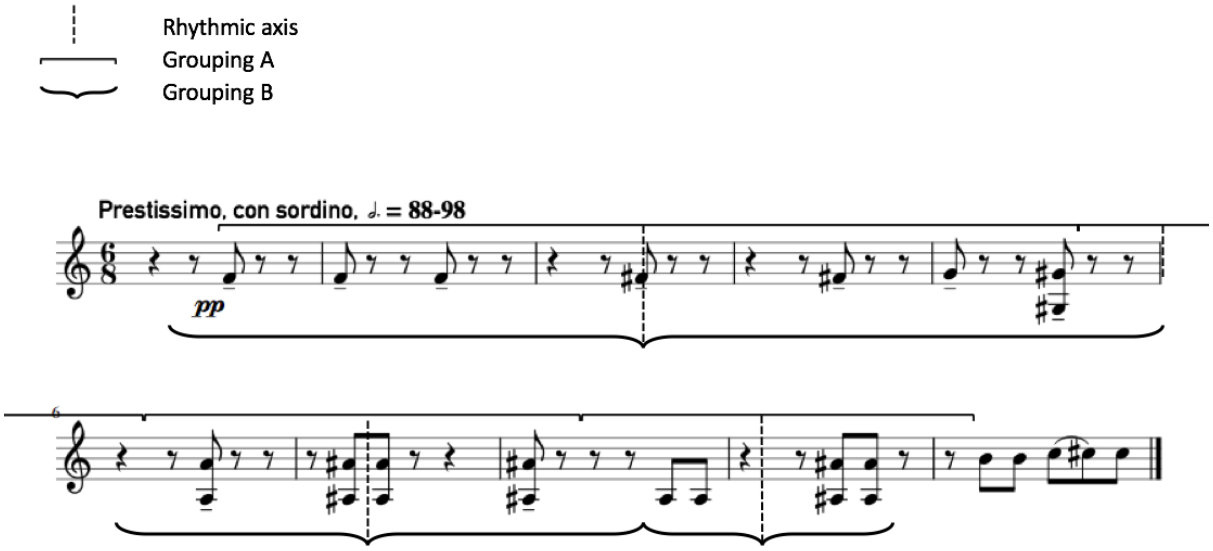


From the shapes created by the melodic contour, it becomes clear that this melody is constructed by gradually diminishing the contour via the ratio of 3:2:1. The latter two

[140] Bartók, *Streichquartett IV* (Wiener Philharmonischer Verlag A. G., 1929).
[141] Analysis mine

contours (2:1) being a mirror image of the first (3), containing yet another example of symmetry. Furthermore, the accompanying figure played by the violins can have its rhythmic axes drawn a number of ways (Ex.25).

Ex. 25 - Opening of Movement II cello part (bb.1-7) displaying rhythmic axes.[142]



This element of diminution, and interplay with consequent expansion, goes a long way to creating the character of this movement. Another defining element of this movement's character is the use of repeated notes (e.g., bb.41-45) which create oblique motion when combined with the aforementioned contours. This in addition to the frequent employment of canon creates a veritable palette of interplay opportunities between cells of established material.

On the subject of the perfect fifth, the opening melody appears three times in the first A section; beginning on E (b.1), up a perfect fifth on B (b.10), then back down a perfect fifth on E (b.54). Similarly, from b.189, the recapitulation sees the melody appear another three times. This time the entries outline the pitches E (b.189 – viola), B (b.194 – violin I), then F♯ (b.198 – violin II), creating the triad of superimposed fifths that first appears in b.34 (or b.32 if broken) in the cello and viola parts, and thereafter with relative frequency (e.g., b.165, 213, 249). The outer interval created by this triad (i.e., major ninth) accounts for the range of many of the intervals in the glissandi passages

[142] Analysis mine

(b.136). The perfect fifth's intervallic inversion is also utilised to create the distinctive harmony of superimposed fourths in sections such as in bars 45, 51, 175, and 184.

Cluster chords established in the first movement (e.g., b.13) make a more pronounced appearance in the second movement. The same can be said of the implementation of glissandi. Although the construction of the clusters is mostly based on the X and Y pitch cells, the example in bar 31 presents the first harmonies from the Phrygian mode.[143] The canonic entries from bar 27 head towards the fifth (B), fourth (A), third (G), and second (F) degrees of the E Phrygian mode – which consequently reflects the Y pitch cell – before descending through the mode by step, reaching a cluster that encompasses all seven degrees of the mode. The only other section in which the Phrygian mode appears is in bars 223, 227, and 231 of the recapitulation, leading into the coda.

In other instances of canon, the entries outline pitches based on either the Y pitch cell, or FS harmonies; with the exception of bb.54-61 which is at the octave. For example, the entries from b.27 (violin I – cello) begin on the pitches G♯, F♯, E, D; and from b.36 C♯, B, A, G. Both transpositions of the Y pitch cell. The entries at b.63 (Figure 15) and b.66 (Figure 16) however, behave slightly differently. If we take the pitches of the entries for each canonic section, we find they adhere to FS harmonic principles.

Figure 15 - Canonic entries (b.63)[144]

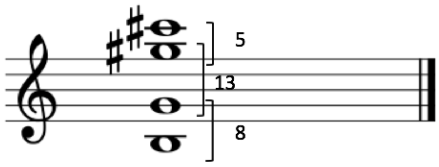
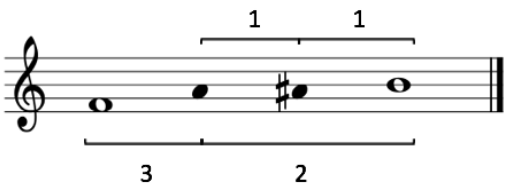


Figure 16 - Canonic entries (b.66)[145]



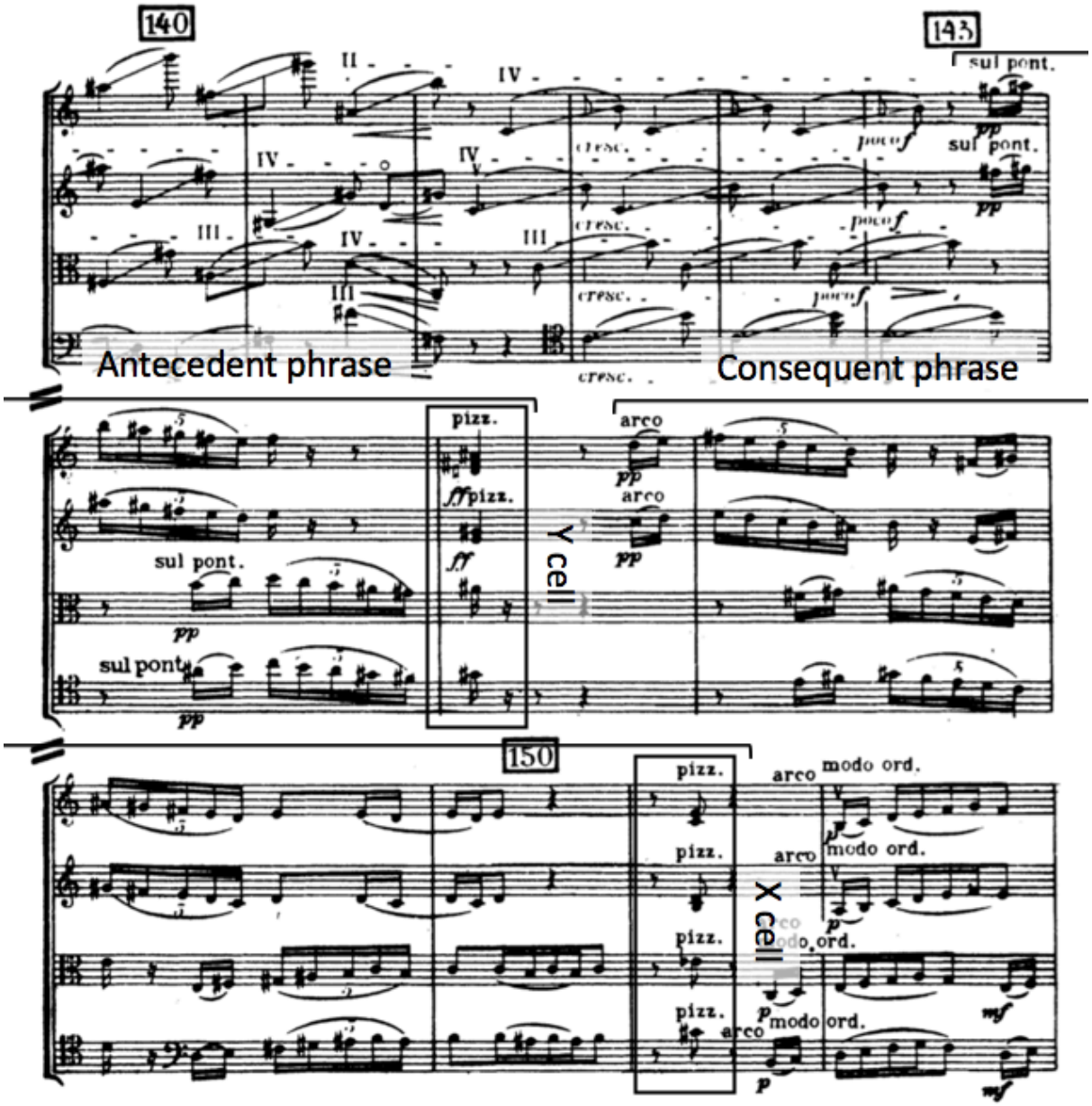
Further similarities with the first movement continue with the B section using similar motifs. The ostinato is again based on the X pitch cell, having been introduced/prepared by way of 'metamorphosis' in bar 73. The two pairs of rapidly

[143] Phrygian, due to the movement having a pitch centre of E.
[144] Analysis mine
[145] Analysis mine

alternating steps followed by a longer note value provides the ostinato accompaniment figure in bar 59 of the first movement (also section B, or 'the development' in *sonata-allegro* parlance), however in the second, a version of this motif now becomes the melodic material. In becoming melodic material, the interval of two semitones is spelled as a diminished third (e.g., D-F♭ b.78) in order to allow the pitch axis (E♭) to function as its own pitch within context of the motif, and consequently its pitch relationship with the countermelody (violin I b.79).

This interplay between melodies using the same motific material centred around the interval of two semitones continues until bar 102, where the 2/4 accompaniment ostinato previously in the cello part becomes the melodic material that moves the harmony towards bar 113. Note the grouping from b.102 follows the beat ratio 3:2:1:1 (violin II and cello), before utilising alternate subdivisions of groupings in a diminutive manner to facilitate more movement in contrast to its erstwhile static nature. The subsequent series of groupings (through to bar 145), make it aurally impossible to make metric sense of what is happening. The subtle changes in texture created by repeating four-note cells in different metric cycles almost seems timeless, until we're presented with antecedent and consequent phrases at the end of bar 145 (Ex.26). The shorter antecedent phrase (the question) is characterised by the punctuation of a Y pitch cell pizzicato cluster. This is subsequently answered with the succeeding phrase being punctuated with a contextually consequent x pitch cell cluster. The comparative harmonic binary system (consonance/dissonance) providing the direction for these phrases in this instance.

Ex. 26 - Antecedent and consequent phrases (bb.140-151).[146]



From bar 152, clear symmetrical rhythms and shapes return into the fold. The rhythm in the violin I and violin II parts from bb.152-154 is palindromic; the rhythmic pattern created by the upper two and lower two parts in the passage bb.155-161 together is a type of *al roversio* (Ex.27); and the four bars leading into b.165 contain symmetrically ascending and descending canonic runs at the octave, based on the equally symmetrical FS 3+5+3 chord (Figure 17).

[146] Analysis mine

Ex. 27 - 'al roversio' cell, Movement II (bb.157-158).[147]

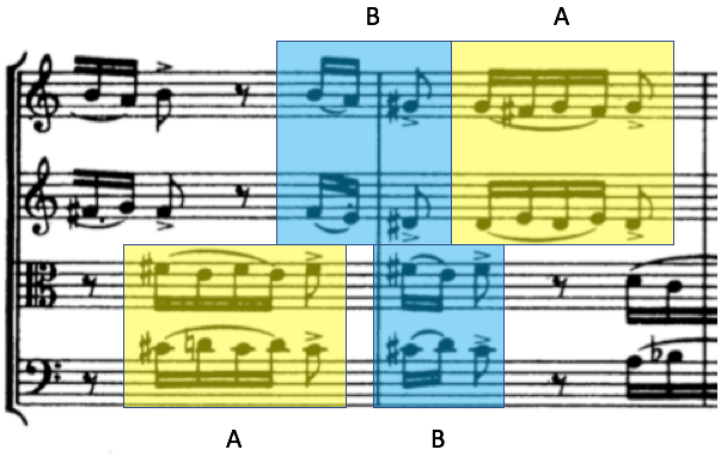
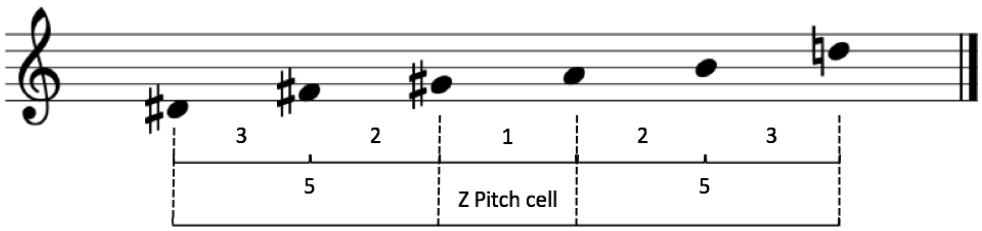
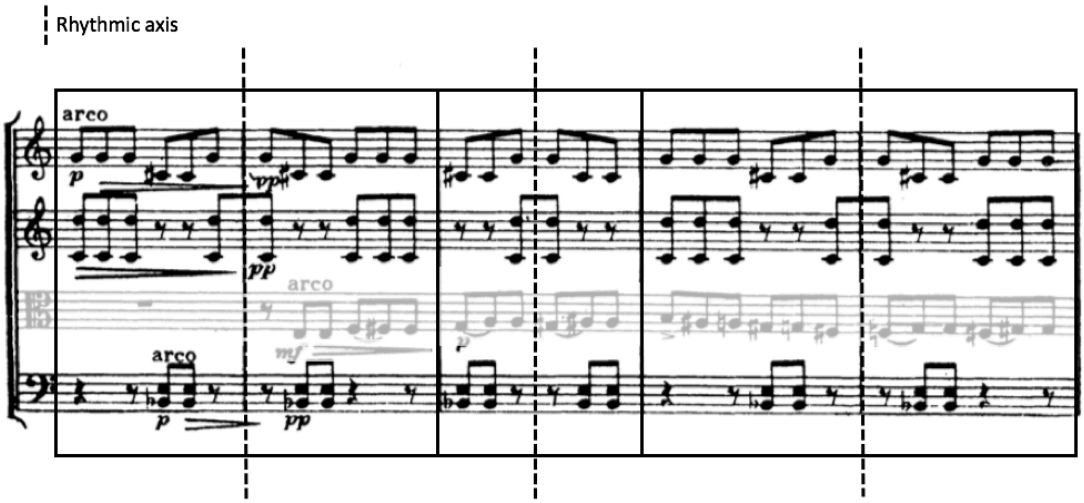


Figure 17 - Harmonic material used in bb.161-165.[148]



In a similar manner to the beginning of the movement, the accompaniment texture from the recapitulation (b.188) contains strict rhythmic axes contained in alternating groups of 2 and 1 bars, which continue through to b.205 (Ex.28).

Ex. 28 - Rhythmic axes (bb.188-192).[149]



[147] Analysis mine
[148] Analysis mine
[149] Analysis mine

An argument could be made that the Coda begins at bar 238 based on two main factors: 1) the motific material from the recapitulation section is prevalent throughout bars 213 and 223, continuing until the end of bar 237; and 2). based on evidence from other movements of bar structure being based on FS numbers, a coda beginning in bar 238 would denote a coda 13 bars in length. Armed with the knowledge that Bartók stipulates the beginning of the coda at bar 223 in his analysis, it potentially changes how we experience the music contained within bb.189-250. This may or may not result in a difference in physical manifestation from a performer's interpretation, however, the mental perception of how the musical material functions may well change with the knowledge of the composer's intentions.

Table 17 - Formal data for Bartók's Fourth String Quartet (Movement III).[150]

Section	Bar Range	# of Bars	Beats per bar	# Beats total	Tempo range	Proportional %
A	1-34	34	4	136	60-70	48%
B	35-55	21	4	84	60-80	30%
A	56-63	8	4	32	60	11%
Coda	64-71	8	4	32	60	11%
Total		71		284	60-80	100%

Table 18 - Formal data for Bartók's Fourth String Quartet (Movement III) (Bartók).[151]

Measures	Description
1–34	Part I (melody in the cello);
34–54	Part Two (melody begins in the first violin, then in the second violin, finally in the second violin and viola);
55–63	Part Three (free recapitulation; the melody is inverted and divided between the cello and the first violin);
64–71	Coda.

Table 19 - Formal data for Bartók's Fourth String Quartet (Movement III) (Antokoletz).[152]

Measures	Section
1-41	A
34-41	Codetta
42-55	B
55-63	A’
64-71	Codetta’

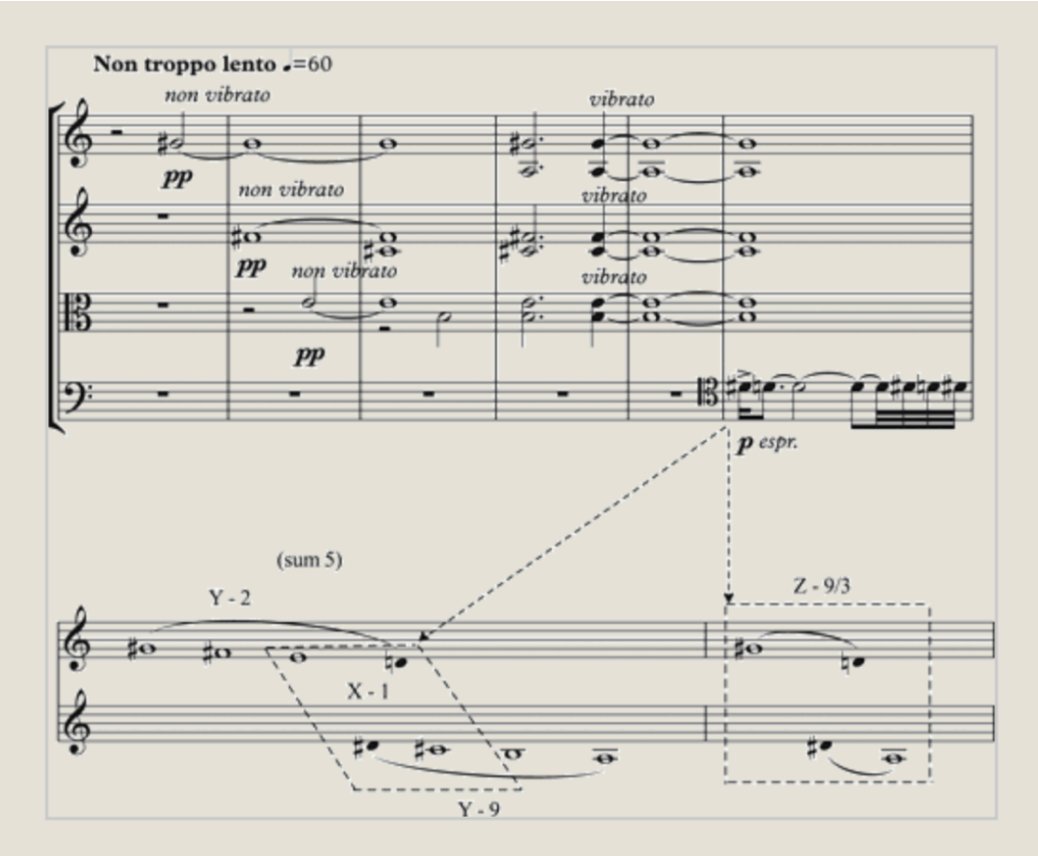
[150] Analysis mine
[151] Bartók, Suchoff ed., *Béla Bartók Essays*, 412-413.
[152] Antokoletz, ‘Principles of pitch organization in Bartok’s Fourth String Quartet’, xi-xii.

Table 20 - Formal data for Bartók's Fourth String Quartet (Movement III) (Score: Wiener Philharmonischer Verlag).[153]

Bars	Description
1-34	1st section (melody in the cello)
34-54	2nd section (melody first in 1st, then 2nd violin, finally in 2nd violin and viola)
55-63	3rd section (free recapitulation: the melody is inverted and divided between the cello and Violin I)
64-71	Coda

The symmetry of the third movement begins with a symmetrical chord introduced one note at a time, which is derived from the X and Y pitch cells, and on the cello entry, the Z cell as well (see Ex.29).

Ex. 29 - Opening six bars of Movement III displaying employment of X, Y, and Z cells.[154]

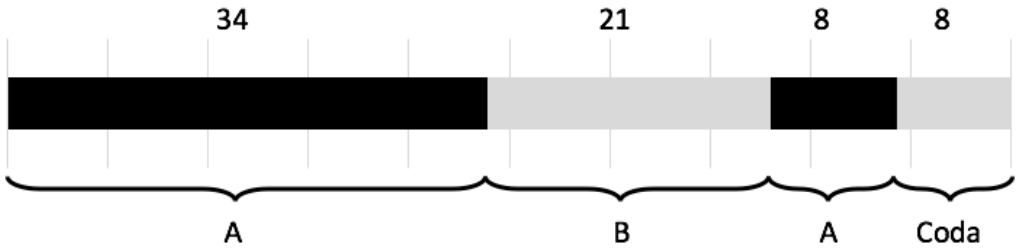


[153] Bartók, *Streichquartett IV* (Wiener Philharmonischer Verlag A. G., 1929).

[154] This figure appears in E. Antokoletz, "The Romanian "Long Song" as Structural Convergent Point for the Chiasmal Harmonic Design in Bartók's Fourth String Quartet", in Biró, D. and Krebs, H. (ed.), *The String Quartets of Béla Bartók*. (New York: Oxford University Press, 2014), 136.

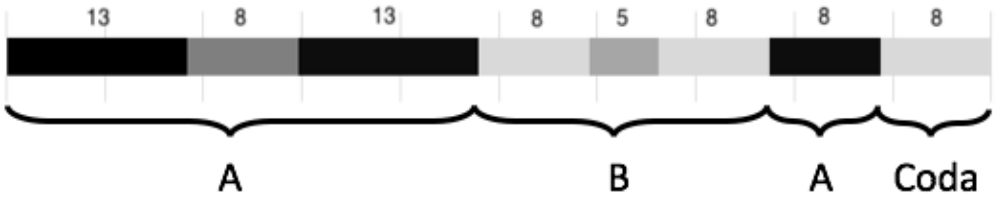
The third movement reveals the construction of its structure based on FS numbers more clearly than its surrounding movements. If we look at where the B section and recapitulation begins, we find two consecutive numbers of the FS plus one, namely bar 35 and 56 respectively – meaning that the preceding sections are 34 and 21 bars long. The remaining recapitulation and coda sections are both 8 bars in length, completing the third movement's structural adherence to FS principles (Figure 18).

Figure 18 - Proportional chart for Bartók's Fourth String Quartet (Movement III).[155]



Within the A and B sections, the length of each block of material reveals further symmetry (Figure 19). Each block represents the phrase length of the melodic line from each section.

Figure 19 - Proportional chart for Bartók's Fourth String Quartet (Movement III) displaying phrase lengths based on Fibonacci numbers.[156]

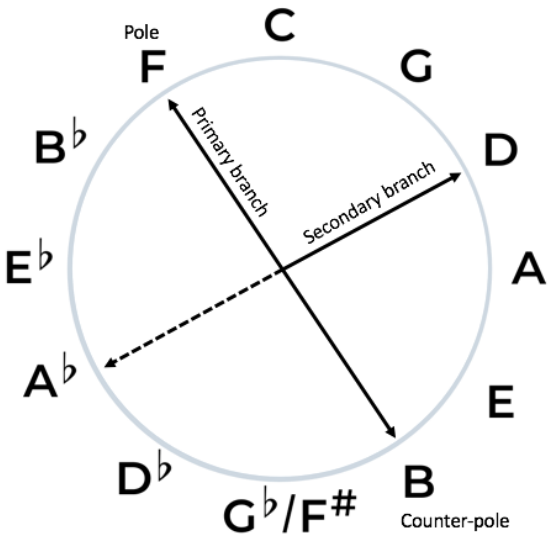


Each phrase of the solo melodic line is centred around a principal pitch. For the three phrases in section A, the first establishes D as the tonic axis (from bar 6). The subsequent phrases are centred around F (bar 14) and B (bar 22) respectively – F and B being the pole and counter-pole of the secondary axis "branch" of the primary "branch", D (Figure 20). The B section follows the same progression, this time using the dominant axis, with the primary branch stemming from E♭ (entering on the upbeat

[155] Analysis mine
[156] Analysis mine

to bar 35 in the violin I part). The second and third blocks are represented in the violin II part in bars 42 (G♭ centre) and 47 (C centre) respectively. This modulation to the dominant in the B section, with a subsequent return to the tonic in the succeeding section is yet another example of Bartók's employment of his own principles within traditional structural conventions.

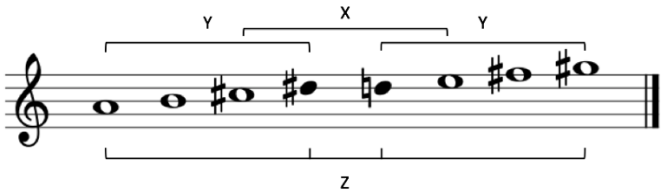
Figure 20 - Tonal centres of solo melodic line displayed on Axis System.[157]



From the introduction preparing the entry of the initial solo melodic line, further development of material established in the preceding movements is evident. The construction of harmony using elements of all three pitch cells appears for the first time in this unique arrangement (Figure 21). After all pitches in the opening chord have been realised, the first two notes of the melodic line complete the Z pitch cell within context of the outermost pitches of the chord. The first half of the melodic phrase contains an interplay between two transpositions of the X pitch cell – namely C♯, D, D♯, E and B, C, C♯, D, which are a single unit of the Y pitch cell apart (i.e., a whole tone).

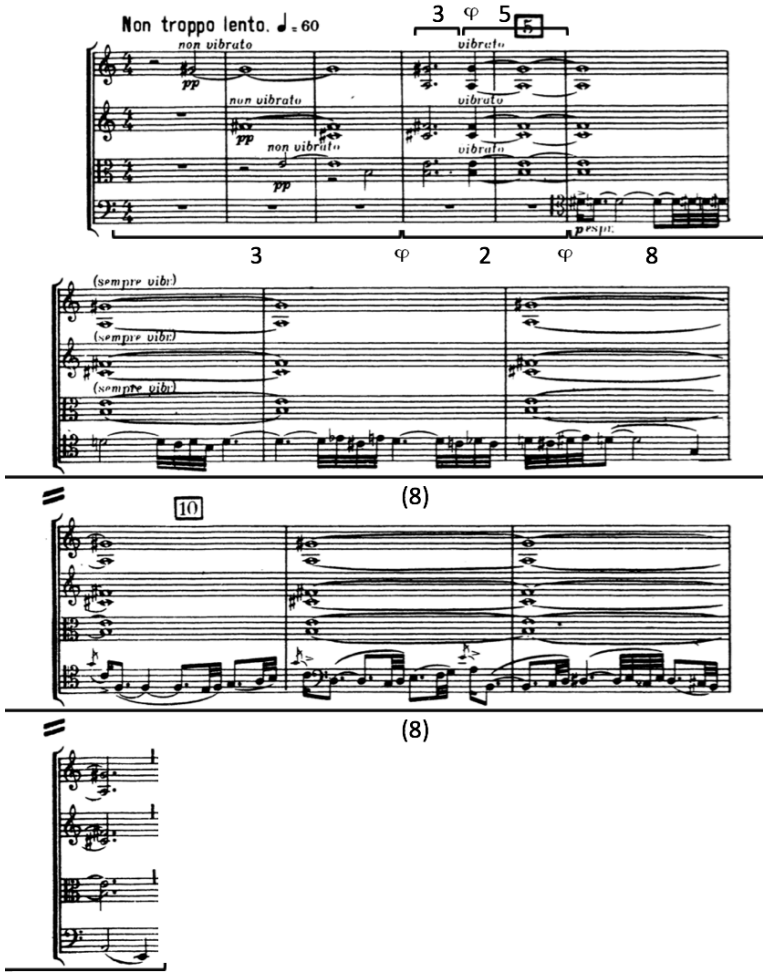
[157] My analysis displaying an amended version of Lendvai's axis diagram, E. Lendvai, *Béla Bartók: An analysis of his music,* 5.

Figure 21 - Construction of opening chord, Movement III.[158]



The first 13-bar block of the A section is neatly divided into a 5-bar introduction and an 8-bar melodic phrase. The introduction can be neatly divided again into a 3-bar and a 2-bar segments, with the rhythm in the 2-bar segment displaying a division of 3 and 5 beats respectively. What these FS numbers represent is an employment of the GS at significant markers within the structure of the first 13 bars (Ex.30). From the aforementioned application of FS numbers (see Figure 19), we can see this trend of the GS playing an important structural role in the first 55 bars.

