

University of Southampton Research Repository
ePrints Soton

Copyright © and Moral Rights for this thesis are retained by the author and/or other copyright owners. A copy can be downloaded for personal non-commercial research or study, without prior permission or charge. This thesis cannot be reproduced or quoted extensively from without first obtaining permission in writing from the copyright holder/s. The content must not be changed in any way or sold commercially in any format or medium without the formal permission of the copyright holders.

When referring to this work, full bibliographic details including the author, title, awarding institution and date of the thesis must be given e.g.

AUTHOR (year of submission) "Full thesis title", University of Southampton, name of the University School or Department, PhD Thesis, pagination

UNIVERSITY OF SOUTHAMPTON

J E A N S I B E L I U S:

PROGRESSIVE TECHNIQUES IN THE
SYMPHONIES AND TONE-POEMS

Timothy B. Howell BA, MMus.,
Thesis submitted for the degree
of Doctor of Philosophy,
April, 1985

C O N T E N T S

Abstract

PREFACE i

PART ONE - THE SYMPHONIES

CHAPTER ONE	Style	1
CHAPTER TWO	Form	33
CHAPTER THREE	Tonality	73
CHAPTER FOUR	Thematic Process	108
CHAPTER FIVE	Symphonic Unity	128

PART TWO - THE TONE-POEMS

CHAPTER SIX	Tone-Poem and Symphony	187
CHAPTER SEVEN	The Tone-Poems	202
CHAPTER EIGHT	The Symphonic Poems	229
CHAPTER NINE	Sibelius the Progressive	267
Notes on the Text		273

UNIVERSITY OF SOUTHAMPTON

ABSTRACT

FACULTY OF ARTS

MUSIC

Doctor of Philosophy

JEAN SIBELIUS: PROGRESSIVE TECHNIQUES IN THE SYMPHONIES AND
TONE-POEMS.

by Timothy B. Howell

As an analytical and critical survey of Sibelius' symphonies and tone-poems, this study is designed to fill a significant gap in the research of this composer which hitherto has been primarily concerned with historical and musicological issues. Those analytical investigations which exist, typically as a supplement to more biographical concerns, have not made use of modern techniques nor are they comprehensive. Beyond this self-evident purpose of processing analytical findings, the thesis aims not only to demonstrate a symposium of Sibelius' compositional techniques but also to give a new perspective to these achievements.

The layout and presentation of material has been designed to facilitate this dual purpose, dispensing with a mere catalogue of analyses in favour of grouping their findings into considerations of larger issues. Thus, Part I - 'The Symphonies' - reflects the layered analytical approach to each work in chapters which move from the general to the particular (Style, Form, Tonality, Thematic Process) selecting examples from the entire genre appropriate to each issue. The final chapter in this section concludes by synthesising those areas in a detailed analysis of a single work. Part II - 'The Tone-Poems' - opens with a more general discussion of the two genres in question revealing contrasts and consistencies. Thereafter, their survey divides into two apparently chronological sections, though in fact the distinction is a stylistic one and complements internal considerations of the symphonies themselves.

The application of reductive, layered analysis appears to be new in this context and its findings reveal a more progressive compositional attitude than has previously been credited to a figure generally viewed as reactionary. Its evidence, notably in the areas of extended tonality and formal compression, suggests an historical placing for Sibelius within twentieth-century musical developments, indicating both his awareness of the problems facing composers of the period and his personal solutions. The final chapter discusses this essentially speculative topic, its more subjective standpoint balancing the analytical objectivity which constitutes the majority of the thesis. Its conclusion is modest: Sibelius as neither reactionary nor revolutionary, but, nevertheless, progressive.

'When stillness speaks, there are dreadful overtones.'
(Jean Sibelius, 1910)

P R E F A C E

The reaction at the first performance of Sibelius' Fourth Symphony (1911) raises one of many paradoxes surrounding the work of this composer. A piece regarded by Sibelius as his most personal utterance, it failed to communicate with the audience of the time who, uncertain as to whether it had ended, ensured that this work was ushered into the world in awesome silence. Critics spoke of it in terms of 'futurist music', 'cubist music' - 'music of the twenty-first century' - yet by 1939, when Sibelius, at the age of 73, came out of 'retirement' to conduct Andante Festivo he was undoubtedly one of the most popular composers in history. In time, the impact of the Fourth Symphony has been overshadowed by the paradox of Sibelius' immense public appeal set against critical unfashionability. Today, the music of Sibelius appears to suffer from its very accessibility in that current critical orthodoxy remains suspicious of an artist who enjoyed such public acclaim during his lifetime yet it chooses to ignore the events of 1911, the most significant turning-point in Sibelius' career. It is against this background that the present study is written and the following quotation epitomises its origins: 'Mysteries conceal a truth, but direct curiosity to unveil it.' History, it is said, has a habit of repeating itself and the context of this statement, Schoenberg's essay 'Brahms the Progressive'¹, may well be testimony to this fact - but the question of a new perspective for the music of Sibelius will be returned to much later.

Analysis, of any kind, is a quest for understanding. To understand the progressive compositional techniques of Sibelius' symphonies and tone-poems, complementary analytical techniques need to be adopted. That new methods can produce new results is a principle which forms the basis for an initial hypothesis about the Sibelian technique and the corresponding analytical approach used in its investigation. Methods and results need to be discussed

at the outset and the following quotation from Goethe² forms a useful starting point:

'Sometimes a most curious demand is made: that one should present experiences without recourse to any kind of theoretical framework, leaving the student to establish his conviction as he will. But this demand cannot be fulfilled even by those who make it. For we never benefit from merely looking at an object. Looking becomes considering, considering becomes reflecting, reflecting becomes connecting. Thus, with every intent glance at the world we theorise. To execute this, to plan it consciously, with self-knowledge, with freedom, and to use a daring word - with irony - requires considerable skill, particularly if the abstraction we fear is to be harmless and if the empirical result we hope to achieve is to be alive and useful.'

Musical analysis, in the present context, is a process of rationalisation occurring on differing but related levels. Initially concerned with intuitive, emotional responses to aural experience it is eventually, through progressive degrees of abstraction, conveyed in a background, theoretical framework. However, such a description implies something of a chain reaction. In summary: intuition - observation - rationalisation - interpretation - theoretical abstraction; which, by emphasising distinctive stages in a procedure, fails to consider the crucial interaction of these levels. At any point in the analytical process interpretation must be measured against aural experience so that analysis can never assume the status of scientific proof: in relation to a hypothesis it merely concerns the question of accountability. Thus, it is hoped that the analyses of specific contexts in Sibelius' music are viewed as interpretative rather than definitive, the substantiation of one particular listening theory which, despite the gathering of evidence to support its validity, does not deny that alternatives can exist. Just as music itself is subject to a variety of interpretations in performance, analysis, by reflecting emotional experience, can never be as completely objective as some would like to think.

This study sets out to demonstrate that Sibelius, composing at a time of immense historical change, became increasingly aware of current musical developments and that,

rather than being a reactionary figure, may be considered to be a transitional one, forming an original and advanced compositional technique as a radical transformation of the nineteenth-century aesthetic. This hypothesis, by definition, began as an intuitive response which required rationalisation. Analysis, by its very nature, is the means by which this can be achieved during the course of this thesis: the large-scale aims are to be achieved by small-scale methods which involve the same process. The precise nature of the basic analytical approach reflects this as Schenkerian principles are concerned with the relationship of large- and small-scale events. The application of reductive, linear analysis to the music of Sibelius appears to be new. The aim is to demonstrate that, by pursuing Salzer's extension of Schenkerian principles, it is possible to use a voice-leading approach for music Schenker would never have considered to voice a musical approach which Sibelius critics have never considered.

Given that the thesis represents a symposium of Sibelius' compositional techniques with a view to considering them within a new historical perspective, its layout attempts to reflect that dual purpose. Thus, Part I - 'The Symphonies' - is organised under specific headings (Style, Form, Tonality, Thematic Process) which move from the general to the particular, selecting examples as appropriate to each context. Part II - 'The Tone-Poems' - begins with a more speculative discussion of the two genres in question prior to two detailed chapters which investigate specific instances of the creative interplay between them. The aim of this broader context for such a diverse collection of pieces is not only to consider more historical issues, in order to balance the more technical concerns of Part I, but also to provide something of a review of those findings in preparation for a final, speculative summary.

The music under consideration amounts to some twenty-two orchestral works so that the layout of the thesis is designed to make the necessary process of selectivity something of a bonus rather than a handicap by giving some focus to the variety of compositions which it encompasses. Nevertheless, the very idea of selectivity may be viewed

with suspicion, though in fact examples have been chosen in the full awareness of their function in the piece (or genre) from which they are extracted rather than tendentiously to support the on-going argument.

Some discussion of analytical presentation is relevant here. In order to balance the selectivity involved, some attempt at comprehensiveness has been made through a variety of approaches to different works so that the cumulative effect of evidence gathered from different domains should outweigh any initial doubts. The problem of communicating this material in a way which is effective, that is, respecting both the compositional processes involved and the demands made on the reader, is complex. Again, various methods are in evidence with the question of choice arising from the music itself. Thus, in certain contexts where continuity of musical argument is of paramount importance the analytical layout reflects this, though hopefully not at the expense of lucidity. However, what is always avoided is the presentation of systematically gathered material without any reference as to its purpose. To provide an understanding of detailed analytical presentation, a layout whereby some kind of theoretical observation prefaces the evidence itself has often been adopted. As the actual presentation is obviously the last stage in an analytical process, it is hoped that such a technique can be welcomed as one of convenience rather than dismissed as the product of some kind of preconception.

Chapter Five, which attempts to bring together previously segregated analytical levels in a consideration of the Fourth Symphony in its entirety, raises these problems most acutely. However, its central place within the layout of the thesis as a whole should be noted as it represents something of a peak in technical investigation prior to the survey of the tone-poems which, due to the very nature of those pieces, is far less rigorous than that of their symphonic counterparts. A final observation may help in this issue, namely the use of diagrams. During the course of this study some fifty or so examples display varying degrees of analytical comprehensiveness. Thus, in the instance of

Chapter Five where voice-leading reductions (and other approaches) may be seen as constituting the analysis itself, with the written text simply providing extra interpretation, it would seem quite valid for the reader to gain a summary through studying the diagrams themselves if it is felt that such a process could facilitate a clear understanding.

The problems in quantity of material, its assimilation and presentation are considerable but it is hoped that, amongst pejorative cries of selectivity, pre-judgement, singlemindedness and all, the reader will not lose sight of the profound musical response experienced by the analyst which is, after all, responsible for engendering this study. It is always worth remembering Sibelius' own words regarding analyses of the Sixth Symphony:

'You may analyse it and explain it theoretically. You may find that there are several interesting things going on. But most people forget that it is, after all, a poem.'

Kullervo and the seven instrumental symphonies do not constitute one chronological sequence of progressive stylistic development. Rather, they represent a series of various symphonic experiments (notably in form and tonality) which may be grouped, in overview, under two stylistic headings. These apparently distinct stylistic approaches within the symphonies, between what will be termed 'Romanticism' and 'Neo-Classicism', can in fact be shown to be related. The nature of this relationship creates a unique balance (rather than completely pursuing one direction or the other) producing one series of experiments in symphonic style.

In the late nineteenth-century examples, Kullervo and the First Symphony, the main area of interest is that of stylistic influences on a young composer. The Second Symphony, however, 1901-2, is the first example where the essence of the style is unmistakeably Sibelian in content although its form, tonality and gesture display strong Romantic origins. By contrast, the Third Symphony, completed some five years later and again truly Sibelian in character, is very different in these respects and suggests a Neo-Classical approach to style. It is this extreme contrast which must be initially defined and assessed as it has a significant bearing on the original and progressive symphonic approaches which characterise the last four works.

Given the idea of a stylistic contrast between Neo-Classicism and Romanticism, Symphonies Four to Seven may be grouped as follows:

(3rd)	<u>Neo-Classical</u>	4th	6th
(2nd)	<u>Romantic</u>	5th	7th

These two categories may be distinguished, respectively, in terms of tonality and form; the Neo-Classical examples of Symphonies Four and Six being concerned with experiments in tonality (pursuing those of the Third Symphony), the

Romantic Fifth and Seventh pursuing formal experiments which originated within the Second Symphony. This hypothesis initiated the subsequent examinations of 'formal compression' and 'extended tonality' presented in Chapters Two and Three.

These criteria for distinction between the two styles also form the basis of their relationship. Symphonies Four and Six, despite their tonal experiments, adhere to a traditional form by virtue of both their four-movement plans and their internal characteristics and layout. Symphonies Five and Seven, although compressing formal layout, adopt a more traditional tonal organisation. However, the four movements of the first pair are organically linked; the keys of the second pair are systematically undermined within certain structurally significant passages. All the last four symphonies, despite stylistic contrasts, contain particular characteristic traits of an organic compositional technique which articulate both tonal ambiguity and structural unity. They constitute different manifestations of one composer's symphonism - an overall style, personal to Sibelius.

At this stage, the important issues to examine are firstly, the stylistic influences apparent in the early symphonies and secondly, the broad stylistic differences between Symphonies Two and Three. Definition of the terms 'Romanticism' and 'Neo-Classicism' as specifically appropriate to Sibelius' style would require much qualification in order to avoid misleading generalisation. The ensuing analyses are designed to reveal the necessary information in support of this viewpoint as it is a stylistic distinction, rather than description, which is the main issue at this stage.

STYLISTIC INFLUENCES

The genesis of the composition of Kullervo is indicative of its stylistic influences. Sibelius' decision around 1890 to write a symphony, his initial reluctance to call it such (the programme note for its first performance and the title-page of the manuscript score read: 'a symphonic poem for chorus, soloists and orchestra') although he had spoken of it to his fiancée as a symphony and did so later in his life, and above all his withholding it from publication, are all decisive factors in determining the stylistic attitudes of a young composer. Three significant events prompted its composition and epitomise the influences it exhibits. Firstly, whilst in Berlin (1890), Sibelius attended a performance of Beethoven's Ninth Symphony which affected him deeply; particularly important was the Romantic notion: 'the word as bearer of the idea', culminating in Wagner, Oper und Drama, and something which was to preoccupy Mahler in this period. Then, whilst in Vienna (December 1890) he heard the first performance (in its revised version) of Bruckner's Third Symphony and afterwards declared Bruckner as the greatest living composer though, at the same time, expressing doubts over his attitude to form. He was, however, considerably struck by the expressive force of this piece, particularly in comparison with highly conservative compositional attitudes in Finland at this time.

It was this last thought, during his first period away from his native country, which inspired the idea of a nationalistic, epic symphony. Kullervo combines the Romantic ideals of vocal writing within a symphony, from the Beethoven, with the structural nature and expressive content of the Brucknerian example and above all Finnish nationalism, in a unique balance. The only possible parallel symphonic type is the Mahler Resurrection Symphony which is a far more accomplished piece, though it should be mentioned that Mahler was seven years older when it was produced in 1894.

After his return from Vienna, Sibelius immersed himself in the composition of Kullervo. His letters to his fiancée indicate that he did not wish the nationalism of the piece to be the product of direct borrowing of folk material but rather the transformation of national elements infused within his own personal style. To pursue this aim, he immersed himself in the study of Runic song and in 1891 listened to Karelian Runic melodies sung in the authentic manner. These basic melodic formulae were obviously influential, confirming his original definition of the Kalevala as 'theme and variations' in both a literary and musical sense. The extent of this influence has always been in dispute as Sibelius insisted to his first Finnish biographer, Erik Furuhjelm, in 1915 that he had first learnt about Runic song in the autumn of 1892 after Kullervo was completed. His present biographer, Erik Tawaststjerna, has clarified this position and provides the source for the above material.¹ The whole question of nationalism will be returned to in an assessment of the symphonies as a whole, but in general, the Sibelius symphonies do not display overt nationalist trends though this was certainly the case in the genesis of this particular piece.

Brucknerian influences are worthy of further investigation, displaying both contradictory aspects of Sibelius' initial reaction to the Third Symphony: his enthusiasm for its content and his misgivings about its form. Kullervo, overall, combines two structural ideas within its five movements. The three purely instrumental movements, the first, second and fourth, respectively follow traditional patterns of sonata-form, rondo and scherzo. The choral third and fifth movements present a much freer attitude to structure, drawing on the narrative qualities inherent in their Kalevala extracts. Thus a combination of symphonic and tone-poetical structural principles occur in the same work creating tension and contrast and yet an astonishing feeling for proportion and balance. The respective durations of individual movements serve as a means of illustrating this:

EX. 1 KULLERVO SYMPHONY

Main Themes (Introduction)

The musical score consists of four staves of music. Staff I starts with a treble clef, a key signature of one sharp, and a 2/4 time signature. Staff II starts with a treble clef, a key signature of one sharp, and a 3/4 time signature. Staff III starts with a bass clef, a key signature of one sharp, and a 2/4 time signature. Staff IV starts with a bass clef, a key signature of one sharp, and a 2/4 time signature. The music is divided into four sections labeled I, II, III, and IV, each with a different melodic line and harmonic progression. The score is taken from a sketch by Sibelius (1890/91).