Ex. 30 - Proportions displaying GS (bb.1-13).[159]



[158] Analysis mine
[159] Analysis mine

With the harmonic axis of the opening chord, GS of the opening block, and tonal centre established with the first two notes of the melody in bar 6, the stage is set for Bartók to develop the melodic material of the third movement by way of the so-called Romanian *hora lungă* (long song).[160] The *parlando-rubato* nature of the rhythm is very much in keeping with certain elements of Bartók's principles and examples of *hora lungă* can be found in a number of his other works - following his documentation of the idiom during a two-week visit to Maramureş in 1913.[161] The freedom allowed by this form provides the perfect canvas for establishing harmonic gravity through the melodic line whilst embellishing key pitches using extant motific material. In notes written during his ethnomusicological travels, Bartók writes (in *Romanian Folk Music,* 1935):

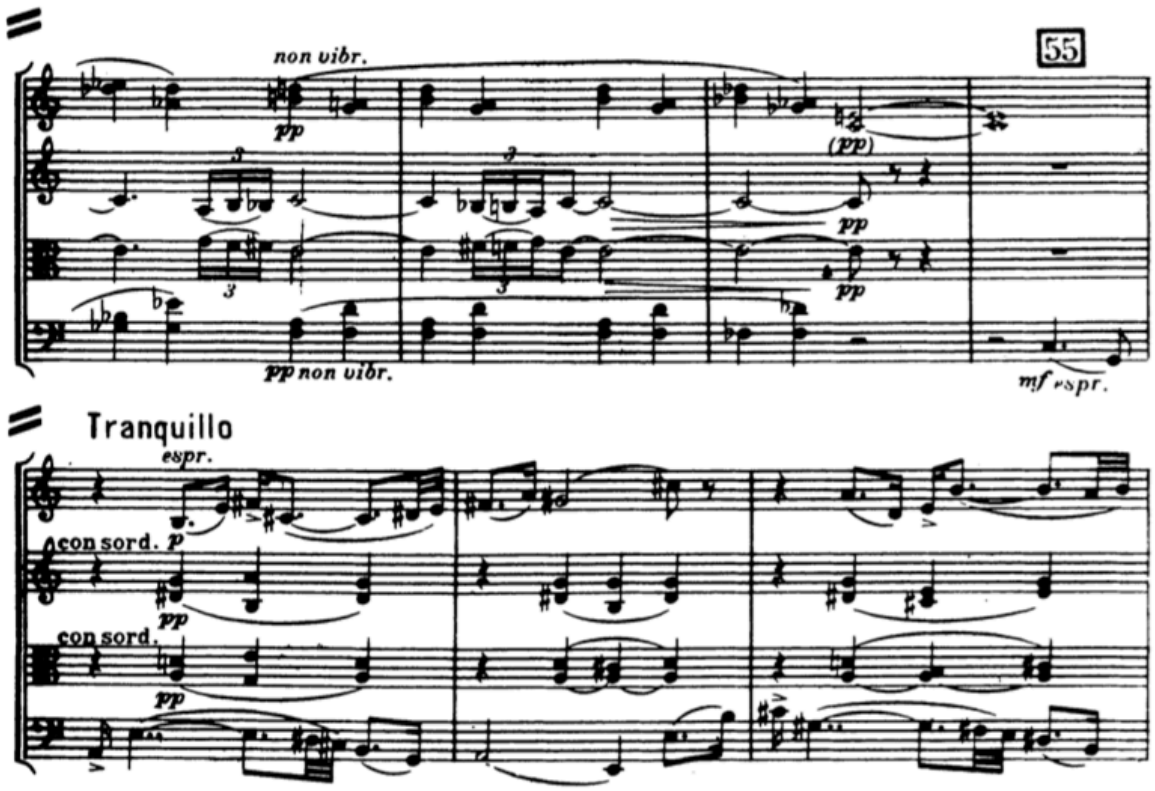
> The most important result of the latest explorations in Romanian music folklore was the discovery of the so-called hora lungă (long song). This musical style, represented by a single melody, turned out to be the oldest-known textual folk music of the entire Romanian people living in a pre-war Romania, Bessarabia, and Maramureş-Ugocsa. In Transylvania and the Banat, however, it is completely unknown in the form of a melody with text. ... The hora lungă is a melody type altogether improvisatory in form, highly ornamented, and in a kind of rubato performance which reminds us of instrumental music.[162]

The discrepancy surrounding the beginning of the recapitulation is due to the transition that occurs between bars 54-56 (Ex.31). Although the harmonic material from the B section in the violin I part continues through to the end of bar 55, the melodic material from the proceeding A section begins on the third beat of bar 55 in the cello part creating an overlap. It could be argued that this A section actually begins with the minim rest in the cello part in bar 55 as the inverted canonic line in the violin I part, bar 56 begins with an automorphic response to the cello entry (same proportions diminished). Given the prominence of FS numbers regarding the structure of the

[160] Antokoletz, "The Romanian "Long Song" as Structural Convergent Point for the Chiasmal Harmonic Design in Bartók's Fourth String Quartet", 136.
[161] P. Nixon, (2001). Hora lunga. *Grove Music Online.* Retrieved 25 Nov. 2020, from https://www.oxfordmusiconline.com.
[162] B. Bartók, "Studies in Ethnomusicology", ed. Benjamin Suchoff (Lincoln and London: University of Nebraska Press, 1997), 166–67.

ternary form in this movement, it would be safe to say that the third section actually begins in bar 56. Due to 55 being the next sequential FS number after 34 (34 + 21 = 55). This is further supported with the expression marking *Tranquillo* at the beginning of bar 56 and an accent on the first beat of the bar signifying a downbeat, rendering the previous two beats as somewhat of an anacrusis. Consequently, the following 8 bars, and the 8 bars after that neatly conform to the employment of FS numbers to create the overall structure for this movement.

Ex. 31 – Discrepancy in formal analysis, Movement III, displaying bb.54-56.



IV – Parallels in Rhythmic and Melodic Contours

Table 21 - Formal data for Bartók's Fourth String Quartet (Movement IV).[163]

Section	Bar Range	# of Bars	Beats per bar	# Beats total	Tempo range	Proportional %
A	1-44	44	3	132	142	35%
B	45-87	43	3	129	142	35%
A	88-111	24	3	72	146-150	19%
Coda	112-124	13	3	39	142	10%
Total		124		372	142-150	100%

Table 22 - Formal analysis for Bartók's Fourth String Quartet (Movement IV) (Bartók).[164]

Measures	Description
1–44	Part One (the theme is identical with the main theme of Movement II – there it moved within the narrow limits of the chromatic scale, here it is extended over the diatonic scale; accordingly, there the ambitus is a fifth, here an octave);
45-87	Part Two (articulation: 45-64 corresponds to measure 78-101 of Movement II, 65-77 to 102-112 of II, 78-87 leads back to the recapitulation);
88-112	Part Three (free recapitulation);
113-124	Coda

Table 23 - Formal analysis for Bartók's Fourth String Quartet (Movement IV) (Antokoletz).[165]

A B A' Coda

Measures	Section
1-45	A
45-87	B
78-87	false recapitulation
88-101	A'
102-124	Coda

[163] Analysis mine
[164] Bartók, Suchoff ed., *Béla Bartók Essays*, 413.
[165] Antokoletz, 'Principles of pitch organization in Bartok's Fourth String Quartet', xii.

Table 24 - Formal analysis for Bartók's Fourth String Quartet (Movement IV) (Score: Wiener Philharmonischer Verlag).[166]

Section	Bars and description
I	1-44 the theme being identical with that of the second movement; there it moved within the narrow realms of the chromatic scale – here it is extended over the diatonic scale; accordingly the ambitus there is a fifth interval – here it is an octave.
II	45-87 articulated as follows: 45-64 corresponds to 78-101 of 2nd movement, 65-77 to 102-112 of 2nd movement, 78-87 leads back to the recapitulation.
III	88-112 free Recapitulation; beginning from 113 Coda.

The fourth and second movements, symmetrically situated either side of the central third movement, share a lot of the same motific material in addition to their proportional similarities. This is also true of the first and fifth movements.

The fourth movement begins with a 5-bar introduction establishing an ostinato that contains some interesting unifying qualities. Firstly, the rhythm is formed by an additive sequence marked by a single crotchet rest between each group (Ex.32). This sequence, when expressed numerically (Figure 22) creates a contour that is reflected in the melodic material of the fourth (Ex.33) and second movements (from b.1 – see Ex.24).

[166] Bartók, *Streichquartett IV* (Wiener Philharmonischer Verlag A. G., 1929).

Ex. 32 - Rhythmic grouping in opening to Movement IV (bb.1-13).[167]

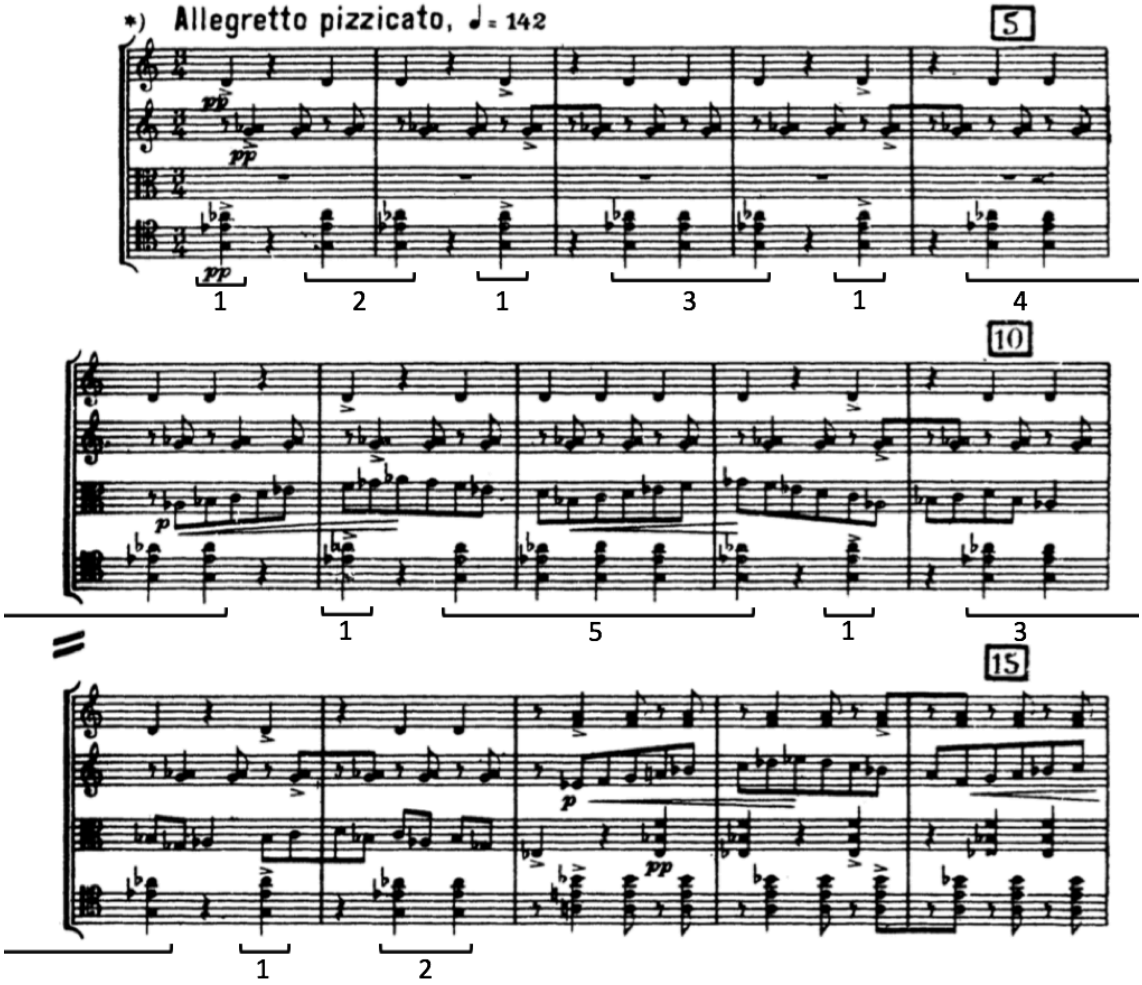
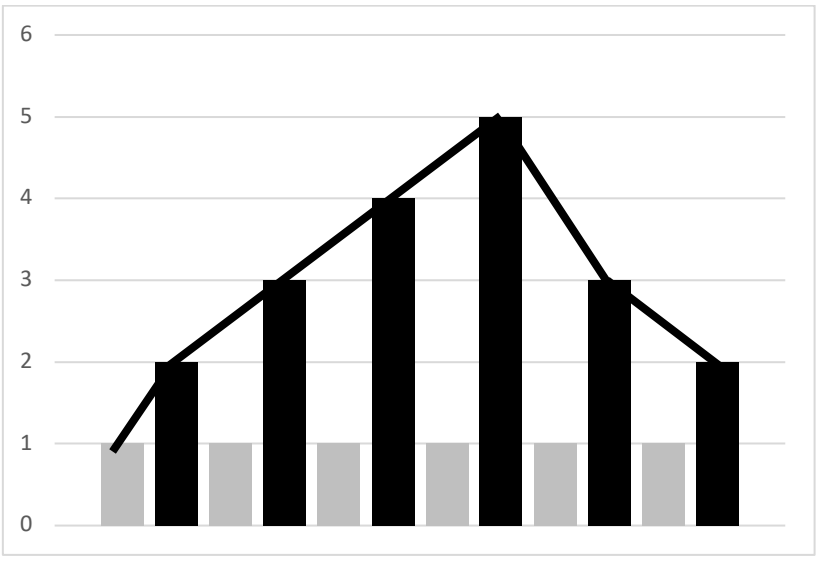
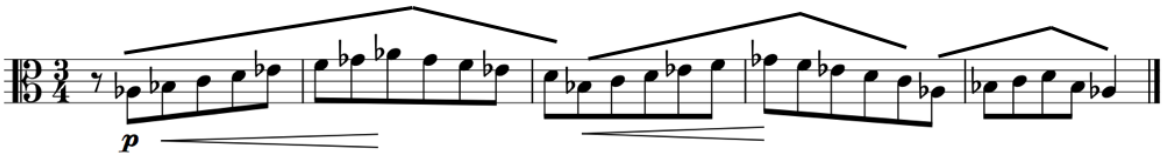


Figure 22 - Chart displaying numerical contour.[168]



[167] Analysis mine
[168] Analysis mine

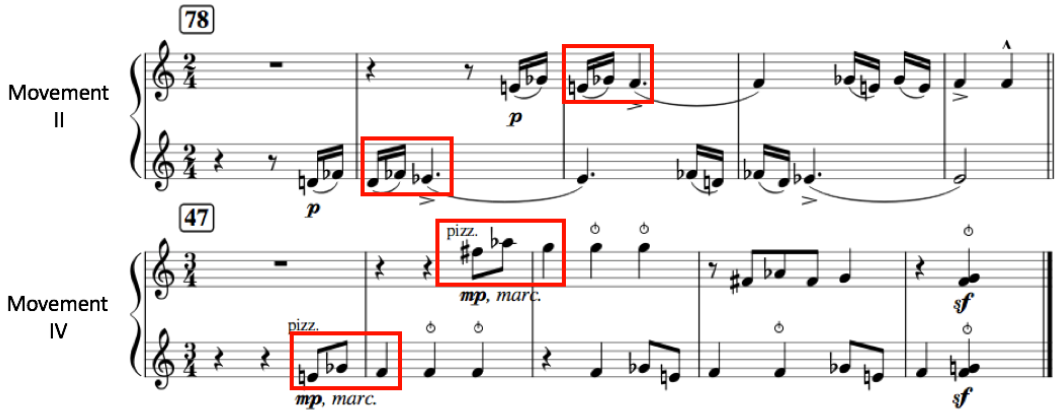
Ex. 33 - Viola part (bb.6-10) displaying numerical contour.[169]



Although the opening melodies from the second and fourth movements follow a similar contour, the fourth utilises the 'overtone' scale (see Figure 7) in contrast to the chromatic scale of the second.

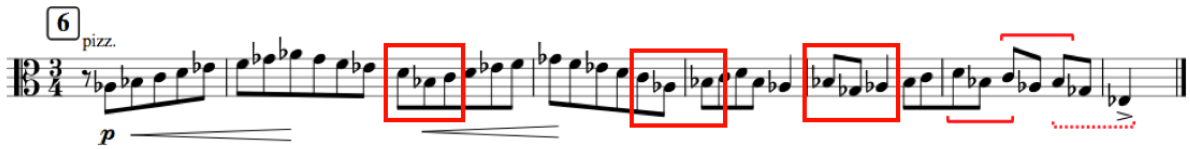
The material used in the B section corresponds similarly to the material from the B section in the second movement (Ex.34). The opening cell of this motif could also be said to be related to the opening melody (e.g., from viola part bb.6-13 (Ex.35)), which appears inverted with an augmented intervallic relationship. Note the pivotal role of the cell when the scalic movement is broken to direct the contour back to a diminished ascending motion, until the cell is used to pivot the contour contrarily, descending to the E♭. This sequential cell of three pitches is also reflected in the pitch centres of the first three movements (C-E-D). Further similarities between the fourth and second movements lie with the ostinato created in bar 45 (viola and cello) by two pitch cells alternating chromatically between tonic and dominant pitch axes (the B section is 'in' the dominant axis key 'E♭', as the movement is 'in' the tonic axis of 'A♭' – see Figure 2), the tonic chord being built of the counter-pole of E♭ (A) using the Y pitch cell (e.g., second movement b.34).

Ex. 34 - B section material from Movements II and IV.[170]



[169] Analysis mine
[170] Analysis mine

Ex. 35 - Viola part (bb.6-13).[171]



The return of melodic material in bar 78 related to the opening, appears in the dominant axis (E♭, A) centred around the secondary branch (F♯, C). This false recapitulation modulates back to the tonic axis upon return of the A section in bar 88. It is this manner of harmonic movement that is used to create the 'perfect' cadence (denoting movement from the dominant axis to the tonic axis) at the end of the movement.

Cells from the opening melodic material are developed in a subtractive/additive manner, converging to the beginning of the coda, where the first three degrees of the 'overtone' scale used in the opening melody undergo a series of permutations before being augmented into a motif of its own (b.119) – a motif developed further in the succeeding movement. The final five bars use this motif to consequently move in a contractive manner towards the aforementioned final 'perfect' cadence.

[171] Analysis mine

Table 25 - Formal data for Bartók's Fourth String Quartet (Movement V).[172]

Section	Bar Range	# of Bars	Beats per bar	# Beats total	Tempo range	Proportional %
A	1-151	151	2	302	152	39%
B	152-237	86	2	172	152	22%
A	238-342	105	2	210	152	27%
trans.	343-364	22	2	44	152	6%
Coda	365-392	28	2	56	100-168	7%
Total		392		784	100-168	100%

Table 26 - Formal data for Bartók's Fourth String Quartet (Movement V) (Bartók).[173]

The final movement opens with percussive chords (fifth chords obscured by seconds). It is also in three parts:

Measures	Description
1–151	Part One. The theme appears in 15-18 for the first time and is similar to the transition theme in Movement I;
152-237	Part Two The main theme appears for the first time in measures 156-163 of the first violin and is a variation of the last melody in the secondary theme group of Movement I. In addition this part makes use of a motive from the main theme of I. (see there measures 7, 11-13);
238-342	Part Three (free recapitulation);
343-364	Transition;
365-392	Coda, the second half of which (from measure 374, *Meno Mosso*) is an almost literal repetition of the close of Movement I.

[172] Analysis mine
[173] Bartók, Suchoff ed., *Béla Bartók Essays*, 413.

Table 27 - Formal data for Bartók's Fourth String Quartet (Movement V) (Antokoletz).[174]

Measures	Section
1-148	A
149-237	B
238-340	A'
341-392	Coda

Table 28 - Formal data for Bartók's Fourth String Quartet (Movement V) (Score: Wiener Philharmonischer Verlag).[175]

Section	Bars and description
I	1-151 whose theme appears in 15-18 for the first time and is similar to the theme of the transition in the 1st movement.
II	152-237 whose theme appearing for the first time in 156-163 of VI. I, is a variation of the last melody used in the Subsidiary section of Mov. I; besides this part uses also a motive from the Principal section of Mov. I (see there 7, 11-13).
III	238-342 free Recapitulation, then a transition of 21 bars, after which a Coda begins at 365, the second half of which (from 374, Meno mosso) is an almost literal repetition of the first movement's close.

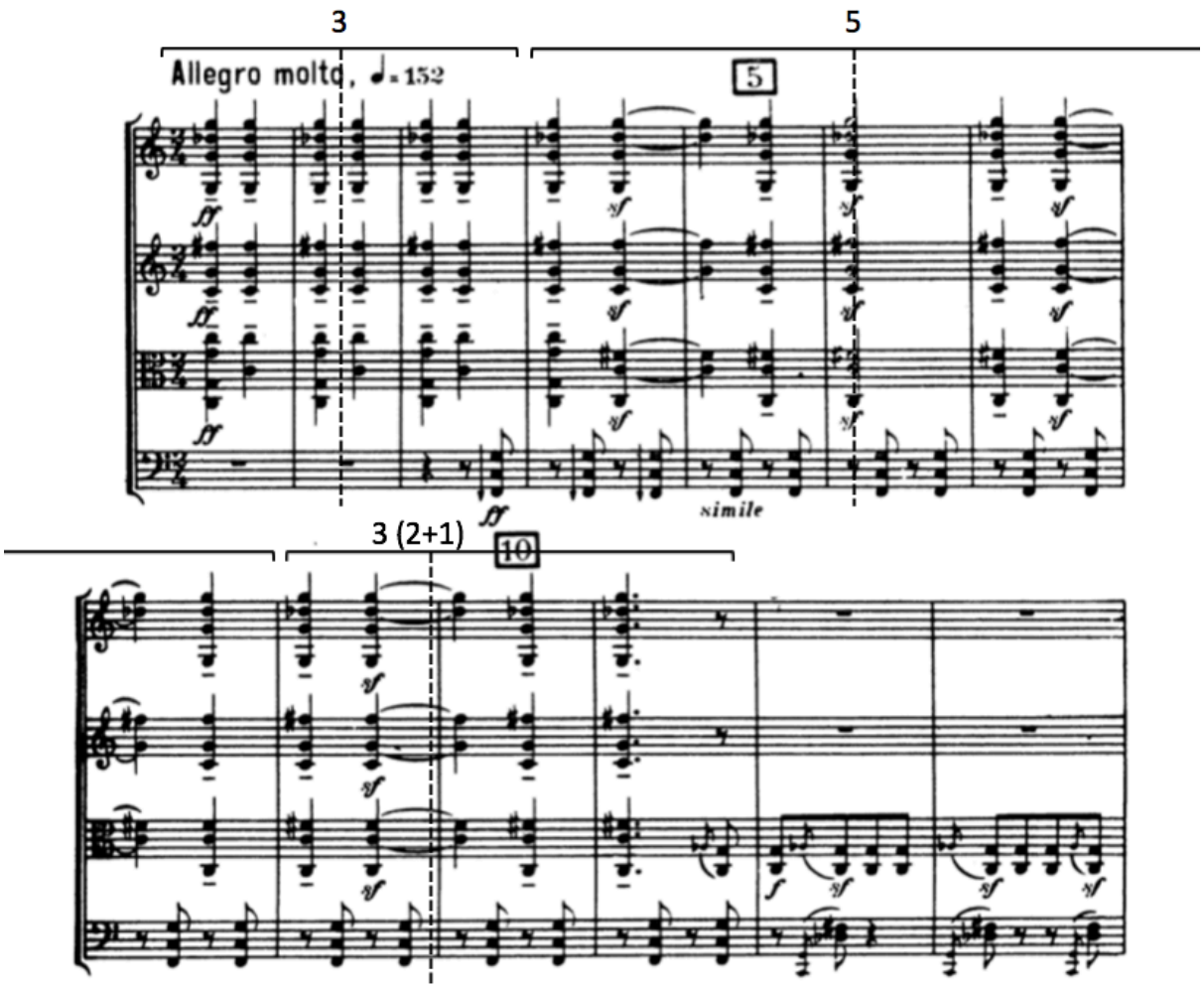
As with the second and fourth movements, the fifth and first share much of the same material, thus completing the symmetrical relationships between all five movements. Affinity with the first movement, however, is not immediately apparent from the opening 21 beats. The initial harmony is entirely derived from the Z pitch cell – one which that takes a while to appear in the first movement. This derivation is clear from the upper three parts, as the chord is built on all four pitches of this cell (G, C, C♯, F♯)[176] – though one may well ask how the superimposed fifths in the cello part relate? The addition of this familiar triad[177] is a symmetrical representation of the 2+3+2 harmony (see Figure 6c) derived from a quadrant of the circle of fifths. By the time we are presented with the opening melodic material, which uses the 3+5+3 harmony (see

[174] Antokoletz, 'Principles of pitch organization in Bartok's Fourth String Quartet', xii.
[175] Bartók, *Streichquartett IV* (Wiener Philharmonischer Verlag A. G., 1929).
[176] Note the voicing of the chord adheres to the principles of the Harmonic Series: larger intervals at the bottom and smaller intervals at the top.
[177] This triad built of super-imposed fifths appears in preceding movements multiple times, e.g., in movement II, bb.34-36, 165-172, 213-222, 249-250; in movement IV, bb.21-27, 34-37.

Figure 6e and Ex.22) in a similar manner to that of the first movement, it is clear there are going to be some significant relationships between these movements.

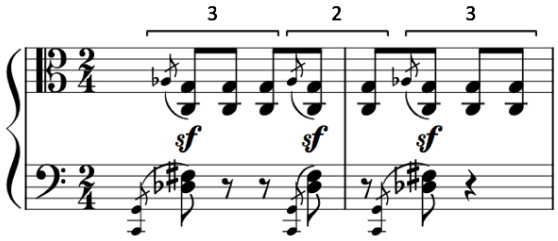
These ratios based on FS numbers and their inversions are also reflected in the rhythm and bar structure in the opening. For instance, the first 11 bars can be divided into 3+5+3 drawing from their respective rhythmic axes (the latter group of three being divided into 2+1 (Ex.36)). The succeeding ostinato played by the viola and cello parts uses a two-bar pattern divided into 3+2+3 (Ex.37). This pattern begins in bar 11 but does not appear fully until the end of bar 14, which has the effect of making the pattern less aurally discernible from the offset. Throughout the development of the A section, these rhythmic cells appear in a variety of permutations, the manner in which they appear serves to act in rhythmic counterpoint to the melodic line/lines (e.g., bb.45-54).

Ex. 36 - Rhythmic axes (bb.1-11)[178]



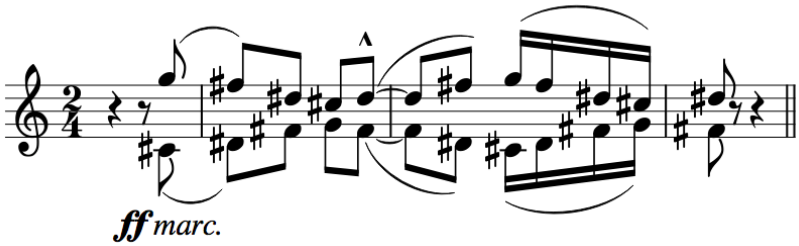
[178] Analysis mine

Ex. 37 - Rhythmic construction of ostinato (bb.13-14).[179]



The melodic material from bar 15 utilises inversion as a useful technique for extracting plenty of music from a comparatively small amount of information. Incidentally, it first appears as the second subject of the first movement. The opening two melodic segments (b.15 and b.23) use exactly the same pitches and rhythm, however the contour of the second is an inversion of the first (displayed simultaneously in Ex.38). This has the effect of creating an antecedent and consequent phrase using the same pitch and rhythmic material. The succeeding pair of phrases (b.31 and b.37) behave in a similar way.

Ex. 38 - Melodic material (bb.15-26) displayed as a vertical mirror image.[180]



The reintroduction of the X pitch cell in bar 130 is a significant indicator that material from the preceding three movements is likely to make appearances in the remainder of the final movement, and indeed this proves to be the case. Some of these appearances are quite literal (e.g., cello part b.162 from the first movement), whilst others are more referential (for instance bar 130 references both the opening melody in the second movement and the concluding motif of the first simultaneously given its treatment of the X pitch cell), however, they all serve to provide unity within the work as a whole. Further examples of referential material and their derivations include:

[179] Analysis mine
[180] Analysis mine

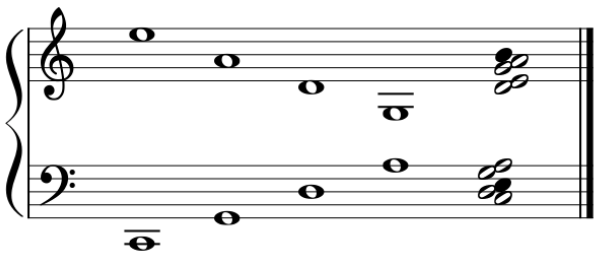
Table 29 - Comparable material between movements.[181]

Bar (V)	Corresponding Movement – bar number	Description
176	II - 78	development of the B section melody contains the paired semiquaver cell from the B section melody of the second movement.
197	IV - 37	ascending scale of five notes preceded by a rest.
339	I - 152	Alternating expressions of chord using string techniques creating contrary motion.
347	IV - 119	This three-note cell derives from the opening melody of the fourth movement and is developed into its own motif in the coda.

Given the literal examples are all from the first movement, as would be expected with the Fourth Quartet's symmetrical five-movement form, the fact that the referential examples are from the preceding three movements may well be coincidental – as we have established that all of the preceding movements use material born from the same three pitch cells and tonal principles.

The ostinato established in section B (b.152) uses the open strings of the cello and violin to outline the pitches of the pentatonic scale (Figure 23), which incidentally are the same pitches from the 2+3+2+3 vertical harmonic structure and the first five notes of the third movement. These pitches can also be derived from a quadrant of the circle of fifths +1.

Figure 23 - Harmonic material (b.152) displayed in close position, outlining pentatonic harmony derived from Fibonacci numbers.[182]



[181] Analysis mine
[182] Analysis mine

The recapitulation is less a restatement of the initial A section, but a section containing frequently alternating blocks using motific cells from all preceding material (inclusive of section B). It acts like a montage of everything we've heard thus far as we near the end of our journey. As a final unifying statement, Bartók restates an extended form of the sequential passage that appears in the coda of the first movement. After a short interruption delaying the final cadence, the same Ex.17 motif that ends the first movement is used again, voiced slightly differently, to end the entire work in a distinctively unified manner.