Taken from a sketch by Sibelius (1890/91)

EX. 2

SIBELIUS : Kullervo Symphony

BRUCKNER : Third Symphony

BEETHOVEN : Ninth Symphony

1. Introduction	12 minutes)
2. Kullervo's Youth	14 minutes)
3. Kullervo and his Sister	26 minutes
4. Kullervo goes to Battle	12 minutes)
5. Kullervo's Death	14 minutes)

creating a balanced, three-part structure to the whole work.

The sonata structure of the opening movement (referred to as 'strict sonata form' by Sibelius) combines his study of the form at that time with the influence of the Brucknerian model. A sketch for this movement lists its main thematic elements, numbered I to IV (as shown in Example 1) and constituting First Subject, transition theme, Second Subject and potential Third Subject (in the Bruckner sense) a possible second strain of the Second Group. The block-like components of this movement are unlike anything else within Sibelius' symphonic output and owe a debt to Brucknerian concepts. Indeed the actual shape of the opening theme (see Example 2) draws on the same model as does its orchestration complete with characteristic string tremolando. The parallels between the openings of Bruckner's Third Symphony and that of Beethoven's Ninth are well known and are combined here as the product of the two main influences of symphonic performances experienced by Sibelius whilst studying abroad.

During the first part of the Development section (see Letter L) the First Subject motive appears in canonic imitation in the same way as Bruckner treats corresponding material. The block-like structure of this section, its mediant relationships (from B minor to Eb minor, C minor, C major and eventually E major), orchestral characteristics and texture all arise from this model. One of the weaknesses of Bruckner's Third is its regaining of First Subject material in the tonic before the Recapitulation proper begins (see bar 341ff); the influence yet awareness of potential shortcomings is present in the Sibelius as the opening theme occurs in the tonic (see Letter S) before the end of the Development, but maintains momentum by being in E major and as the product of a surprise modulation in any case.

In general, although a very fine movement for a twenty-six year old composer, the structural seams show clearly and some of the weaknesses of its model are still apparent. Just as Bruckner was to revise his piece several times, Sibelius felt that Kullervo needed the same treatment. Despite its immediate success in Finland he withdrew the piece and permitted no other complete performance after 1892 and 1893 during his lifetime. The reason for this is not simply the question of revision which might upset the balance of the work, as Sibelius was often to carry out this kind of treatment in later symphonies. Above all, at this time, he wanted to appear a unique compositional voice uninfluenced by other composers and folk music; yet both are present within Kullervo. Additionally, this work signified a type of symphonic development very much in parallel with that of Mahler, which was not the direction Sibelius wished to follow (as witnessed by the meeting of these composers in 1907). In which case, it was self-awareness, rather than self-criticism, which prompted his ban of the Kullervo Symphony and this was to be a significant factor as regards the so-called Eighth Symphony (or should it be Ninth?) at the end of his composing life.

The historical facts surrounding the composition of the First Symphony are interesting in their curiously diverse implications. That Sibelius waited until the age of 34 (with some 38 opus numbers behind him) before embarking on the project of an 'absolute' symphony

invites comparison with Brahms. Recent historical evidence as detailed by Erik Tawaststjerna² shows that in 1898 Sibelius had planned to write a programmatic symphony, an idea which appears consistent in the context of Kullervo, and sketch-book notes display an admiration for the Symphonie Fantastique of Berlioz. Even when the First Symphony proper began to take shape, outline sketches, motivic units prefiguring the Finale and other ideas occur over which 'Berlioz ?' is written. Set against this was the whole background of late nineteenth-century thought.

By the time of the first performance of Brahms' Fourth Symphony (1885) the issue of the Viennese Classical tradition of absolute music versus Romantic ideals of programme music and music-drama, what is usually called the Brahms/Wagner polemic, had become familiar to Sibelius during his visits to Europe in the late 1890's. Tawaststjerna argues a case for Sibelius' stand on the symphonic issue through a comparison with Strauss; both were near to writing symphonies in their tone-poems and had experimented with opera, yet Sibelius, having composed Kullervo and The Four Legends against this background, now altered his course away from the Wagnerian/Lisztian aesthetic towards that of Tchaikovsky.

The notion of Sibelius' First Symphony standing as an example of direct Tchaikovsky influence has been much discussed. The facts, at first, appear convincing; Symphony No. 6 (Pathétique) was performed in Helsinki in 1894 and 1897 and Sibelius had declared some kind of spiritual affinity with that composer: 'there is much in that man that I recognise in myself'. The gestural similarities and the use of some kind of motto-theme coupled with the occasional tendency to indulge in (over-) seductive melody also support this viewpoint. Only recently has the parallel come under more general scrutiny, as evidenced by Tawaststjerna: 'Few specifically Finnish characteristics are to be found in the symphony: the composer speaks the language of all mankind yet with a tongue that is none the less his own' and specific denial, as stated by Burnett James: 'Everything in Sibelius runs contrary to Tchaikovsky's conception and practice'.

To assign the label of Tchaikovsky influence is to mistake the general for the particular as the stylistic affinity is with Russian music rather than with any individual composer. In fact the question should be broadened still further as the fundamental characteristic of this period of Russian music was its essentially anti-German standpoint. Details of the First Symphony accord with that general influence, suggesting something of a reaction against the

EXAMPLE 3 - FIRST SYMPHONY

OPENING THEME (CLARINET SOLO)

SECOND SUBJECT (Theme B, PAGE 10)

(FOR THEME B1, see Page 12)

(Product of (a) elements)

FIRST SUBJECT (Theme A, PAGE 2)

(Product of (b) element ?)

COMPARE: BORODIN SYMPHONY NO. 1 (MAIN THEME)

German stylistic polemic, a temporary impasse within a Romantic/Classical stylistic dichotomy which is to be discussed later in this chapter.

An outline of some of the Russian characteristics to be found in the First Symphony is of initial concern, though their presence should be viewed less in terms of some kind of stylistic plagiarism and more in the context of a composer identifying with this line of development as a means of generating his own. One further piece of evidence is pertinent here: on October 15th, 1896, Borodin's First Symphony was performed in Helsinki and ensuing observations suggest strong parallels with the Sibelius work of 1899. Sibelius categorically denied knowing the work and this evokes comparison with his earlier statements concerning knowledge of Runic folk-song in relation to Kullervo. Attempting to establish the truth of these statements is less relevant than recognising the attitude behind them. Sibelius was anxious that nothing should detract from his desire to formulate an original style and technique, even in his earliest compositions.

Example 3 presents the Introductory theme which opens the symphony, isolates internal motivic units and juxtaposes those cells with the later themes they appear to generate. Thus the progressive elaboration of (a) through (a') and (a²) directly prefigures a theme which is to function as part of the second group within the sonata outline of the movement. The emphasis on the shape E-F#-G-F# (labelled (b)) and the closing B₄ of that phrase as playing some part in the genesis of first-group material is less convincing. In this context the Borodin example is placed, revealing a similarity of melodic outline though not of rhythm or of gesture. Motivic derivation from whichever source is not the primary concern here but rather its effect on the symphonic movement as a whole, as these observations are far from explicit in themselves but gradually become so. During the progress of the movement, the underlying common elements between what are actually presented as diverse

entities emerge through a process of increasing juxtaposition, during the Development, to explicit synthesis in the Recapitulation to such an extent that any clear-cut statement of theme B1 does not appear; it is no longer necessary as its origins have been revealed. The effect on the form suggests something of the end of the Development equating a varied opening of the Recapitulation, a telescoping effect prefiguring principles within the Second Symphony to be discussed later.

This thematic process has been detailed elsewhere³ and in itself does not require reiteration here. What is important is that the characteristically Sibelian notion of thematic synthesis seems to be emerging from an essentially Russian-influenced context. The concept of thematic synthesis plays a crucial part in both the Borodin symphonies and appears to have found a place in the Tchaikovskian motto-theme idea. Mature Sibelius differs, in that synthesis on a thematic level is simply a foreground manifestation of deeper structural layers articulating the progress of tonal argument and its eventual outcome. This marks a crucial conceptual difference between Russian and Sibelian symphonic processes and even in this early example, which follows the principle of its model far more directly, some sense of their distinction is apparent as, despite this being the most sectional and square-cut of Sibelius' first movements, an early sense of controlled harmonic transition emerges. Simplistically, the Russian idea of 'transition', particularly as evidenced in Tchaikovsky, concerns a passage which separates two surrounding blocks of material and this is completely at variance with Sibelius' technique of continuity. Further consideration of Tchaikovskian influence reveals its limited effect; the melodic gesture of the Finale may well recall that source of inspiration, but in actual contour, essentially stepwise and not angular, it refutes any more specific parallels.⁴ Sibelius' First Symphony undoubtedly owes something in terms of spiritual and conceptual affinity to Russian influences of Borodin and Tchaikovsky, but something

which has already been modified in practice and is to be even more so in the Second Symphony of only two years later.

This brief overview of stylistic influences is far from comprehensive because it stands not as the product of detailed comparative analysis but as a preliminary to the main concerns of the present study. Essentially, it provides the background of composers with whom Sibelius had familiarised himself, showing that he did not begin his career in some kind of musical vacuum in Finland and suggesting that, fully acquainted with the styles and issues of the fin du siècle, these were assimilated in his early works as the starting-point of a compositional process which may be viewed as transitional: from nineteenth- to twentieth-century style.

ROMANTICISM

Although the Second Symphony is the first example of Sibelius' personal style, its model is undoubtedly that of late nineteenth-century Romanticism. The present issue is one of defining the characteristics of this type of piece whilst at the same time assessing Sibelius' ability to draw on such influence yet create something original.

The general plan of the opening movement displays certain parallels with late nineteenth-century concepts of sonata form. Superficially the essence of a traditional symphonic first movement is preserved in a formal design which contrasts sections of 'statement' and 'development' and includes a balancing passage of restatement involving transposition. However, a closer examination, considering the large-scale key scheme in relation to particular thematic groups, reveals certain structural principles which are distinct from that traditional description.

The principle of continuous development of ideas provides the clue to this distinction. The technique is one whereby the common, unifying elements of initially contrasting thematic material are gradually revealed during the progress of the movement. Moreover, this foreground process may be viewed as operating in parallel with background issues concerning a cyclic key-scheme, a continuous progression, rather than tonal opposition between two centres and their resolution through transposition. Thematic synthesis, rather than contrast, articulates a cyclic, rather than polar, tonal scheme.

The structural consequence of continuous development may be considered a less traditional sonata layout than say the Classical model, and thus draws on late nineteenth-century practice. The conventional three-part balance is undermined, on all structural levels, by this technique and the result here creates some sense of a two-part design where its second section telescopes the traditional functions of

development and recapitulation into one organic structure. Perhaps, in origin, this type of formal plan indicates a last example of Brucknerian influence. Bruckner was writing the first movement of the Ninth Symphony (first performed a year after Sibelius' Second) which pursues this structural idea, whilst at the same time revising the form of the Third Symphony where these ideas could have helped solve its formal weaknesses.

Certain elements of cyclic tonality, notably three keys standing in mediant relationship, also have some origin in the Brucknerian symphony but more particularly in those of Tchaikovsky (the Fourth Symphony for example) and additionally, the concept of thematic synthesis probably originated from Russian compositional influences. This means that the influences outlined earlier, in the late nineteenth-century Sibelius symphonies, are being pursued further; yet stylistically, their effect is entirely Sibelian.

Therefore, although aspects of the Second Symphony appear to be modelled on the late nineteenth-century practice which had extended traditional sonata-form architecture, the particular fusion of these influences is unique and results in a highly original symphonic movement. The originality arises from a new emphasis on concise form to contain romantic gesture and expression, a strong sense of the inter-relationship of structural levels (where the foreground thematic technique of synthesis results in a cyclic key-scheme) and in consequence, a very different sonata-type layout (combining developmental and recapitulatory functions) producing the first indication of Sibelius' interest in formal compression.

Against this general background, analytical investigation aims to demonstrate the extent to which such theoretical observations are plausible in practice.

SECOND SYMPHONY

FIRST MOVEMENT

TONAL AND FORMAL PLAN

EX.4(a)

STATEMENT Bars 1 - 117 COUNTERSTATEMENT Bars 118 - 333

A B C Part i (118-148) Part ii (149-174) Part iii (175-207) Part iv (208-254) B A C Coda

(Bar No.) 82 103 118 133 142 146 148 152 156 164 175 181 185 204 208 229 240 255/260 293 318-333

("RECAPITULATION")

A C D b D

EX.4(b)

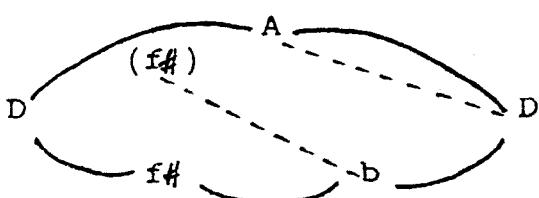
F# Minor (iii) arpeggiation

I V (V) V (I) I

Form and Tonality

Example 4(a) represents the relationship between tonal, harmonic and transposition levels as an overview of continuous development and its effect on formal compression in the first movement. One of the main analytical problems with this kind of background layer concerns the necessary distinctions between structural levels and how best to describe them. The hierarchy, represented by conventional Salzerian notation is as follows: tonality, where the key is clearly established (with distinctions as to extent); harmonic centre, where there is a sense of harmonic progression with one triad discernibly the most important; and pitch-centre where, amongst a sequence of transpositions, one pitch-class is repeatedly established (usually over several octaves) and therefore assumes some degree of background importance.

The reduction of Example 4(b) shows the main tonalities of D and A majors (represented by triads) giving the traditional background projection of I - V - I. Secondary keys, more equivocally established, of F# and B minors, using the same principle of thematic restatement and the same interval of transposition as the above, are also included. These indicate an overall arpeggiation which contains mediant relationships around a D major triad. Such correspondences arise from two factors on the surface of the music: major and minor triads (and tonalities), plus ambivalent diads surrounding the tonic sonority - A, f#, D, b. The arpeggiated nature and relationship of the centres involved, interlocking D-major/B-minor motions, encapsulates, on a background level, the cyclic nature of the piece and is supported by harmonic and thematic processes:



The reductive analytical technique for what would traditionally be regarded as a central development section but is really the beginning of one passage of 'Counter-statement', (both possibilities are indicated on the diagram), is complex. The term 'Counterstatement' results from the fusion of development and restatement functions within one, continuous structure. Its complexity arises from the nature of the surface presentation of material where an impression of more conventional rapid modulations is undermined by a dense, motivic texture, linear rather than harmonic, and ambiguous as regards progressive harmony or sense of key. The sequential nature of differing thematic units plus general, large-scale textural contrast, allows segmentation into four paragraphs.

Part i, bars 118-148, is more harmonic in nature and therefore represented on the bass stave where a centre of D_b major is assumed. This is prolonged by dominants, A_b and E_b , and with the appearance of a reference to the mediant F , contains the same relationships (on a more local level) in a developed form as the opening section of the movement: D , e , $f\#$, A becoming D_b , E_b , F , A_b , at the transposition of a semitone. In other words, this paragraph may be seen as a development on a harmonic level (with correspondingly reduced proportions) of the tonal scheme of the previous section and thus initiates the continuous development process which characterises the remainder of this movement.

Part ii, bars 149-174, proves more complex when attempting to assign an overall centre. Represented on the treble stave are the transpositional levels of successive thematic presentations because these form the main strand of this paragraph, although they are melodic. A sequence of minor-third transpositions is revealed and may be viewed as a surface development of the background tonal relationship of $F\#$ minor - A major. Considering this overall sequence, the motion is actually from E_b to A_b , the latter being prolonged by an octave displacement through the arpeggiation of a minor-thirds cycle. An E_b pedal supports the final sense

of $A\flat$ and in overview the background motion of the paragraph is summarised by $E\flat$ to $A\flat$. This pursues harmonic elements from the previous passage, now presented on a more local structural level. That process, in itself, helps underline the proportional relationship between Part i and the opening section of the movement by moving a step further from large- to small-scale organisation. At the same time their external semitone transposition (detailed above) is incorporated internally here as the minor-third chain of bars 152-155 stands in chromatic relationship to those of 156ff and the $A\flat$ centre. From bar 165 to 175, $A\flat$ (now $G\sharp$) is assumed in this middleground role and present as a continuous pedal point.