Reverse-engineering Bartók's Music

From the analysis discussed, it could be (mistakenly) assumed that Bartók was a compose-by-numbers type of composer who relied solely on "set plans". In reality, he relied heavily on his intuition and instinct – which in turn was inextricably informed by his own rigorous exercise and analysis. Although there are abundant applications of Fibonacci numbers, Golden Ratio, and symmetry throughout this and many of Bartók's other works, there are a comparable number of aberrations where the music does not conform to such "set plans". Arguably, the ultimate effectiveness of his music come from these 'aberrations' or 'imperfections'. Additionally, Bartók's treatment of the five-movement framework within which to employ the given elements of his musical principles itself qualifies as a principle in its own right. It is in these moments of Bartók's music that accompany such set plans where his intuition comes to the fore; the ability to know when to follow and when to break the rules being paramount to the decision-making process of any great composer. To quote Bartók on this subject, as he stated in the third of his series of lectures at Harvard University:

> . . . By the way, the working-out of bi-modality and modal chromaticism happened subconsciously and instinctively, as well. I never created new theories in advance, I hated such ideas. I had, of course, a very definite feeling about certain directions to take, but at the time of the work I did not care about the designations which would apply to those directions or to their sources. This attitude does not mean that I composed without . . . set plans and without sufficient control. The plans were concerned with the spirit of the new work and with technical problems (for instance, formal structure involved by the spirit of the work), all more or less instinctively felt, but I never was concerned with general theories to be applied to the work I was going to write. Now that the greatest part of my work has been written, certain general tendencies appear - general formulas from theories can be deduced. But even now I would prefer to try new ways and instead of deducing theories.[183]

[183] Bartók, Suchoff ed., *Béla Bartók Essays*, 376.

From these sentiments, we can reasonably affirm that this attitude extends to other elements concerning rhythm, structure, and forms. From sketches made in Bartók's surviving notes, evidence of dimensional, proportional, and other variants of such 'set plans' can be seen. However, by viewing their ultimate implementation, it is clear they were not immune to subsequent modification. As Roy Howat states, "Since formal structure was, like other technical problems, 'more or less instinctively felt' to begin with, the process of recognition could well have involved a subsequent refining in detail of proportional qualities inherent in the forms originally intuited."[184]

Howat also states that "… the results of analysis are independent of the question whether the proportional patterns found are the result of 'conscious' or 'subconscious' design, a question relevant [sic] since Bartók is not known ever to have spoken explicitly of proportional structure in his music.".[185] This statement is made partly in response to *ad hoc* convenience of Lendvai's analysis of Bartók's music, and partly as an argument that firmer criteria of analysis are required to determine whether proportional analysis reveals anything significant about the music, or about the composer's intentions or intuitions.

Lendvai responds to Howat's issue regarding analytical accuracy (regarding his own analysis) thusly: "If a painter, having a canvas 443 millimetres wide, succeeds in producing golden section – taken by the eye – with a deviation of ¾ of a millimetre, this is a 'splendid' result. The same deviation in the opening movement of Bartók's Sonata for Two Pianos and Percussion is 'incorrect' – according to my reviewer (Howat) – although the tolerance is no more than one quarter of one single percent.".[186] Lendvai goes on to point out further inconsistencies with Howat's analysis positing the question "Where does precision end and inaccuracy begin?"

As entertaining as this type of exchange is to read, it can end up revealing what actually matters from the audience's point of view; that of whether the music is engaging to listen to, or from the composer's point of view; what questions should I be

[184] R. Howat, 'Bartók, Lendvai and the Principles of Proportional Analysis', *Music Analysis*, 2/1 (Mar., 1983), 85.
[185] *Ibid.*, 70.
[186] E, Lendvai. 'Remarks on Roy Howat's 'Principles of Proportional Analysis', *Music Analysis*, 3/3 (Oct., 1984), 256.

asking myself in order to inform the decisions of my compositional process? From the available documentation of Bartók's opinions on these matters – namely his essays, lectures, and notes – it is clear that in a similar way to how we experience the inherent principles in nature, we do so in music. Aberrations frequently occur in the natural order – mutations being the basis for evolution – and its beauty and wonderment is not negatively affected as such, but arguably enhanced. When presented with music created in adherence to strict 'set plans' void of intuition and instinct, one can be left feeling like they've undergone a rather sterile experience – neither gaining or losing anything as a result (save the expenditure of one's time and energy, which is no insignificant loss). Perhaps a similar parallel may be drawn with musical analysis; George Perle makes a raw point in his essay "Pitch-Class Set Analysis: An evaluation", by stating: "…My critique begins with the subjective, intuitive and spontaneous experience of one who has spent a lifetime listening to music, composing it, playing, and thinking about it, and then finds himself confronted with ways of talking about and analyzing music that have nothing whatever to do with what I would call this "common sense" experience...".[187]

It is this "common sense" experience that formed the basis of Bartók's musical principles. Whilst developing his own sophisticated compositional techniques and devices, Bartók remained well aware of the core elements of what makes music such an effective art form, consequently retaining certain traditional concepts he saw as integral to the experience of music.[188] During a time when multiple artistic movements were born from a desire to jettison past traditions in favour for purely original and unique artistic directions, Bartók remained loyal to his musical experiences and trusted his intuition based on knowledge when conceiving and refining his musical principles. It could be argued that certain phenomenological elements influenced Bartók's principles, based on human responses to nature and the human-made languages created to represent/decipher/communicate them. The employment of Fibonacci and Lucas numbers, rhythmic and harmonic symmetry, the Golden ratio, and the Overtone scale, were all attempts to replicate the efficacy of the human response to nature

[187] Perle, *The Right Notes*, 275.

[188] These ideas are supported by the wealth of literature written by Bartók on multiple aspects of composition and musical analysis, much of which is contained in his collected essays compiled and edited by Benjamin Suchoff, see Bartók, Suchoff ed., *Béla Bartók Essays.*

through music, or the nature of our relationship with nature. As Bartók states, intuition plays an important role in his compositional process, however, even via the “deduction of theories and formulas”, it is evident that his “set plans” play an equally important role in tandem with intuition in his compositional process – whether the result is a piece from Mikrokosmos, a String Quartet, or a Concerto for Orchestra. It is this balance between intuition and set plans achieved by Bartók in his Fourth Quartet that places it as one of the most effective and uniquely successful examples of a symmetrical five-movement form.

Chapter 4 – Memoirs of Misery

Shostakovich: String Quartet No.8, Op.110 (1960)

Search for the "Real" Shostakovich

> In a totalitarian system, relations between the artist and the regime are always extremely complex and contradictory. If the artist sets himself against the system, he is put behind bars or simply killed. But if he does not express his disagreement with its dogmas verbally, [. . .] he is left alone. He is even rewarded from time to time. [. . .] Shostakovich did not wish to rot in prison or a cemetery; he wanted to tell people, through the power of his art, his pain and his hatred of totalitarianism. He wrote all his scores in a Soviet country. He was recognised and given awards there. But in his music he was always honest and uncompromising.[189]

In order to talk about Shostakovich's deeply personal Eighth Quartet, it is essential to understand the socio-political context that had a profound effect on Shostakovich's mental state – a state that directly influenced his compositional decision-making process in this five-movement work. Although there is a wealth of literature written about Shostakovich, the Communist Party, and the Eighth Quartet, its quality reveals many contradictory accounts of events, attached meaning, and even words reported to have come from Shostakovich's himself. Therefore, any attempt to search for the "real" Shostakovich contained in the Eighth Quartet must take into account an accurate portrayal of all elements that resulted in the work's conception and realisation. Due to the extensive use of musical quotation and referential material in Shostakovich's approach, this includes sifting through swathes of literature containing varying amounts of political rhetoric, deferential attachment, misguided analysis, and ad hominem aspersions. Without an appropriate amount of context in which to place Shostakovich's compositional decisions, the relationship between the socio-political context of the time and the material used in Shostakovich's work (especially in the Eighth Quartet) is overlooked at one's peril.

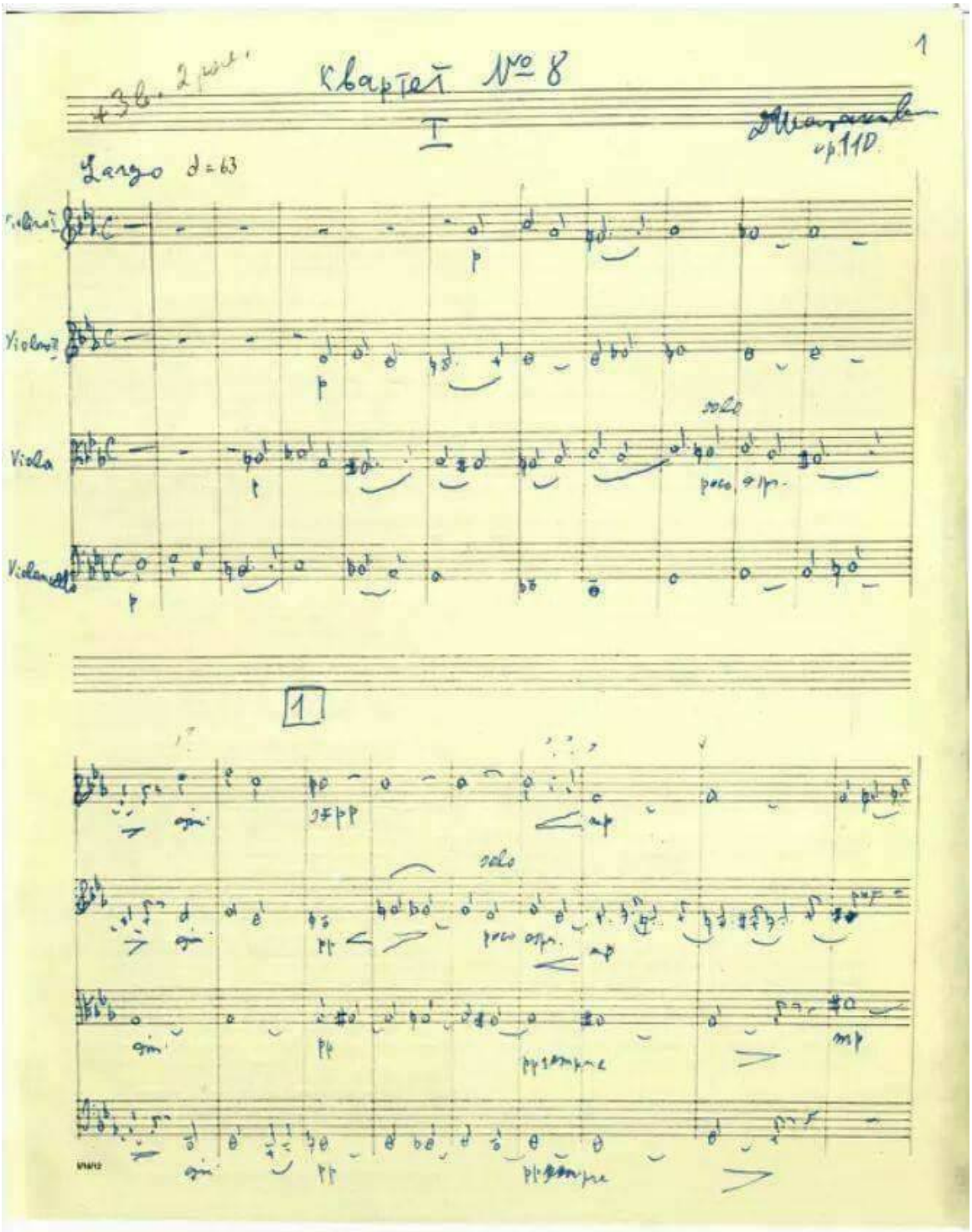
[189] R. Shchedrin, letter in *Gramophone*, (75/894, Nov. 1997), 8.

In the first published edition, the Eighth Quartet bears the dedication "In memory of the victims of fascism and war", however it is important to note that the original manuscript bears no such dedication (Plate 11).[190] It was only after an interview Shostakovich conducted for *Izvestiya* in which the phrase was uttered, did the dedication appear on the published score.[191] The meaning behind this dedication has elicited a number of different interpretations since its premiere by the Beethoven Quartet in the Glinka Small Hall, St. Petersburg on October 2nd, 1960. Where some have interpreted Shostakovich as counting himself amongst the "victims of fascism" as a protest against the perpetrators of such (Nazi-style) tactics,[192] others have viewed the dedication as a tagline that would sufficiently pass muster with the censors, just as he had done with many of his previous works.[193]

When placed in context with the fact that the composer's musical monogram DSCH,[194] appears over 150 times across all five movements, and there are multiple quotations from his earlier works included throughout the entire work, it stands to reason that Shostakovich's self-referential quotes and allusions were made for a more meaningful purpose.[195]

[190] D. Fanning, *Shostakovich: String Quartet No. 8,* Landmarks in Music since 1950, (Surrey: Ashgate, 2004), 13.
[191] M. Dolgopolov, "Schast'ye tvorit' dlya naroda", (*Izvestiya*, 25 September 1960), 4.
[192] According to Alex Ross in his article "Unauthorized" (dated August 30, 2004) appearing in *The New Yorker* (September 6, 2004 issue), the likeness between the tactics of Stalin's Communist Party and that of Hitler's National Socialist Party, were made publicly by authors like Abram Lezhnev in defence of Shostakovich's denouncement in 1936 over his opera *Lady Macbeth of the Mtsensk District* in *Pravda*. Lezhnev's stance against the Party sealed his fate when he was fatally shot in 1938.
[193] W. Lesser, *Music for Silenced Voices: Shostakovich and His Fifteen Quartets* (New Haven & London: Yale University Press, 2011), 148.
[194] Shostakovich's musical monogram DSCH (from the German spelling of his name *D*mitri *SCH*ostakowitsch), when transliterated into German musical nomenclature for E♭ being Es, pronounced like the letter 'S', while B♮ is H, forms a motif which outlines the pitches D-E♭-C-B♮.
[195] This brings to mind Jerome Bruner quoting Hayden White, "Narratives require such scripts as necessary background, but they do not constitute narrativity itself. For to be worth telling, a tale must be about how an implicit canonical script has been breached, violated, or deviated from in a manner to do violence to what Hayden White calls the "legitimacy" of the canonical script." See Jerome Bruner, 'The Narrative Construction of Reality', *Critical Inquiry*, 18 (1991), pp. 1–12, p. 11; quoting Hayden White, 'The Value of Narrativity in the Representations of Reality', *Critical Inquiry*, 7 (1980), pp. 5–28.

Plate 11 - First page of autograph score.[196]



This purpose has been described as 'autobiographical' by many who have written about the work. In 'An Autobiographical Quartet', written for *Sovyetskaya Musyka,* by the then editor, Yury Keldysh, the dedication is explicitly described as "to the memory

[196] D. Fanning, *Shostakovich: String Quartet No. 8,* 13.

of those who fell in the fight against Nazi-ism", in the "composer's own words".[197] Keldysh states that the autobiographical significance of the eighth quartet lies with the quotations from the First and Tenth symphonies and the Piano Trio [Op. 67], as well as several motific similarities to earlier works - without stating which works they are. Interestingly, he neglects to mention the quote from Shostakovich's *Lady Macbeth from the Mtsensk District*, the work that resulted in his first official denouncement by the Communist Party in 1936. Keldysh also neglects to mention the reference to the Eighth Symphony, instead stating that ". . . We do not find the terrifying portrayal of the devastation caused by the ravages of the invader which occupies so large a place, for example, in the Eighth Symphony. . . ".[198] There is no mention of the Cello Concerto No.1 either. Regarding the Piano Trio Op.67 (1943), perhaps Keldysh recognised what Shostakovich called his "Jewish theme" in a work dedicated to his close friend, Ivan Sollertinsky, who died during the Nazi persecution of the Jews in 1944,[199] or perhaps not.

As the editor of an official peer-reviewed journal of the Communist Party, Keldysh's analysis and commentary on Shostakovich's work is all very much in-line with what would have been expected of someone in his position. Ivan Glikman, a close friend of Shostakovich, had sufficiently more information regarding the Eighth Quartet as a result of a letter addressed to him from the composer dated July 19th, 1960:

> . . . Dresden was an ideal set-up for getting down to creative work. I stayed in the spa town of [Gohrisch], . . . a place of incredible beauty – as it should be, the whole area being known as 'the Switzerland of Saxony'. The good working conditions justified themselves; I composed my Eighth Quartet. As hard as I tried to rough out the film scores which I am supposed to be doing, I still haven't managed to get anywhere; instead I wrote this ideologically flawed quartet which is of no use to anybody. I started thinking that if some day I die, nobody is likely to write a work in memory of me, so I had better

[197] Y. Keldysh, "An Autobiographical Quartet." *The Musical Times,* 102/1418 (1961), 226.
[198] *Ibid.,* 226.
[199] J. Braun, "The Double Meaning of Jewish Elements in Dimitri Shostakovich's Music." *The Musical Quarterly* 71/1 (1985), 76.

write one myself. The title page could carry the dedication: 'To the memory of the composer of this quartet'.

The basic theme of this quartet is the four notes D natural, E flat, C natural, B natural – that is, my initials, D. SCH. The quartet also uses themes from some of my own compositions and the Revolutionary song 'Zamuchen tyazholoy nevolyev' ['Tormented by grievous bondage']. The themes from my own works are as follows: from the First Symphony, the Eighth Symphony, the [Second Piano] Trio, the Cello Concerto, and *Lady Macbeth.* There are hints of Wagner (the Funeral March from *Götterdämmerung*) and Tchaikovsky (the second subject of the first movement of the Sixth Symphony). Oh yes, I forgot to mention that there is something else of mine as well, from the Tenth Symphony. Quite a nice little hodge-podge, really. It is a pseudo-tragic quartet, so much so that while I was composing it I shed the same amount of tears as I would have to pee after half-a-dozen beers. When I got home, I tried a couple times to play it through, but always ended up in tears. This was of course a response not so much to the pseudo-tragedy as to my own wonder at its superlative unity of form. But here you may detect a touch of self-glorification, which no doubt will soon pass and leave in its place the usual self-critical hangover. The quartet is now with the copyists, and soon I hope the Beethovens[200] and I will be able to start work on it.[201]

In July of 1960, Shostakovich travelled to Dresden, ostensibly to collaborate with his old friend Leo Arnshtam on a film commemorating the World War II devastation of the city, *Five Days – Five Nights*. It was during this time Shostakovich spent a restorative period in the town of Gohrisch, completing the Eighth Quartet.[202]

Later in September of the same year, Shostakovich attended concerts in Paris and London given by the touring Leningrad Philharmonic – no doubt in a somewhat official

[200] The members of the Beethoven Quartet were all close acquaintances of Shostakovich. They premiered all but two of his quartets (exceptions being 1 and 15), according to Fay in, *Shostakovich: A Life* (359).
[201] I. Glikman, trans. A. Phillips, *Story of a friendship: The Letters of Dmitry Shostakovich to Isaak Glikman, 1941-1975* (New York: Cornell University Press, 2001), 90-91.
[202] L. E. Fay, *Shostakovich: A Life* (London: Oxford University Press, 2000), 217.

capacity, as he had been unanimously elected the First General Secretary of the Russian Federation Union of Composers a couple weeks earlier (14 September). In an interview given shortly before his departure for London, he spoke about his summer's work, including his stay in Dresden:

> The terrors of the bombardment that the inhabitants of Dresden lived through, which we heard about [through] the words of the victims, suggested the theme for the composition of my Eighth Quartet. I found myself under the influence of the scenes being filmed, reproducing the way it used to be. I wrote the score of my new quartet in the space of a few days. I am dedicating it to the victims of war and fascism.[203]

It is important to note when reading Shostakovich's own words in official statements, interviews, and anecdotes, that these words were being submitted by a subject directly affected by the mechanics of a complex political system. Like many high-profile citizens living under the Soviet regime, Shostakovich habitually tailored his words to the understanding of whomever he was addressing. This was also true for his conversations with individuals, regardless of their political persuasion. Such a trait was evidently sufficiently remarkable for a number of his acquaintances to draw attention to it.[204] Sviatoslav Richter's story shows how ingrained the habit was. Richter's teacher, Heinrich Neuhaus, was sitting next to Shostakovich at a bad performance of a symphony by an unidentified composer:

> Neuhaus leaned over to whisper in Shostakovich's ear: "Dmitri Dmitrievich, this is awful." Whereupon Shostakovich turned to Neuhaus: "You're right, Heinrich Gustavovich! It's splendid! Quite remarkable!" Realizing that he'd been misunderstood, Neuhaus repeated his earlier remark: "Yes," muttered Shostakovich, "it's awful, quite awful."
>
> That was Shostakovich to the life.[205]

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[203] *Ibid.*, 219.

[204] D. Fanning, *A Response to Papers by Ho and Feofanov* (1998) in H. B. Brown, *A Shostakovich Casebook* (Indiana: Indiana University Press, 2005), 272.

[205] Sviatoslav Richter with Bruno Monsaingeon, *Sviatoslav Richter: Notebooks and Conversations* (Princeton, N.J.: Princeton University Press, 2001), 126.

The confusion surrounding the true meaning of Shostakovich's words, let alone the true meaning behind many of his works, has led many a musicologist astray. There were few individuals in Shostakovich's inner circle (outside his family) whom he felt he could trust unreservedly. Glikman proved to be one of his most trusted friends throughout his life, and one of the few people that who did not seek personal gain from Shostakovich's notoriety[206] – both during and after Shostakovich's death in 1975. Consequently, Glikman remains one of the most agreed-upon reliable sources for commentary on aspects of Shostakovich's life.

[206] At least before Shostakovich's death in 1975. Richard Taruskin lumps Glikman with Solomon Volkov and Ian MacDonald, describing their publications as "opportunistic" in R. Taruskin, *Defining Russia Musically: Historical and Hermeneutical Essays* (Princeton: Princeton University Press, 1997), 497.

Writing Himself into the Eighth Quartet

In the events leading up to the intense creation of the Eighth Quartet from his summer trip to Dresden, Shostakovich was under an incredible amount of stress, placed upon him by certain individuals making plans on his behalf, ostensibly beyond his control. Glikman recalls his encounters with Shostakovich during the last ten days of June 1960.[207] Glikman's account of Shostakovich's appointment and subsequent Party membership goes some way to revealing Shostakovich's mindset during this period. Although Lebedinsky's claims surrounding these events attributes the pressure to join the Party not as a result of any grand plan by Khrushchev, but from low-level functionaries looking to feather their own caps with such a trophy; and had given him to understand, shamefacedly, that he had succumbed while under the influence of alcohol.[208] Either way, the result was the same. His acceptance of the position caused a shockwave through his friends and acquaintances who saw this yield as a betrayal of Shostakovich's principles and a perfidious move against his former fellow Soviet citizens. Given the climate of fear and disinformation that existed behind the Iron Curtain during this time, many of Shostakovich's friends could be forgiven for thinking the worst. Shostakovich was well aware of the perception these developments would breed and chastised himself for this act of cowardice and complicity in recurring bouts of self-loathing.[209]

Accounts from the first private performance of Shostakovich's Eighth Quartet by the Beethoven Quartet describe Shostakovich being visibly afflicted with grief whilst they played. On a later occasion, when the Borodin Quartet played it to the composer at his home, Valentin Berlinsky (cellist of the Borodin Quartet at the time) reports: "When we finished playing, he left the room without saying a word, and didn't come back. We quietly packed up our instruments and left. The next day he rang me up in a state of great agitation. He said, 'I'm sorry, but I just couldn't face anybody. I have no corrections to make, just play it the way you did.'"[210]

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[207] See Appendix A, item viii.
[208] Fay, *Shostakovich: A Life,* 217.
[209] *Ibid.,* 278.
[210] Lesser, *Music for Silenced Voices*, 145. Rostislav Dubinski, first violinist with the Borodin Quartet (1945-1975), also tells a similar story with a few small details changed. See Malcolm Brown, *A Shostakovich Casebook*, 337-338.

The work was critically acclaimed by musicians, critics, and Party sympathisers alike. For members of the Party, a lot of justification was required in order to be deemed acceptable, let alone make sense of a work of such a depressing nature. That it was "autobiographical" in its essence did not escape attention. The pervasive use of the composer's monogram and numerous quotations from his earlier works were believed to under-score his lifelong "struggle against the dark forces of reaction".[211] Consequently, many myths and legends about Shostakovich's Eighth Quartet were born, and many of them are still parroted decades after the composer's death.

The topic of the meaning behind material used in Shostakovich's music is extraordinarily complex. Beyond the undisputed quotations reproduced with relative accuracy, the borderlines between references, allusions, affinities, and coincidence are notoriously difficult to define. A list of possible external influences in the Eighth Quartet is contained in David Fanning's book *Shostakovich: String Quartet No. 8,*[212] some items of which are compelling and provide a meaningful context, and others, mere tenuous conjecture[213] – a point made by the author himself.[214] My analysis displays the uncontested quotations alongside certain unverifiable allusions and affinities that sufficiently add meaning to the music written by Shostakovich. "Meaning" that could possibly be worthy of consideration for the interpretation of a performer, or compositional process of a composer. In the interest of informing one's interpretation, relevant information surrounding each musical reference is provided, allowing a better chance at placing the potential connotations more accurately.

In this emotionally charged, arguably prophetic quartet, all five movements are played *attacca*, creating an unbroken narrative. The tempo structure of the five movements is uncommonly asymmetrical with two fast movements appearing successively as movements II and III. Despite the asymmetry in tempo structure, movements I and V share a similar treatment of the DSCH motif, which forms the basis for much of the

[211] Fay, *Shostakovich: A Life,* 220.
[212] Fanning, *Shostakovich: String Quartet No. 8,* 51.
[213] *Ibid.,* 54. E.g., Fanning, draws an affinity from bb.114-125 movement II in the Eighth Quartet with bb.147-150 movement III in the Seventh Quartet; however, the affinity between bb.156-169 movement III in the Seventh Quartet and the opening of movement IV in the Eighth apparently doesn't warrant the same attention.
[214] *Ibid.,* 55.

prominent material used in every movement. The manner in which this motif is employed, within the order in which each of the five movements appear, is integral to the "narrative" of the work; effectively portraying the progression of Shostakovich's sentiments and thought processes that unfold throughout each movement within the five-movement form. This is contextually coalescent with the character of each movement. Although there is a large amount of repetition involved, there is almost always development to justify/qualify the repetition. When phrases or sections are recapitulated, they seldom appear exactly the same. On the repetition of the DSCH motif, Reichardt writes about Eric Roseberry's ideas explaining how Shostakovich uses an "association of ideas" to create "large-scale integration and continuity" in what he terms the "continuity quartets":

> As the motive moves to become a more dominating presence in the music, the subject it tries to represent further diminishes with each repetition. The result is that the quartet is overrun with a signifier emptied of any presence—a ghost that marks the absence of the subject. The motive that was to represent the man ends up becoming a signifier of the inhuman… In short, the quotes are summoned by the proper name in hopes of conjuring up the identity of the subject so that the sign of absence may be filled by their presence.
>
> Within the musical context, the motive interacts with the quotations in various ways: as an introductory and/or conclusionary framing device, eliding into the quote so that a seamless transition leads the motive into the quotation and at other times the quote seems to literally come out of, or be created by, the motive.[215]

[215] S. Reichardt, 'Composing the modern subject: Four string quartets by Dmitri Shostakovich', PhD dissertation, (The University of Texas at Austin, 2003), 94.

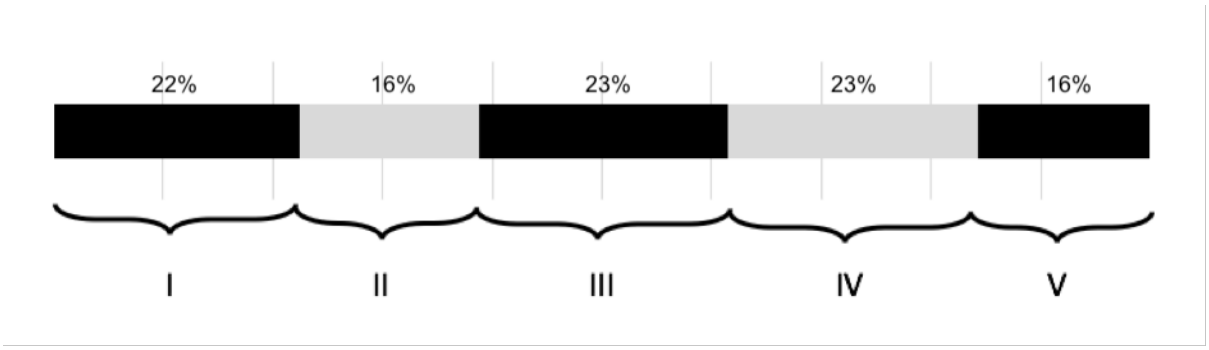
Analysis of Shostakovich's String Quartet No.8, Op.110

Due to this work using the composer's monogram to such a generous extent, it is unmistakably in C minor, as it is the only key in which the DSCH motif can functionally cadence. As for the proportions of each movement in context of the entire work, the relevant data is displayed in Table 30 with the proportional percentage chart displayed in Figure 24. Duration is calculated using the formula $\frac{(Number\ of\ beats)\times(Beats\ per\ bar)}{Beats\ per\ minute\times 60}$ to give the number of seconds for each movement. The proportional percentage is calculated using the number of seconds. Tables displaying structural data for each movement are displayed under the subsequent subheadings.

Table 30 - Proportional data for Shostakovich's String Quartet No.8 Op.110.[216]

Movement	# Bars	Time Signature	Tempo	Duration		Proportional %
			(Minim =)	seconds	mm:ss	
I - Largo	126	4/4	63	240	4:00	22%
II - Allegro molto	349	2/2	240	175	2:54	16%
III - Allegretto	301	2/2, 3/4, 2/4	120	241	4:01	23%
IV - Largo	187	3/4	69	244	4:04	23%
V - Largo	88	4/4	63	168	2:48	16%
Total	1051			1068	17:48	100%

Figure 24 - Proportional chart for Shostakovich's String Quartet No.8 Op.110.[217]



[216] Analysis mine
[217] Analysis mine

I – Opening Statement

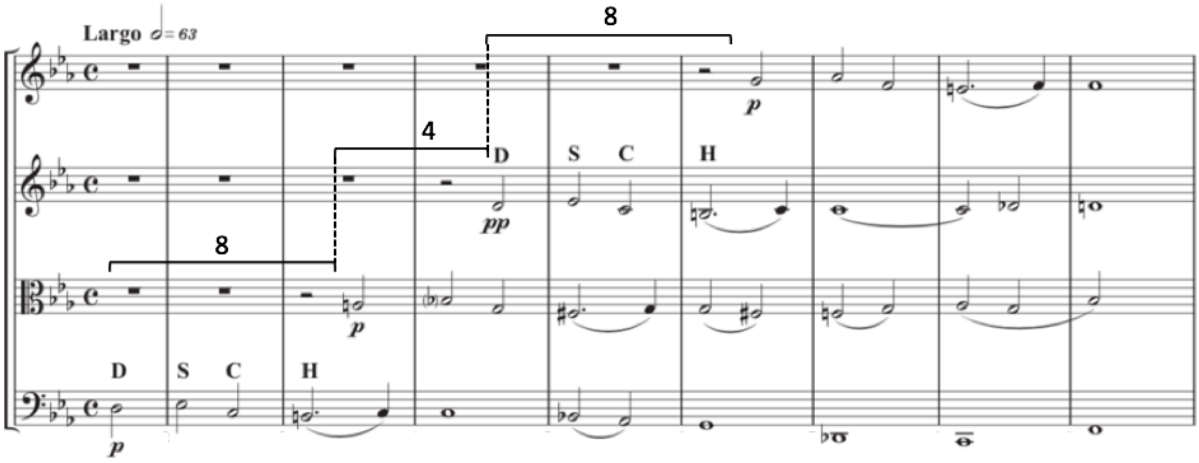
Table 31 - Formal data for Shostakovich's String Quartet No.8 Op.110 (Movement I).[218]

Section	Bar range	# Bars	Key	Proportional %
A	1-27	27	C minor	21%
B	28-49	22	C minor	17%
C	50-85	36	C major	29%
B	86-103	18	A minor	14%
A	104-126	23	C minor	18%
Total		126		100%

Shostakovich makes it overt from the very first event that his monogram is going to play a prominent role within this work. The intervallic relationships between the pitches that make up the DSCH motif create an octatonic tetrachord; much of the melodic movement uses the octatonic mode/scale, which is characteristic of Shostakovich's distinctly unique sound. Once the initial DSCH motif is established by the cello, the other instruments enter with transpositions of this motif in a symmetrical canonic manner (Ex.39). One may well be forgiven for mistaking the opening as being fugal, however, there are a couple of clues to suggest these entries are canonic rather than fugal. Firstly, the final entry in the first violin breaks the tonic, dominant, tonic, dominant order of entries by entering on the subdominant (rather than in the dominant). Secondly, there is an omission of a stretto which would usually occur after the second entry to facilitate harmonic movement back to the tonic in preparation for the third entry. In fact, what we find is the third rhythmic point of entry is halved in comparison to the first and second. Incidentally, the final movement, which is a fugue, does not contain a stretto in its exposition. It does however follow the traditional harmonic order of entries.

[218] Analysis mine

Ex. 39 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement I, bb.1-8). [219]

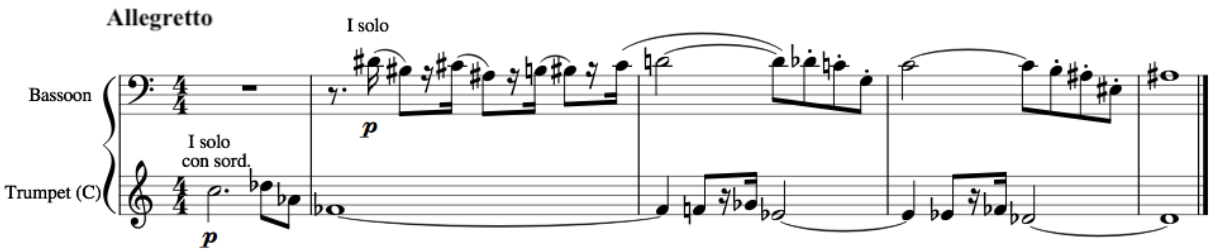


The first movement uses the traditional 'Arch-form' – A-B-C-B-A – possibly suggesting a premonitory glance at the cyclical nature of the forthcoming journey, as the final movement ends with the same material from the A section in the first.

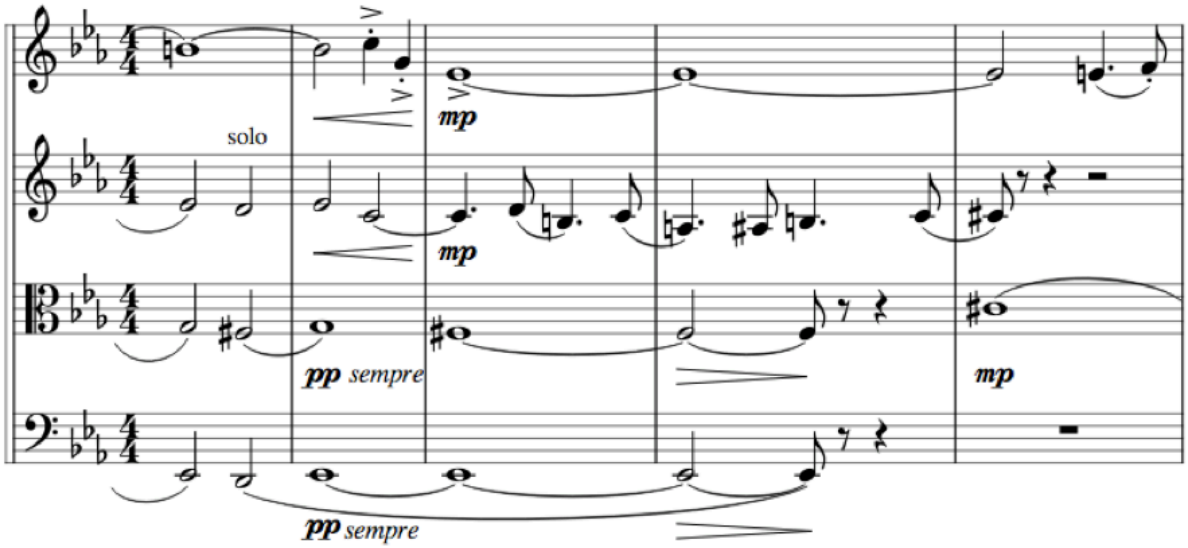
We are introduced to the first quotation of Shostakovich's earlier works in bar 16, which comes from the First Symphony (Ex.40). This quote is modified to suit the character established during the preceding 16 bars. Within the context of the *Largo* tempo (compared with the *Allegretto* tempo from the First Symphony), the articulations used in the quartet create a more *martelé* realisation in contrast to the original material which is more *leggiero* in nature. The First Symphony was written when Shostakovich was 19 years old as a graduation work whilst he was a student at the Petrograd Conservatory. It has often been described as a work filled with youthful exuberance that exemplified the young composer's talent. Claims have also been made that it is reminiscent of his childhood and contains material written much earlier.[220]

[219] Numbers denote # of beats. Analysis mine.
[220] M. Steinberg, *The Symphony* (Oxford and New York: Oxford University Press, 1995), 539.

Ex. 40. - Shostakovich – Symphony No.1 in F minor, Op.10 (Movement I, bb.1-5)



Ex. 41 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement I, bb.15-19)



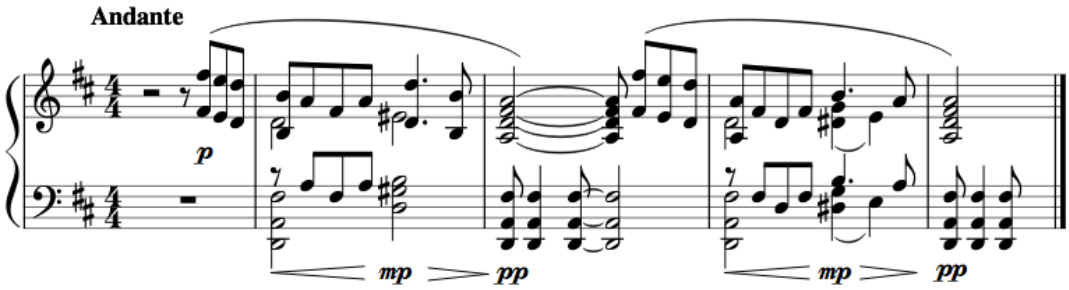
This quote leads into the succeeding B section, but not before including another iteration of the DSCH motif as a transitory passage. The DSCH motif is used in the transition between every section in the first movement, firmly establishing his presence throughout the entire movement. The melodic material from the B section is influenced by what Shostakovich calls “a hint [sic] of Tchaikovsky (the second subject from the first movement of the Sixth Symphony)”[221] (Ex.42).[222] Written towards the end of Tchaikovsky’s life, his sixth symphony has long been thought to contain the emotional outpours of a composer postulating their own passing. Such notions soon became cemented in history when Tchaikovsky died nine days after conducting its premiere, so much so, that it led to rumours circulated in the 1980s describing Tchaikovsky’s

[221] Glikman, *Story of a Friendship,* 91.

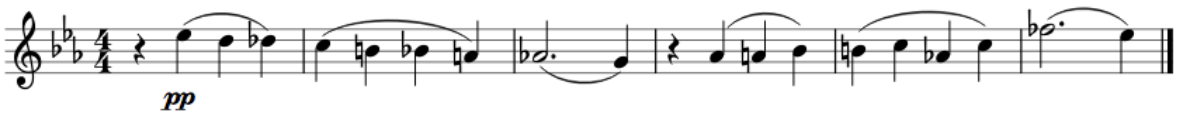
[222] In modern recordings of Tchaikovsky’s Sixth Symphony, the second subject is frequently played/interpreted as an instance of the “Russian Upbeat” – meaning the first anacrusic note of a phrase is played as a downbeat, whereas in recordings of Shostakovich’s quartet, the first violin line is almost always played as a weak beat that moves towards the C in the following bar (29).

death as a suicide, after word of a salacious affair with a notable nobleman became a public scandal. Although there is insufficient reliable evidence to substantiate these claims, the story was widely believed to be true.[223] Regardless, the connotations attached to Tchaikovsky's final symphony and the admission of intent in Shostakovich's Eighth Quartet contain parallels that are worthy of consideration. Having said this, the most wrenching movement is by far the fourth in Tchaikovsky's Sixth Symphony – containing one of the greatest prolonged denouements ever written, yet Shostakovich chooses to *hint* at a much less depressing subject from the first movement.

Ex. 42 - Tchaikovsky – Symphony No.6 in B minor, Op.74 "Pateticheskaya" (Movement I, second subject, bb.89-93).



Ex. 43 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement I, violin I, bb.28-33).



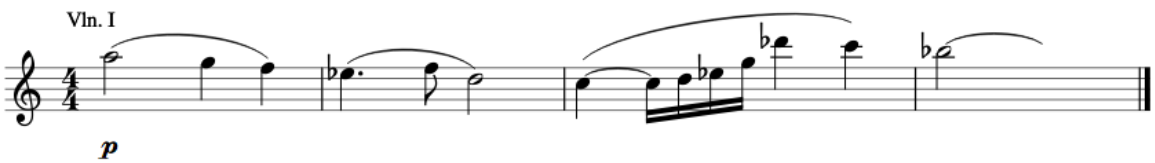
After another DSCH transition in the cello (b.46), the C section introduces a new theme, the derivation of which is often attributed to the Fifth Symphony.[224] Although not as precise in its transcription compared with the quote from the First Symphony, the similarities between melodic contours can clearly be heard despite appearing in different harmonic contexts, regardless of coincidence or design; in the symphony, the theme begins on the fifth degree (dominant) of F minor and in the quartet, it begins on

[223] G. Abbott, Tchaikovsky's Symphonies from *Classics Unlocked* podcast, (Universal Music Australia, 18/6/19).
[224] The only source that claims Shostakovich intentionally quoted the Fifth Symphony is Solomon Volkov's *Testimony: The Memoirs of Dmitri Shostakovich,* as related to and edited by Solomon Volkov, trans. A. Bouis, (New York: Harper & Row, 1979), 118/156.

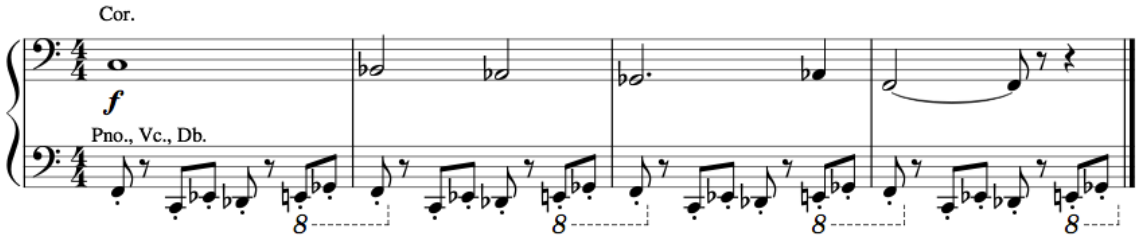
the raised third degree (mediant), giving the section a major tonality – one which seldom appears in this work.

Written in 1937, the Fifth Symphony was Shostakovich's response to the editorial entitled "Muddle Instead of Music" that appeared in *Pravda* on January 28, 1936, denouncing the composer and his opera *Lady Macbeth of the Mtsensk District* (Plate 12). It was expected that his next major work would be free of the "formalism" that caused Shostakovich to fall out of Stalin's favour, and instead be in the approved ultra-nationalist style. Instead, he produced the Fifth Symphony, yet another work filled with references and hidden meaning. The attributed quote from this symphony in the Eighth Quartet appears as the first subject in the first movement (Ex.44) and is subsequently used multiple times. The next iteration follows a theme derived from a folk song recognisable to the Soviet audience, modified in an unmistakably "Shostakovich" manner, to then be interrupted by all four horns blasting out the theme in their lowest register (Ex.45). The music then morphs into a distinctly militaristic character where multiple themes appear concurrently. The theme played by the first violin from bar 55 in the quartet appears over a pedal-note continued from the preceding section. Shostakovich used pedal-notes and drones prolifically for a range of purposes, not least of which to create an atmosphere of expansive desolation, and/or build tension through inactivity (Movement I from the Sixth Symphony, Movement IV from the Seventh Symphony, Movement I from the Eleventh Symphony, and scene 9 in *Lady Macbeth* before Katerina drags Sonyetka into the icy water with her, where a pedal-note lasts over four minutes, to mention but four examples).

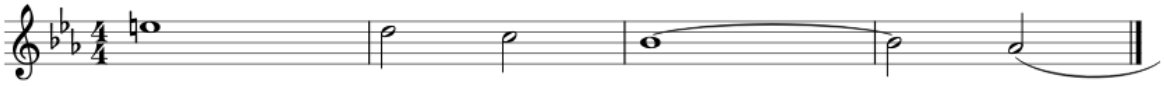
Ex. 44 - Shostakovich – Symphony No.5 in D minor, Op.47 (Movement I, bb.6-9).



Ex. 45 - Shostakovich – Symphony No.5 in D minor, Op.47 (Movement I, bb.122-125).

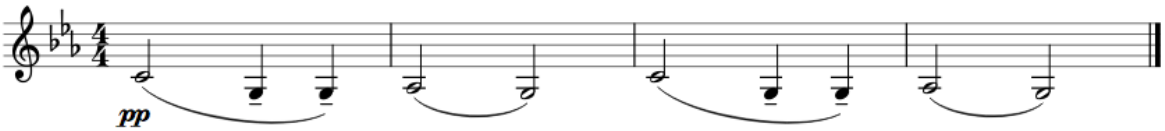


Ex. 46 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement I, violin I, bb.55-58).



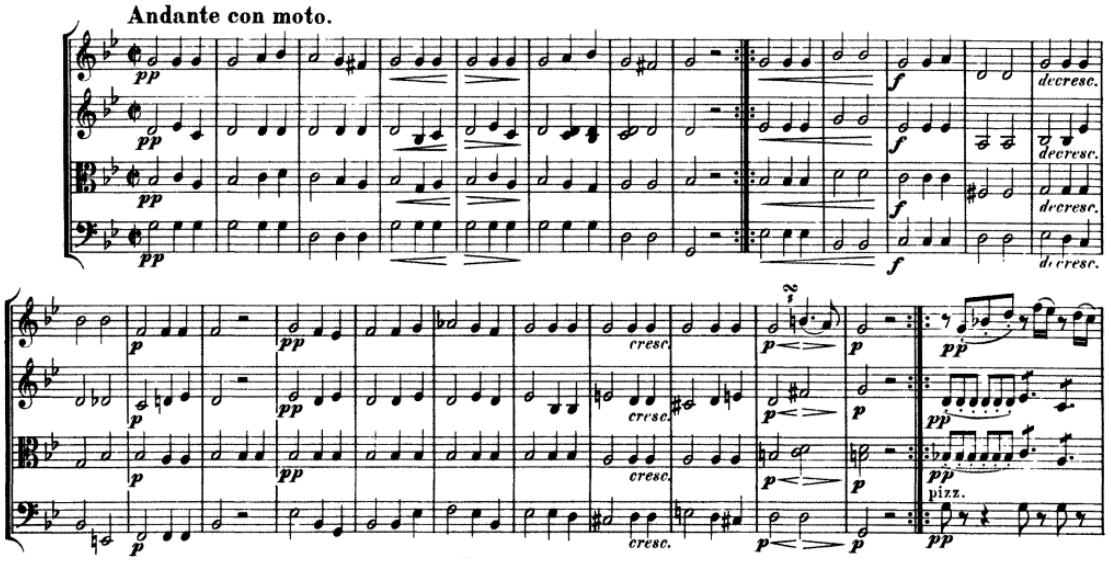
The countermelody playing with the theme from the Fifth Symphony in the second violin part contains a dactylic rhythm reminiscent of the Schubert lied *Der Tod und das Mädchen*, which is more closely reflected in the second movement of his String Quartet D.810 "Death and the Maiden" – especially from b.9 (Ex.48). Schubert's *Lied* is a setting of a poem of the same title by Matthias Claudius which depicts The Maiden spurning the advances from Death, who is beckoning her to "softly rest within his arms". The rhythm accompanying the melody acts as a death-knell signifying the fate that awaits The Maiden. However, it is worth reiterating, like with other parallels that can be drawn it can only be known to Shostakovich himself whether or not this rhythm has any significant meaning attached to it.[225]

Ex. 47 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement I, violin I & II, bb.50-53).



[225] This rhythm also appears in the *Allegretto* second movement of Beethoven's *Symphony No.7 Op.92*, often referred to as a "funeral march".

Ex. 48 - Schubert – String Quartet No.14 in D minor, D.810 "Der Tod und das Mädchen" (Movement II, bb.1-24).[226]



From bar 79, the DSCH motif provides a transition into the succeeding B section. The "hint" of Tchaikovsky returns in the cello to give some reprieve from the C pedal-note that has underpinned the harmony for most of the movement. A descending line that passes through every step of the chromatic scale from bar 100 in the cello eventually points towards a low D that provides us with another DSCH transition leading into the final A section. After a reiteration of the material from the First Symphony, the last statement of the DSCH motif provides the movement with a perfect cadence in C minor. Despite this cadence, the final five bars of the movement serve as a transition into the succeeding movement, facilitated by the motif displayed in Ex.47, sustaining the dissonant pitch of the motif, A♭ (spelled G♯), in harmonic preparation for the G♯ minor second movement.

[226] F. Schubert, *Franz Schubert's Werke, Serie V: Streichquartette, No.14* (Leipzig: Breitkopf & Härtel, 1890, reprinted New York: Dover Publications, 1965), 271.

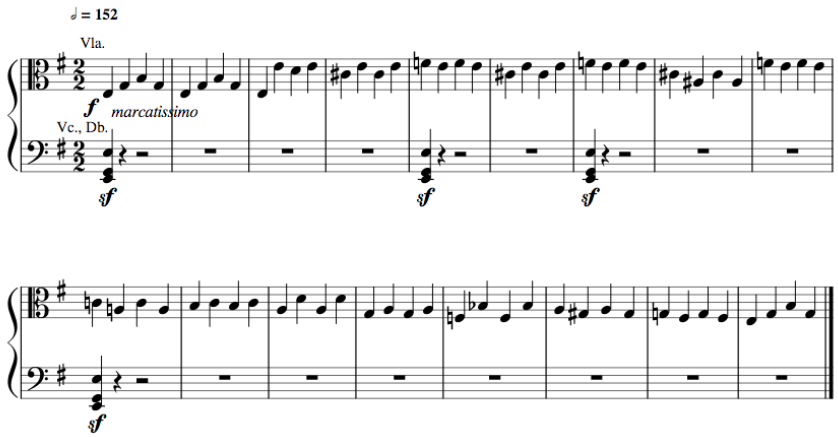
II – The Dogs are Released

Table 32 - Formal data for Shostakovich's String Quartet No.8 Op.110 (Movement II).[227]

Section	Bar range	# Bars	Key	Proportional %	
A^1	1-75	75	G♯ minor	21%	36%
A^2	76-125	50		14%	
B^1	126-174	49	C minor	14%	31%
B^2	175-232	58		17%	
A^1	233-258	26	G♯ minor	7%	16%
A^2	259-288	30		9%	
B^2	289-323	65		10%	17%
B^1	324-349	26	C minor	7%	
Total		349		100%	

The immediate change of character created by the material in the beginning of the second movement evokes the frenzied terror represented in the opening of the Eighth Symphony's third movement (Ex.49).[228] Similar material has been attributed to the second movement of the Tenth Symphony, which is closer to the quartet in tempo than that of the eighth. All three works contain intermittent intervals of a repeated minor third (or alternatively, minor chords omitting the dominant) accentuated with force, accompanying a fast-moving *moto perpetuo* line. On each occasion, this recipe creates an aura stricken with fear (Ex.50).

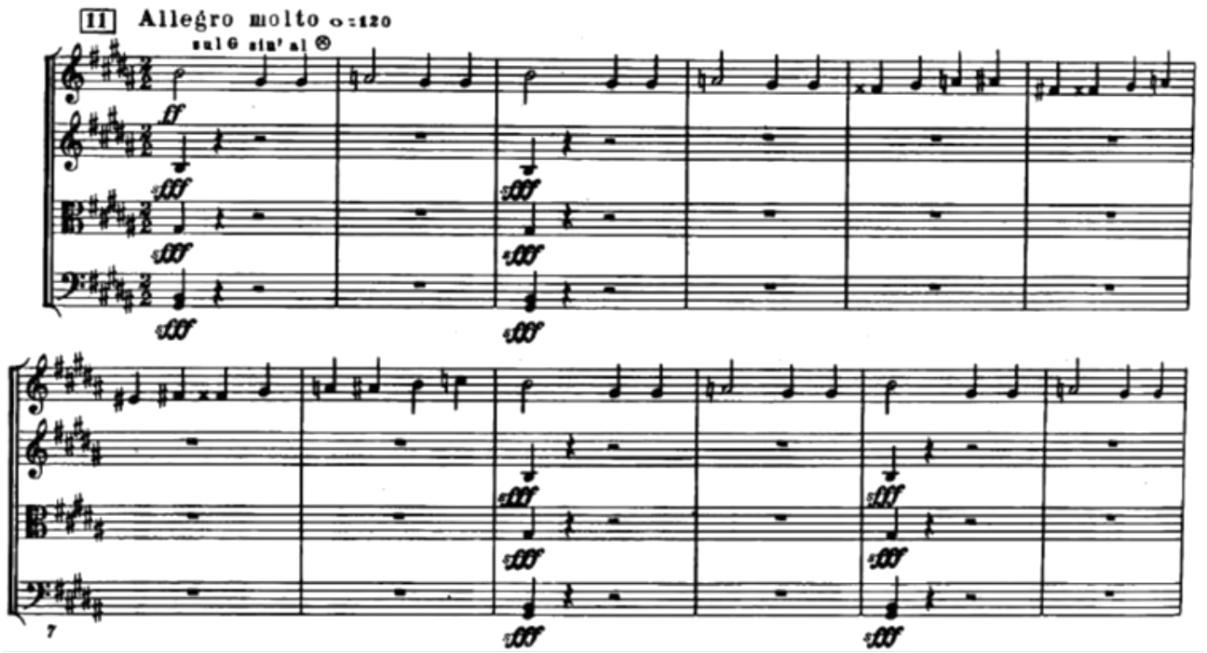
Ex. 49 - Shostakovich – Symphony No.8 in C minor, Op.65 (Movement III, bb.17-34).



[227] Analysis mine

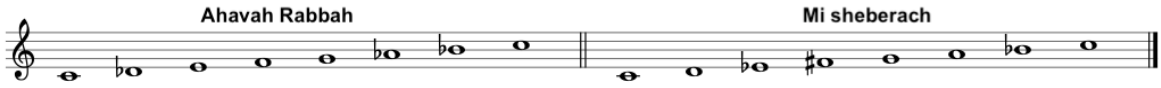
[228] According to Maxim Shostakovich (Dmitri Dmitrievich's son) in a lecture given at Harvard University on June 12th, 1990, he describes the third movement as "In it, a person is escaping from somewhere with dogs snapping at his legs. Shostakovich hated the word 'scherzo'; his jokes were very serious.". See Ho and Feofanov, *Shostakovich Reconsidered*, 411.

Ex. 50 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement II, bb.1-12).



The succeeding 100 bars go a long way to contributing to the DSCH count, appearing in almost every perceivable permutation; augmented (viola and cello b.32), diminished (b.62), canon (bb.62-68), and in counterpoint with itself (b.69). Harmonically, there is constant movement between minor, octatonic, and chromatic tonalities – with allusions to the *Ahavah Rabbah* and *Mi sheberach* modes (Figure 25).

Figure 25 - Ahavah Rabbah and Mi sheberach modes.

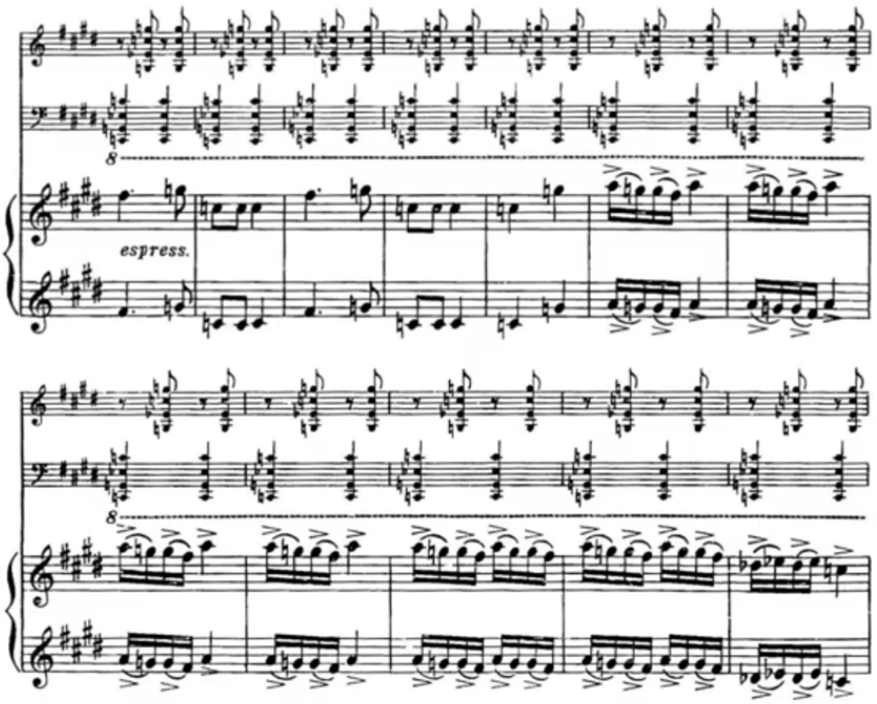


All of the DSCH mania from this opening section culminates in the quotation of what Shostakovich called his "Jewish theme" from the Piano Trio No.2, Op. 67 (Ex.51) in bar 126. Shostakovich finished the first movement of his second Piano Trio on February 14th, 1944, four days after the death of Ivan Sollertinsky, its dedicatee.[229] Condemned by Soviet official criticism, and blamed for contributing to Shostakovich's "formalism", he was one of the composer's closest friends and the one who introduced him to twentieth-century modern music, art, and literature.[230] Sollertinsky was actively

[229] Fay, *Shostakovich: A Life,* 141.
[230] Braun, "The Double Meaning of Jewish Elements in Dimitri Shostakovich's Music.", 76.

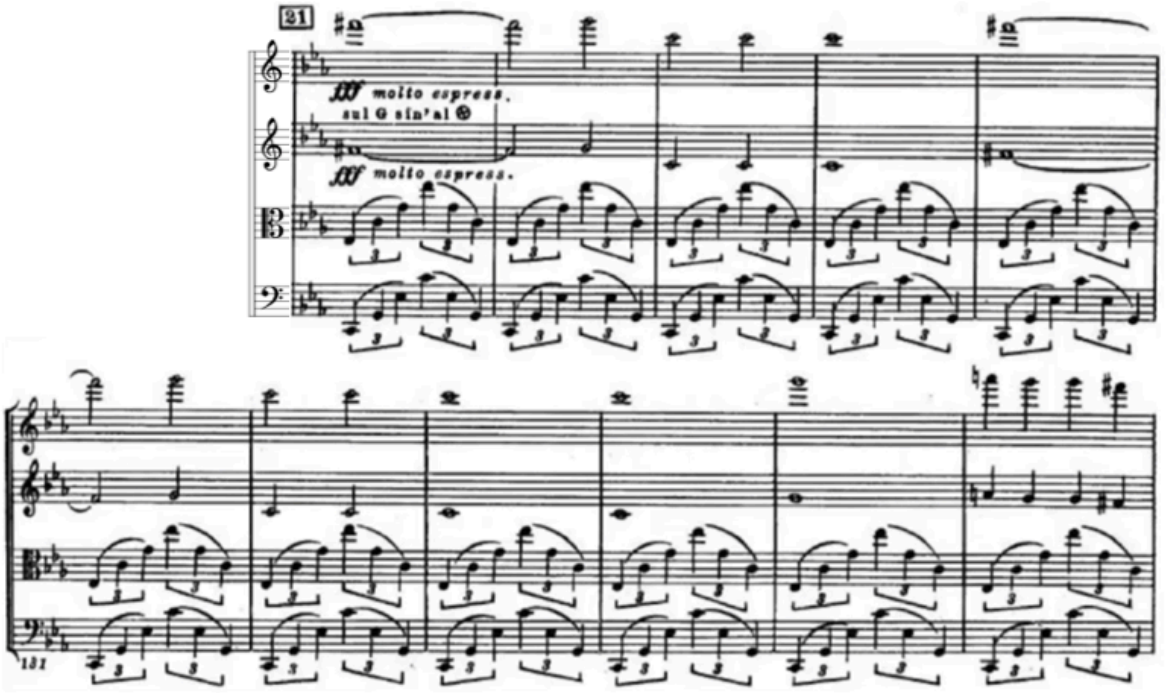
under persecution from Nazi forces when he died. The Jewish subjects contained in the final movement of the Trio are a direct reference to the dedicatee and his lineage. Given the illicit rhetoric comparing the purges of the Communist Party to the those of the National Socialist Party prevalent amongst certain circles of *the people*, the inclusion of this quote – following such a frantic section – gains a particularly poignant overtone (Ex.52).