Part iii, bars 175-207, comprises an even more ambiguous motivic complex which makes any sense of overall pitch centre difficult, particularly as the sequential thematic presentation follows transposition levels of a whole-tone scale, symmetrically dividing the octave to remove hierarchy. However, the total motion spans $A\flat$ to $A\sharp$ over two octaves and this pitch-class, in being given a certain prominence, can therefore assume a much qualified background significance. What is so carefully avoided is any conventional sense of dominant prolongation until a very late stage in the movement, the final dominant preparation from bar 240 onwards.

Part iv, bars 208-254, consists of a series of bass pedals, represented on the lower stave. Moving from $D\sharp$ - $B\flat$ - $G\flat$, (which enharmonically becomes $F\sharp$), they provide a local arpeggiation which balances, large-scale, the initial tonal shift from D to $f\sharp$ of the opening section. The additional motion there, from $f\sharp$ to A , is also present here on this different structural level, as the $F\sharp$ pedal (bar 229ff) moves to that on A (bar 240) which has a dominant function initiating the closing part of the Counter-statement. This includes more direct restatement of material, notably the original $F\sharp$ minor paragraph now in B minor, the transposition giving an overall sense of balance around the D major tonic.

To summarise, looking at the final background level of reduction, D_b (alias $C\#$) is assumed the overall pitch centre for parts i and ii, a possible $A\flat$ for part iii and a final $F\#$ for part iv. This suggests that the surface continuous development technique is articulating further mediant relationships, prolonging the original $F\#$ minor/overlapping A major tonalities from the opening section in an arpeggiation of $C\# - A - F\#$, where the motion $C\# - F\#$ predominates. The passage of Counterstatement may be represented as an overall cycle of:

$C\#$ to $F\#$ (via A); A (as V) - D; B minor - D major. Two perfect fourths, a minor third apart, plus a further minor-third elaboration of D provide a balancing cycle in comparison with the mediant relationship spanning a fifth of Section I; one continuous structure is thereby created. Although this continuity of a tonal cycle supports the theory of an underlying two-part form, in practice the overall proportions of the movement undermine this. The issue remains equivocal, given this early stage in Sibelius' symphonic development, but one to which he was to return and clarify in later examples.

SECOND SYMPHONY

MAIN THEMATIC GROUPS

EX. 5

String 1 2 3

A1 *Mf*

A2 *Fl. / Cl.* 10 11 12 13 14 15

A3 *Hn.* 12 13 14 15 (A4) *Fag.* 37 38 39 40 41 42 43 44 45 46 47 48

B1 *Vlns.* 49 50 51 52 53 54 55 56

B2 *Vln.* 57 58 59 60 61 62 63 64 (B4) *Vln.* 77 78 *pizz.*

C1 *WW/Brass* 83 84 85 86 *mf cresc.*

C2 *WW.* 105 106

Thematic Process

Synthesis, not contrast, forms the basis of a thematic process which reflects the cyclic, rather than polar, tonal organisation of the movement. Basic cells, common to all thematic groups, encapsulate the mediant relationships of the tonal scheme, specifically, the arpeggiation of the tonic major triad juxtaposed with that of its relative minor. The foreground projection of this issue is achieved through three-note scalic figures which, by encompassing the interval of a third, create potential diadic ambivalence of possible major/minor triadic formations. Additionally, the presence of turn-like figures form another common denominator between themes and the possible fusion of these two cell-types, fundamental and ornamental, is a significant factor in later events. The potential for local tonicisation inherent in a turn figure can, when used to decorate a three-note scalic motive in this specific way, help clarify tonal ambiguity.

During the central portion of the movement the gradual emergence of these underlying elements, as a basis for synthesis of surface contrasts, characterises its organic thematic process. This continuous development articulates harmonic/tonal uncertainty and instability which is gradually clarified as motivic fragments come together. The establishment of an unequivocal home dominant is coincident with the final, explicit thematic synthesis.

The main material for this process is shown in Example 5 where it is arranged in groups as they appear in the opening section with an emphasis on continuity and compression which renders traditional divisions of a sonata-form exposition meaningless. Group A comprises three, closely related elements which articulate a D-major paragraph. Thereafter the tonal progress is from uncertainty (of the B-group) to the environs of F# minor (using C1) sharing a common accompaniment figure (A1) eventually used, after this minor mode interruption, to establish the dominant,

SECOND SYMPHONY

THEMATIC SYNTHESIS

ix. 6

stage

Further example of A/C relationship

Stage

2

Cl. 164 165 166 167 168 169 170
Cl. pp sempre Further appearance
 Tim. *ppp* *sempre pp* of Cl combined with A

A2

Cello 175 176

(Turn-figure from A2)

B1/2

185 186

Vln. 202

(Turn-figure from B)

Closer derivative of B and isolate 'turn'

stage

2

Vln. 210 *poco f.*

211 212 + A3 213 214 215

C1 and A3 presented as
one theme

Third appearance of these two elements, combined as one theme; common turn-figure is isolated and treated sequentially to lead to direct quotation from theme B.

Synthesis of C1/A3/B1

A major. This correspondence between groups A and C, a thematic and functional one, prefigures later developments. The present tonal issue, mediant relations of $F\#$ and A, is essentially one of minor versus major and as such is inherent within the construction of B-group material.

Theme B1, presented unharmonised, is the most contrasting thematic shape and has the greatest tonal ambiguity. It is to reappear at the same pitch-level as a structural dominant (from bar 247) and consistent with that later role the initial $E\#$ emerges here from a $\flat 9$ th sonority on $A\#$. However, this early appearance of theme B1 is distinctive in its closing descent with E minor harmonisation thereby cancelling earlier $G\#$'s in favour of $G\#$ and suggesting that the overall collection is that of the Dorian Mode on E which, as a hierachic reordering of the D major collection, has strong E minor potential. This theme stands midway between the major and minor modes of respective A- and C-groups.

Therefore it is highly significant that the thematic process of the ensuing continuous development technique concerns an organic link between A- and C-group elements and their fusion with B material. This creates the climactic, final synthesis used to articulate a tonal shift of structural importance. Example 6 charts this process, indicating the origins of these derivative motivic units, as a catalogue of their gradual fusion. The progress may be summarised in three main stages:

- 1) the juxtaposition of elements from groups C and A, plus appearances of distantly related B-group motives; and
- 2) closer combination of A and C material followed by a clearer derivative of B-group motives; and
- 3) organic fusion of A and C elements into one theme, its common turn-figure generating a sequence which is joined to a direct quotation from theme B1, articulating the arrival of the home dominant, at bar 240.

The thematic synthesis is not quite complete as, added to this fusion of elements, the rhythm of A1 and the

simultaneous statement of A4 help move the tonality towards D major. Quite naturally, it seems, theme B1 appears in complete form, making the thematic process explicit, in order to articulate a corresponding tonal function. The theme is at original pitch but, duly harmonised, it functions as a structural dominant which, given the ensuing transposition-levels, suggests that its earlier harmonic potential (ii in D major) is finally realised in this V projection.

After this climax, Sibelius draws a double bar line with a pause over it. From bar 260, the main D-major themes are now restated. But is this a Recapitulation? The main B-group material has, after all, just been heard. The possibility that this is simply a reordered restatement, particularly given the strong feeling of the beginning of a third part created by the 'structural' dominant, cannot be denied but on the other hand traditional functions of development and recapitulation have been telescoped into one continuous structure where evidence of a cyclic tonal scheme can be discerned. Compression prevails in the ensuing passage of more direct restatement, remaining material is presented contrapuntally, and this prefigures, in a simple way, later symphonic examples where direct repetition of material is dispensed with and continuous development dominates.

Attempting to fit the piece into one or other mould is neither useful nor desirable. What is important is evidence of Sibelius reinterpreting traditional practice to produce his own solution which, although specific to this piece, throws new light on the origins of clear-cut examples of formal compression ^{such} as characterise the mature works. Sibelius has drawn on the influences of Romantic gesture, tonality and form but applied to them a highly organic compositional technique. The effect is a concise and original handling of form which the large-scale sonata plans of the symphonies of the 1890's, for all their individuality of language, fail to grasp. By this movement of the Second Symphony (the remainder is far more traditional) Sibelius is no longer modelling his thinking on specific symphonic works but is taking up the challenge of the symphonic principle as

such. Perhaps during the composition of this piece, Sibelius instinctively experienced the possible conflict between romantic expression and symphonic form. (He was to revise and condense substantially the earlier tone-poem, En Saga, at this time.) This was to engender further experimentation, a stylistic extreme: the Neo-Classical Third Symphony.

NEO-CLASSICISM

The abrupt stylistic departure apparent in the opening movement of the Third Symphony, 1904-7, is not as extreme as superficially it may appear. The Romantic gestures of the Second Symphony were controlled by a concise compositional technique and the cleanliness, moderation and balance of the Neo-Classical Third is, perhaps, merely an extension of this process. The five years between these works witness an interesting dichotomy between 'Romantic' and 'Classical' expression. They include the revision of the (undoubtedly romantic) Violin Concerto (1903-5) which, a glimpse at the original manuscript suggests, reveals a process of compression and clarification comparable with the En Saga revision. At the same time, 1906, appeared Pohjola's Daughter, a tone-poem which displays a new emphasis on thematic integration accounting for the composer's description of 'symphonic fantasy'. However, it has always been claimed that this piece is overtly programmatic, following direct narrative far more closely than any of the other tone-poems. Such a Romantic standpoint can now be disputed in the light of recent historical evidence revealing that the 'programme' was suggested by Sibelius' publisher after the piece was completed (see Chapter Six). This adds further intrigue to the whole issue of stylistic contrast yet simply helps to pinpoint its chronology rather than offering any clear solution at this stage.

1907, the year of the first performance of the Third Symphony after its many reworkings, was the time of the famous meeting between Sibelius and Mahler. Here the Romantic/Classical question, in effect, arose and appears resolved: 'When our conversation touched on the Symphony,' Sibelius told Ekman, 'I said that I admired its style and severity of form, and the profound logic that created an inner connection between all the motifs. This was my experience in the course of my creative work. Mahler's opinion was just the opposite. "No!" he said, "The symphony must be like the world. It must be all-embracing."' The contrasting stylistic

views of the symphony expressed by Sibelius and Mahler help to place the apparently extreme Neo-Classical experiment of the Third Symphony in some kind of context, showing something of the composer's changing aesthetic. In the course of his creative work, the later Sibelius symphonies all display this compositional process of profound logic, an organic thematic technique, which underlies the romantic gesture and expression of the Fifth and Seventh. Their formal compression may well arise from 'Romantic' practices of cyclic structure and linked movements but it is partly achieved through a 'Classical' thematic surface.

The stylistic problem is still unresolved within the Third Symphony, despite its first movement, as it stands as the only example using a three-movement layout; the Fifth will be shown to 'join' two movements, organically, into one structure. Serious questions arise in connection with this final movement of the Third Symphony. Is it an organic two-movements-in-one structure, prefiguring the Fifth? If so, is this formal compression a 'Romantic' trend and therefore an unhappy stylistic anomaly within the prevailing 'Classical' balance of the rest of the piece? Perhaps it is merely continuing the attacca indication at the corresponding place in the Second Symphony as one continuous movement. The Neo-Classicism, as yet underestimated in importance, is undeniable in the first movement and as a stylistic contrast to that of the Second Symphony must initially be investigated.

EX. 7

EXPOSITION

DEVELOPMENT

RECAPITULATION

First Subject (Bars 1-39)	Second Subject (Bars 40-93)	Part I (Bars 94-135)	Part II (Bars 136-65)	First Subject (Bars 166-201)	Second Subject (Bars 202-250) Coda

Transpositions of:
A motives; B motives

EX. 8 (a) TRANSITIONAL PASSAGES

Exposition

Bar 25: C/G

27: C+diminished

28: C major

29: a minor

31: (C#)

33: (A#)

40: (B# min.)

Recapitulation

Bar 190: C/G

192: C+diminished

193: extra diminished

194: F major (6/4)

196: d minor

199: F+wt

202/5: (E min.)

EX. 8 (b) Reduction of RE-TRANSITION

Form and Tonality

The concise formal design of this movement, indicated in Example 7, clearly draws upon Classical practice by following the architecture of the sonata model. The concept of clearly defined sections of contrasting function, statement and development, and that of transposed restatement (at the typical interval of a perfect fourth) gives traditional balance to the tripartite structure, whilst the internal binary divisions of Exposition and Recapitulation are reflected within the Development section. This feeling for proportion, clearly articulated by thematic groups, is aided by their balanced phrase-structure, restrained gestures and the refined orchestration with its emphasis on string writing.

The stylistic emphasis on moderation provides a framework of Classical expectation; a recognition of a theoretical model, but purely as a background structure. The compositional practice concerns the rejection of traditional organisation, favouring a progressive attitude to tonal, thematic and harmonic processes. The overall effect suggests a distortion of tradition, almost a parody of Classical practice, and creates direct parallels with the kind of issues which were to interest Stravinsky, some forty years later, in his Symphony in C.

How far the present piece is "in C" forms the starting point of detecting the extent of its Neo-Classicism. C major, coloured by an A-minor emphasis, characterises the opening paragraph and this kind of mediant relationship reappears in the highly unstable Second Subject; it is directly re-presented by the use of these keys, as a result of transposition levels, during the Recapitulation. The initial choice of the leading-note minor arises from the idea of defeating expectations, though in fact it merely delays, rather than denies, what might otherwise have been predicted. Instead of the traditional dominant or its strongly implied

relative minor, B \flat is established, functioning as a pivot between two minor mode areas (the relative of the dominant and the dominant of this relative) and the eventual dominant. During this paragraph, the pivotal scale-degree function of B \flat remains equivocal: 1 of vii, 5 of iii, 3 of V. In abstract, the hierarchy of expectation would be precisely the reverse order.

If the choice of secondary tonality (tonalities) is deliberately unorthodox, the same is true of the means by which this is articulated and the whole concept of 'transition' in general. Example 8(a) reduces the two corresponding passages from the Exposition (pages 5-7) and the Recapitulation (pages 21-23) in order to examine this question. The striking feature of the first paragraph is the way in which B minor assumes a strong sense of possible secondary key without any real progressive harmonic motion to articulate this structural modulation. The chromatic harmony over a C-pedal (from bar 25) implies motion, yet C major is regained at bar 29 and the C \sharp pitch-class is reaffirmed at 34 with the brass C-D-E outburst. The diminished sevenths have produced one consequence, the melodic presence of F \sharp which is to play a crucial role, but initially within the harmonic context of C moving to A minor, taking up earlier ambivalent implications and suggesting the relative minor as the possible new key; this is supported by the upper-voice leading, arpeggiating C major and A minor triads with a final A-C-D-E motion. But the scale-degree function is deliberately ambiguous and the C \sharp at bar 34 proves to have a different function from that of 29. It is no longer the tonic but rather a member of a whole-tone subcollection presented in a different orchestral colour; the F \sharp , isolated by orchestration, assumes a diatonic role as the dominant of B minor yet at the same time, given the proximity of C \sharp to the B \flat , F \sharp also sounds like "V of V" - a possible E minor outcome.

These interpretations, of transition and non-diatonic articulation, pass unnoticed at the time. The

assumption, from bar 40, that B minor is the new key is clearly felt but the sense and means of arrival is deliberately undermined. The process stems from adapting traditional Classical theory of modulation which, in this context, would necessitate the introduction of F# (to replace F \natural of the tonic collection) and could therefore account for up to four whole-tone steps in purely diatonic terms. The fact that a mixture of whole-tone and diatonic organisation is crucial within the progress of this movement remains, like so many aspects, ambiguous at this stage.

It is only during the re-transition of pages 21-23 that the modulatory function of diminished seventh harmonies is made explicit, though any changes in their nature are deliberately subtle. Through a time-signature change (from 4/4 to 3/2) a three-bar unit is preserved yet an extra harmony included so that C major (of bar 30) becomes F major (at 194) and this interval of transposition persists so that E minor is the key of restatement. In order to articulate modulation during this passage, the complete C major collection is partitioned so as to explore the different potential functions of its scale degrees; see Example 8(b). This is more systematic in its use of different pitch-class functions than previously, the C major-D minor-E minor motion being a projection on a harmonic and tonal level of the earlier voice-leading, so that a sense of the overall key-scheme being articulated by whole-tone motion emerges. The inter-relationship of whole-tone and diatonic organisation forms the basis of the harmonic motion within the Development, providing evidence for the plausibility of interpreting these functionally corresponding passages as connected with this concept.