Ex. 51 - Shostakovich – Piano Trio No.2 in E minor, Op.67 (Movement IV, bb.31-42).[231]



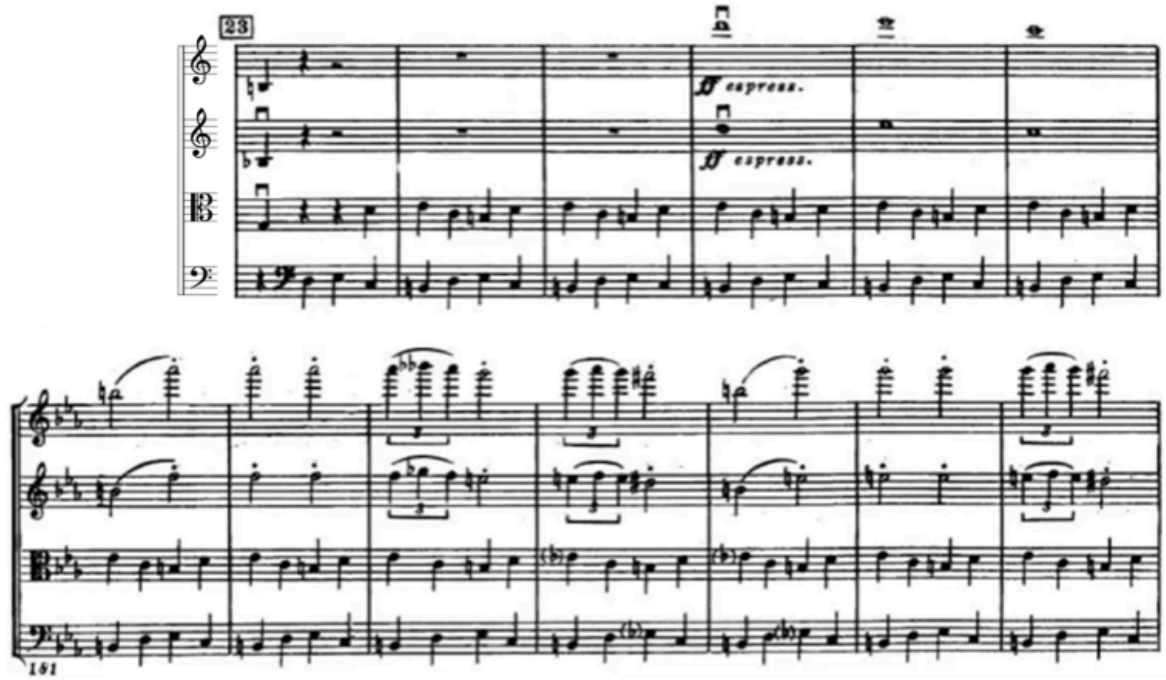
[231] D. Shostakovich, *Piano Trio No.2 in E minor, Op. 67,* score (Hamburg, Musikverlag Hans Sikorski, 1962).

Ex. 52 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement II, bb.126-136).



After a brief transition containing previously stated *moto perpetuo* material, the reels on the DSCH counter reach terminal velocity. The cello and viola entering with the DSCH motif in canon (from b.175), creating an ostinato moving in perfect inversion, accompanies the same motif in its most augmented iteration (from b.178)(Ex.53).

Ex. 53 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement II, bb.175-187)



This new expression of the DSCH motif signifies a new subsection, breaking the B section into two subsections roughly equal in length (with a transition betwixt them). Similarly, the A section is structured with a repetition of the opening melody in bar 76. Again, breaking the section into two subsections roughly equal in length, separated by a transition (laden with the DSCH motif).

With the recapitulation of section A in bar 233, the melodic cells from the initial A section appear with their rhythms and phrase lengths modified – e.g. the opening 8 bar phrase has now become a 7 bar phrase. Structurally, we find ourselves more than two thirds through the movement, meaning the remaining sections transpire in less than a minute. This comparatively rapid-fire statement of material serves to heighten the state of anxiety expressed through the music. Adding to the chaos is the introduction of newly developed material from b.259 (violin I part), which is met with a change in harmony (≃E minor) and a modified order of material in which the proceeding bars appear in comparison to the initial A section.

Further modifications occur in the succeeding B section, where the order in which the respective themes appear in the initial B section are reversed. When the B^2 theme returns following the statement of DSCH (b.300), the first and second violins are distanced an octave apart, when first they played in minor 10^{th}s in b.181 (then at the major 6^{th} b.193, and the tritone b.197). On the repeating DSCH motif b.305, we see the first reduction in dynamic since the opening chord marked *sfff*. The *subito piano* marking provides a sudden drop in intensity to prepare the gradual building of tension culminating in the return of the "Jewish theme", this time with roles reversed; the upper parts providing the harmonic context through broken chords, and the theme being played by the lower parts towards the top of their register.

David Fanning describes the ending of both the second and third movements as "incomplete".[232] However, the word "incomplete" carries connotations suggesting Shostakovich had left these movements in such a state unintentionally, but the point Fanning makes pertains to the fact that each movement ends before a final cadence

[232] Fanning, *Shostakovich: String Quartet No. 8,* 50, 73, 89, 103, 134.

is reached.[233] This may be something one might come to expect in a work where all of the movements are connected. Although the second and third movements end without a cadential point, their endings have distinctly different functions and quite possibly have a different narrative purpose.[234] If Maxim Shostakovich's illustration of the Eighth Symphony's third movement[235] is applicable to the second movement of the Eighth Quartet, the abrupt ending would strongly suggest a "cliff-hanger moment" (to descend momentarily into film parlance), where the audience is left wondering what the outcome of the preceding chase is. Was DSCH caught or did he escape?

[233] *Ibid.,* 134. In the following statement made about Shostakovich: "deliberately [leaving the second movement] incomplete", he continues: "The *Allegro molto* cuts off its second Trio section in its prime, completing it punningly by the DSCH motif at the head of the *Allegretto* third movement. . .".
[234] *Ibid.,* 73, 86, 89, 103, 134.
[235] Ho and Feofanov, *Shostakovich Reconsidered,* 411.

III – Waltzing Dmitri

Table 33 - Formal data for Shostakovich's String Quartet No.8 Op.110 (Movement III).[236]

Section	Bar range	# Bars	Key	Proportional %	
A^0	1-16	16		5%	39%
A^1	17-66	50	G minor	17%	
A^2	67-101	35	C	12%	
A^1	102-116	15	G minor	5%	
B^1	117-139	23	F minor	8%	24%
B^2	140-152	13	B♭ major	4%	
B^3	153-189	37	E minor	12%	
A^0	190-205	16		5%	23%
A^1	206-225	20	G minor	7%	
A^2	226-244	19	C	6%	
A^1	245-259	15	G minor	5%	
B^1	260-269	10	F minor	4%	8%
B^2	270-282	13	B♭ major	4%	
Coda	283-301	19		6%	6%
Total		301		100%	

The event that immediately follows the abrupt ending of the second movement is a pronounced statement of the DSCH motif by the first violin, coloured with a semitone trill on the "H" (B♮) by the second violin. To answer the question posited at the end of the preceding movement, it could be interpreted that the protagonist eluded capture and momentarily celebrates freedom with an exclamation of triumph (possibly in a taunting manner). The following bars could well depict a hurried scurry to a destination (arrived at in b.17) out of sight from the search parties.

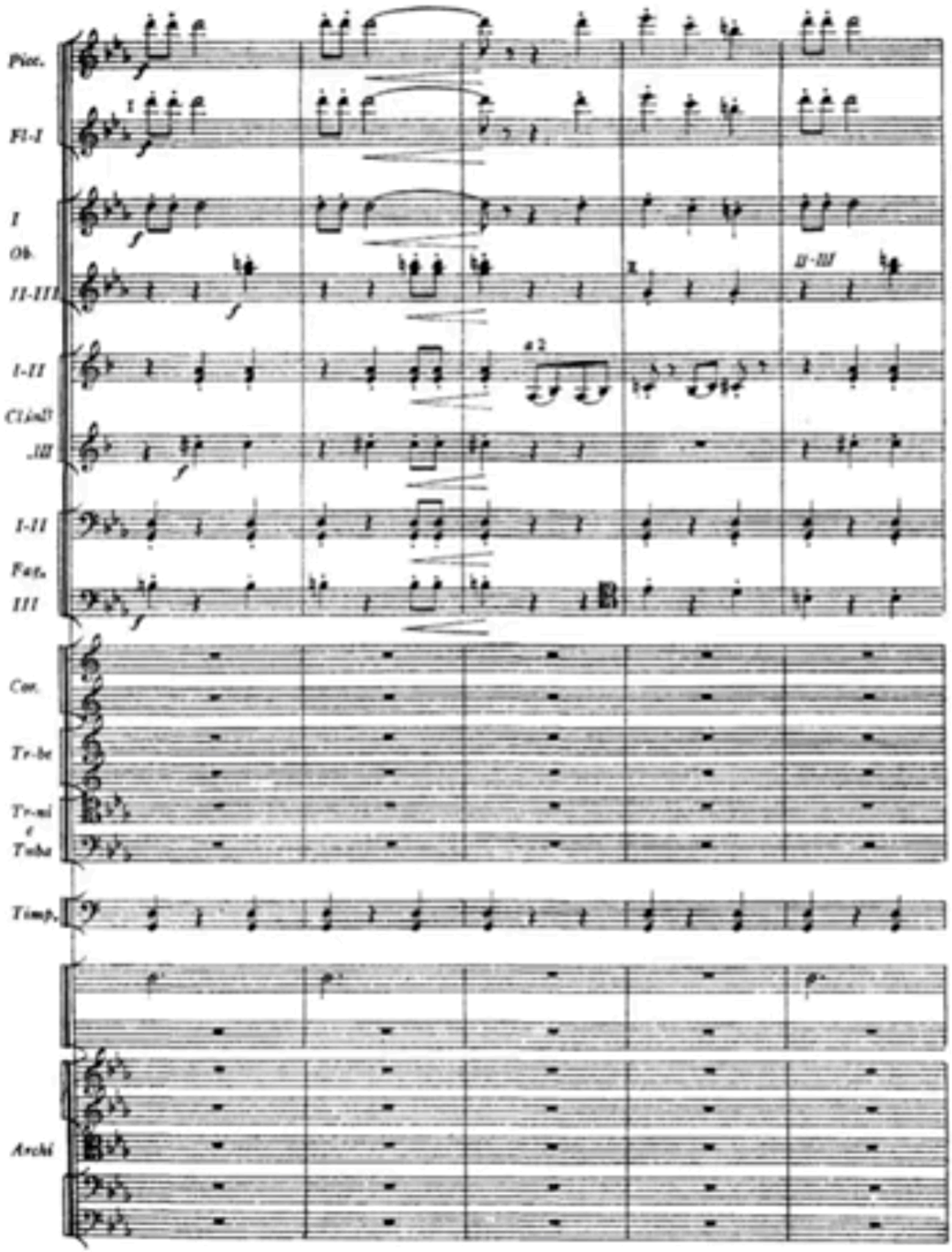
Following the introductory 16 bars and the establishment of a waltz ostinato in the key of G minor, the theme based on DSCH from b.20 (Ex.54) provides dynamic contrast

[236] Section A^0 acts as an introduction to section A^1 and may be considered part of the same section. Analysis mine.

to the dynamic range *ff-fff*, in which most of the preceding movement lies (with the exception of bb.305-324). This waltz is reminiscent of the waltz from the third movement of the Tenth Symphony, the melody of which is also based on the DSCH motif (Ex.55). Although the dynamic marking in the waltz from the Tenth Symphony is marked *f* (with exception of the timpani marked *mp*), the orchestration is significantly lighter than the frantic movement that precedes it.

Ex. 54 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement III, bb.20-28).

Ex. 55 - Shostakovich – Symphony No.10 in E minor, Op.93 (Movement III, bb.46-50).[237]



[237] D. Shostakovich, *Symphony No.10, Op.93* (Hamburg: Musikverlag Hans Sikorski, 1957).

Elements that contribute to the subtext underlying this section include the imagery attached to the dance form of a waltz. Shostakovich often used forms of dance to create illustrations or depict a certain character. A prime example of this lies in the final section of the Tenth Symphony. After the failure to produce a ninth symphony worthy of representing the impressive might of the *great Soviet nation,* there was a significant amount of pressure on Shostakovich to once again repair his reputation with his next symphony composed eight years later. As the Ninth Symphony ends in an almost comical fashion, Shostakovich decided to provide his audience with the grand finale expected of him in the tenth. During the fanfare in the closing bars in the finale, Shostakovich depicts himself as "dancing to the tune of other's expectations", with the timpani repeating the DSCH motif (marked *ff*) in an almost (again) comical manner.[238]

The quartet's DSCH waltz has been described by Richard Longman as a "Dance of the Dead", where the anticipation of one's own mortality fills the musical material with both psychological and physical terror. This dance is mechanical in quality, emulating the animation of the dead body, summoning an image of skeletons clattering around in circles as they perform the ballroom dance.[239] Whether or not this illustration was in Shostakovich's mind doesn't take away from the grotesque nature of the melody over its ostinato accompaniment. David Fanning draws an affinity to the main theme from Saint Saëns's *Danse Macabre*, stating the "modally flattened neighbour-note harmony", use of "open strings [and] the insistent repetitions of the accompaniment and the 'Spanish' mordent figuration", are examples that point to the influence of *Danse Macabre* in the quartet.[240]

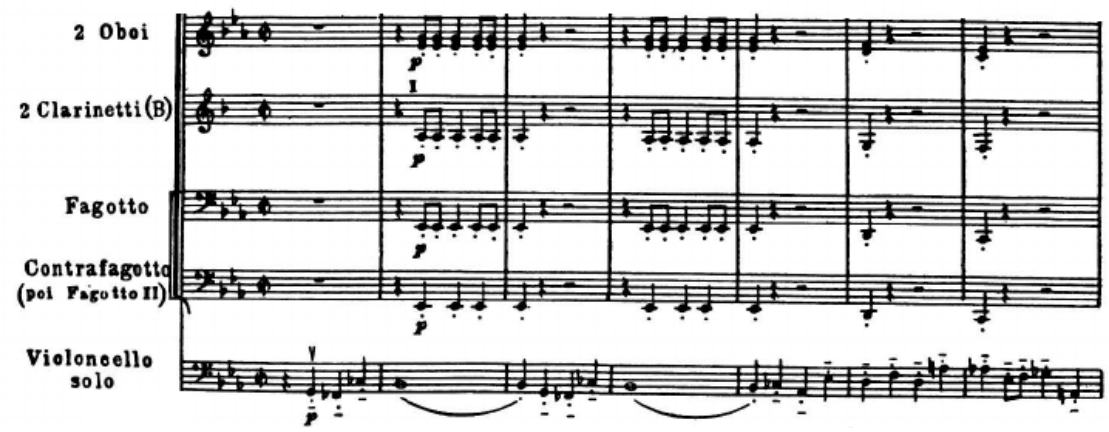
The conventional treatment of metre established by the various ostinati is disrupted multiple times further adding to the nature and character of the material used in the

[238] I have made these allusions based on events and documented correspondence surrounding the years 1945-1953. Many of these sources are contained in the indices of Ho and Feofanov's *Shostakovich Reconsidered,* Fay's *Shostakovich: A Life*, and Brown's *A Shostakovich Casebook*.
[239] R. M. Longman, *Expression and Structure: Processes of Integration in the Large- scale Instrumental Music of Dmitri Shostakovich*, (London: Garland Publishing Inc., 1989), 183.
[240] Fanning attributes this allusion to a page from the draft score, "where the theme appears alongside a near-quotation from the mistuned violin chords in Saint Saën's *Danse Macabre* – an idea Shostakovich may have been tempted to add to the Quartet's fund of quotations. . .". Fanning, *Shostakovich: String Quartet No. 8,* 92-93.

movement. This first occurs in the form of a hemiola in bb.44-45, accentuated by a sudden change in dynamic from *pp* to *ff*; then again as a transition into section A^2. As the grotesqueness continues in the A^2 section with another ostinato in triple metre (reminiscent of an organ grinder), the DSCH waltz theme from section A^1 appears again in the second violin part (b.79), adding to the emphasis of the metre within the phrase. When the A^1 section returns in b.102, it is suddenly interrupted by a transitory passage into section B^1, its change of metric ostinato preceded by the DDSC cell derived from the DSCH waltz theme – which is also used as a harmonic vehicle for melodic direction in the introduction (section A^0) preparing the cadence in G minor (bb.16-17).

Upon the arrival of the theme in section B^1, we find yet another melody based on DSCH. The second half of this phrase (bb.124-129) not only contains changes to time signature, providing another disruption to the metre, but prepares the quote contained in section B^2 (Ex.57) through the harmonic outline created by the major and minor broken triads, descending by semitone, sharing a common mediant (Figure 26). The quote in section B^2 is directly from the Cello Concerto No.1 in E♭ major, Op.107 (Ex.56).

Ex. 56 - Shostakovich – Cello Concerto No.1 in E♭ major, Op.107, (Movement I, bb.1-7).



Ex. 57 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement III, bb.140-146).

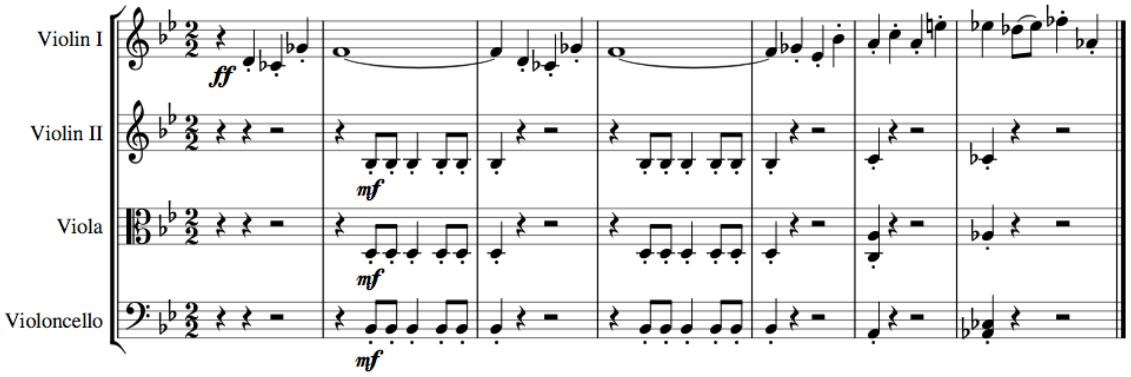
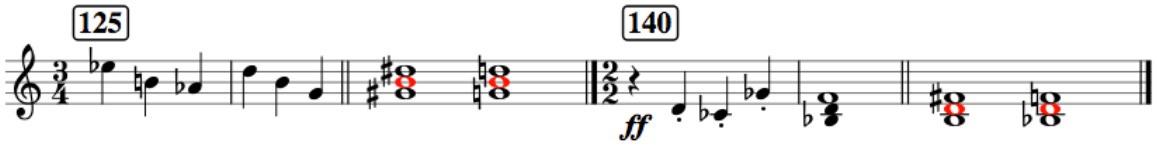


Figure 26 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement III, violin I part and harmonic outline bb.125-126 and bb.140-141).[241]



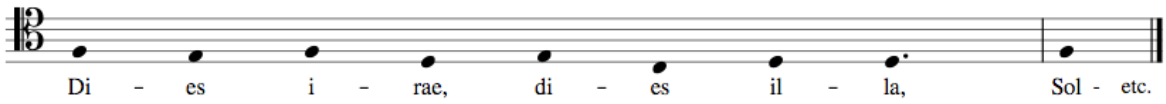
In an article published in *Sovetskaya kul'tura* dated June 6th, 1959, Shostakovich announced his next major work would be a cello concerto. He indicated that the first movement, an allegretto in the character of a humorous march, was already completed and that he expected the work would contain three movements.[242] This "humorous march" lasts a mere 13 bars before descending into a wistful cello melody accompanied by running scales of perfect fifths in the first and second violins. The first half of the melody from b.153 uses the pitches contained in the octatonic tetrachord created by the DSCH motif. Most of the remainder of the melody in this section moves octatonically within a tetrachord whilst maintaining a tonal centre of E (violins scalic figure centred around the E/B perfect fifth appearing on the first beat of every second bar).[243]

With the return of the A^0 section (b.190), the E♮ held by the cello from the end of the preceding melody continues right through section A^0 and halfway through section A^1

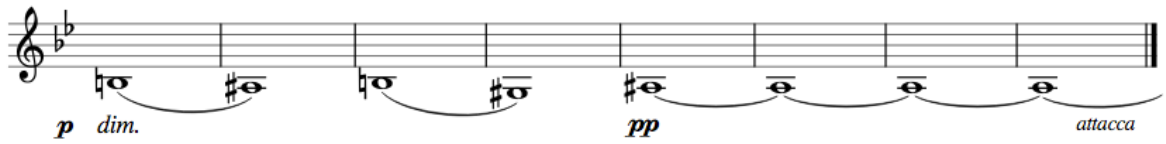
[241] Analysis mine
[242] "Tvorcheskiye planï Dmitriya Shostakovicha," ("The creative plans of Dmitri Shostakovich"), *Sovetskaya kul'tura* (6 June 1959), 4.
[243] The harmony within this section is not "in limbo". B is in no way the "expressed tonic", and the "(e")" (violin II) does not function as the subdominant as posited by Fanning. *Shostakovich: String Quartet No. 8,* 97.

(b.217). This pedal-note, being dissonant to the G minor tonality of the A[1] section, develops the repeated material by adding an extra level of grotesqueness to the recapitulation. The remaining sections are played without repetition – similar to the structure of a Minuet and Trio – until the theme from the Cello Concerto dissipates into a coda that functions as a transitory passage preparing the succeeding movement. In doing so, Fanning, Reichardt, Fenton, and Wilson, (to name some sources) make the allusion to the opening intervals from the medieval chant, *Dies irae* (Figure 27), regarding the first violin part from b.294 (Ex.58).[244] A motif used in the forthcoming movement.[245]

Figure 27 - Dies irae (Day of Wrath)(1st phrase).



Ex. 58 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement III, violin I, bb.294-301).



[244] D. Fanning. *Shostakovich: String Quartet No. 8,* 54, 100. S. Reichardt, 'Composing the modern subject: Four string quartets by Dmitri Shostakovich', 108. J. Fenton, Thematic unity in Shostakovich's "Eighth Quartet", *Music Teacher*, 58, 18–21 (1979), 20. E. Wilson, *Shostakovich: A Life Remembered*, (Princeton, N.J.: Princeton University Press, 1994), 340.

[245] This motif is also used in all movements except the second. That is, if the opening melody in the second movement is not an allusion to the retrograde inversion of the first four pitches of the chant (of which there is no evidence suggesting it is).

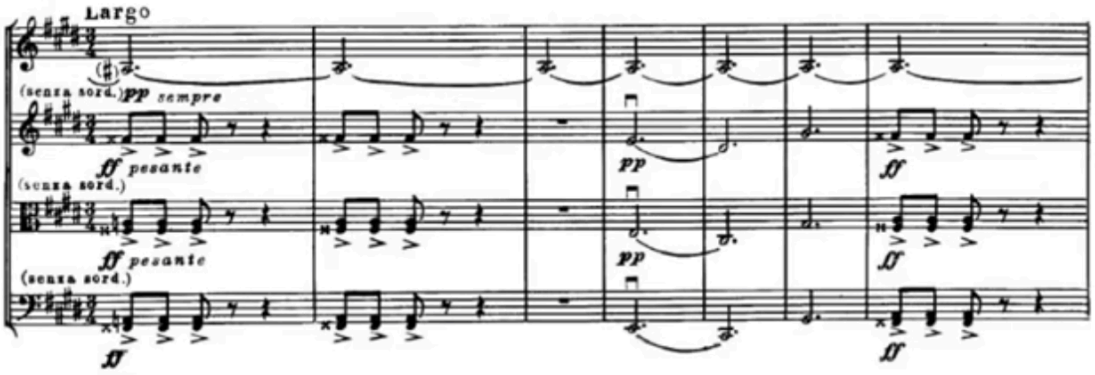
IV – Death of the Hero

Table 34 - Formal data for Shostakovich's String Quartet No.8 Op.110 (Movement IV).[246]

Section	Bar range	# Bars	Key	Proportional %
A	1-27	27	C♯ minor	14%
B	28-61	34	C♯ minor	18%
A	62-74	13	C♯ minor	7%
C	75-116	42	C♯ minor	22%
D	117-160	44	F♯ minor/major	24%
A	161-187	27	C♯ minor	14%
Total		187		100%

The distinctive chords that open the fourth movement (Ex.59) have borne the description in countless program notes of representing the *klopfton* motif from the opening of Beethoven's Fifth Symphony, rifle fire (Mosin-Nagant or Gewehr 43?), German anti-aircraft flak cannons, and even the bombs being dropped by the Luftwaffe/Allied bombing of Dresden in 1945. However, the most widely referenced description comes from Maxim Dmitrievich, who states the chords represent "knocks on the door from the KGB".[247] Dmitri Dmitrievich refers to this motif as containing a "hint" of Wagner's *Funeral March* from *Götterdammerung* (Ex.60) in his letter to Glikman dated July 19th, 1960.[248]

Ex. 59 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement IV, bb.1-7).[249]



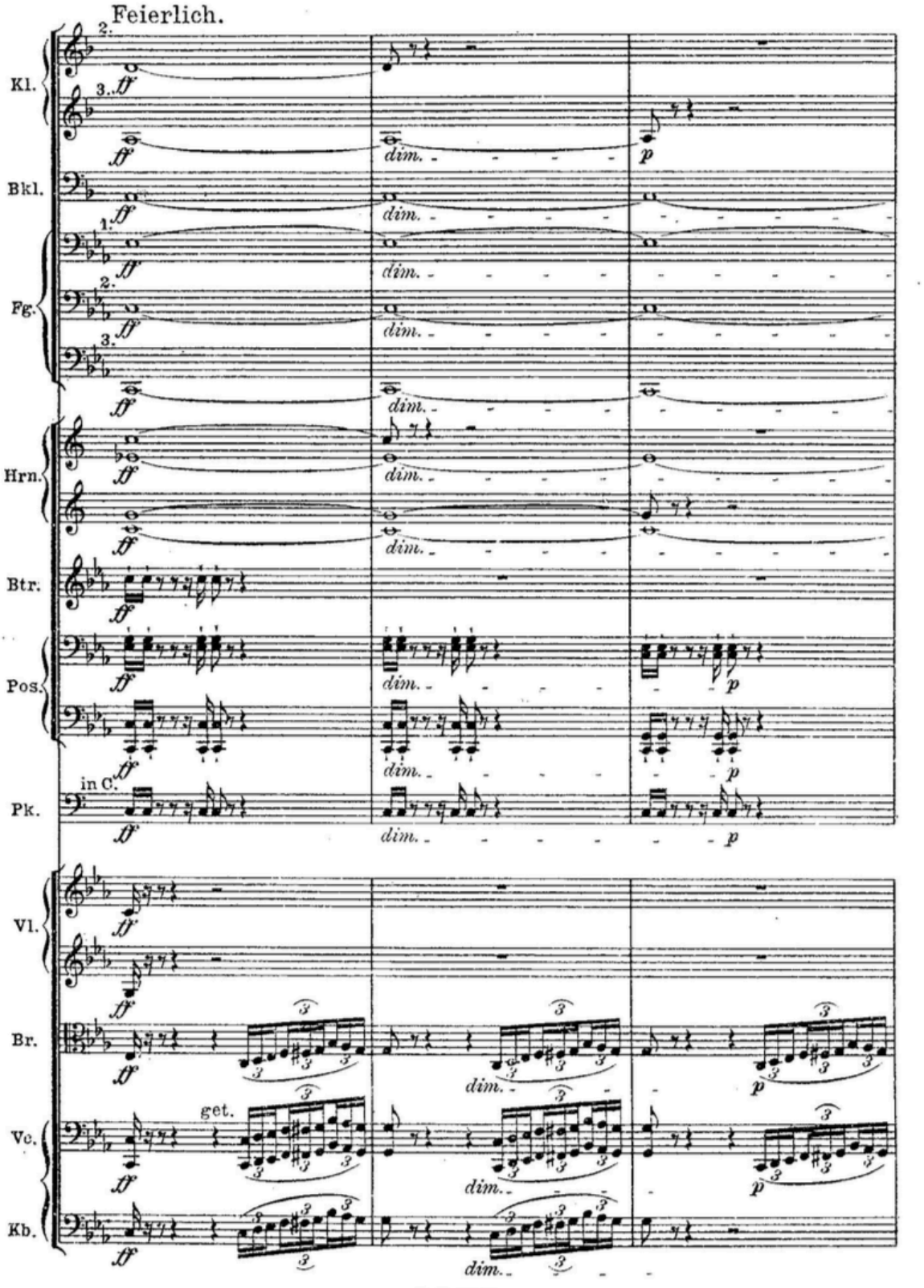
[246] Analysis mine

[247] From a transcript of the *'Salute to Shostakovich'* Festival Symposium: Maxim Shostakovich, Yevgeny Yevtushenko, Solomon Volkov and Kenneth Kiesler, participants; Harlow Robinson, moderator; held on January 25th, 1992 in the Bush Pavilion at Russell Sage College (Troy, New York). Transcript edited by Harlow Robinson and contained in Ho and Feofanov's *Shostakovich Reconsidered*, 390.

[248] Glikman, *Story of a friendship,* 91.

[249] Note error in score: bar 5, violin II, should read C♯, not D♯.

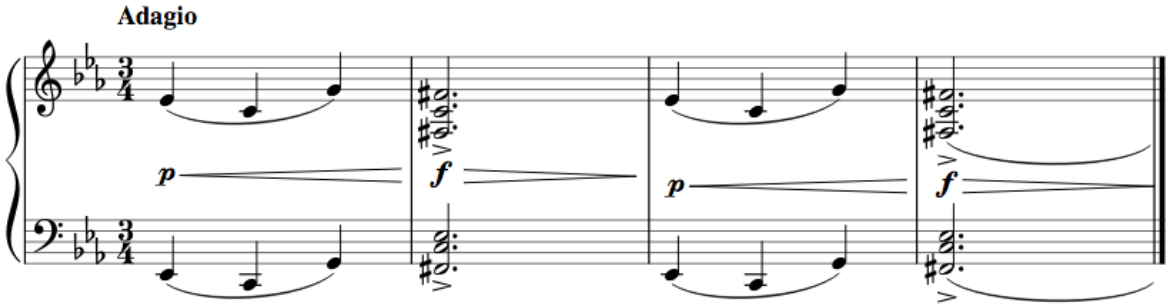
Ex. 60 - Wagner – Trauermusik beim Tode Siegfrieds (Funeral music for the death of Siegfried) from Götterdammerung (bb.16-18).[250]



[250] R. Wagner, *Götterdämmerung, WWV 86D (Act III, Trauermusik beim Tode Siegfrieds),* (Vienna: Edwin F. Kalmus & Co. Inc., 1933), 3.