The compositional approach to the Classical idea of transitions which articulate modulation is based on defeating expectations set up by that model. It involves the recognition of Classical theory and its rejection in practice, notably in terms of key-scheme and articulation of key change. Additionally, the function of the two transitional passages, as well as their nature, is altered; that of the Recapitulation is the more clearly articulatory of harmonic and tonal

change: a reversal of the Classical concept. At the same time, Classical practice often intensifies the modulatory process in a Recapitulation, precisely because there is no functional need for one at all, so Sibelius may simply be extending rather than reversing that concept. Either way, the effect may usefully be described as Neo-Classical, re-defining what is more apparent than real in the 'modulatory' process of the model.

THIRD SYMPHONY · THEMATIC PROCESS

EX. 1

Cello

A1

Ob. *p*

A2

ff

sf

30

Cello

B1

Fag. *mp*

B2

62

Vln.

203

B3

206

DEVELOPMENT SECTION

Cello Vln. Vla.

(i)

Vla. Vln. Vla.

Bars 103-5

Bars 119-21

Fag. C1

136

142

Ob.

150

152

C1!

C1. 154

poco f

Fag.

poco f

Cello

dim

marcato

mf

Bass

marcato

mf

155

156

157

Thematic Process

A technique which simultaneously explores unity (of nature) yet contrast (in function) between differing subject groups, characterises the process of synthesis within this movement. The result is Neo-Classical: a new perspective for a type of (Haydn-esque) monothematicism.

The underlying intervallic relationship between First and Second Subjects emerges fairly clearly early on in the movement. Therefore, the synthetic process within the Development section must be concerned with more than simply revealing this correspondence of shape. The foreground, thematic distinction is in fact the result of a middleground process: the exploration of different scale-degree potential within each cell. These cells precisely articulate harmonic functions so that the process of synthesis is far more concerned with resolution, in tonal terms, rather than relationship, on a purely thematic level. The technique of synthesis, in the Third Symphony, becomes fundamental rather than ornamental.

The cellular process in question concerns intervals of a minor third and perfect fourth, which are, of course, the basis of the overall tonal structure. The precise reference between foreground nature and middleground function of these units is indicative of a far greater degree of inter-relationship between structural layers than in earlier Sibelius examples. At the same time, this technique is both the acknowledgement of Classical precedent and its denial in practice; a progressive attitude towards tonality is employed.

Example 9 is a catalogue of the main thematic elements of this movement. The opening motive of theme A1 comprises a scalic descent spanning a perfect fourth, C to G, where the content defines a function of I - V. The corresponding figure of theme B1 is that of a descending minor third, where the context assigns tonic significance to its

final note. The consequent motive, which completes theme A1, emphasises its internal minor third, the lower G assuming the role of neighbour note; the corresponding continuation of theme B1 has a balancing, complementary effect in its elaboration as a perfect fourth descent: E to B (which incorporates figuration from A1). It is the internal construction, the placing of semitones, which defines the differing scale-degree functions of these two cells:

C	B	A	G	and	E	D	C#	B
I	-	V			iv	-	i	

The transformation of one motivic shape into the other was prefigured by the transitional theme, A2, which not only contains a minor-third descent (implying E minor) but a further descent to C (suggesting the dominant collection); the overall span is G to C, inverting that of the opening motive. Its E minor potential is explored in the second stage of transition (see theme B2) which moves from B minor via E minor to the eventual dominant; the distance of a perfect fourth plus a minor third. These correspondences between main thematic material are supported by surrounding appearances of 'passage work'; the semiquaver figuration of bar 19ff and that of 55ff help link the two stages of transition in terms of underlying textural associations.

The related nature of these main motives is therefore clearly implied during the course of the Exposition; it is explicitly stated in the Recapitulation of the Second Subject; compare themes B3 and B1. The synthesis within the Development is concerned with the harmonic function of these main cells:

- (i) the first part of this section uses motives from A1, subtly extracting its minor third element;
- (ii) the second stage applies a complementary approach to B1 material;

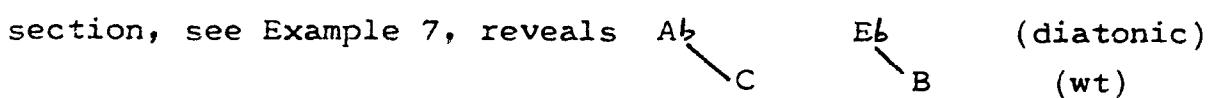
(iii) final synthesis occurs, just prior to the Recapitulation, as the intervallic construction of these motives is changed. The last stage, E-D-C \flat -B, combines the thematic nature of B1 with the harmonic function of A1; it is presented in First Subject figuration and is an inversion (a retrograde of interval content) of that opening cell. A chain of such motives leads to the Recapitulation with C major overall voice-leading: E-F-G-A-B-C, bars 162-165.

Extended Tonality

Diatonic Background

The harmonic motion of the Development section explores the inter-relationship of whole-tone and diatonic organisation. The latter is articulated by explicit versions of the main motivic material. Thus, in the first part of this section, A_b motives appear in the following sequence: A_b, B_b, C (bars 103-5); C, D_b, E_b, (bars 119-20); which, given the role of such motives, would suggest a possible A_b major overall centre. The prolongation of a dominant (E_b) pedal from bar 94, that on A_b at 102 and subdominant harmony (D_b) at bar 106 supports this view. In the second part of the Development, B₁ motives articulate a sense of diatonic background in the same way using the following succession: E_b minor, from bar 136, B_b minor (141); G minor (144); A minor (146); C[#] minor (149) and a final E_b/B_b (at bars 152 and 153). This suggests an overall centre of E_b minor by its recurrence, dominant projections and that all other transpositions are members of the whole-tone collection which includes E_b.

The reason why these background centres are so difficult to assign arises from the interruption of diatonic progression by harmonic events of whole-tone relationship. These encompass the A_b and e_b possibilities as the former is the background centre for First Subject material, originally associated with C major and is a member of its whole-tone collection, and the latter is completely complementary in terms of B minor and Second Group material. The two centres therefore stand in perfect-fourth relationship and form large-scale mediant correspondences with the main keys in a balancing way. It is worth noting that E_b forms the mediator between these two centres and was projected at the opening of each section of the Development. It literally has the same role within the prevailing C major and B minor key-scheme; respectively reversing major and minor inflection. The overall arpeggiation of the background level of this section, see Example 7, reveals



EX. 10 PART II

Inter-relationship of Whole-Tone and Diatonic Organisation

Diatonic thematic surface

(E_b minor + B-based wt scale)

(Fag.) (C1) (#(Ob.)) (C1)

iv - i; iii - i; iv - i; v - i; iv - i; iv - i (- v)

Bar 136 144 149 152/3 154

Augmented triad (Tristan Chord)

(Hn. 1, 2) (Hn. 3, 4)

Whole-Tone harmonic background (C-based wt scale + B_b)

Augmented triad (Tristan Chord) - (minor triad)

EX. 11 PART I Interruption of Diatonic Motion by Whole-Tone Elements

Tonal Centre A_b:

Bar 94 98/9 102 106 112 116 121 125 132

B-based wt scale: E_b C_b B A B_b

E_b (V) A_b (I) (D_b) (IV) C (III) (I)

C (A_b prolongation) C E_b (=A_b arpeggiation)

C-based wt scale

centres, with B \flat present as the final, "dominant" pedal; thus an alternative A \flat major/minor arpeggiation is discernible incorporating the above issues.

Whole-Tone Interruption

In considering this interruption of diatonic progression by whole-tone motion, the second part of the Development, itself concerned with clarification through thematic synthesis, demonstrates this inter-relationship more systematically. Example 10 reduces this process, indicating a network of underlying pedals which partition and project the C-based whole-tone collection. The motivic appearances outlined above, given their previously defined iv - i potential, both support and conflict with this as witnessed by their first and last pitch-classes. Whilst the outcome of these gestures is nearly always a member of the conflicting whole-tone collection, the exceptions are two appearances of B \flat minor, symmetrically placed in the overall sequence. The final example is that of overlapping E \flat /B \flat minors (152/153) which epitomise the conflict. Their resolution is diatonic: E \flat = D \sharp \rightarrow E

$$B\flat = A\sharp \rightarrow B$$

and coincides with the climax of the process of synthesis and a B \flat pedal (the first example outside the C-based whole-tone collection) which now functions as a "dominant pedal" - in a Neo-Classical sense.

The same principle can be seen evolving during the first part of this Development, illustrated in Example 11. The main harmonic interruptions are as follows: two, symmetrically placed, complementary whole-tone sonorities (bars 98-9 and 125-6); two Tristan Chords (bars 112 and 116), one with a C \flat bass and corresponding whole-tone weighting, the other over a B \flat and at the transposition of a minor third, reversing this allegiance; and the whole-tone sonority C/D/E \sharp at bar 121, which resolves the balance in favour of the 'tonic' whilst recalling crucial elements from the transition which originally undermined it.

The apparent conflict yet potential relationship of whole-tone and diatonic organisation arises from the theory that the inherent opposition between the mutually exclusive C- and B-based whole-tone collections can be resolved through diatonic means. The fundamental conflict between the disruptive nature of whole-tone motion upon the progressive effect of diatonic organisation is one of ambiguous scale-degree function; it is curtailed by reinstating distinctive scale-degree relationships and resolved when this process involves the invariant members of a common sub-collection. Thus prominent members of the 'Second Group whole-tone collection', F, G, A, B, (presented as a non-diatonic projection of this substitute dominant, B minor) are of course significantly key-defining in terms of C major, respectively according to context. A chain of motives (themselves a synthesis of both A- and B-type material), exploring that relationship, use precisely this voice-leading to indicate the point of Recapitulation (bars 163-5). Whole-tone disruption becomes diatonic distinction as Development gives way to Restatement.

The Classical (Schenkerian) concept of 'dominant prolongation' is recognised as a principle, but in practice, the Development section realises it in a Neo-Classical manner.

FORMAL COMPRESSION : Origins

The earliest symphonic example where formal compression is used to modify traditional structure can be observed by comparing the manuscript score of the First Symphony Scherzo with the final, published version. This process reveals many of the principles which underlie later formal experiments as in the Fifth and Seventh Symphonies. The First Symphony is interesting in terms of stylistic influence and the model for its scherzo is apparently Brucknerian. Erik Tawaststjerna raises a particular problem surrounding the formal category in which this movement should be placed: 'In the more recent writings about Sibelius it is seen in terms of sonata-design where a trio has been inserted between the development and reprise. (Krohn launched this particular theory and his view seems to be shared by Vestdijk and Vignal.) For my part, however, I feel that the movement lacks the structural complexity that one associates with sonata form. It is much closer in my view to a kind of ternary-form - or liedform where the main section also includes an element of thematic development'.⁴

From the new evidence which the manuscript score provides, it is possible to confirm the view that this scherzo displays a considerable degree of sonata thinking, but such classification is less interesting than the precise attitude to proportion, balance and dramatic effect which the final version adopts. The essential difference, in comparison with the original conception of this movement, concerns the deletion of a large stretch of music. The effect of this cut is to remove the predictability of direct repetition in favour of transposed restatement which gives the desired sense of balance whilst concluding unresolved tonal argument: in essence, repetition becomes recapitulation.

The layout of the first part of this movement (in its final version) may be summarised as follows:

SCHERZO	20 bars, main theme, C major;
Letter A	20 bars of transitional nature;
Letter B	24 bars, contrasting theme in G/e;
Letter C	24 bars extending this material but then deflecting to:

DEVELOPMENT OF SCHERZO MATERIAL

Letter D	19 bars, based on second scherzo theme passing through possible C#, E and G minors;
Letter E	19 bars (20=1) of imitative treatment of first scherzo theme articulating rapid harmonic change plus
(Letter F)	16 bars moving back towards original material and key;
Letter G	16 bars continuing this material with an implicit return to its original key.

This is followed by an immediate deflection into the trio. Originally, this would have been later after the completion of an internal ternary structure as the brief re-appearance of the opening theme (p.93) was in full, and material from the equivalent of letter B (transition and second theme) was transposed up a perfect fourth and led to the trio. This internal three-part form was reflected on a tonal level as the transposition factor made the scherzo-section C-major enclosed, suggesting the first section of a traditional Scherzo-Trio-Scherzo. The passage was deleted, to be reserved for the restatement of scherzo material, which resolves tonal argument and therefore assumes a crucial role in the structure of the movement. The transposed passage now begins at letter N but then deflects from letter P to a Coda, which completes the movement. This means that Sibelius has deleted two pages of the manuscript score entirely, the transposed version of material between letters B and C, because of the different function in the new context. Any sense of direct repetition is therefore removed and the two versions may be summarised as follows:

A	B	A'	C	A'	+CODA
Scherzo	Development of Scherzo material	Restatement of Scherzo partly transposed	Trio	Scherzo	Coda - deflection after 'P'
A	B		X	A'	+CODA

Any reappearance of scherzo material therefore involves transposition and deflection to a coda in a manner which is precisely comparable with a sonata-form recapitulation. The developmental nature of Section B, inserted before the trio, supports the sonata view of the movement: an amalgam of the two formal categories, the Brucknerian concept, often referred to as sonata-form Scherzo. Secondary sources highlight the variety of different outlines used by Bruckner in symphonic scherzi yet at the same time stress his general preference for sonata thinking following the influence of Beethoven in particular and many Classical precedents in general.² From the outset, Sibelius' original version could be regarded as displaying some evidence of sonata form (the scherzo itself, that is, up until the trio); the cut has meant transferring the idea of sonata transposition to the single span, operating over the whole movement.

The two factors of greatest interest, beyond this early evidence that Sibelius wanted to avoid direct repetition in favour of a more organic, yet balanced, formal design, are those of proportion and tonality. It seems quite natural that Sibelius' feeling for structural proportion should initially manifest itself in a scherzo where the overall balance of a dance form is preserved whilst its internal phrase structure is designed to work against this periodicity and create unpredictability - as in Beethovenian examples. The bar numberings of phrases used in this analysis are in fact the composer's own as he wrote out the phrase structure in this manner with the rehearsal letterings coinciding with these subdivisions. The totals of bar numbers suggest a great sense of overall proportion which has been carefully worked out for dramatic effect and the complete structure may now be summarised as follows:

SCHERZO (Exposition)	DEVELOPMENT (Development)	TRIO	SCHERZO + CODA (Recapitulation)
88 bars	70 (=72) bars	88 bars	72 bars + 36
(20-1st th. +20-Trans. +24-2nd th. +24-Trans. into:)	(19+19+16+16) (20=1, both times) (20+20+32 = 72)	(16+24+ 16+16+16 +(5+4+7)=16)	(28-1st th. (20+ +20-Trans. + 16= 24-2nd th.) 36)

thus the underlying ternary design of Scherzo-Trio/Sonata is not only more balanced by the deletion of a passage from its first section but contains precise internal correspondences so as to suggest an overall binary scheme.

Although the proportions display a balance of two parts the correspondence of material works against this so that a binary sensation is not, literally, established. However, the importance of this theoretical interest in underlying proportion should not be overlooked as the concept of subsuming a ternary form within an overall binary structure proves to be the principle behind the formal experiment of the two-movements-in-one within the Fifth Symphony which in turn prefigures the one-movement Seventh. It is for this reason, as the earliest example of the application of this principle, and one which consciously adapts traditional form by compression, that the Scherzo from the First Symphony is of interest. Although the evidence may support the sonata (rather than ternary) case as regards formal categories, that argument is of less significance as it does not consider the reasons for Sibelius' concern in altering his original conception of the movement. Sibelius was interested in creating a concise, balanced and well-proportioned framework in order to articulate the thematic and tonal argument of this movement to maximum effect.

Likewise, the tonal structure of this scherzo, though internally supporting the sonata-form view, is far more significant in terms of the crucial and organic role it plays within the symphony as a whole. In one sense the issue of tonal ambivalence continues throughout the symphony and is not finally resolved until the last movement: hence the harmonised version of the opening theme of the piece at the

beginning of the Finale. The choice of keys for the central pair of movements in an E-minor symphony is, in abstract, rather unusual as neither seems closely related to that centre. However, with the slow movement in E (with its own ambivalence surrounding C minor) and the scherzo in C, respectively suggesting VI in G and VI in E minor (the ambivalent keys of the first movement), some sense of overall tonal considerations pursuing internal ones begins to emerge. This large-scale idea of 'mediant' relationships is reflected in the scherzo itself as the modulation to G major (letter B) for the second theme which, despite its G/F[#] pedal, has considerable E minor potential in the emphasis on the common diad (G/B) and the contour of its main motive. This potential is undermined by the final passage, from letter C, which moves towards dominant (G major) harmony.

Mediant relationships are pursued during the Development section in its potential C[#], E and G minors articulated by this second-theme material. The issue comes to a climax at the point where Sibelius made his deletion. The final version recalls the opening theme (p.93) prefigured by B- and C-major seventh harmonies (potential dominants of E and F). This has the immediate effect of making that theme assume a strong degree of subdominant emphasis (an inherent F[#] centre arises from its consistent modal, flattened 7th, inflection) yet in fact this is to act in a chromatic shift to E major in a very abrupt manner. Thus, at this point, the G/e equilibrium surrounding that overall centre seems to be tipped in the E minor direction although there is still an element of compromise in its major mode. The harmony which articulates this modulation is striking, a mixture of a diminished seventh and a Tristan chord, and highly characteristic of Sibelius.

The trio itself takes up aspects of the Development section precisely and the tonal argument in general by presenting a second phrase, from letter I, which has C[#] minor (rather than E major) potential. This diadic ambivalence is balanced by the G[#] minor sonority after letter L, and the subsequent recurrence of a version of the diminished/Tristan chord (p.97) which opened the trio, now to articulate its close, emphasises that the structural balance in terms of

recurring events and section-lengths stands in parallel with the underlying tonal balance concerning mediant relationships. This, coupled with the use of chromatic deflection at the point of outcome of each component section, possible F-centre - E into the trio, explicit neapolitan shift, D \flat -C, into the scherzo reprise and again within the coda (plus numerous local instances), suggests the extent of the Brucknerian influence within a concise, balanced movement which is essentially Sibelian.

The process of revising the scherzo of the First Symphony provides early evidence of formal concerns which were to preoccupy Sibelius throughout his symphonic compositions whilst reflecting something of external stylistic influences being absorbed in a personal manner. The intimation of a system of tonal organisation, essentially based on the exploration of ambiguous scale-degree functions, operating over the entire piece also prefigures later developments where these two structural levels more directly coincide.

FORMAL COMPRESSION : Problems

The closing movement of the Third Symphony undoubtedly belongs in a discussion on formal compression as the functions of both Scherzo and Finale are presented within a single expanse of music. As will be mentioned in relation to the Fifth Symphony, aspects of formal compression, particularly the apparent fusion of two movements, tend to create divergent opinions amongst analysts. The various views about this movement range from those of Tovey³ and Gray⁴ who feel that the dance-like character of the second movement combines the function of both slow movement and scherzo so the present example is merely Finale, through the sonata-form view held by Layton,⁵ where the second part (Finale) is really a recapitulation, to Abraham's early attempt to demonstrate organic connections between motives from each part, a view extended by Parmet,⁶ who makes great claims for the originality of this movement, and later by Simpson: 'the last movement is a formative growth in the thematic sense, and the concentration on the material itself tends to produce tonal fixity'.

The above views and references are cited not as a preliminary to offering a convincing analytical solution but to illustrate the fact that this movement is a problematic one for its listeners, analytical observers and moreover for the composer. It is interesting in terms of formal evolution as it stands midway between the linked Scherzo - Finale of the Second Symphony and the organic opening movement of the Fifth. As such it is an experiment and one which displays varying degrees of success; it is this view that forms the starting point for the present investigation.

The movement is clearly in two halves of approximately equal lengths: 6/8 \bullet . = C \bullet at the point of division (p.61). The first part has all the gestures and characteristics of a scherzo, indeed so much so (consider the overt, C-major cadential motion just before Fig.1), that it suggests an element of parody which may help explain the behaviour of

its initial gestures that might otherwise appear too tentative for a 'Scherzo'. Likewise, the Finale section, with its relentless emphasis on a chorale-like 'big tune', has the same exaggerated feel; but this is, after all, the conclusion to a Neo-Classical work. Yet formal compression, particularly the fusion of two or more movements into one structure, can be seen to be associated with Romantic style. Perhaps some of the problems of coherence within this movement stem from that stylistic 'conflict' which Sibelius had undoubtedly experienced yet began to rationalise at the time of this transitional work. Simpson goes so far as to suggest that both stylistic extremes are present in this piece: 'the segmentation of the classical from the Wagnerian, the former in the first movement and the latter in the last, is now stricter, as if the composer is realising that before oil and water can be combined some very remarkable chemistry must be discovered'⁹ - but this is from someone who considers that the movement is organic in its fusion of scherzo and finale and thus highly successful whilst overlooking its elements of parody in order to allocate neat stylistic and formal categorisation. Viewed more as an experiment, the stylistic issue is less one of segregation than attempted synthesis and may help to support the present opinion that the fusion of Scherzo and Finale is not entirely successful.

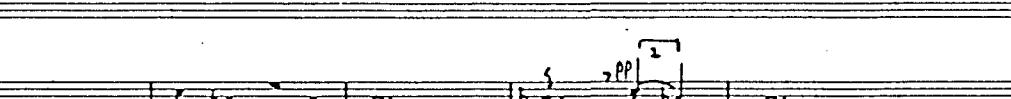
Considering the Fifth and Seventh symphonies, there seems little doubt that Sibelius was attempting to join two movements together in this earlier work but, unlike the Fifth with its original version, there is no external evidence. However, the proportions of a 6/8 time-signature for the Scherzo part so that it will link, temporally, with the Finale plus the incomplete structural nature of the former and concluding role of the latter, support this comment. The Scherzo contains much of structural similarity with that of the First Symphony: its possible secondary theme (in the relative minor) from Fig.2, brief reprise of main material (Fig.4) before a deflection into development (F minor, p.52) where the second theme is prominent to give a sense of balance - with the Finale providing an overall sense of structural conclusion which a straightforward reprise (or sonata-form recapitulation) would normally achieve.

EX. 12 THIRD SYMPHONY FINALE

FORMATION OF FINALE THEME FROM SCHERZO MOTIVES:

(i) 

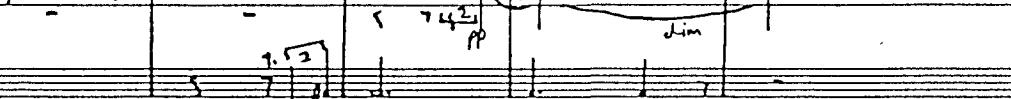
p. 48 bars 10 11 12 13 14

(ii) 

p. 50 bars 12 13 14 15 16

(iii) 

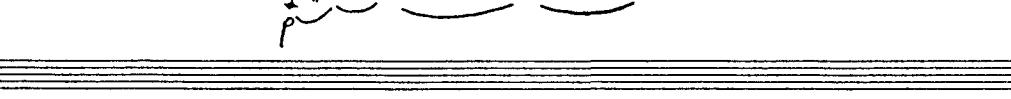
p. 53 bars 3 4 5 6 7 8 9 10 11

(iv) 

p. 60 bars 8 9 10 11 12 13 14

Cello/basses

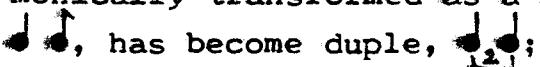
FINALE THEME: a tempo, con energia; $\bullet = \bullet$
Strings

(v) 

p. 61 & ff. 1 2 3 4 5

This structural theory stems from evidence concerning the Fifth Symphony first movement where one movement-type functions as a varied restatement ('Counterstatement') of the other. The crucial articulatory factor which makes aural and analytical sense of that principle is an organic thematic technique. If the fusion of scherzo and finale is to be successful then a precise and clearly articulated sense of relationship between the component parts, a coherent binary structure, is essential.

Motivic analysis can provide some evidence that this is at least attempted during the course of this movement. Example 12 charts this process and may be summarised as follows:

- (i) small descending diminished fourth is used as a tail-figure to the C-major cadential motive and makes possible the next move to A minor;
- (ii) it reappears, emphasised by rhythm, tempo and orchestration as essentially the same type of figure but now enharmonically transformed as a major third and its triple rhythm, , has become duple, ,
- (iii) its next appearance, horns and violas, shows a further transformation in being elaborated into a full, eight-bar phrase and having acquired an orthodox tonal role (3 - 1);
- (iv) as the immediate predecessor to the Finale theme it is obviously related to the above, but as yet, not very precisely; however, the clever use of the second phrase of the Finale theme within the scherzo pulse enables the listener to accept more readily the logic of its (formally absent) antecedent;
- (v) the actual Finale theme does display a more definite relationship.

This evidence is far from conclusive, despite the fact that the scalic transposition factor, C-D-E (starting notes) infills the initial E-C motive of the final version which may suggest a progressive developmental process. There are large stretches of music between these motivic appearances where the figure is not present and there is little, in terms of distinct character rather than a common diatonic segment, to give the desired sense of identity necessary to articulate a process of thematic development and transformation in any

meaningful way.

This lack of continuity, an essential feature in a process of thematic synthesis, coupled with evidence suggesting that such motivic correspondences elsewhere in Sibelius are the surface articulation of a harmonic/tonal scheme, provide some of the reasons why this movement lacks the coherent, organic development which creates the successful examples of formal compression involving the fusion of two movements. Unless thematic synthesis emerges as the product of a continuous development process and, moreover, as the surface articulation of deeper structural layers then simple (and undoubtedly subtle) motivic correspondences cannot assume the crucial unifying role which the successful fusion of two movements demands. Therefore, the Finale of the Third Symphony stands as a significant experiment, stylistic and formal, a transitional work between the structural principles of the Second and Fifth Symphonies and a movement which is interesting and illuminating as regards accounting for the success, in both nature and reason, of the opening movement of the Fifth Symphony and the eventual one-movement Seventh. The lack of organic coherence in this example serves to highlight those very features of the Fifth Symphony which cost Sibelius so much trouble, indeed more time than any other single movement, and should now be investigated as the satisfactory outcome of earlier experiment.

FORMAL EXPERIMENT

Sibelius seems to have encountered more problems over the composition of the Fifth Symphony than with any of the others; analysts appear to have done likewise, judging from their various interpretations of the overall two-movements-in-one design which the final version adopts. Its history summarises the issue: it was first performed in 1915 at a concert to celebrate the composer's fiftieth birthday and he undoubtedly hurried the piece for this occasion. In this original version it was a four-movement work with a short break, indicated in the score, between the two movements in question. It was immediately withdrawn for revision and re-performed in 1916 without the break, but Sibelius was still not satisfied. He is reported as saying that he considered it to be to the advantage of the piece to join the two movements organically,¹⁰ though it was not performed in this final version until 1919.

Analysts have continued to argue as to whether the music in question constitutes one or two movements. The answer is simple and provided by the composer himself - both! The two organically joined parts can be shown independently to utilise respective formal outlines of first-movement Sonata and Scherzo-and-Trio which have been fused into one unique, balanced, overall structure of significant originality. The first and final versions correspondingly represent both these aspects; the main differences between them serve to illustrate the process of combining two traditional forms to create one new structure.

Within each of the two original movements the principle of formal compression is in evidence so that their traditional ternary designs are conveyed through overall binary structures. The first movement, after a fairly straightforward Exposition, moves immediately into apparent Restatement, though this proves to be significantly varied, and the Coda pursues those developmental aspects.

FIFTH SYMPHONY : POSSIBLE SOLUTION TO THE TWO-MOVEMENTS-IN-ONE STRUCTURE

EXAMPLE 13

Tempo molto moderato

12
8
105 bars

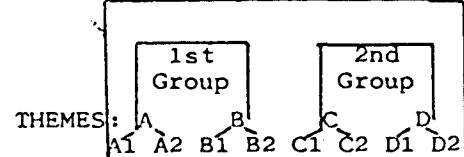
Allegro moderato

3
d. 4
106 bars + 20 Presto

STATEMENT

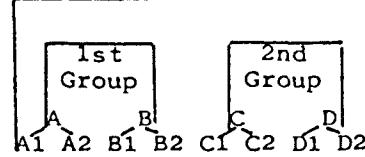
FIRST

EXPOSITION



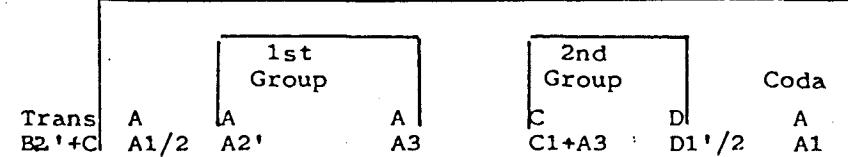
SECOND

EXPOSITION



COUNTER STATEMENT

DEVELOPMENT/RECAPITULATION



KEY: { Eb Trans (#G) G G Trans (#E) Eb B B - Eb Eb - B (#Eb) (#Eb) Eb
Eb G B Eb

BAR 1 18 36 54 72 106 114 218 274 455 507

Original

Version: Exposition

{ Development and
Recapitulation

(First Movement - Sonata Structure)

Coda

|| Intro Scherzo Trio Reprise/Scherzo Coda
(varied) + Trio
(Second Movement - Scherzo and Trio)

Similarly, the Scherzo and Trio are presented in an orthodox manner but instead of merely repeating the first section there is a varied reprise which uses material from both passages in a developmental way. This creates an overall two-part balanced design as the second section combines contrast and restatement.

The compositional technique which articulates this structural process relies on the principle that the distinction between sections of 'statement' and 'development' within Classical forms is purely one of function; the nature of the material involved in such passages is in fact similar. Therefore, it is possible for these two sections to be organically unified, combining both unity and diversity, not segregating them, producing a passage of varied restatement ('Counterstatement') which has the dual function of traditional Development and Recapitulation. This principle had been explored in earlier works as illustrated by the opening movement of the Second Symphony which telescoped the functions of Development and Recapitulation in its overall bipartite structure. Additionally, the form of its third movement is modified in an interesting way; when the Scherzo proper is repeated, so too is the Trio but its material is developed in such a way as to form a thematic transition into the Finale. The score indicates that this last movement is to be played attacca so that both experiments within the Second Symphony, formal compression and linked movements, are extended here. Formal compression was observed, at a rudimentary stage, within the Scherzo of the First Symphony; structural fusion prompted the design of the Third Symphony Finale.

The analytical problems of the present piece arise from its pursuing these formal experiments not only within the original two movements but as the organic means of joining them together; compositional fusion creates analytical confusion! Example 13 attempts to clarify the situation indicating the similar nature of the material in both versions yet the different function it assumes in the final one.

Structural Articulation

The cyclic tonal scheme which operates over the entire movement pursues, in a more systematic way, an idea which originates in the opening movement of the Second Symphony, as do the internal structural principles here. It lends to this unique structure a basic sense of balance and proportion which is to be significant on all structural levels. The first part is concerned with the motion of $E\flat$ to G and that of the second, from B to $E\flat$: symmetrically dividing the octave in a major-third cycle. But within this overall motion the two stages of the movement are clearly articulated, the passage of Statement involving conflict of $E\flat/G$; $G/E\flat$, that of Counterstatement extending this principle, exploring the relationship between $B/E\flat$; $E\flat/B$, and finally resolving this by affirming the $E\flat$ tonic of the piece. Already, on a tonal level, the organic unity of the movement is discernible, its two parts are distinctly articulated and their related but differing functions are clearly demonstrated, the second part developing and resolving aspects of the first.

The balance of these structural modulations within the overall cycle and between its internal tonal conflicts is additionally reflected in the principle behind the more local, transitory modulations and harmonic practice. Here, the sense of equilibrium is maintained through contrasting passages of stability and instability. The latter comprise two main types of differing function. There are those of transitional nature (as indicated on the diagram) which generate a sense of motion, indeed progression, yet uncertainty as their goal is unclear; additionally, others of a more chromatic nature (indicated as $\#G$ for example) undermine the unequivocal establishment of a tonic by rapid harmonic motion, non-diatonic, but including references to one triadic sonority which is eventually (and inevitably) to emerge as the outcome of such a passage. Much of the excitement at the very end of the movement arises from the latter harmonic process where, from the chromatic environs of $E\flat$, this tonic gradually emerges. The pacing of such passages, their sense

EXAMPLE 14 MOTIVIC AND THEMATIC DERIVATIONS OF STRUCTURAL SIGNIFICANCE

STatement

A + B

FIRST GROUP

C + D

SECOND GROUP

Bar (1) *Hn.*

(3) *F1/Ob.*

(4) *F1/C1.*

(5) *Ob.*

(6) *C1.*

A2 *Ob.*

(7) *C1.*

(8) *C1.*

B1 (11) *Ob.*

(12) *F1/C1.*

B2 (17) *F1/C1.*

C1 (20) *F1/Ob/C1.*

C2 (24)

TRANSITION

B2' (72) *v1.*

+C (92)

C1 (28) *ww/strgs.*

D2 (31) *ww/strgs.*

COUNTERSTATEMENT

A1 (106) *Tr.*

A1/2 (110) *Tr.*

(113) *F1/Ob/C1.*

Scherzo

A2' (118) *F1/C1.*

Trio

A3 (218) *Tr.*

A3' (354) *v1.*

Coda

A1 (543) *Tr.*

FIRST GROUP

C + D

SECOND GROUP

v1.