Following the “knocks on the door”, is the motif containing the same pitches as the quote from the cello concerto in the preceding movement, however, this motif more closely resembles the impending tragedy elicited with its appearance in the 1948 Sergei Gerasimov film *The Young Guard* based on a novel of the same title by Alexander Fadeyev, in which the soundtrack was composed by Shostakovich (Ex.61). During the film, this motif appears when the protagonist Oleg and his mother hear a commotion outside and venture out to investigate the cause. Upon drawing near, he witnesses his fellow civilian comrades being thrown into mass graves after being herded by the occupying German troops. This scene is entitled “Death of the Heroes”. In the very next scene, Oleg, in response to the atrocities witnessed, joins with the other survivors to form an underground anti-fascist movement called “The Young Guard”.

Ex. 61 - Shostakovich – The Young Guards Suite Op.75a (Movement VI – ‘Death of the Heroes’ bb.1-4).



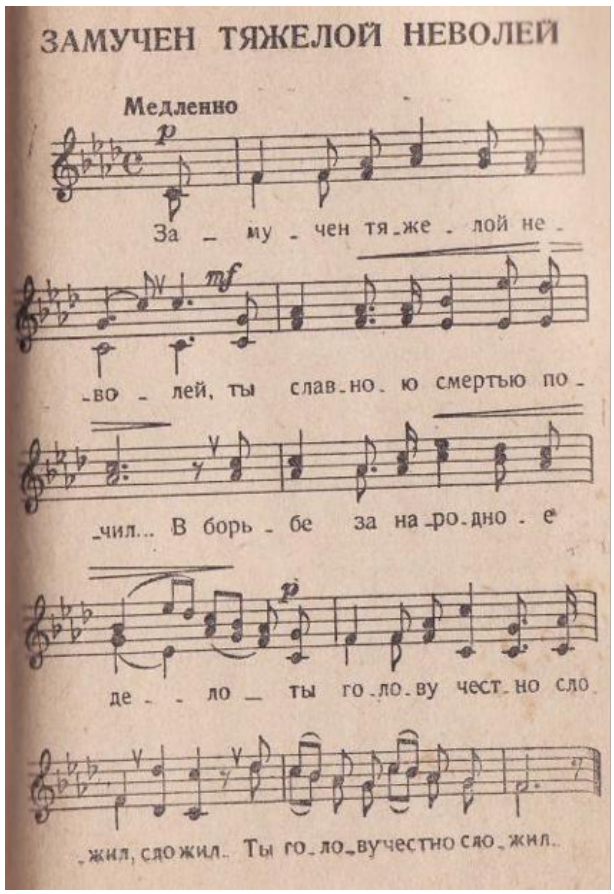
After the apparent humour from the cello concerto has been suddenly superseded by terror, Shostakovich raises the ante by transposing the motif up a tritone for its second iteration (from b.10). The third iteration develops further by ending the motif with a thickly voiced, resonant F♯ major chord, in contrast to the dissonance of the preceding major second/minor seventh. This leads into a transition marked with the *Dies irae* allusion,[251] used to move the preceding A♯ pedal-note to a G♯ pedal-note in the first violin part. The new pedal-note functions as a dominant, facilitating harmonic movement to C♯ minor in b.29 which is where the B section begins. The melody played by the lower three parts in octaves, is joined by a countermelody in the first violin part

[251] In her PhD dissertation, ‘Composing the modern subject: Four string quartets by Dmitri Shostakovich’, 111, Reichardt draws an affinity with the BACH monogram (B♭-A-C-B♮), describing the four pitches in the first violin part (bb.22-26) as an “inverted and transposed form” of BACH. As with DSCH, the inversion of BACH has the same intervallic relationships as its retrograde. Shostakovich was known to have revered the music of J.S. Bach, as evidenced in his own set of 24 Preludes and Fugues after Bach’s.

in b.36. This familiar slow-moving, two-part texture appears multiple times in Shostakovich's symphonies (e.g., from b.13, movement IV, Eighth Symphony, and the opening to the Eleventh Symphony) not to mention his other works.

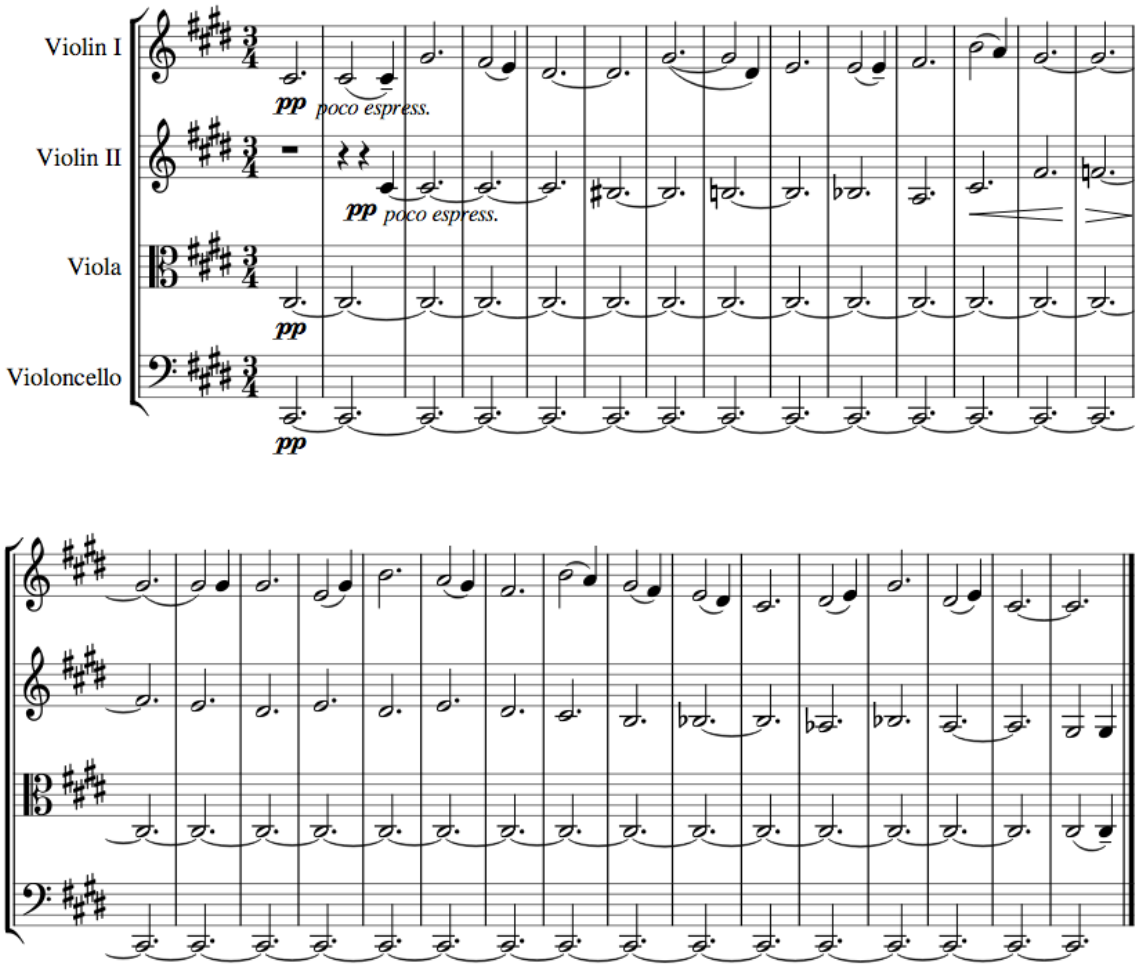
On return of the A section in b.62, the accretion of tension through the broken minor triad is further heightened upon the second iteration of the motif by way of diminution of the broken triad, whilst maintaining the same rhythm for the "door knocks". After a transposed statement of the DSCH motif (b.72) as a transition, the revolutionary song *Zamuchen tyazholoy nevolyev* (Tormented by Grievous Bondage)(Plate 13) is played by the first violin with a counter melody in the second violin, all over a *pianissimo* C♯ pedal-note (Ex.62). The word bondage in the title refers to the restricted freedom of imprisonment within a harsh, unjust system. The metre remains in triple time despite the quoted song being in quadruple time, although the difference in metre doesn't affect the ability to recognise the melody.

Plate 12 - Zamuchen tyazholoy nevolyev (Tormented by Grievous Bondage).[252]

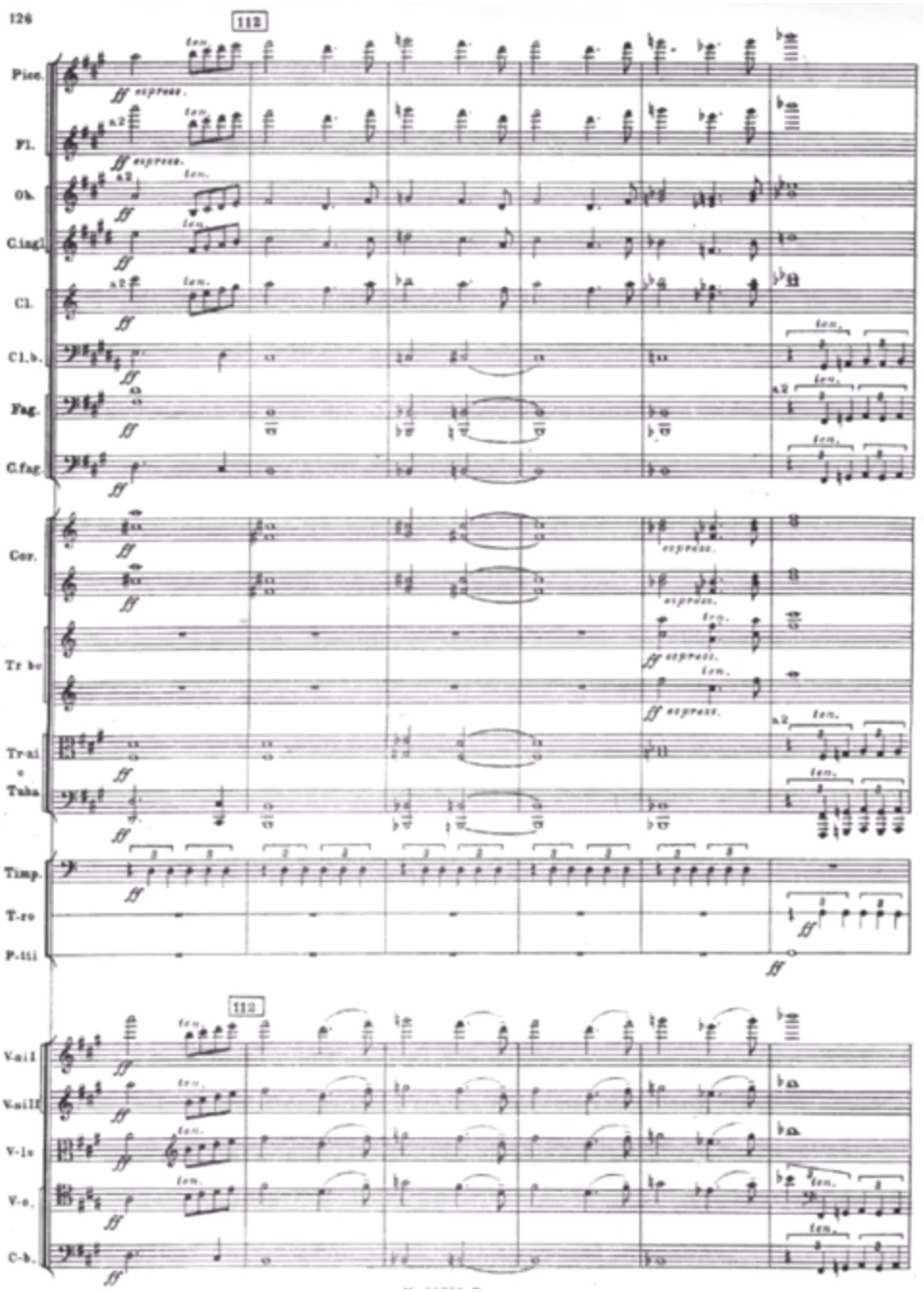


[252] Image retrieved from http://www.old-songbook.ru/view.php?idsong=748 on December 20th, 2020.

Ex. 62 - Shostakovich – String Quartet No.8 in C minor, Op.110 (Movement IV, bb.75-104).



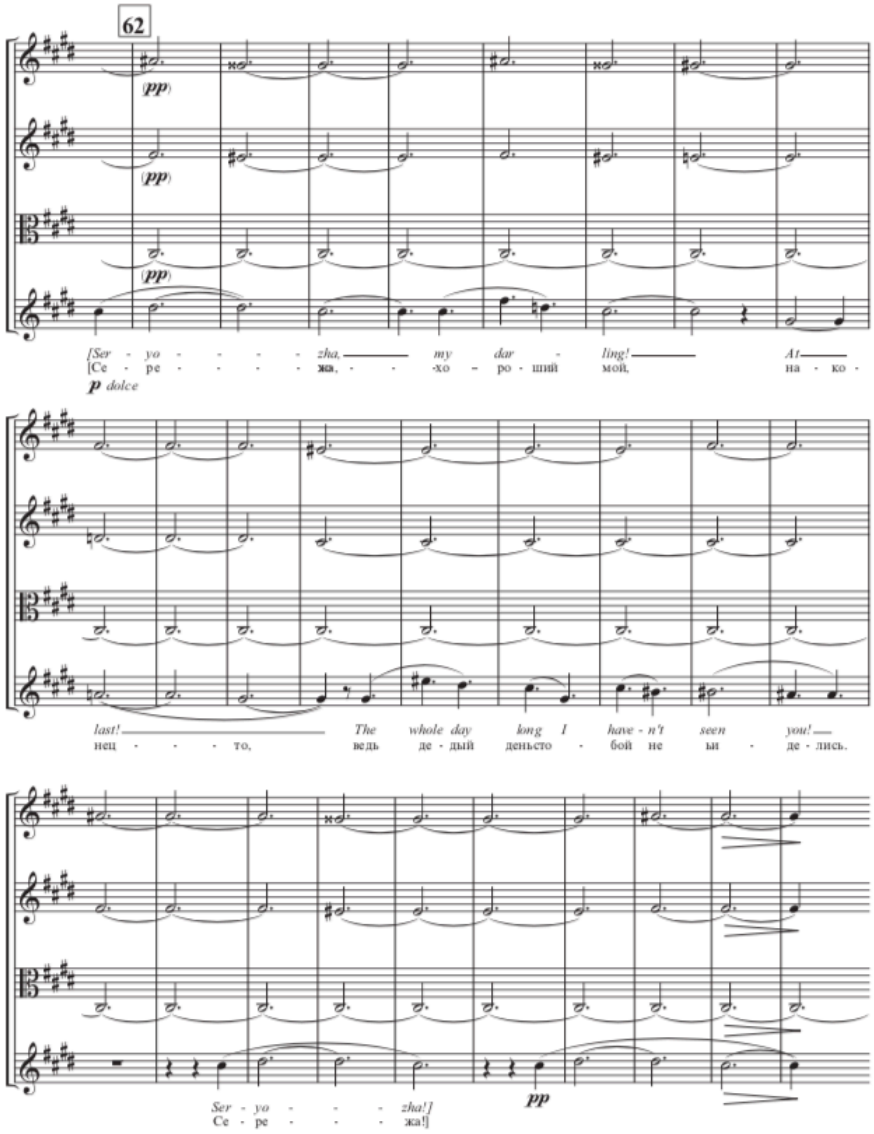
Ex. 63 - Shostakovich – Symphony No.11 "The Year 1905", Op103 (Movement III).[253]



[253] D. Shostakovich, *Symphony No.11 "The Year 1905", Op. 103* (Hamburg, Musikverlag Hans Sikorski) 2002, 126.

Shostakovich develops the imperfect cadence in bar 8 (D♭-C in the vocal line) of *Zamuchen tyazholoy nevolyev* into a transitory passage into section D, which evokes a melody from the Eleventh Symphony (Ex.61). This melody is succeeded by a quote from the fourth act of *Lady Macbeth* (Ex.64). At this point in the opera, Katerina tells Sergei how much she loves him and that he is the only thing she has left in the world after everything they've been through. However, this is the last time she will ever express such lofty sentiments as soon after, she learns that Sergei has been seducing another woman, Sonyetka. Before long, Katerina throws Sonyetka into a river taking herself with her, where they both drown in the freezing water.

Ex. 64 - Shostakovich – Katerina's melody and lyrics from Lady Macbeth, Act IV included in String Quartet No.8 in C minor, Op.110 (Movement IV, bb.133-159).[254]



[254] Reichardt, 'Composing the modern subject: Four string quartets by Dmitri Shostakovich', 113.

Katerina's melody dissipates, much like her life-force as she silently drowns, into the third and final iteration of the "door knocking" motif (bb.161-165) of section A. The part of the melody that accompanies the words "Tormented by grievous bondage", is played – interrupted by another "knock", this time marked *p* and *pizzicato* – resting on a D♮, which is held over the final "knock", once again transposed up tritone. Every iteration of section A is slightly different, no doubt conveying subtle differences in meaning and musical function. Still being held by the first violin, the D inevitably turns into another statement of the DSCH motif in preparation for the four-part fugue which is the fifth and final movement, of which its subject is based on the composer's monogram.

V – Fugal Consolidation

Table 35 - Formal data for Shostakovich's String Quartet No.8 Op.110 (Movement V).[255]

Section	Bar range	Entry	Bar	Key
Exposition	1-19			
1		Cello	1	C
2		Viola	7	G
3		Violin II	11	C
4		Violin I	15	G
Episodes	23-53			
1		Violin I	23	A♭
2		Cello	26	C♯
3		Viola	31	E
4		Cello	34	B
5		Violin I	43	C
Canon	54-65			
6		Cello	54	C
7		Viola	56	G
8		Violin II	57	C
9		Violin I	59	F
10		Viola	62	G
Final Episode		Violin I	77	C
Coda	81-88		81	C minor

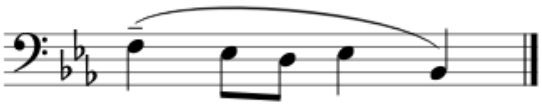
In keeping with the movements all being connected, the Violin I line from the end of the preceding movement continues through the first entry of the subject in the exposition, dovetailing into the second entry in the viola part (b.7). The melodic material in the first violin part first appears in bar 46 in the first movement and also appears in the coda, ending the entire work.

The table outlining the fugal structure displays the entry points for each real statement of the subject, omitting sections containing stretti. Due to the fluid nature of the fugue form, proportional percentage data yields little of what could be deemed meaningful, and therefore has been omitted. The rate at which episodes appear can be analysed using the data contained in the 'Bar' column, denoting the bar in which the subject statement begins.

[255] Analysis mine

As with all other instances of repeated material appearing in a more developed fashion, the canonic treatment of the DSCH motif in the first movement matures into a movement exemplary of the fugue form. There are no new quotes or allusions contained within the final movement. All of the contrapuntal material, with the exception of the first countermelody (Ex.65),[256] can be drawn from material contained in the preceding movements – chiefly, the first movement. Having said this, Taruskin sees it fit to state the following: "In the final movement, the DSCH motif is played in exquisitely wrought dissonant counterpoint against the main continuity motif from the last scene[257] of Lady Macbeth, which depicts a convoy of prisoners en route to Siberia.".[258] Given Taruskin provides no identifiable information other than the composer's monogram, being the subject of the fugue, rendering it "in counterpoint" to everything it appears against within the movement (exquisiteness of the dissonance wrought not withstanding); and "main continuity motif" seems to be a term coined by the author, this link proves rather difficult to detect. A much stronger argument is made if Shostakovich's decision to end this autobiographical quartet with a fugue was to consolidate prefabricated material in a considered and structurally ordered manner – akin to the documentation of one's memoirs. This is not to suggest that the final movement is void of any meaning or inferences. The notion of there being no new quotations provides a specific lens with which to view the extant material contained within.

Ex. 65 - Cell from countermelody (Movement V, b.9)



Shostakovich's employment of the fugue form deviates from a purely text-book application. The proportions of note values within the subject often changes based on the harmonic context of the other parts. For instance, the resolution of the "H" (B♮) note value (functioning as the leading note) from the first entry of the exposition (cello

[256] Fanning draws an allusion to the opening of the first act of *Lady Macbeth*, where the cell displayed in S5.1 appears in the cellos once, after rehearsal mark 2. Although meaning can possibly be drawn from this scene, which depicts Katerina's unhappy marriage to Zinovy – *tormented by grievous bondage* of another kind, the allusion drawn in this instance is tenuous at best. See Fanning, *Shostakovich: String Quartet No. 8,* 54.
[257] The last scene (Scene 9) is the entire fourth act.
[258] Taruskin, *Defining Russia Musically*, 494.

b.3-4) differs from the second exposition entry equivalent (viola b.9). This element of the subject usually resolves by way of a dotted rhythm with the exception of the fifth episode (violin I b.43), where it is a strict augmentation of the dotted minim – crotchet iteration of the rhythm. Despite this, the DSC part of the subject does not augment or diminish its rhythm, nor its metric entry point – always entering on the third beat of the bar. There is also an absence of a stretto between entries 2 and 3, traditionally used to direct the harmony back towards the tonic.

Interestingly, the second episode occurs in the cello despite being at the upper end of its register. Fanning states that "the second violin is denied an entry [at this point] in order to allow the cello to have the entry [sic] in the plangent register that has featured so prominently in the previous two movements."[259] However, for anyone that has attempted to write a fugue, or even engaged with voice-leading exercises, will know that the decision-making process for any given part is often dictated by the activity of the extant parts. In this instance, in order for an episodic entry to occur at that particular register, the only available instrument is the cello – given all other instruments are occupied with their respective melodies on beat 3, bar 26.

The canonic entries of episodes 6-9 mirror the pitch and rhythmic entry points of the DSCH motif in the opening of the first movement, in fact the 16 bars from 54 to 70 are an almost exact repetition of the opening 16 bars – differing slightly in dynamics and the use of mutes in the last movement. When the DSCH motif appears in b.65 (movement V), its function is that of a false entry. The B♮ in the first violin turns into the opening four notes from the First Symphony before resolving to the anticipated C minor in b.73. Although the truncated First Symphony quote is retained, the articulation is changed in keeping with the nature of the section.

A brief amount of space is given before the statement of the final episode (b.77), as it is not only the last time the DSCH motif appears, but also functions as the pre-cadential chords to the final perfect cadence in C minor. The return of one of the opening motifs played by the first violin facilitates a *morendo* into ultimate silence.

[259] Fanning, *Shostakovich: String Quartet No. 8,* 126.

Navigating the Inevitable

The string quartet has always been a medium for composers to communicate their musical ideas in a personal, and on occasion almost private setting. For Shostakovich, this was most definitely true, however, how can we be sure of this? From the overwhelming amount of literature written by a myriad of authors paraphrasing endless anecdotes over multiple decades, it becomes increasingly more challenging to place the credibility of what one reads – turning the research process into that of an epistemological investigation over a musicological one. It is to be expected that literature being passed from behind the Iron Curtain must be scrutinised using a particular lens, however there are a number of other hinderances at play complicating the process of discovering the 'real' Shostakovich. Is it integral to our experience of Shostakovich's music that we understand the 'real' Shostakovich, and is it even possible?

Any investigation into the music and life of Shostakovich inevitably ends up having to navigate through the shroud of what is referred to as the 'Shostakovich Wars'[260] emanating from the late 1990s. When Solomon Volkov's book, *Testimony: The Memoirs of Dmitri Shostakovich as related to and edited by Solomon Volkov* was published in 1979,[261] it conveniently provided music students and enthusiasts with a raw and honest compendium of views and words purported to have come from Shostakovich's own mouth. Consequently, it was treated like a textbook for many years despite the denouncement from the Shostakovich family, the Soviet Union, and a small handful of writers at the time of its publication. Since then, questions of its content, authenticity and validity have been argued greatly amongst some of the most highly notable academics, authors and musicians; to the extent that two, clearly defined sides have now emerged.

What is not in dispute, is the fact that Volkov did meet with Shostakovich toward the end of his life (1971-74) as Volkov claims, however, Irina Antonovna Shostakovich in

[260] See Appendix C, The 'Shostakovich Wars', for further examination of the literature surrounding this topic.
[261] S. Volkov, *Testimony: The Memoirs of Dmitri Shostakovich as related to and edited by Solomon Volkov*, trans. Antonina Bouis (New York: Harper and Row, 1979), was originally published in multiple languages except Russian.

her oft-quoted statement in 1979 says: "Volkov saw Dmitrich three or maybe four times, for no more than two hours. . . I don't see how he could have gathered enough material from Dmitrich for such a thick book."[262] In the same year, Maxim stated at a press conference at VAAP (Soviet Author's Rights Agency) that his father was under the understanding Volkov was sent to interview him by *Sovetskaya Musyka*, only to learn later that there was no such assignment.[263] Given Shostakovich's trait of formulating his rhetoric based on the type of audience before him, this knowledge would have significantly affected his response to Volkov's inquiries.

Some of the key individuals on the side in condemnation of *Testimony* include Laurel Fay, Richard Taruskin, and Malcolm Brown; those in defence include Allan Ho, Dmitri Feofanov, and Ian MacDonald. Obviously, each field contains many more players, however the aforementioned names represent those who are well known for their publications surrounding the 'Shostakovich Wars' debate. The controversy surrounding Volkov's *Testimony* has consequently affected subsequent literature in such a way that, depending on which citations appear in any given paper or prose, it automatically gains one side's attributed label almost regardless of its content.

As a result of this heated debate, a lot of attention has subsequently been placed on Maxim, not only due to him being Dmitri Dmitrievich's son, but also to him being an established conductor in his own right. After his defection from the Soviet Union in 1981, he spoke about *Testimony* in a very different light, prompting one side of the debate to proclaim total vindication of Volkov's book and his character. However, upon reading the transcripts of Maxim's statements in interviews and lectures on this topic, it reveals he was very much his father's son – one who is completely aware of his audience and tailors his words accordingly. In this vein, what is 'not' said is equally, if not more, important than what 'is' being said. An example of this is contained in the transcripts of the 1992 Shostakovich Symposium where he says: "Mr. Volkov wrote a book which is a very important book, and which revealed a whole aspect of the composer and his life in his homeland that was really unknown before. Of course, from the very beginning his book evoked very sharp criticism from the ruling Communist

[262] Quoted by Craig R. Whitney, "Shostakovich Memoir a Shock to Kin", *New York Times* (13 November 1979), 7.
[263] BBC Summary of World Broadcasts, 26 November 1979, SU/6281/C/2

Party in the Soviet Union because it did exactly show the truth of Shostakovich's political views and political feelings. In my opinion, that's the most important achievement of this book. . ."[264] This is a theme in a lot of his commentary about the 'Shostakovich Wars', focussing on the aspect of shining a light on the Soviet Union rather than quibbling over specific citations and sources.

Perhaps there is a lesson to be learned here from Maxim Shostakovich. As Fanning states in his author's introduction to *A Response to Papers by Ho and Feofanov* (1998):

> . . . I cannot regard the *Testimony* debate as an issue of paramount importance for understanding Shostakovich's music. Yet if one chooses, or if one is asked, to embed a musical (i.e., humanistic) commentary on Shostakovich in socio-political contexts, and to relate it to ongoing controversies, the debate can hardly be avoided. In this respect I still tend to view the 'authenticity' side of *Testimony* as a sideshow. If, as seems to me overwhelmingly probable, Solomon Volkov was less than candid about the origins of the book, that is no reason not to treat its contents as anything less than a fascinating document from the mid-Brezhnev era (provided, of course, that it is referred to as Volkov's reportage rather than as the composer' words). . .[265]

Despite the abundance of aspersions made by many authors regardless of their position, there is an underlying constant present in all of the arguments presented – that of a respect for the importance of Shostakovich's life and music from a musicological, historical, and even historiographical point of view. Many of the allusions, references, and points made in the analysis above could well be subject to the same scrutiny applied by the aforementioned authors, and consequently perceived to be contradictory, tenuous or even erroneous. However, due to the fact that we do not have the benefit of memoirs written by Shostakovich's own hand, we can only ever claim to know the 'real' Shostakovich to an ostensible extent. Given memoirs often

[264] Ho and Feofanov, *Shostakovich Reconsidered,* 113, 390.
[265] Brown, *A Shostakovich Casebook,* 271.

omit certain aspects of their subjects' lives, how can we ever really be sure of what aspects of Shostakovich's life would have been retained or omitted by its author? As ever, when drawing or imposing meaning from or on music, the onus is on the individual to formulate their prognoses based on the evidence available. Perhaps it is useful to approach the topic of Shostakovich with an epistemological bent: The account of one can easily be obscured, but the accounts of many paint a much clearer picture. When coupled with the notion that the absence of an answer is a better position than the acceptance of an erroneous one, we can provide ourselves with a position that avoids not only detracting the accuracy of our analysis, but distracting our focus away from what is ultimately important.