C1.

ob.

v1.

D1.

ww/strgs.

D2.

ww/strgs.

D1.

ww/brass

D2.

v1.

of harmonic rhythm, is a crucial factor in their effectiveness and this kind of feeling for proportion obviously created extra problems for Sibelius. Their eventual solution proves to be highly significant in the development of his symphonic style.

An overview of the keys and the principles of tonal organisation reveals much of the underlying concepts behind the compositional technique on other levels. The importance of sub-division between structural levels cannot be overestimated; the overall cycle of keys, their internal polarity; the balance of stability and instability, the two types of the latter passages, are all contributory factors. The movement is in two parts, these sections sub-divide, their two groups of material are each in two parts and so on. Example 13 tries to illustrate this and the sense of proportion, even in terms of bar numbers, which results from these principles.

The most obvious level of structural articulation is, of course, the thematic one. Example 14 translates the letter names of the previous diagram and presents the material as it arises during the course of the movement arranged according to derivation. Closely derived material of essentially the same nature is aligned vertically and the bar-numbers indicate the scale and extent of such relationships. New themes which in fact grow out of previous material (and thus have potential for eventual synthesis) are indicated by their horizontal alignment. An extensive principle of continuous development appears to be operating over the whole movement. No attempt is made to justify these groupings as rationalising thematic relationships generally involves the identification of corresponding interval content; in diatonic music this can always be dismissed as trivial, given certain limitations within the system, besides which there is no evidence to suggest that interval content is the most relevant criterion for rationalising derivatives. Orchestration, rhythm, general (rather than precise) contour, articulation are all significant and their respective importance is relative and variable, according to individual response.

The principle of continuous development has been made obvious by Sibelius himself; the opening of the movement, that of its counterstatement section and the final tonic assertion all clearly utilise the same material: a four-note basic cell (indicated on the diagram). The theory is explicit though its practice is merely implied in Example 14, which is the product of one pair of analytical ears. The significant question is not one of precisely calculating rational degrees of relationship between motivic shapes but the purpose of this technique. Germ-motive theory, the isolation of an opening motive abstracted into a basic cell, rigorously pursued throughout a piece for "unity", is an analytical approach often associated with Sibelius and not to be continued here as it is too isolated. Of primary concern is the cumulative evidence of different domains so that Example 14, in its alignment of motivic elements, merely indicates one area of compositional technique as it operates on one level of the piece.

The structure of the Fifth Symphony pursues the idea of sub-division on many levels which would suggest a potentially high degree of inter-relationship between these levels, not merely within them. It is articulated by clear tonal and thematic processes which are both concerned with the principle of continuous development; though they are in fact far more precisely related than that. This system originates from the very specific compositional properties inherent in three keys standing in mediant relationship involving transpositions of a major third. Given Sibelius' interest in exploring ambiguous scale-degree functions, as demonstrated in the (Romantic) Second Symphony and the (Neo-Classical) Third, the following theoretical observations provide a background framework for approaching the present piece (though it should be noted that the formulation of such theories originated from the study of the piece itself).

Invariant pitch-classes: E \flat , G and B major collections



In relation to E \flat , three invariant pitch-classes emerge in each case. These are to be significant as pivot-notes which explore ambiguity of scale-degree function. All other members of each collection stand in chromatic relationship with those of E \flat which proves to be an important feature during those passages of instability where a sense of diatonicism gradually emerges from the chromatic environs surrounding a tonic collection. The three triads in question illustrate this as they exhibit a balance between pivot-notes and chromatic motion:



Ambivalent scale-degree function in relation to the E \flat centre

	III=I			VI=IV			VII=V		
G major		G			C		D		
E \flat major	E \flat	F	G	A \flat	B \flat	C	D	E \flat	
B major		(enharmonically)		A \flat	B \flat			E \flat	
	IV=VI			V=VII			I=III		

Due to the symmetry of transposition levels, a major third above and below the E \flat tonic, specific patterns emerge: the same shape appears in each case as a direct mirror image of scale-degree functions. The G major invariants have the potential for defining that key, or at least G as a dominant to C, those of B major however have a potentially key-defining role which is outside their collection: E \flat or A \flat . These two cells of similar nature have differing functions in relation to the tonic of the piece. That of G major obviously represents a move away from E \flat and is in conflict (polar) whereas the corresponding element from B major is closely related to E \flat and provides a systematic means of regaining that tonic (cyclic). The tonal scheme of the movement precisely explores

these particular properties of different functions within the respective sections of this unified, two-movements-in-one structure.

The shapes in question are of course very familiar on a thematic level as the basic cell of the entire movement, originating in bar 1, yielding the greatest number of direct derivations including that which articulates the organic join where the 'two movements' are unified. The significance of this motive for that final version of the piece, that of structural consequence, appears to have been intentional on Sibelius' part. Before the two movements were joined, the original motive was not presented at the opening, the piece began in bar 3 in effect.

In comparison with that opening motive, the present tonal invariants suggest harmonic potential if we consider the vertical effect of their horizontal alignment:

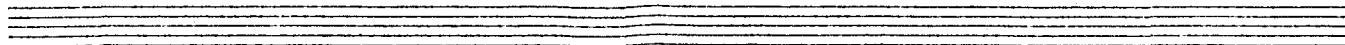
(G)	-	C	-	D	-	G
(E \flat)	-	A \flat	-	B \flat	-	E \flat
(B \flat)	-	E \flat	-	F	-	B \flat
		IV	-	V	-	I in E \flat major

Therefore, in theory, the entire E \flat major collection is partitioned according to these cells with the tonic and dominant being doubled. It is the kind of harmonic consequence which is to be explored at certain significant stages of the movement, in order to articulate structural modulation, and will be examined in due course.

Within the unique structure of the opening movement of the Fifth Symphony, there is a high degree of inter-relationship between structural levels, tonal, harmonic and thematic, originating from one central compositional unit. At this stage, such an observation (based on consideration of the piece in both earlier and final forms) has been abstracted into the theoretical so that an examination of compositional practice should consider the extent to which this potential source of unity actually articulates the course of the movement.

EXAMPLES 15 - 19

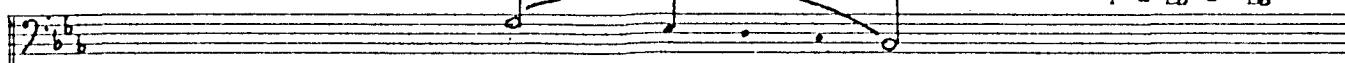
Use of basic, invariant cell: Theme A1



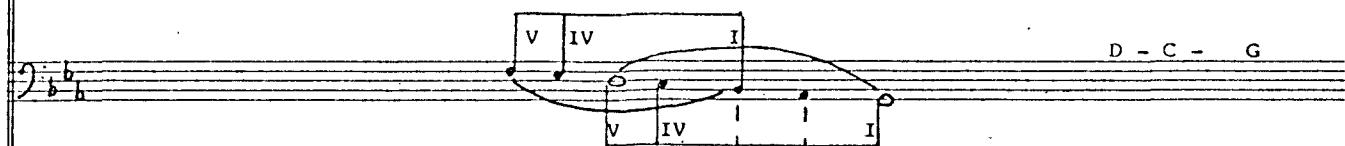
INITIAL ESTABLISHMENT OF Eb.

EX. 15

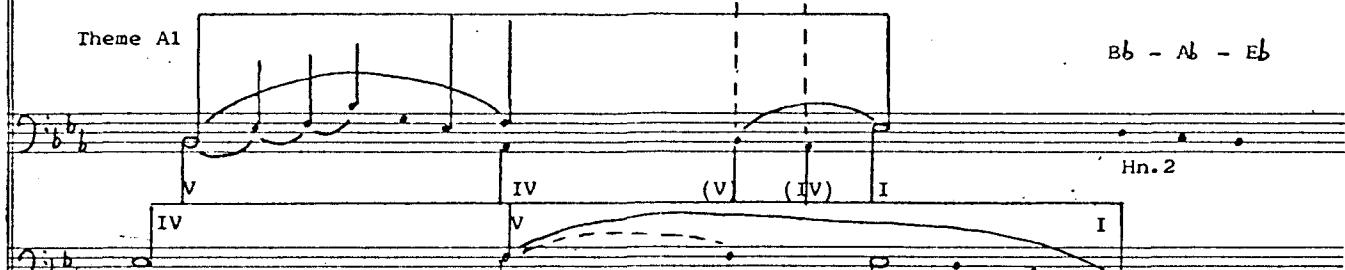
Fag. 1



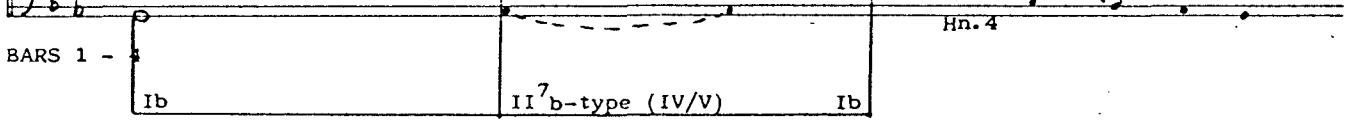
Fag. 2



Hn. 1/2



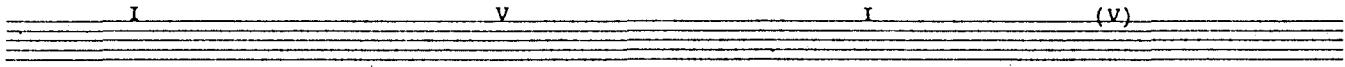
Hn. 3/4



BARS 1 -

II⁷_b-type (IV/V)

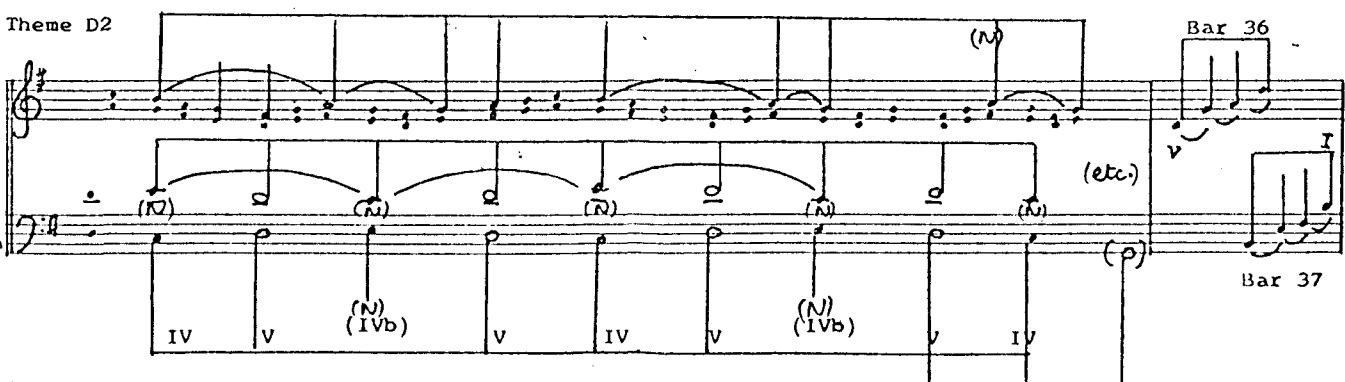
Ib



ESTABLISHMENT OF SECONDARY TONALITY - G major

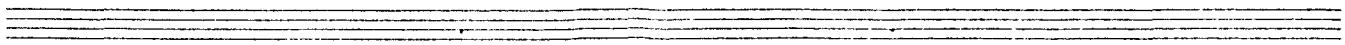
EX. 16

Ww./Vlns.



BARS 31 - 35

V I (implied)



Structural Modulation

To attach analytical significance to compositional units of this nature is problematic, the cells in question being a common factor in any diatonic system, though the preceding theoretical observations suggest that they could be made compositionally significant as elements of unifying potential within this particular tonal system. Additionally, the analytical segmentation necessary to determine usage of such cells is always viewed, by analyst and reader alike, with suspicion of pre-judgement but the evidence engendering this approach arises from historical facts surrounding the composer's working methods. The revision of the piece sprang from a conscious desire for formal unity; the means of initiating that coherence comes from a systematic tonal plan whose invariant elements, a basic motive of harmonic potential, can be used to achieve multi-level, organic unity. The coincidence of a new structural modulation and the re-writing of the opening of the piece cannot be overlooked. It suggests some kind of foreground/background relationship whereby the composer is attempting to assign specific properties to what otherwise may be viewed as commonplace diatonic units. The issue at stake is less an analytical one, pre-judgement of extracting elements common to any diatonic piece, but more a compositional one - the extent of Sibelius' success in making these cells specific to this piece.

The revised version of the movement includes two significant additions to its opening gestures: the explicit statement of the basic cell within the initial horn figure and the bassoon thirds-motion accompaniment to the original flute/oboe motives. A harmonic statement, $II^7b - I^b$, has been replaced by this more elaborate scalic motion yet the progression, a mixture of V/IV sonorities moving to the tonic, functionally $V - I$, is preserved, as indicated by the timp. pedal. Example 15 examines the specific voice-leading which articulates this establishment of E^b . That the $I - V$ function of the initial horn accompaniment is reflected during the bassoon descent and that these two gestures are precisely related,

is indicated by similarity of register; the harmony of horns 3 and 4 encompasses the minor seventh, G - F, second bassoon, F - G; the motive content of the horns 1 and 2 elaborate B_b - F, first bassoon, F - B_b. In this way, the surface scalic motion may be viewed as a product of initial harmonic/motivic events - filling in those generating shapes.

Given that the basic harmonic progression has always been concerned with V/IV - I, that the new cell of bars 1-2 has that very potential and that the bassoon parts are in some way a product of that addition, audibly (and historically) it is possible to discern that the establishment of the tonic triad at bar 4 is demonstrably the product of precise compositional use of that cell. Theoretically, the partitioning of the complete E_b major collection in terms of invariant cells shared by G and B majors provides the clue for the voice-leading motion of the first four bars, the bassoon thirds merely offering an alternative segmentation derived from the horn sixths, functionally IV/V - I:

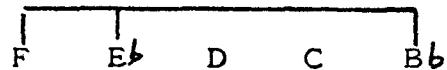
[C]	-	[D]	-	G
Ab	-	Bb	-	E _b
E _b	-	F	-	B _b

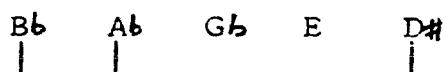
(IV - V - I). It therefore emerges from the voice-leading reduction of Example 15, that each member of the tonic triad is the product of local V - (IV) - I motion which motivically and harmonically uses this three-cell complex for tonal purposes:

B _b	-	Ab	-	E _b
F	-	E _b	-	B _b
D	-	C	-	G
V.....I				

At this stage the theory seems far from convincing, analytically due to the selectivity employed and compositionally given the primacy of scalic movement. To assign motivic significance to this cell would be misleading as the literal succession of pitch-classes is not heard and is subservient to the collection employed. The most direct parallel between

the initial establishment of $E\flat$ major and its chronological counterpart, the structural modulation into B major (to be discussed below), concerns their corresponding scalic contexts:

Opening bassoon descent: 

Bass descent from bar 104: 

But again, by comparing two scalic structures, analytical observation runs the risk of being considered trivial so that in some way it is the mixture of the two elements (a foreground, motivic version of the cell in question is present at both stages) which may provide the solution. It is not the mere presence of invariant pitch-classes which is of analytical interest but their recurrence occupying exactly the same position within the scalic context that gives some plausibility to both the analytical and compositional technique. To consider invariant cells as having key-defining potential would appear to be a contradiction in terms; yet it is this very contradiction which forms the basis for the system in operation. Once again the issue is one of Sibelius' adroit recognition that context, rather than content, defines key so that placing of invariant cells within a collection assigns to them the function of key definition rather than the nature of tonal ambiguity.

This harmonic and tonal potential of cells subjected to an all-pervading continuous development technique gains credibility at the point of establishing the secondary tonality, G major. The possibility of this structural modulation has been gradually emerging during a substantial passage of transitory nature, but this potential tonic is never unequivocally established in terms of V - I cadential motion. Example 16 demonstrates the voice-leading of theme D2 which projects IV - I motion of the G major collection in a texture of thirds, recalling the opening bassoon figure. More important is the harmonic oscillation between V and IV chords which, despite lack of any clear resolution, inevitably imply this new tonic. A link between structural levels (harmonic and thematic) is

ESTABLISHMENT OF B MAJOR AT JOIN OF STATEMENT/COUNTERSTATEMENT.

EX. 17

Strings

Theme C

Trumpet

Tromb.

Basses.

BARS 101 - 107

RE-ESTABLISHMENT OF B MAJOR (FROM E_b) - TRIO THEME: A3 (Initiates Second Stage of Counterstatement)

EX. 18

Tr. solo

Strings

E_b B_b A_b

Fag. solo

(2)

B_b A_b

D# A# G# A#

I-PEDAL

BARS 218 - 229

BARS 230 - 241

FINAL ESTABLISHMENT OF E_b MAJOR - LEADING TO CODA

EX. 19

Brass

A_b B_b E_b

B_b E_b F B_b

B_b F B_b

BARS 493 - 503

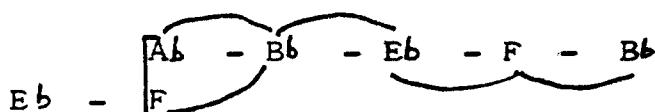
again implied by the presence of the motive to initiate the second exposition and confirm G major using both tonic (D,G,A,D) and dominant (G,C,D,G) levels. An important feature of this G major is its curious sense of levitation achieved by the prominence of a first-inversion sonority; some sense of the pivotal role of the pitch-class B \natural is implied in its emphasis in an already equivocal way.

The point at which the original two movements are joined together is articulated by a structural modulation from E \flat to B and therefore was substantially rewritten as the previous version had maintained E \flat at the end of its first movement and the beginning of the second. The new harmonic sequence involved is presented in Example 17 which reveals that the final establishment of a B major chord uses the same progression as the opening of the movement, II 7 \flat - I \flat (bars 106-107). Again the new key is established by first-inversion harmony just as the previous G major was underlaid by B \natural ; moreover, the use of D \sharp suggests the exploration of its potential as a pivot-note between the keys of E \flat and B major. The invariant cell between these keys, G \sharp - A \sharp - D \sharp , was previously observed as having a greater potential key-defining role within the former, rather than the latter, collection. That is of course true if the motive is used as the fundamental bass line. Here, in the last bar of E \flat harmony (bar 104), A \flat -B \flat are the bass voice of two diminished tri-chords but they then assume a pivotal role within the II c - V, B major progression of the next bar: enharmonically, G \sharp and A \sharp of the respective C \sharp minor and F \sharp major harmonies. The voice-leading motion of this invariant cell, G \sharp -A \sharp -D \sharp , is therefore discernible as a crucial factor within this structural modulation beyond the surface, thematic level even though the scalic context is more immediate, and in that sense stronger, than the motivic. The implicit relationship, rather than conflict, between these two collections is also being explored as this modulation is the literal point of unification between the two parts of this unique structure.

Example 18 shows the two statements of the 'trio' theme, E \flat major, bar 218 ff, B major, bar 230ff, illustrating

a local pivotal move between mediant related keys due to their invariant elements. The essential motivic link between this 'new theme' and the opening of the movement is the elaboration of the E_b - F - B_b shape (see Example 14). Although the invariant E_b - A_b - B_b , alias $D\#$ - $G\#$ - $A\#$, forms the pivot into B major for the repetition of this theme, the additional minor colouring involving G_b ($=F\#$) is also significant. The harmonic sequence accompanying the trumpet figure is essentially I - V - VI - I with each element prolonged by chromatic neighbour notes. The immediate shift at the point of the bassoon's B-major statement is a product of that chromaticism and although the harmony is merely a transposition, the part writing is altered so that the upper line is the equivalent of the previous middle register in order to emphasise the overall $D\#$ to $A\#$ motion ($=E_b/B_b$).

The final affirmation of E_b which closes the movement is the product of gradual harmonic clarification of the tonic collection from its chromatic environs which coincides with an explicit version of theme D1 (from bar 487). This process neatly incorporates a final 'claim' for $B\#$ - particularly from bar 491 onwards given the bass trombone ascent after the $E\#$. The fundamental harmonic progression at the end of this statement which initiates the final eighty-or-so bars of pure E_b major is illustrated in Example 19 where the two versions of the cell can be seen to overlap:



Together their function is to define E_b though separately they have had associations with each part of the movement, the opening in each case. These two cells are ever present during the Presto coda, E_b - F - B_b , within the trumpet melody and harmony (see bar 505 for example), E_b - A_b - B_b , as the harmonic interruptions provided by the trombone entries (see bar 523 for example). The pitch-class complex of the last sixteen bars, from Letter S, comprises solely the basic cell, E_b - F - B_b , motivically, harmonically and tonally - underlining its crucial unifying role in the structure of this movement.

Transitory Modulation

The first type of transitional passage is articulated by theme B1, an extensively varied chromatic version of the turn-figure which constituted A2, itself an addition to the basic cell of A1. This continuous development technique is precisely reflected within the harmonic motion which this theme articulates: the part-writing is often chromatic whilst the underlying voice-leading pursues the modulatory potential of the basic cell. Unpredictable motion, which undermines the discernible overall sense of progression, arises from this local chromaticism and the use of diminished trichords of tonally ambiguous nature; the trichords of the basic cell, though diatonic, are tonally ambivalent and the whole technique concerns their possible scale-degree function.

The essential elements in this stage of transition may be summarised as follows:

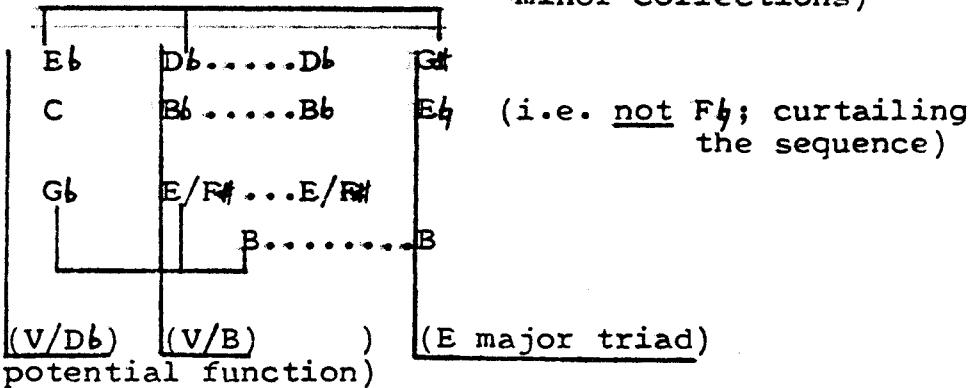
Melody:

B_b

A_b

(outcome of partial B_b/A_b minor collections)

Harmony:



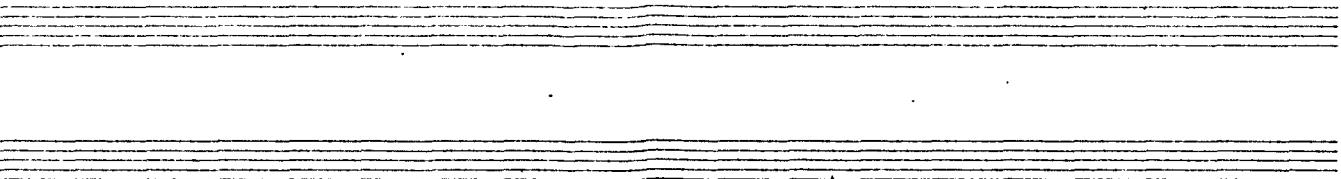
Bar No.

11 12 13 14

The diminished trichords of bars 11 and 12 have the potential function as dominants of D_b and B majors respectively but the melodic voice-leading seems to contradict this in its implicit exploration of their relative minors, B_b and A_b. These final pitch-classes are in fact to explore the alternative mediant ambivalence, functioning as pivot-notes within F# and E major harmonies as part of a possible B major centre. Thus the bass voice-leading uses the basic cell: F# - E - B, to

TRANSITORY MODULATION

GRADUAL CLARIFICATION OF G MAJOR



CHROMATIC HARMONY

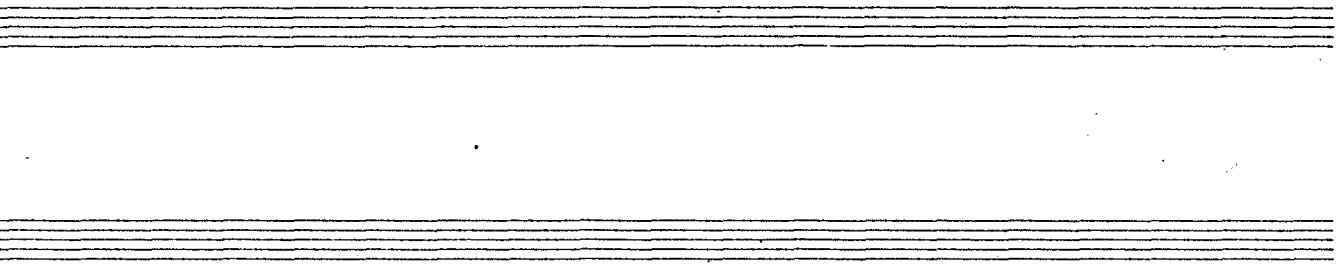
EX. 20

Strings

(Articulated by Theme C1) Sequence T6 Sequence T6 (Articulated by Theme C2 ($\#_n$))

BARS 18 - 24

BARS 24 - 27



DIATONIC/WHOLE-TONE HARMONY

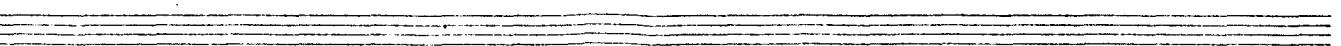
EX. 21

WW./Hns.
Tromb.
Strings

Theme D1 A B C# Dm Em G Whole-tone
 B C (N) D E F# G Diatonic G maj.
 Tr. D G D!:- partial motive, A1.
 E7 F#7 G#7 F7 D B A!:- version of A1 motive

BARS 28 - 29

BAR 30



suggest that B major is the potential secondary tonality, though the eventual structural modulation is a much-qualified G major; this trichord being the invariant element between these two collections. The implications of this transitory modulation are of structural significance in two ways: it explores both the relationship between E^{flat} and B major and the polarity of G major; and it uses the same means by which this tonal scheme is to be articulated and unified - specific, invariant trichords.

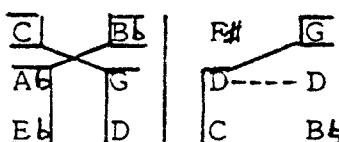
The temporary arrival on to an E major triad at bar 14 epitomises the more local issues. It not only represents a chromatic shift from the prevailing tonality of the first group, but both its third and fifth scale-degrees are the product of local V/IV - I voice-leading, whilst this chord has the larger-scale function of IV within the implicit B major. This emphasis on the subdominant in order to indicate B major is to be taken up at the point of structural modulation establishing that tonality within the overall cyclic scheme of the movement. It is interesting to note that the harmony of this passage was rewritten for the final version of the movement after that organic join had been achieved. Theme B2, an extended version of the chromatic melodic inflection within this transition, outlines the B major collection whilst its final, derivative motive prefigures theme C1 which is to articulate the arrival of G major during the second stage of transitory modulation.

This second stage is itself in two parts which move from chromatic to more diatonic harmonic motion as G major gradually emerges as the secondary tonality of this First Exposition. Example 20 illustrates the first, essentially chromatic process, as articulated by themes C1 and C2, bars 18-27. The use of diminished trichords of unpredictable resolution and, moreover, the returns to a G-major sonority, destabilise the preceding sense of B^{flat} as a tonic in favour of being the mediant of G major. The harmony is treated sequentially, in three stages, each culminating in the arrival of a first-inversion, G major triad. The use of this inversion is consistent with both tonal issues so far: the original

establishment of $E\flat$ major (bass $G\sharp$, bar 4) and its being undermined by the use of $B\sharp$, now functioning as a pivot-note into G major.

The treatment of the diminished trichords is also consistent, pursuing the continuous development technique which characterises so much of the progress of this piece. Their vertical components, minor third and tritone, generate the intervals of linear motion, respectively, the local span within each sequence and the transposition levels between them. The relationship between the diminished trichords and the G major triads involves a mixture of whole-tone and chromatic voice-leading, (the relationship between the trichords themselves), which is diatonic to G major in the first and last cases: $E\flat - G$)
 C - D)
 A - G).

The final passage, articulated by theme C2, culminates in an oscillation between $A\flat$ major (neapolitan) and G major (tonic), first-inversion triads of completely chromatic voice-leading. The preceding four chords are significant in their use of the diatonic trichord (basic cell) in two versions which have assumed an important structural role:



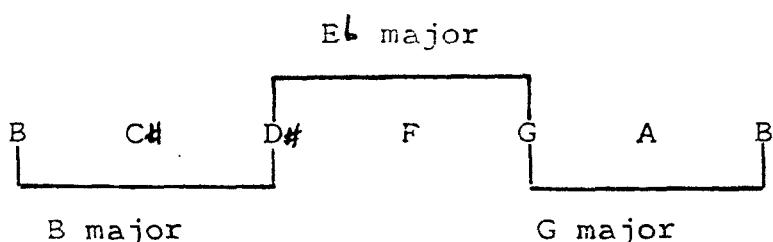
$A\flat-B\flat-E\flat$ and $C-D-G$, the two

invariant trichords between respective $E\flat/B$, $E\flat/G$ collections, which epitomise the tonal issues of the movement as well as those which initiated and will finally close this passage of transition. More significantly, the use of first-inversion $A\flat$ as a neapolitan to G major (but remembered as IV of $E\flat$) stands in direct parallel to the E major triad of bar 14, presented as the neapolitan of $E\flat$ but used as IV in B major.

The melodic unit which constitutes both themes C1 and C2 encapsulates the same principle, approaching G major from its chromatic environs, in a consistent manner. The essential shape of D-G-A which will be used, after the

structural modulation into G, to initiate the Second Exposition (and was, in the original version, used in full (D-G-A-D') at the equivalent of bar 18) is combined with that of $A_b-E_b-C\sharp$, an inversion at the transposition of a tritone. In their actual presentation, these two cells are chromaticised as A_b-E_b-D ; $C\sharp-D-G$, both in terms of internal construction (altered last/first elements) and in their inversional relationship. The re-ordering of the first two elements which characterises theme C2, E_b/A_b as A_b/E_b emphasises their potential within A_b (rather than E_b or B) which the underlying harmony supports in its neapolitan/tonic alternation.

The locally chromatic and whole-tone voice-leading of this seemingly tonally ambiguous passage is pursued during the next stage, that of gradually emerging diatonicism initiated by theme D1 and confirmed by the structural modulation articulated by D2. Bars 28-30 are reduced in Example 21 where the upper voice is revealed as essentially diatonic to the G major collection, moving from mediant to leading-note (significant pitch-classes for both G and B majors). However, the local motion is mostly chromatic and each of these potential scale-degrees is dissonant with the underlying harmony (though the chord of resolution is always some species of seventh-chord and therefore unstable) and assumes the local function of a (chromatic) neighbour-note to elements of the G/B-based whole-tone scale. This partitioning is supported by the presence of B/G, A/F \sharp diads at bar 28 which are to be incorporated within the last three chords of the passage, bar 30, at the point where G major begins to be clarified. This whole-tone construct systematically delays the arrival of G major whilst encapsulating the major-third cycle of the overall tonal scheme as this theoretical model suggests:



Continuous Development Technique

The structural consequence of transitory modulation can be demonstrated by comparing the second halves of each section of the movement as both concern the regaining of the E \flat centre of the piece. Their corresponding elements, of unifying nature, arise from the harmonic potential discernible from the four-stage presentation of thematic continuous development within the First Exposition:

- A diatonic trichords, invariant in content yet part of a key-defining process in context, explore relationships between E \flat - and G-major centres (and eventually B major); A2, additional turn-figure used sequentially.
- B Preliminary stage of transition; chromaticism of the turn-figure used to undermine sense of key.
- C Second stage of transition; exploration of local chromaticism in terms of the basic cell, tritones rather than fourths/fifths creating whole-tone potential, yet giving a good measure of stability to the secondary tonality.
- D Combination of chromatic and whole-tone elements, pursue the possible outcome in an eventual establishment of a diatonic collection.

The thematic continuous development is progressive, moving systematically away from the original shapes, and articulates a corresponding background motion, the structural modulation from E \flat to G. The middleground, harmonic organisation is indicative of the underlying unity within the other levels in its departure from, and return to, diatonic motion by means of combining and reinterpreting disruptive chromatic and whole-tone elements.