Of the various commentaries from extant literature describing Shostakovich's views on the hermeneutics of his work, it would seem that it mattered little whether or not his audience knew exactly what each event in his music was actually about. What would have been important to Shostakovich is that his audience felt something in response to his music. After all, is that not the job of a composer? Through the wealth of quotations and references laden with meaning and emotional content in the Eighth Quartet, its audience would no doubt have felt something close to the full gambit of sentiments expressed in the music, regardless of any present knowledge contained in the content in this chapter. The conclusion of Martin Anderson's review of Fanning's analysis of the Eighth Quartet[266] encapsulates a similar sentiment: "Whatever points of disagreement I may have with the odd detail of David Fanning's book, it has done as much as anyone could ask: it sent me back to listen to the music with new ears. . . [N]o one who admires – or suspects – this music will come away from it with anything other than increased respect for the composer and his achievement."[267]

On the question of how the Eighth Quartet came to be an exponent of the five-movement form, if we try to imagine it as a four-movement work; which movement could be omitted without diluting the overall meaning of the work? Knowing what we know, based on the material covered in this chapter, if we apply the same question conversely; what more can possibly be meaningfully expressed than what is already

[266] Referring to David Fanning's book, *Shostakovich: String Quartet No. 8, Landmarks in music since 1950.*
[267] M. Anderson, '*Shostakovich: String Quartet no. 8* by David Fanning', *Tempo* 59/231 (Cambridge: Cambridge University Press, 2005), 65.

present in the five movements? From the analysis presented, there is a strong argument that the formal structure for this work is directly linked to (if not born from) the narrative Shostakovich is portraying; whether externally or internally. From a compositional point of view, if we liken the Eighth Quartet to narrative prose, each movement contains a series of events akin to a chapter in a book. Within these chapters, the description of events and the ideas being communicated are all intrinsically linked to the overall story (by way of motific/thematic relationships, order of dramatic action within the treatment of traditional forms, and Shostakovich's individual musical vernacular). In the case of this particular story being told, each chapter encompasses action and drama, enriched by deeply personal subtext within an effective teleological sequence. It is within this framework that the rather unorthodox order of movements begins to make sense. The arguments expressed through this analytical investigation prove (alongside other points) how an asymmetrical movement structure, with the dramatic climax immediately following the opening movement, and three of the outer movements marked *Largo* can successfully function; encapsulating the intense turmoil of Shostakovich's mental state through an emotional narrative employing the five-movement form.

Chapter 5 – Alternative Approaches to the Five-Movement Form

In the preceding three chapters, the works covered represent three distinct approaches to the construction of the five-movement form; Beethoven's program, Bartók's musical principles, and Shostakovich's personal narrative. Each approach employs different architectural, dramatical, and teleological elements resulting in uniquely distinct musical experiences from the composer's, performer's, and analyst's point of view – members (though not mutually exclusive) of the collective audience for these works. These works present three well-crafted and highly successful examples that have withstood the test of time, which is not to exclude the existence of other, equally worthy examples. Works exemplifying alternative approaches to the five-movement form discussed in this chapter include:

- Franz Schubert: *Das Forellenquintett* ("Trout" Quintet), D.667 (1819)
- Hector Berlioz: *Symphonie Fantastique* (1830)
- Gustav Mahler: Symphony No.5 (1901-02)
- Béla Bartók: String Quartet No.5 Sz.102 (1934)
- Béla Bartók: Concerto for Orchestra Sz.116 (1943)
- Pierre Boulez: Piano Sonata No.3 (1955-57)
- Oliver Rudland: Yorkshire Songs (2009)[268]
- Vlad Maistorovici: Winter Septet (2020-21)[269]

Approaching the Approach

When engaged in the process of constructing the five-movement form, there are a number of integral considerations that must guide the structural decisions for any given work. Once a structural framework has been decided upon, the act of filling in the gaps becomes much easier and gains a much more meaningful direction. First and foremost, the decision surrounding whether the work will be an example of 'absolute'

[268] Information sourced via Human Research Ethics Committee approved survey, HREC H-2020-223, conducted by David Paterson. See Appendix B for survey questions and responses.
[269] As above.

or 'programmatic' music must be made. As Beethoven (amongst others) has proven, a programmatic work can function equally well as a piece of absolute music, however, the original intention for the Pastoral Symphony to be a programmatic work influenced many of the integral structural decisions that resulted in the work it eventually/inevitably became in 1808.[270] Conversely, there is little to be gained attempting to fit a program around Bartók's Fourth String Quartet as it was originally planned to adhere to a symmetrical structure consisting of numbers drawn from certain numerical sequences and proportions to construct the material contained within – therefore comprising a different set of compositional goals.

Over the last three centuries, the term programmatic music has held a wide range of definitions and stimulated plenty of controversy over its employment.[271] Put simply, the debate over the terms "absolute" and "program" contain number of multilayered arguments, many in direct contradiction of each other. Mark Evan Bonds, in the Introduction to his book, *Absolute Music: The History of an Idea,* describes it in the following way:

> We can readily distinguish between the nature of a piano sonata by Mozart and Berlioz's *Symphonie fantastique*, with its elaborate prose program describing an "episode in the life of an artist," or between a two-part invention by Bach and Dukas's *L'apprenti sorcier* [The Sorcerer's Apprentice], whose title compels us to recall the tale of the magician-in-training who oversteps his bounds. Yet the idea of absolute music has proven to be a flashpoint of musical aesthetics, particularly since the middle of the nineteenth century. Some have rejected the premise that music can function exclusively within its own sphere, while others have insisted that it can do nothing more. Few concepts in the aesthetics of music have evoked such polarizing reactions.[272]

[270] Michael Talbot states: "Beethoven's 'Pastoral' Symphony (1808) legitimized the five-movement symphony, as we see from its imitations by Berlioz (*Symphony fantastique*), Schumann (Symphony No.3, 'Rhenish'), Goldmark (*Rustic Wedding Symphony*), Tchaikovsky (Symphony No.3 'Polish'), and Mahler (his First Symphony, as originally conceived; subsequently his second, fifth, and seventh symphonies)." See Talbot, *The Finale in Western Instrumental Music*, 29.

[271] See R. Scruton's entry on "Program" in *Grove Music Online*, www.oxfordmusiconline.com

[272] M. E. Bonds, *Absolute Music: The History of an Idea*, (New York: Oxford University Press, 2014), 1.

For the purposes of the following discussion, we will define 'program' as any extra-musical element that directly influences or effects how the music unfolds/develops. This encompasses anything from a textual narrative to outright tone-painting. In the case of Shostakovich's Eighth Quartet, it could be argued that a singular "hint" of Tchaikovsky cannot rightly amount to a categorisation of program for the entire work based on the aforementioned criterion – due to the extra-musical element mainly effecting the melodic contour within a section over anything else (putting the notion that "everything in music is interconnected" momentarily to one side), consequently having little effect over the structure or dramatic direction of the movement, let alone the entire work. However, when placed in context of multiple different "hints", references and quotations ordered to aid a narrative or communicate a series of thoughts and sentiments, the overall work takes on a direction that is directly influenced by extra-musical elements – therefore qualifying as a programmatic work according to this criterion. Essentially it is the combined function of the extra-musical elements that provides the grounds for its categorisation as program music.

The works included for discussion under the following subtitles are intended to be indicative of alternative approaches to the five-movement form and not an exhaustive list. Many of the following works may well have been chosen for a more detailed analytical investigation within the scope of this project. However, their inclusion here is intended to plant the seed for future avenues of research and analysis.

Absolute

With absolute music, the options are almost limitless as there is no external element (or program) determining the structural factors. In this case, an architectural plan is required. This may come in the form of modifying a conventional form (e.g., the four-movement symphony, the three-movement concerto, a collection of dances forming a suite, etc.), a geometrically derived form (e.g., symmetrical arch-form), or a predetermined climax point around which the preceding movements prepare the dramatic momentum towards the climax and the succeeding music acts as the denouement.

In the case of Franz Schubert's *Das Forellenquintett* ("Trout" Quintet), D.667 (1819), it is the addition of the fourth movement that modifies the conventional four-movement form (similar to Beethoven's Pastoral Symphony) – being that of a fast first movement in sonata-allegro form, a slower second movement, a scherzo and trio for the third movement, and an upbeat movement as the finale. The insertion after the third movement of a theme and variations movement based on a theme from Schubert's own Lied *"Die Forelle"* ("The Trout"), D.550, is what turns this work into one with five movements. If the theme and variations movement were to be omitted, the work's overall form would function similarly to many other chamber works and symphonies written up till 1819. However, on this occasion, Schubert generously provides us with an extra musical offering for our enjoyment. Although this addition does ultimately change the proportions of the combined movements, its structural (and arguably dramatic) function is more akin to a momentary scenic detour along the journey over that of a fundamental change in the functional structure of the entire work. The introduction of another conventional form (that of a theme and variations) into the established four-movement structure provides a stable example of a five-movement work, in contrast to the relative unstable nature of the additional fourth movement in the Pastoral Symphony, free of any conventional form, which contributes to the drama of its interruption.

Bartók used a similar arch form structure in his Fifth String Quartet, Sz.102 (1934), as appears in his fourth. Centred around a scherzo ("in song form") and trio third movement, the fourth movement is a free variation of the second (ternary form), and the first (sonata form) and fifth (rondo form) movements "have common features concerning tonality".[273] As for his Concerto for Orchestra Sz.116 (1943), Bartók provides us with the following explanation for its structure:

> . . . the first and fifth movements are written in a more or less regular sonata form. The development of the first movement contains *fugato* sections for brass; the exposition in the finale is somewhat extended, and its development consists of a fugue built on the last theme of the exposition.

[273] Bartók, Suchoff ed., *Béla Bartók Essays,* 414.

> Less traditional forms are found in the second and third movements. The main part of the second movement consists of a chain of independent short sections, by wind instruments consecutively introduced in five pairs (bassoons, oboes, clarinets, flutes, and muted trumpets). Thematically, the five sections have nothing in common. . . A kind of 'trio' – a short chorale for brass instruments and side-drum – follows, after which the five sections are recapitulated in a more elaborate instrumentation.
>
> The structure for the third movement likewise is chain-like; three themes appear successively. These constitute the core of the movement, which is enframed by a misty texture of rudimentary motives. Most of the thematic material of this movement derives from the 'Introduction' to the first movement. The form of the fourth movement – '*Intermezzo interrotto*' – could be rendered by the letter symbols 'A B A – interruption – BA'.[274]

Another composer who laboured intensely over questions to do with tradition, stylistics, and the role of the musical medium – ultimately culminating in an individual set of musical principles, was Pierre Boulez. In his Third Piano Sonata (1955-57), Boulez draws inspiration from the literary works of James Joyce and Stéphane Mallarmé in a manner where form consequently reflects content. There is a wealth of published literature both by and about Boulez on his artistic principles and musings, however, regarding his Third Piano Sonata, Boulez published an article entitled "*Sonate, Que Me Veux-tu?*" (Sonata, what do you want of me?), in which he explains how specific works by Joyce and Mallarmé influenced and informed his compositional decisions during this (in what Boulez calls) "investigation" – including a rationale for the alternative notation and indeterminant elements used. For instance, in Mallarmé's *Coup de Dés* (A Roll of the Dice), Boulez comments on the typographical presentation of Mallarmé's work by stating, "The 'composition in book form' of *Un Coup de Dés* is a basic, fundamental necessity in which type faces are even more important that the disposition of the text by pages, including its spatial distribution and the blank spaces. 'The intellectual armature of the poem is concealed and is contained – occurs – in the space that isolates the stanzas and within the paper's whiteness; meaningful silence

[274] *Ibid.,* 431.

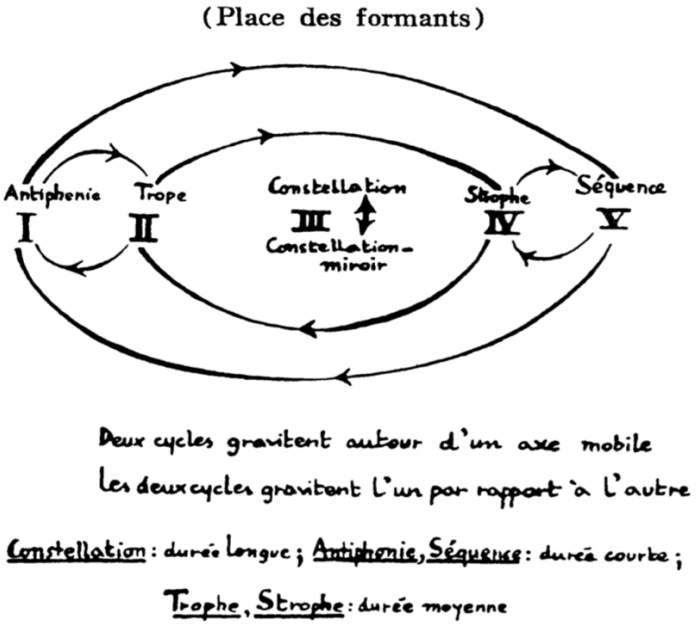
which is as beautiful to compose as verses,' as Mallarmé himself says."[275] Boulez goes on to say, "This kind of arrangement – formal, visual, physical, and, on top of everything else, decorative though unintentionally so – had stimulated me to search for musical equivalents."[276]

Although only two complete movements (or "formants" as Boulez describes them) have been published,[277] the work was originally conceived as a five-movement form. The use of the term "formants" provides us with a glimpse into Boulez's thinking regarding the sonata's form. He states, "I have called them thus by analogy with acoustics. We know that a timbre owes its characteristics to its *formants*: similarly, I deem the physiognomy of a work to derive from its structural formants: general specific characters, capable of engendering developments."[278]

Similar to Bartók's Fourth and Fifth String Quartets, Boulez's conception of the five-movement form in his Third Piano Sonata is "based on a symmetrical and mobile distribution around the central formant, *Constellation (Constellation-Miroir).*"[279] On the third and central formant, *Constellation*, Boulez explains "it is reversible. You have on one side of the page the original form, on the other its retrograde sequel, called *Constellation-miroir*. It must be played only once, naturally in one of its two transcriptions. Why is this piece a double image of itself? Because its place is immovable in the middle of the *formants*".[280]

[275] P. Boulez, D. Noakes and P. Jacobs, "Sonate, Que me Veux-tu?" *Perspectives of New Music*, 1/2 (1963), 35.
[276] *Ibid.,* 36.
[277] "Formants" II and III entitled *Trope* and *Constellation* respectively. A fragment of the first "formant" *Antiphonie,* was published under the title *Sigle.*
[278] Boulez, Noakes and Jacobs, "Sonate, Que me Veux-tu?", 37-38.
[279] *Ibid.,* 43.
[280] *Ibid.,* 40.

Plate 13 - Diagram displaying the possible performance orders for the five formants of Boulez's Third Piano Sonata



The order of formants surrounding the central formant, *Constellation*, may be performed in various configurations according to the diagram displayed in Plate 14. Boulez explains the malleable movement structure in the following way:

> [Plate 14] shows the realization of this distribution: around the central core (which is itself a grouping of cells) gravitate the four formants grouped two by two in concentric orbits; the exterior orbit may become interior, and vice-versa. This creates 8 possibilities of performance in all, given the symmetrical requirements that the permutations must satisfy.[281]

Boulez provides a detailed justification for his approach to the five-movement form used in his Third Piano Sonata, outlining a number of interesting literary parallels, illustrative metaphors, and personal assertions. In this self-described "work in progress", Boulez repeatedly reworked each individual formant during the course of his lifetime, hence why only a portion of the entire work was ultimately published. He conceived the work as a "moving, expanding universe", which inevitably rendered the

[281] *Ibid.,* 43.

process of “development [for] one formant oblig[ing] me to re-examine another, which in turn reacted on the following, even on the preceding one!”[282]

According to Boulez, there were many aspects of Western art that required revision using a new lens in order to avoid becoming kitsch and devolving into imaginative stasis. He used the act of composition as a valuable tool with which to conduct investigations into the evolutionary path of new music according to his views. On the subject of form, and the investigative outcomes attributed to the composition of the Third Piano Sonata, Boulez offers the following:

> Form is becoming autonomous, is tending toward an absolute it has never known before; it rejects the intrusion of the purely personal accident. The great works to which I have referred – Mallarmé, Joyce – constitute the bases of an epoch. The text becomes “anonymous” in them, one might say, “speaking for itself and without an author’s voice.” If it were necessary to find a profound motive for the work I have tried to describe, it would be the search for such “anonymity”.[283]

Within the scope of this project, however, it is left up to the reader to determine whether Boulez’s incorporation of Mallarmé’s concepts through alternative musical notation is in itself achieved successfully, and furthermore whether one’s audial experience can allow for an accurate enough comprehension of a performer’s interpretation to warrant such a sophisticated application of the five-movement form.[284]

In a more contemporary example that also draws inspiration from extant literature, English composer Oliver Rudland, in his *Yorkshire Songs* (2009), brings five selected poems by five different poets together to create a ‘song cycle’ that functions as an absolute five-movement work. As Rudland states: “The texts chosen structure the

[282] *Ibid.,* 44.
[283] *Loc. cit.*
[284] Given Boulez was well known for having extremely refined audiation skills in addition to his extraordinary ability to process and retain immense amounts of information, such a proposition would undoubtedly have been par for the course, at least as far as Boulez himself would have been concerned. For a more detailed investigation into Boulez’s Third Piano Sonata, see Peter O’Hagan’s Ph.D. dissertation, "Pierre Boulez: "Sonate, Que Me Veux-Tu?" an Investigation of the Manuscript Sources in Relation to the Third Sonata.", University of Surrey (United Kingdom), 1997.

cycle in another extra musical – though non-programmatic way – in that the texts run in chronological order from the early nineteenth century to the present day in terms of when the poems were written, suggesting a progression towards modernity in order to bring the past to bear on the present."[285]

Although the programmatic elements in each text provide the formal basis for each individual song, the overall structure is constructed based on purely musical considerations. Rudland provides the following example:

> [B]oth the first and last movements strongly imitate the sound of church bells in the music (one to evoke the bells near the Bronte Parsonage, the other a typical church next to a village green cricket pitch in Yorkshire) – this has the effect of linking the outer movements in terms of their geographical location (the English countryside, specifically Yorkshire) and provides two structural pillars, so to speak, standing either side of the cycle. The second and four[th] songs, although quite different in motivic form, possess a similar 'frosty' or 'silvery' [sic] colour to their sound worlds – one for the late evening, one for the very early morning. These provide a structural similarity between the inner movements. The central movement contrasts all of the surrounding movements by being the only movement concerning with (relatively) modern machinery, as opposed to the more traditional or rural scenes which surround it.[286]

As Rudland describes, his *Yorkshire Songs* function as a type of hybrid work, using both absolute and programmatic elements in the construction of its form. In the way that the programmatic elements of Beethoven's Pastoral Symphony do not affect the ability of the work to function as an example of purely absolute music, the same could be argued for Rudland's work.

[285] O. W. Rudland, responses to HREC H-2020-223 survey conducted by David Paterson (responses dated 28/02/21). See Appendix B, item ii.
[286] *Ibid.*

Program

When incorporating a program into a multi-movement work, there are a number of different ways in which it may be manifest – whether the program is drawn from narrative text, poetic/philosophical text, or a depiction of objects/emotion. As the following works reveal, composers have attached various types of programs to their works, manifest in a variety of ways.

After Beethoven's Pastoral Symphony, the next most notable instalment of program music came in the form of Berlioz's *Symphonie Fantastique* (1830). The program notes, written by Berlioz himself, tells the story of an artist's self-destructive passion for an unrequited love. Each of the five individual movements depict different stages of the artist's life whilst exploring the full range of attributed emotions experienced by the protagonist.[287] In a letter to his friend Humbert Ferrand, Berlioz sketched out the program to the *Symphonie Fantastique,* after which he added the following lines:

> Now, my friend, this is how I have woven my novel, or rather my history, whose hero you will have no difficulty in recognizing . . . I conceive of an artist, gifted with a lively imagination, who, in that state of the soul which Chateaubriand so admirably depicted in *René*, sees for the first time a woman who realizes the ideal of beauty and fascination that his heart has so long invoked. By a strange quirk, the image of the loved one never appears before the mind's eye without its corresponding musical idea, in which he finds a quality of grace and nobility similar to that which he attributes to the beloved object. This double obsession [*idée fixe*] pursues him unceasingly. That is the reason for the constant appearance, in every movement of the symphony, of the main melody of the first allegro.[288]

[287] Michael Talbot draws parallels between the two works the following way: "The movements are disposed so that they form a five-movement cycle not very different from that of Beethoven's 'Pastoral' Symphony (the scherzo substitute comes second instead of third, and the short movement preceding the finale is a march rather than a storm)." See Talbot, *The Finale in Western Instrumental Music*, 88.
[288] S. Rodgers, *Form, Program, and Metaphor in the Music of Berlioz* (New York: Cambridge University Press, 2009), 1.

The formal structure is influenced by the depiction of each scene in the protagonist's life:

I – *Reveries* (Daydreams): *Largo*, *Passions*: *Allegro agitato e appassionato assai*
II – *Un Bal* (A Ball): *Allegro non troppo*
III – *Scene aux Champs* (Scene in the Fields): *Adagio*
IV – *Marche au Supplice* (March to Torment): *Allegretto non troppo*
V – *Songe d'une Nuit du Sabbat* (Dream of a Sabbath Night): *Larghetto, Allegro*

From Berlioz's *A Critical Study of Beethoven's Nine Symphonies,* we see that he held the music of Beethoven in high esteem, and from the preceding chapter on the Pastoral Symphony, the programmatic elements contained within Beethoven's work affected Berlioz to such an extent that he felt inspired to delve into his own approach of the five-movement form with commitment and relish.

Between Beethoven and Mahler stand a chain of connections in which identification, creativity and recreativity are interlinked. Just as Mahler's intense empathy with Beethoven's works stimulated their recreation in performance, so his identification with Beethoven also manifests in many ways — as an artist, for his courage in adversity, and as a composer, for his powerful innovations in the symphony. After receiving considerable critical attention over the interpretation of his beloved Beethoven symphonies, and mounting tension between himself and both the musicians and management of the Vienna Philharmonic, he suffered a near-fatal haemorrhage on 24 February after conducting a commemorative performance of Mozart's *Die Zauberflöte* at the Vienna Imperial Opera. Before a week had passed after suffering the stroke, Mahler resigned his position as conductor of the Vienna Philharmonic. Thanks to a resilient constitution he made a good recovery during the summer vacation later that year at Maiernigg, and when Mahler resumed his demanding work schedule, it appeared that recovery was complete. Yet underlying a successful recovery, was the manifestation of his innermost thoughts most notably expressed through the next three compositions; *Kindertotenlieder*, the *Rückertlieder*, and his fifth symphony.[289]

[289] B. Barry, 'The hidden program in Mahler's fifth symphony'*, The Musical Quarterly,* 77/1 (1993), 47.

Mahler's Symphony No.5 (1901-02), employs a unique approach to the five-movement form by separating the five movements into three parts:

Part I

I. Trauermarsch (Funeral March)

II. Stürmsch bewegt, mit größter Vehemenz (Stormy movement, with greatest vehemence)

Part II

III. Scherzo

Part III

IV. Adagietto

V. Rondo finale

According to Barbara Barry, "At a time of adversity and reformulation, while coming to grips with his own Fifth, Mahler looked to Beethoven, and particularly to Beethoven's Fifth, to provide a congruent conceptual image and, more specifically, the model for a structural ground-plan. Even more, the distinctive material and integrated structure of Beethoven's Fifth were to provide the basis for his own Fifth."[290] This modelling covered by Barry outlines similarities in motifs, character and harmonic significance. However, some relationships drawn have been called into question, for instance, regarding the *"Klopfton"* motif that appears in the opening of Beethoven's Fifth Symphony in the strings and the opening motif of Mahler's Fifth Symphony in the trumpet has been dismissed as "arbitrary" by Allen Gimbel.[291]

With a duration of over seventy minutes, the sections within each movement play a more sophisticated role in balancing dramatic tension and momentum. Excluding the very slow fourth movement, every movement contains sections that cover a range of high and low levels of intensity. The influencing factor on how the sections develop and relate to each other is governed by the interplay between the meaning attached to certain motifs used throughout the symphony.[292] Although the organisation of the

[290] *Ibid.,* 51.

[291] A. Gimbel, 'Faith in Death: Meaning and Motive in Mahler's Fifth Symphony', *Journal of Schenkerian studies,* 3 (2008), 127.

[292] A list of these motifs with their attributed descriptions is contained in Gimbel, *Ibid.,* 111.

five movements into three parts might suggest a symmetrical architecture, each part serves to categorise the different expressions of emotion within.

In the recently composed work *Winter Septet "Carols without Words"* (2021) by Romanian composer, Vlad Maistorovici, multiple approaches to the construction of form are used. Conceived as a "Rhapsodic Suite", each of the seven movements is based upon a popular Romanian carol. Although not exclusively a five-movement work, elements of its approach could well be applied to other multiple-movement forms.

Similar to Rudland's *Yorkshire Songs,* the form for each individual movement is conceived from the carol on which it is based. Although Maistorovici describes the work as a "Rhapsodic Suite", he also states: ". . . [it] has an element of a four-movement classical Sonata profile, with [movements I – III] forming an Allegro-fantasia, IV a static slow movement, V-VI a Scherzo, and VII a Finale."[293] This presents an interesting concept of joining adjacent movements, containing different thematic material whilst sharing similar tempi/expression/mood, conceptually functioning as a single movement within the overall structure.

The Compositional Decision-Making Process

Regardless of whether a work is to be absolute or programmatic (to some degree), the structure used must always take into account the teleological element – that is to say, how will the audience experience the work? Although music has the ability to convey a much more complex level of communication of ideas, it functions similarly to the spoken word in its reception – in the way that both require the dimension of time to exist. Too little or too much information being presented at any given time, and the level of interest of the audience will wane. Too long or too short a statement or idea, and its meaning is either convoluted or fails to be established. As with the great orators and conversationalists throughout history, the expression of their ideas through

[293] V. Maistorovici, responses to HREC H-2020-223 survey conducted by David Paterson (responses dated 01/03/21). See Appendix B, item i.

speech and language contains intonation, proportion, timbre, and cadence, so too do the greatest examples of music. Even when a composer like Bartók states that elements of his compositional process “happen subconsciously and instinctively”, their intuition is always guided and influenced by well-informed decisions based on fundamentally established principles and phenomena. Compositional decisions made in accordance with this notion is a common thread amongst all great works of master composers, as the analysis contained in the preceding chapters proves.

In writing this thesis and conducting my analytical investigation, it may prove prudent to restate that I am approaching this project from a composer’s perspective. This point raises a potential dichotomy when approaching the analysis of music. The elements pertaining to the creation of music do not always align with the discussion upon its completion; that is to say, the composer is primarily focussed on the process leading to the ultimate creation of a work, and the musicologist is primarily focussed on the process of description and analysis after the work has been created – rendering the two disciplines approaching the same stimulus from opposing directions. This may go some way to explaining why there is a preponderance of analysis focussed on the minutiae in comparison to larger-scale structural concerns/elements in the above chapters.

Generally speaking, once the key elements of form (e.g., proportion, pacing, harmonic congruity, potential repetition, possible programmatic concerns, as discussed in the preceding chapters) have been addressed in order to ensure a sufficient amount of unity and balance is achieved, matters pertaining to the relationships between sections within a movement, and the movements within the overall work, become the result of the sum of their smaller parts. There are of course exceptions to this process, as evidenced by Boulez in his Third Piano Sonata in particular (within which form dictates content), however, I would submit that the three main works covered in this thesis are exemplary cases of this. Hence, the focus on compositional approach and the elements apropos to the compositional decision-making process of the analysis presented.

Composing using intuition alone can only inform one’s decisions so far. Although the innate nature of our individual intuition is ineluctably based on our past experience and

exercise, the poignancy of one's ideas can easily dissipate and lose efficacy without an appropriate framework within which to communicate or express them. The result of which may be tantamount to giving a presentation or important speech with little to no preparation – regardless of the talent level of the orator, there are bound to be instances of unavoidable non-lexical fillers attenuating the potential effectiveness of the presentation of one's ideas. The main dangers attributed to this approach are namely a lack of unity, and/or insufficient development of material. Conversely, relying too heavily on "set plans", as Bartók puts it, can result in music that comes across as sterile and possibly esoteric in the experience of it. Clearly a balance must be struck between these two ends of the spectrum, though one may well ask, where exactly does the ideal point lie? No one can rightly say specifically, as it is not a tangible entity. It is arrived at successfully by the great composers via not only the approaches covered in this analytical investigation, but many extra considerations that lie outside the scope of this project. It is arrived at successfully through the process of relentless study and exercise. It is arrived at successfully by a stubborn commitment to the pursuit of constant improvement, by listening with awareness and astuteness, by absorbing the wisdom of past composers and not jettisoning the lessons provided to us in the stead of pursuing fetishism of the new and *avant-garde*. The bricks that form the canon of a civilisation are only functional when placed on top of each other.

In focusing on several well-known works in this study, my intention is to send the reader back to listen to the music discussed with new ears (i.e., the ears of a composer), and to be particularly cognisant of the variables in realising a successful example of the five-movement form; alongside relevant information surrounding, and data drawn from the works. The investigative approach is designed to invite the reader to follow the journey of discovering 'how' each composer realised their individual process of constructing the five-movement form, rather than solely presenting 'what' is contained in each work, and to suggest ideas for further composition of, and implementing research about, not only five-movement form, but multiple-movement forms in general.

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Appendices

Appendix A - Notes

i

> In this symphony [Op.55] Beethoven had Buonaparte [sic] in mind, but as he was when he was First Consul. Beethoven esteemed him greatly at the time and likened him to the greatest Roman consuls. I, as well as several of his more intimate friends saw a copy of the score lying upon his table with the word 'Buonaparte' at the extreme top of the title page, and at the extreme bottom 'Luigi van Beethoven', but not another word. Whether and with what the space between was to be filled out, I do not know. I was the first to bring him the intelligence that Buonaparte had proclaimed himself Emperor, whereupon he flew into a rage and cried out: 'Is he then, too, nothing more than an ordinary human being? Now he [sic] will trample on the rights of man and indulge only his ambition. He will exalt himself above all others, become a tyrant!' Beethoven went to the table, took hold of the title page by the top, tore it in two, and threw it on the floor.
>
> An excerpt from F. Ries, and F. Wegeler, *Biographische notizen über Ludwig van Beethoven,* appearing in Hopkins, *The Nine Symphonies of Beethoven,* 60.

ii

Erste Abteilung (First Part)

I *Pastoral-Symphonie, (No.5) mehr Ausdruck der Empfindung als Malerei* (Pastoral Symphony, (No.5) more the expression of feeling than painting.)[1]

1stes Stück. Angenehme Empfindungen, welche bei der Ankunft auf dem Lande im Menschen erwachen. (First movement. Pleasant feelings which are awakened in mankind on arrival in the countryside.)

2tes Stück. Scene am Bach (Second movement. Scene by the brook)

3tes Stück. Lustiges Beisammensein der Landleute; fallt ein (Third movement. Joyful fellowship of country folk; leading into)

4tes Stück. Donner und Sturm; in welsches einfallt (Thunder and Storm; in turn leading into)

5tes Stück. Wohltätige, mit Dank an die Gottheir verbundene Gefühle nach dem Sturm (Fifth movement. Beneficent feeling after the storm with thanks to the deity.)

II *Arie, gesungen von Dem. Killitzky.* (Aria sung by Miss Killitzky)[2]

III *Hymne mit latein. Texte, im Kirchenstile geschrieben, mit Chor und Solos.* (Hymn with Latin text, written in the church style, with chorus and solos.)[3]

IV *Klavier-Konzert von ihm selbst gespielt.* (Piano Concerto played by [Beethoven] himself.)[4]

Zweite Abteilung (Second Part)

I *Grosse Symphonie in C moll (No.6)* (Grand Symphony in C minor (No.6))[5]

II *Heilig, mit latein. Texte, im Kirchenstile geschrieben, mit Chor und Solos.* (Hymn with Latin text, written in the church style, with chorus and solos.)[6]

III *Fantasie auf dem Klavier allein.* (Fantasy on the piano alone.)[7]

IV *Fantasie auf dem Klavier, welches ich nach und nach mit Eintreten des Orchesters, und zuletzt mit Einfallen von Chören als Finale endet.* (Fantasy on the piano, which gradually includes the orchestra, and ultimately ends with the entry of the chorus as a finale.)

[1] Now known as Symphony No.6 “Pastoral”, Op. 68.
[2] Now known as *Ah! Perfido,* concert aria for soprano and orchestra, Op. 65.
[3] Now known as *Gloria,* from the Mass in C major, Op. 86.
[4] Now known as the Piano Concerto No.4, Op. 58.
[5] Now known as Symphony No.5, Op.67.
[6] Now known as *Sanctus,* from the Mass in C major, Op.86.
[7] Most likely an extemporised piece, possibly based on material drawn from other works included in the program.
[8] Now known as the Choral Fantasy, Op.80.

D.W. Jones, *Beethoven: Pastoral Symphony*, 1-2.

iii

> The performance commenced with Beethoven's symphony in B flat, which, if such a composition can be said to possess a fault, has that of being much too long, as it occupied more than half an hour. Beethoven was one of those who never knew when to leave off; witness the length of his pastoral symphony.

N. Slonimsky, *Lexicon of Musical Invective,* 44.

iv

> We find Beethoven's Ninth Symphony to be precisely one hour and five minutes long; a fearful period indeed, which puts the muscles and lungs of the band, and the patience of the audience to a severe trial. . .

"Fourth Concert," review of concert performance by the Royal Academic Concerts, London, *Harmonicon*, June 1826, 130.

v

As described in the unsigned review of a concert performance, "Metropolitan: Drury Lane," Drury Lane Theatre, London, as published in *Musical World*, January 7, 1841, 14. The review reads: "Mr. Eliason has devised a new plan for shortening the suspense of listening to this 'inordinately long' composition, namely, the playing [sic] all the movements very considerably faster than we have been used to hear them, and than the feeling of the music seems to indicate; and we suppose the author's intention to be as much deteriorated by this perversion, as it would be by the mutilation of his ideas."

vi

> The directors are honestly entitled to praise for the fulfilment of their promise that 'no pains would be spared to render the programmes varied and interesting, and attractive to all sections of the musical public;' and it is in every way gratifying to find that. . . the musical public [has] been delighted. What, for instance, could be finer than the *Pastoral Symphony* of Beethoven. . . From the first note of the bright, cheerful *allegro*, with which it opens, to the end of the final *allegretto,* every note had force and meaning,

while the exquisitely reposeful *andante* and the wonderfully-real storm held all hearers spell-bound.

Drinkwater Hard [pseud.], review of concert performance by the Crystal Palace orchestra, Crystal Palace, Sydenham, England, *Musical World* (April 20, 1867), 247.

vii

The defense of the symphony really began with Beethoven's own "more the expression of emotion than tone-painting," which was undoubtedly meant, at least in part, to pre-empt such criticisms as had been levelled a few years earlier at Joseph Haydn for the tone-paintings in his *Creation* and *Seasons.* The reaction to Haydn's oratorios is treated in H.C. Robbins Landon, *Haydn: Chronicle and Works,* 5 vols. (London: Thames and Hudson; Bloomington: Indiana University Press, 1976-80), 4:572-601 and 5:182-99. The frequently acrimonious eighteen- and early nineteenth-century debate over tone-painting is discussed in Adolf Sandberger, "'Mehr Ausdruck der Empfindungen als Malerei,'" in *Ausgewählte Aufsätze zur Musicgeschichte,* 2 vols. (Munich: Drei Masken Verlag, 1924), 2:201-12; and Richard Will, "Expression of Tone-Painting? The Critical Fortunes of the Programmatic Symphony," chap. 2 in "Programmatic Symphonies of the Classical Period" (Ph.D diss., Cornell University, 1994), 98-165. In an apparently genuine anecdote, Ferdinand Ries reported that Beethoven was among those who criticized Haydn's tone-paintings.

R. Will, "Time, Morality, and Humanity in Beethoven's Pastoral Symphony", *Journal of the American Musicological Society*, 50/2, 1997, 273-74.

viii

. . . [When] Shostakovich came to Leningrad and stayed with his sister Mariya rather that at the Yevropeyskaya Hotel as he usually did. It became clear later that there was a reason for this.

On . . . 29 June[,] Shostakovich called me early in the morning and asked me to come to see him urgently. The moment I saw him I was struck by the lines of suffering on his face, and by his whole air of distress. . . In answer to my questioning, he managed through tears to jerk out indistinctly:

‘They’ve been pursuing me for years, hunting me down. . .’ Never before had I seen Shostakovich in such a state of hysterical collapse. . .

It had been decided on the initiative of Nikita Khrushchov to appoint Shostakovich President of the Russian Federation Union of Composers, but in order for him to take up the post he would have to become a member of the Party. The task of persuading him to take this step had been entrusted to P.N. Pospelov, a member of the Bureau of the Central Committee of the Russian Federation.

These are the exact words which Shostakovich said to me that June morning in 1960, at the height of the ‘thaw’: ‘Pospelov tried everything he knew to persuade me to join the Party, in which, he said, these days one breathes freely and easily under Nikita Sergeyevich. Pospelov praised Khrushcheov to the skies, talking about his youth – yes, youth was the word he used – telling me all about his wonderful plans, and about how it really was time I joined the ranks of a Party headed now not by Stalin but by Nikita Sergeyevich. I had almost lost the power of speech, but clutching at straws, I said that I had never succeed[ed] in properly grasping Marxism, and surely I ought to wait until I had. Next I pleaded my religious beliefs, and after that tried to argue that there was no overriding reason why a Composers’ Union President had to be a Party member, citing Konstantin Fedin and Leonid Sobolev, who were non-Party members high up in the Writers’ Union. But Pospelov would not hear of my objections, and mentioned several times Khrushchov’s particular concern for the development of music, which he felt I had an obligation to support.’

‘This conversation completely exhausted me. Later, I had another meeting with Pospelov, when he renewed his efforts and once again simply backed me into a corner. In the end I lost my nerve, and just gave in.’

Glikman, *Story of a friendship,* 91-92.

Appendix B - Survey Responses

Human Ethics Research Committee approval was granted to Prof. Jennie Shaw and Research Student David Paterson on 28/10/20 (Ethics Approval No. H-2020-223) to conduct a survey of living composers who have written a substantial work falling within the scope of this project. Based on the quality of responses and participant consent, the following works were chosen to be included in this investigation.

i

Survey questions and responses for *Winter Septet "Carols without Words"* (2021) by Vlad Maistorovici:

Winter Septet

I. after "*Mă luai*", traditional
II. after *"Închinarea păstorilor"*, traditional
III. after *"Legănelul lui Isus"* by Valentin Teodorian
IV. after *"Trei crai"* by Anton Pann
V. / VI. after *"Vine Crăciunul pe seară"*
VII. after *"Domnuleț și domn din cer"* by G. Cucu

What forms are used for each movement, and how do they contribute to the overall work?

> The overall work [was] conceived as a rhapsodic Suite. Each movement is based upon a popular Romanian carol that determined the form for each movement:
> I. Variations upon the 4-bar phrase that can be heard in the first violin bars 5-8. Essentially 9 repetitions with added canonic imitations.
> II. ABABA
> III. ABAB
> IV. ABCA
> V./VI. A free fugue
> VII. ABABA

Does the work align in some way to any of the three approaches outlined in the abstract? If so, please elaborate on how the attributed elements of your approach are realised in this work (e.g., What is the attached program and how is it manifest in the music?). If not, please elaborate on the elements attributed to your unique approach/musical principles contained within this work.

The work aligns to various degrees to all three approaches. The most obvious one is the referential aspect: the work uses musical material from traditional sources (I., II., V., VI.), vocal and choral compositions possibly based on traditional sources (III., IV., VII.). On a structural level, geometric compositional thinking permeates the whole work: the incremental structuring of canons, imitations, textures, symmetric vs. asymmetric reflections and refractions. Finally, the work has an intricate programmatic aspect, partly inherited from the source material: Christmas carols, as well as traditional New Year pre-Christian ritualistic elements. The subtitle of the work “Carols without words” hints to the text-focused aspect of the vocal music that constitutes the source material, setting up a dialectic of the importance of religious and magical program at its core in this concert piece composed in 2020-1.

What are the factors that dictate/inform proportion in your work (regarding motif/phrase/section/movement)?

The paramount factor that dictates proportion is the outline of the themes. It was important that all themes are recognisable, so no alteration to the melodies was operated (with the exception of V., where I have made mild rhythmic transformations). This has determined the form of each movement. However, the over-all rhapsodic Suite also has an element of a 4-movement classical Sonata profile, with I.-II.-III. forming an Allegro-fantasia, IV. a static slow movement, V.-VI. a Scherzo and VII. a Finale.

Are there any mathematical principles present in aspects of your work?

- 7 movements for string septet
- incremental structuring of canons, imitations, textures in I., II., III.
- harmony and modality in II., III

Do you envisage/stipulate how any of your above answers may/will inform/affect the interpretation of your work?

The score credits the source material of each carol, but does not stipulate the programmatic content of any of it. The reason for that is I wanted to encourage the players to treat it as a concert piece that stands on its own, and while it does paint a romanticised picture of childhood winters in Romania, its future performances should not be tied exclusively to the winter occasional concerts programming.

Are there other considerations, or elements of your compositional process you feel require further elaboration/consideration for the researchers to better understand your work?

Alongside my older work *Concert Transilvan*, *Winter Septet* is part of my preoccupation to revisit aspects of my Romanian heritage, each work respectfully attempting a personal and even fresh approach to consecrated landmarks of the Romanian musical tradition and identity.

ii

Survey questions and responses for *Yorkshire Songs* by Oliver Rudland:

Yorkshire Songs

1. The Old Church Tower (words by Emily Brontë)
2. The Moon (words by J. H. Eccles)
3. The Coal Miner (words by D. H. Lawrence)
4. The Horses (words by Ted Hughes)
5. The Catch (words by Simon Armitage)

What forms are used for each movement, and how do they contribute to the overall work?

All of the songs in this five-movement work (or song cycle) are written in 'free form' in the sense that they are forms structured or implied by the content of the poetic texts set in each song. That said, musical forms are also imposed upon the texts (though initially suggested by meanings in the texts themselves) that provide each movement with a purely musical or 'abstract' form. Roughly, the forms of the movements are as follows:

1. ABCBCA following the verse structure of the text but with additional introductory material. The use of different material B or C for the verses is dictated by the expressive content of the text in question being set to music.
2. AABCBCD is very roughly the form of 'The Moon', however tonal alterations occur constantly throughout. The best term to describe the form would be 'moto perpetuo' as the whole song is held together by a constant flow of quavers, which again reflects the constant flow of words in the text being set to music, which in term evokes a continual moonbeam-like thread.
3. ABA'B', again following the verse structure of the poem closely.

4. ABCBCA is the rough structure of this song, a form which has been imposed on the text. The A sections are long drawn-out recitative (suited to the text) and contrasting B sections contextualise the C sections, which are more ‘song-like’ verses within a broader dramatic narrative.
5. ABA’ is the simpler structure of the final song which is entirely imposed on the text with the B section separating the ‘moment’ mentioned in the text where a ball is caught during a game of cricket on a hot summer’s afternoon, the atmosphere of which is evoked by the surrounding A sections.

Does the work align in some way to any of the three approaches outlined in the abstract? If so, please elaborate on how the attributed elements of your approach are realised in this work (e.g., What is the attached program and how is it manifest in the music?). If not, please elaborate on the elements attributed to your unique approach/musical principles contained within this work.

‘Yorkshire Songs’ most closely adheres to the use of programmatic depictions to structure the form of the individual songs and cycle taken as a whole, however there are other ‘abstract’ or purely musical considerations involving symmetrical proportions that contribute to the overall structure as well.

Programmatically, each song evokes a very different ‘sound world’ which contrasts with all the other movements. Each song attempts to take a completely different approach to form and harmonic colour, suggested by the contrasting texts.

However, there are some similarities which provide the overall structure with a programmatic form. For example, both the first and last movements strongly imitate the sound of church bells in the music (one to evoke the bells near the Bronte Parsonage, the other a typical church next to a village green cricket pitch in Yorkshire) – this has the effect of linking the outer movements in terms of their geographical location (the English

countryside, specifically Yorkshire) and provides two structural pillars, so to speak, standing either side of the cycle. The second and four songs, although quite different in motivic form, possess a similar ‘frosty’ or ‘silvery’ (i.e., frosty weather/moon beams) colour to their sound worlds – one for the late evening, one for the very early morning. These provide a structural similarity between the inner movements. The central movement contrasts all of the surrounding movements by being the only movement concerning with (relatively) modern machinery, as opposed to the more traditional or rural scenes which surround it.

In addition to this there are contrasts provided by the atmospheric temperature the songs attempt to evoke, by which I mean literally the heat of atmosphere in the content of the texts. The first evokes a cold, blustery evening and the second on a warm balmy evening. The fourth a freezing cold early morning which dissolves into a warm sunny afternoon for the fifth movement. There is a similar cold-hot contrast therefore between these two sets of movements, with again the third movement the odd one out, which evokes the sweltering fires of a coal mine; an unnatural source of heat.

The texts chosen structure the cycle in another extra musical – though non-programmatic way – in that the texts run in chronological order from the early nineteenth century to the present day in terms of when the poems were written, suggesting a progression towards modernity in order to bring the past to bear on the present. All of the poets were born in Yorkshire, except D.H. Lawrence whose poem was fictitiously written by a ‘Yorkshire Women’ and is taken from a short story (‘Jimmy and the desperate women’) set in Yorkshire written by D.H. Lawrence, who was actually from Nottinghamshire.

What are the factors that dictate/inform proportion in your work (regarding motif/phrase/section/movement)?

The proportions of the cycle are dictated by the internal forms of the songs (themselves suggested by the textual form and expressive content of the poetry), the harmonic architecture of the songs, and a song-cycle by another composer for which this cycle was written to emulate/accompany in performance.

Most of the songs have themselves a five part or symmetrical form. For example, ABCBCA, or ABA' where the central section is different to the surrounding sections. The overall placement of the songs in their order is therefore not only motivated by programmatic or 'storytelling' factors but is also a larger reflection of the internal form of each of the songs, which justified the use of five movements in a (very roughly) symmetrical form in terms of the evocations of church bells and the central movement which is the most different from its surrounding both in terms of programmatic content and abstract formal elements.

This is enhanced by the tonal organisation of the movements. The central movement is the only song which begins and ends in a different key (begins in F and ends on C-sharp). This is reflected by the surrounding second and fourth movements which are both in these keys (i.e., the second song is in C-sharp and the fourth is in F), however it means they do not link into each other tonally, but rather create 'leap-frogging' structure (C-sharp, F, C-sharp, F) in the tonal areas they occupy. The is not the case with the fourth and fifth movements which are linked, and are both roughly in F. The first movement is clearly in A minor, however it ends on the dominant of that key (E), which is the relative major of the key of the second movement (C-sharp), which itself starts on its dominant (G-sharp) and so binds the first two movements together tonally (G-sharp and E providing the pivot tones), as the last two movements are with, once again, the third movement as the odd one out. This tonal arrangement is suggested also by the expressive content of the

poems which (in the creative psychology of this composer) seem to suggest these keys as the appropriate musical colours.

Finally, ‘Yorkshire Songs’ was written as a companion piece for ‘On Wenlock Edge’ by Ralph Vaughan Williams (another English composer) but to replace the tenor voice with the baritone - this was done to provide baritone singers with a similar type of work to ‘On Wenlock Edge’, which was missing from the Western repertoire. ‘On Wenlock Edge’ is in six movements, however, the penultimate movement is vastly longer than the other movements, something which effected the length of the penultimate movement in ‘Yorkshire Songs’, which is likewise twice as long as any other song in the cycle.

Do you envisage/stipulate how any of your above answers may/will inform/affect the interpretation of your work?

There are many ways in which the above factors effect performance – in expressive detail too many to mention here. However, in general terms, the singer of the cycle must use the strength of his voice to reflect the form of the movements, keeping the inner second and fourth movements softer and more intimate in tone and the central and outer movements more extrovert and forceful in tone, although the last movement should be considerably softer than the first movement due to the expressive content of the poetry. The central movement needs to be interpreted as forcefully and ‘un-naturally’ as possible to tease out the contrasting nature of this movement as outlined above, both tonally and in terms of form and expressive content.

As indicated in the score, the final movement should segue directly out of the fourth movement with no break in the music. This reflects the ‘melting’ nature of the ‘sound world moving from the frozen ‘The Horses’ (as the sun rises) towards the warm sunny afternoon of ‘The Catch’. This transition means careful treatment of tempo changes is needed throughout the final two songs to affectively realise this gradual transition.

Appendix C - The 'Shostakovich Wars'

Two books that exemplify the rhetoric from either side of the Volkov controversy, are Malcolm Brown's *A Shostakovich Casebook* (2000), and Allan Ho and Dmitri Feofanov's *Shostakovich Reconsidered* (1998). Both books contain a compilation of articles, interviews, and papers supporting their respective cases. Both also boast an impressive line-up of authors, prominent musicians, and individuals with close connections to the composer as sources. Without delving into both texts with an appropriate amount of scrutiny, one may well be completely persuaded by the arguments of a particular side and can end up either proselytising and/or regurgitating falsehoods *ad nauseum* as a result. Anecdotes that appear frequently in program notes are often regurgitated from commentaries made by those other than the composer himself. However, even armed with the arguments from both sides, the exercise of thinking about Shostakovich – least of all committing them to text – is not made any easier. This is mainly due to the many elements at play that require due consideration.

An early incentive for Brown's book came in the form of a colleague of his, who taught the standard "survey of twentieth-century music" for music majors, taking him aside one day and asking him "My students write term papers on Shostakovich *far* more than any other twentieth-century composer, and they believe every word of *Testimony* and *Shostakovich Reconsidered*. Why don't you put together a selection of writings that would give them a different perspective, especially including something from the Soviet or Russian point of view?".[294] Brown goes on to state:

> The 'Soviet or Russian point of view' indeed had not been made readily available because of language. What little had been translated had generally appeared in specialized journals. (In fairness to the authors of *Shostakovich Reconsidered*, their book provides examples of the 'Soviet or Russian point of view' but only when it supports their arguments for the authenticity of *Testimony*. A range of contrary perspectives is not represented.)[295]

[294] Brown, *A Shostakovich Casebook,* 1.
[295] *Ibid.*, 2.

This provides us with an interesting insight into the tertiary *Zeitgeist* influenced by the literature circulating at the time. Brown then points out that the primary venue for Western specialists who raised basic questions about Volkov and *Testimony* were scholarly journals, literary magazines, and newspapers – adding an inconvenient step to the research process for students writing term papers. Even experienced scholars are occasionally stymied by the process of access to specialised journals, especially when presented as public lectures.

In *Shostakovich Reconsidered,* the authors relay from one of its most generous contributors, Ian MacDonald, that he "calls for musicologists [sic] to base their research on hard evidence rather than supposition, the whole truth rather than a selective editing of the facts, and general honesty rather than personal or political biases and agendas."[296] A fair and unarguable point in isolation, but only meaningful if substantiated by one's subsequent words.[297] A significant portion of the book "Adopts [sic] the format of a trial",[298] and the vernacular that pervades throughout the book is one analogous to a lawyer presenting a case; consequently supporting an agenda. However, owing to this format, *Shostakovich Reconsidered* contains a wealth of valuable resources by way of its citations and certain contributions from credible sources, many of which carry significant weight in their own right, without the glue generously applied by the authors. In many respects, *Shostakovich Reconsidered* would be a much more useful resource if it simply presented its bibliographical content without the courtroom drama. Unfortunately, the quality of the adhesive applied by the authors to bind these resources together often serves to weaken the integrity of the overall structure. The following points offer but a few examples of this:

In the section entitled 'Cross-Examination', Maxim Shostakovich's challenges of Volkov's claims in *Testimony* are presented in the context of the Shostakovich family's public denouncement. On the point pertaining to Maxim's claims of the inaccurate portrayal of his father's sentiments towards Prokofiev, the authors take

[296] Ho and Feofanov, *Shostakovich Reconsidered,* 22.
[297] Dmitri Feofanov, in addition to being a prize-winning pianist, has a law degree and is a regular contributor of articles in law journals.
[298] Ho and Feofanov, *Shostakovich Reconsidered,* 15.

the liberty of interpreting Maxim's mind (and his cognitive faculties in comprehension) by stating, "What actually may have shocked Maxim in 1979 was the truthfulness and multi-dimensionality of the portraits in *Testimony*, which contrast strikingly with the one-sided official images in the Soviet literature."[299]

In an attempt to disprove (and discredit) Richard Taruskin on the point of the Eighth Quartet being the only work of Shostakovich's that explicitly contains a musical "note in a bottle", the authors write, "Actually, Shostakovich left many such notes in a bottle, not to mention the whole book, *Testimony.*".[300] This assertion that *Testimony* is an unquestionably reliable source is somewhat of a theme in *Shostakovich Reconsidered*. Consequently, it is cited as such.

Another example of this is contained on page 108, where previously referenced anecdotes are presented in order to support certain claims made within *Testimony* about Shostakovich's views on the interpretation of his music*.* An extended quote from *Testimony* is prefaced by the text, "In *Testimony,* Shostakovich admits:"[301] Again, this presupposes that a) Shostakovich actually said as much, b) Shostakovich actually relayed it to Volkov, and c) Volkov is relaying Shostakovich's sentiments accurately. In context of the reason behind the book's existence, this is tantamount to a lawyer pleading his client's innocence on the grounds that his client "says he's innocent".

Further bias of Volkov's position is evidenced when the authors address the reason why *Testimony* was not originally published in Russian. After a long list of assertions placing the cause on the Soviet mentality, the authors write, "Wise Solomon didn't publish it in Russian. The book appeared in all languages except its own – yet another excuse and argument for accusing Volkov of falsification. Thus we couldn't read Shostakovich in a Russian edition printed abroad, as we were occasionally fortunate enough to read Nabokov, Solzhenitsyn and Brodsky in the era of stagnation."[302]

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[299] *Ibid.,* 91.
[300] *Ibid.,* 164.
[301] *Ibid.,* 108.
[302] *Ibid.,* 525.

Due to this literary approach, many of the words contained in the three hundred-odd pages of *Testimony* appear as footnotes in *Shostakovich Reconsidered*, either as full quotations or citations. Volkov's words are often presented as fact and his decisions deemed beyond reproach, all void of any scrutiny, which doesn't quite fulfil the act of "reconsidering" something. More a reaffirmation, or a proclamation of vindication by one's own word. Despite this, *Testimony* is listed in the index (to be expected), but not listed in the bibliography.

When using a single source in such a manner issues can arise when cross-referencing. In an excerpt from *Testimony* allegedly quoting Shostakovich talking about his Eighth Quartet,[303] a number of quotations are listed as being included in the work. In the succeeding paragraph, the authors write the following: "The true meaning of this [Eighth] Quartet has since been confirmed by documentary evidence and by the composer's friends and family. Shostakovich himself, in a letter to Isaak Glikman (19 July 1960), sarcastically noted that his Quartet is 'ideologically flawed',[304] and explained the motivation for his piece in no uncertain terms.".[305] The Glikman letter (presented earlier in this chapter), which is cited as documentary evidence, does not make any mention of the Fifth Symphony. Perhaps this is a misquotation by Volkov, or mis-remembered by Shostakovich, or an editorial error? Shostakovich's July 19th, 1960 letter to Glikman meticulously outlines all of the quoted material in the Eighth Quartet, in which the Fifth Symphony is not mentioned.[306] The paragraph immediately following the aforementioned quote from Testimony cites this letter to Glikman, clearly revealing an oversight of the referenced material.

Another instance of contradictory citation appears on the preceding page, where the authors claim that Shostakovich ". . . planned to commit suicide soon after being

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[303] The quote from Volkov's *Testimony: The Memoirs of Dmitri Shostakovich as related to and edited by Solomon Volkov*, 118/156, reads: "When I wrote the Eighth Quartet, it was also assigned to the department of 'exposing fascism'. You have to be blind and deaf to do that, because everything in the quartet is as clear as a primer. I quote *Lady Macbeth*, the First and Fifth Symphonies. What does fascism have to do with these? The Eighth is an autobiographical quartet, it quotes a song known to all Russians: 'Exhausted by the hardships of prison'.".

[304] Ho and Feofanov cite the French edition (with title translated to English): Glikman, I., *Lettres á un ami,* trans. Luba Jurgenson (Paris: Albin Michel, 1994), 159.

[305] Ho and Feofanov, *Shostakovich Reconsidered,* 161.

[306] Glikman, *Story of a Friendship,* 90-91.

forced to join the Communist Party."[307] The footnote states that the citation attached to this claim comes from a quote in a letter written by Shostakovich to Glikman, contained in a note attached to an article written by Dorothea Redepenning entitled *And Art Made Tongue-Tied by Authority'* published in *Shostakovich Studies* edited by David Fanning.[308] If this was indeed the case, why did the authors not quote the letter directly from Glikman's published letters (cited numerous times throughout *Shostakovich Reconsidered*)? In the article proper, Redepenning correctly references Glikman's commentary following the July 19th, 1960 letter, the 'commentary' of which is contained in the note in question, not the letter. Furthermore, as we can read, there is no mention of suicidal thoughts in the letter, nor is there any mention in Glikman's subsequent commentary.[309] The only source that claims Shostakovich was suicidal comes from a "sometimes friend of Shostakovich's whose self-glorifying versions of events often appear less than reliable" according to Wendy Lesser.[310] This "sometimes friend" refers to the musicologist Lev Lebedinsky[311] who purports he saved Shostakovich's life when he removed a bottle of sleeping pills upon Shostakovich's person, having played through the Quartet on the piano to him with tears in his eyes, to then hint at his intentions of suicide. Lebedinsky also recalls handing the pills to Shostakovich's son, Maxim, whilst explaining to him the true meaning of the Eighth Quartet.[312] Although Lebedinsky is on record in his accounts surrounding his recollections by way of published articles in addition to a recorded interview with Elizabeth Wilson published in her book, *Shostakovich: A Life Remembered*, Maxim has repeatedly and emphatically denied the story about the sleeping pills.[313]

On more occasions than what could be deemed as absolutely necessary, the controversies surrounding this debate results in the focus of such commentary being obfuscated to the point where the most important thing is neglected, that is to say,

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[307] Ho and Feofanov, *Shostakovich Reconsidered*, 160.
[308] D. Fanning, (ed.) *Shostakovich Studies*, (Cambridge: Cambridge University Press, 1995), 210-11 *n*12.
[309] Glikman, *Story of a Friendship*, 91-93.
[310] Lesser, *Music for Silenced Voices: Shostakovich and His Fifteen Quartets*, 147.
[311] Lebedinsky, L., *'O nekotorikh muzikal'nikh tsitatakh v proizvedeniyakh D . Shostakovicha'* [On some musical quotations in Shostakovich's works], *Nov'iy mir* (3/1990), 264. See also Wilson, *Shostakovich: A Life Remembered*, 340-1.
[312] Wilson, *Shostakovich: A Life Remembered,* 332-41
[313] Lesser, *Music for Silenced Voices: Shostakovich and His Fifteen Quartets*, 147.

the music. To provide an example of this, Taruskin disburses more words addressing Ian MacDonald than addressing the music, in his book *Defining Russia Musically*. On the subject of quotation used in, and the process of listening to the Eighth Quartet, Taruskin writes: ". . .I seem to be listening to it the way determined by paraphrasts like Ian MacDonald evidently listen to every Shostakovich piece. MacDonald himself reveals the danger of such listening when he comes to evaluate the Ninth and Tenth Quartets. . . Finding in them nothing beyond the same anti-Stalinist program he finds in every Shostakovich piece. . . Having only ears for the paraphrase, he is unable to distinguish one quartet from another, or distinguish his own hectoring, monotonous voice from Shostakovich's."[314]

Even when making a genuine point for consideration, Taruskin shows us the pointy end of his stick. On the topic of hermeneutics, he deploys three paragraphs of unfettered prose for the chief purpose of preparing a single-sentence condemnation of Ian MacDonald's book, *The New Shostakovich*.

> On the one hand are those who would prefer to simplify matters by denying the very existence (or the 'reality') of a latent content and claiming for music the status of an inherently or ideally nonreferential medium, unattached to the wider world and beatifically exempt from its vicissitudes. . . . On the other hand are those who not only acknowledge the immanence of a latent musical content but seek, or presume, to define it, to fix it, to make it manifest, to have it name names and propound propositions, to subject it to paraphrase, which means subjecting it to limitation and ultimately to control. It is not difficult to see the political subtext that informs this debate, or why the so-called referentialist side of the argument should have reached ascendancy in the twentieth-century totalitarian states at the same time that the autonomist position triumphed in the liberal democracies.
>
> But both these extreme positions are impoverishing. The position that would eliminate a whole level of meaning from music impoverishes is literally and obviously. Yet the other is hardly better. When fixed and

314 Taruskin, *Defining Russia Musically*, 495.

paraphrased, the latent becomes blatant. And when the latent becomes wholly manifest, the manifest becomes superfluous.

For an astonishingly abundant demonstration of that blatancy and that superfluity, consider Ian MacDonald's recent book *The New Shostakovich* (Boston. Northeastern University Press, 1990).[315]

[315] Taruskin, *Defining Russia Musically*, 480.