The inherent potential for whole-tone organisation, within the C and D paragraphs, theoretically would provide the compositional means of developing and delaying a final diatonic outcome whilst resolving and unifying the major-third tonal scheme of the overall structure. The feasibility of this observation can be demonstrated by considering the

crucial elements articulating the re-establishment of $E\flat$ at three important stages in the structure of the movement.

The same principles of transitory modulation, detailed above, apply to the progress of the Second Exposition in its balancing modulation from G to $E\flat$. The passages which articulate this, themes B2 and C1/2, from bar 41, are extended in comparison with the First Exposition, culminating in the first-inversion $E\flat$ sonority of bar 68 which is relatively more stable than the corresponding G major second-inversion. The significant harmonic differences occur in the use of pedal points, during pages 15 and 16, of G and $C\sharp$ which imply an extension of the tritone/whole-tone potential inherent within themes C1/2. Additionally, at the point where $E\flat$ is confirmed (bar 65ff), instead of oscillating C-D, IV-V, harmony there are chromatic diads, $B\flat/G$, $B\sharp/A\flat$ though the essential IV/V, $A\flat/B\flat$ element is preserved.

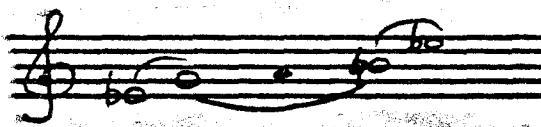
The passage of Transition which leads to that of Counterstatement develops the same thematic material (B2' and C, see Example 14) and fills in these diads melodically, $B\flat/G$ bar 72ff, $C\flat-G\sharp$ bar 83; additionally, at the point of regaining $E\flat$ as a possible centre, bar 90, $G/C\sharp$ are involved in an overall harmonic complex here comprising $E\flat-G-E\flat-A-C\sharp$. It is theme C, in versions from each Exposition (respectively First at 92, Second at 99) which forms the linear motion leading towards the structural modulation into B major, described previously.

The purpose of these precisely corresponding features at points of structural significance becomes clear during the corresponding part of the second stage of the movement, illuminating both the articulatory technique of continuous development and the structural concept of Counterstatement. From Letter G, bar 274ff, where the $E\flat$ key-signature is resumed a thematic development of 'trio' material initiates a corresponding passage of transitory modulation which will eventually lead to the final establishment of $E\flat$ major. The passage may be divided into three sections as follows:

Bars 274 - 298

The linear motion of the lower strings concerns the scalic presentation of perfect fourths in tritone sequence: A - D; Eb - A
 (Cello): 274 277 278 281

and these intervals may be viewed as in some way related to the basic cell of the piece. They were present as part of the fundamental bass line at the respective structural modulations to G major (see bar 30) and to Eb (bar 64) and additionally formed the essential elements within the original version of themes C1 and 2. The tritone pedal, G/C#, which accompanied theme C1 within the Second Exposition recurs here on timpani and is presented melodically by the clarinet which provides the first indication of that theme reappearing, thereby supporting connections which, at first, may appear tenuous. The combined Eb/A major sonority which explored those pivot-notes is also present in the string harmony at bar 294ff, and the theoretical significance of A₄ as a final element of symmetry may be illustrated:



Bars 298 - 353

The harmony of this passage is essentially that which occurred at the original establishment of E_b in the Second Exposition, bars 65-8; two chromatically presented diads, Bb/G and Cb/A_b (now presented as part of triadic units with their typical ambivalence) which accompany the more explicit version of C-theme material and function as before: temporarily establishing an E_b centre.

Bars 354 - 455

The presentation of all these elements which clearly correspond with previous transitional passages, creates a sense of large-scale unity. The structural consequence, gradual resolution in terms of a final Eb affirmation, pursues the whole-tone implications of much of this material in a developmental way. A sense of instability, from Letter J onwards,

(as the pedals are phased out), results from thematic development of the 'trio' motive to articulate rapid harmonic change. Each statement comprises the ascending and descending arpeggiations of respective major and minor triads with locally chromatic voice-leading. The triads themselves, however, stand in whole-tone relationship and the first sequence may be summarised as follows:

E_b	F	$C\#$	E_b	b	D_b	a	B	g	E_b	b	D_b	a
-------	-----	-------	-------	-----	-------	-----	-----	-----	-------	-----	-------	-----

This principle of harmonic organisation continues, undermining any diatonic sense of E_b outcome through whole-tone relationships. Two significant harmonic events influence that process:

B)	F)
G)	D_b)
E)	B_b)
$C\#$		G	
A		E_b	

two Tristan chords which, with the addition of bass pedals, assume dominant functions of D major and A_b major respectively. Their triadic content comprises a compound of E minor/ A major (as V^7 of D) and B_b minor/ E_b major as V^7 of A_b) exhibiting internal relationships of the basic cell of the piece and external transposition level of a tritone. The bass motion of $A - E_b$ stands in whole-tone relationship with the E_b goal of the passage whilst the woodwind and string arpeggiations of E - and B_b -minor are in conflict and provide the first indication of significant chromaticism; this complex is pursued in the bass arpeggiations of F - and B -minor triads (from bars 448 and 452 respectively) against major-third cycles above ($C - ab - e$ and $F\# - d - bb$) which form a complete whole-tone collection which excludes E_b .

The appearance of the opening cell of the piece, at bar 455, initiates the final stage of E_b resolution which is articulated by material from theme D and explores its consistent chromatic and whole-tone elements as essentially diatonic motion affirming E_b major. These precise correspondences between the second parts of each section of the movement arise from their original internal functions of Counter-

statement, a combination of traditional development and restatement within one, compressed section. In the final version the whole of the Allegro moderato section can be assigned that label, its first part more explicitly restating material within the presentation of Scherzo and Trio themes, the second part developing those in terms of both the original thematic material and its harmonic treatment.

The correspondence between the articulation of transitory and structural modulation stands in the same relationship as that of the overall key-scheme to the unity of the movement. The compositional potential for organic unity inherent within the major-third tonal cycle, is explored by the multi-level use of specific invariant trichords to articulate its progress. The effect of instability through delayed resolution is consistently achieved during transitional passages by their exploration, on a harmonic level, of the detailed relationships within this tonal scheme. Such passages locally prefigure much of the larger issues of the movement, using a technique which projects potential ambiguities of scale-degree function within this E \flat - G - B major complex in a systematic way. The devices used to achieve this, invariant trichords, ambivalent diads, pivot-notes, whole-tone and chromatic relationships, are sufficiently consistent not only to create local coherence but to give meaning to those structural modulations which they prefigure by their precise correspondence which the technique of continuous development indicates.

It is this kind of inter-relationship of motivic, harmonic and tonal events, and the means by which they are articulated, which gives this movement its overall sense of unity - a crucial factor in the success of this experiment in formal compression. This is confirmed by the historical facts surrounding the original version; the passages which have been surveyed in detail are the direct result of Sibelius' conscious decision to join two movements together into one structure as they were substantially rewritten in those very details which have been selected for discussion.

FORMAL UNITY

The alterations to the title-page of a manuscript score, a deletion of Fantasia Svnfonica in favour of Symphony 7 - in einem Satz, is indicative of the effect of formal compression on this final work: the parallels with traditional structure had been extended so far as to cast doubt on the appropriateness of the label 'symphony'. As Arnold Whittall states: 'it is not just a symphony but a new stage in the evolution of symphonic form the sheer originality of this achievement must be reiterated as it outdoes that of many younger composers whose styles were more adventurous than their musical structures'.¹¹

The form of the piece has been much discussed, particularly regarding the principle of four-movements-in-one versus one overall schematic design. Like the opening movement of the Fifth Symphony, it is a combination of both factors, and the end result, indeed the compositional means by which this is achieved, may be viewed as the culmination of the organic technique which characterises that earlier work. The presence of thematic statements and restatements plus contrasts of mood and tempo, provide the main indication that the piece is indeed symphonic: the diversification of a unity. At the same time, this definition emphasises the essential difference between the Seventh Symphony and its structural predecessor, the Fifth. There, analysis revealed eventual unity achieved by Sibelius consciously joining two movements together whilst here, observations of contrasting sections, potential subdivisions of a continuous structure, are the initial concern.

The starting point for discerning an overall schematic design is provided by the symmetrically placed statement and restatement of the main, C-major trombone theme (page 9ff and 68ff respectively) distinctive in its arpegio, rather than scalic, shape and by the tonal stability which it engenders. The structural importance of this material is reinforced by its central appearance (page 30ff) in C minor.

If this constitutes a development of the theme then perhaps something of the traditional symphonic process, 'Exposition', 'Development' and 'Recapitulation' is in evidence as one of the strongest foreground effects in the listener's recall of the shape, yet only a background compositional principle, something to be modified in practice. Added to this are two passages of Scherzo-like material (Vivacissimo, page 23 and Vivace, page 59) which have the dual function of immediately prefiguring the (second and third) appearances of the trombone theme whilst representing its greatest contrasting element, in terms of mood, tempo and tonality.

At this stage, any conclusions as to overall formal principles would coincide with those of Arnold Whittall: 'the work has revealed two basic levels, the 'slow' (introduction and trombone theme; central recurrence of trombone theme; recapitulation of trombone theme and coda) and the 'fast' (the abortive 'scherzo', which is paralleled by the Vivace section from pp.59-64 immediately before the build-up to the final return of the trombone theme, p.68). With transitions mediating between these extremes we seem to have a near-symmetrical arch form.'¹² The passage which remains unaccounted for is the extended Allegro molto moderato - Allegro moderato section (pages 40-59) which is itself ternary with an introduction and as such reflects, in miniature, the scheme of the movement as a whole whilst its material, clearly derivative from earlier motives, suggests 'development' in some way. Its structural function is complex and a further quotation (as above) forms a starting-point: 'An obvious effect is to prevent the form from falling into 'predictable' symmetry. Yet at the same time the music here seems to mediate between the extremes of mood and tempo which the arch-form elements propose. If mediation is one factor, postponement is another, for the interpolation performs a function not dissimilar to that of the non-recurring central part of the 'exposition' in ensuring that a statement (the last in this case) of the main theme of the whole work is placed in the most telling and satisfying position.'¹³

Mediation, postponement and removal of predictability are certainly important elements in the structural function of this passage - but its role is far more crucial than that. Rather than subsuming this section within an overall arch form, a structure which suggests the idea of combining several movements ('slow and fast levels') into one continuum, it plays a fundamental part in creating a unique, organic symphony-in-one-movement providing an alternative segmentation to that outlined above. The question concerns the transitional nature of mediation, the parallel with the earlier non-recurring passage (pp.5-9) and the reason why postponement places the final statement of the main theme 'in the most telling and satisfying position'. The answer lies in the overall balance of the symphonic argument of the piece, in an element of structural articulation of fundamental importance, yet seldom discussed in relation to Sibelius, tempo.

In terms of tempo, the work concerns, in effect, two large-scale accelerandos with the second a 'development' of the first:

<u>Adagio</u>	<u>Un pochett.</u>)	<u>Poco a Poco</u>)	$\text{D}=\text{D}.$	<u>Vivac-</u>)	<u>Poco</u>)	$\text{D}=\text{D}.$
	<u>meno Adagio</u>)	<u>affret. il</u>)		<u>issimo</u>)	<u>rall; al</u>)	
		<u>Tempo al</u>)				
Bar 1	93	101- 129-	134	156	213	220
<u>Adagio</u>	<u>Poco a poco</u>)	$\text{D}=\text{D}.$	<u>Allegro</u>)	<u>Allegro</u>)	<u>Vivace</u>	
	<u>meno lento al</u>)		<u>molto</u>)	<u>moderato</u>)		
			<u>moderato</u>)			
221/2	237	242	258	285	409-448	

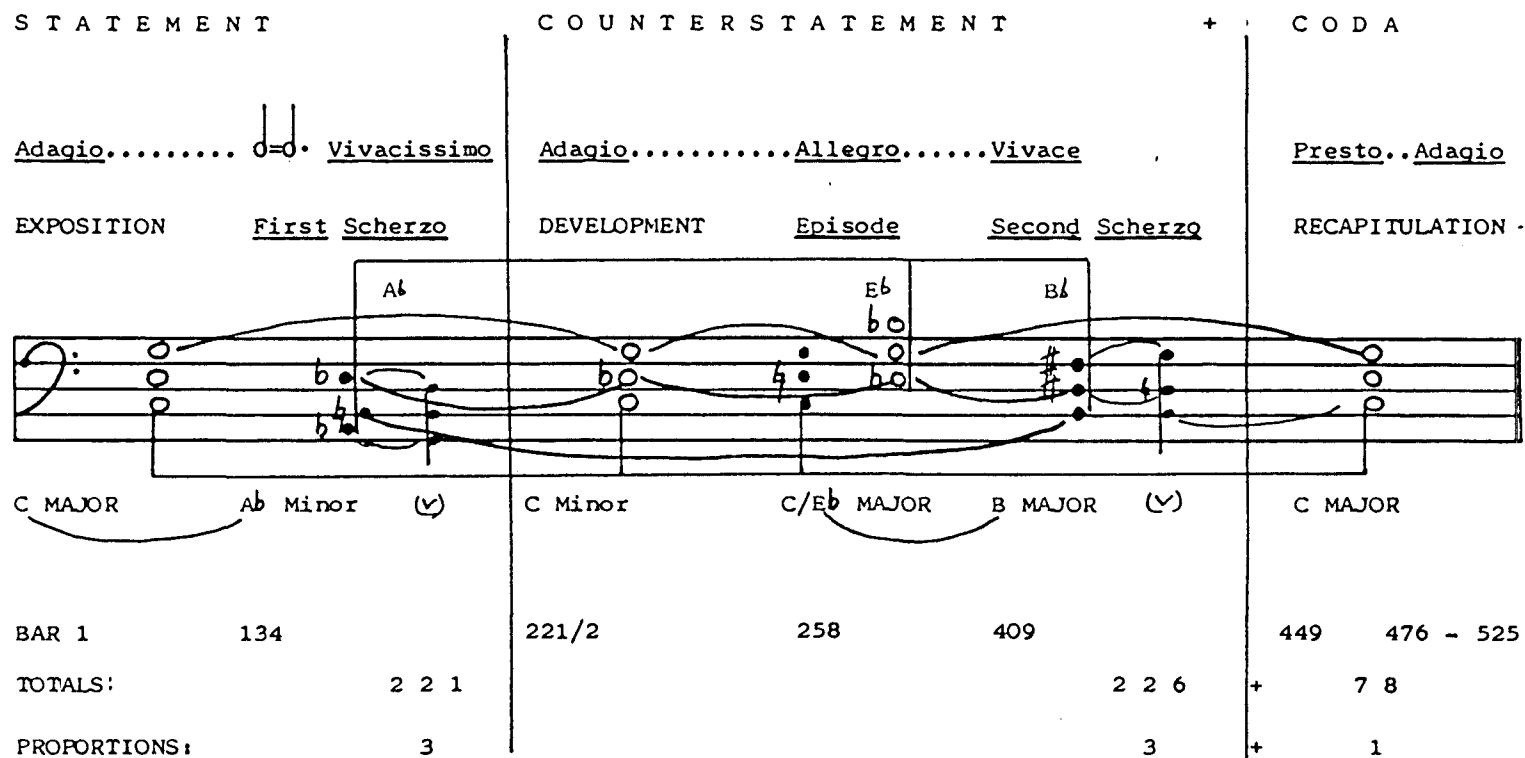
followed by a 'Coda', involving direct repetition of material:

Presto - Poco a poco rallentando al - Adagio.

(449) (464-) (476-525)

These two waves of acceleration, each leading from and to some kind of restatement, show a remarkable sense of proportion: 221 bars; 227 bars. The Allegro moderato section plays a crucial role in this balance; it may, as Arnold Whittall suggests, remove predictability by undermining the symmetry of

EX. 22 SEVENTH SYMPHONY : POSSIBLE STRUCTURAL DIVISIONS OF OVERALL FORM



the arch form, but more significantly it contributes to an overall symmetry articulated by tempo change. At the same time, taking the movement as a whole, the opening of the Allegro passage (which regains C major) occurs at the mid-point of the piece.

The section referred to as 'Coda' must be subsumed within the 'second half' of the piece; in a proportional sense this destroys overall balance whilst in terms of the listener's experience it reinforces it. It is the precise symmetry so far which helps explain why the ensuing restatement of material is in the most telling and satisfying place: it is expected at this point and the literal 'imbalance' its presence creates is far outweighed by the sense of resolution in terms of symphonic argument. This, and the Presto tempo indication, supports the observation that this Coda is the culmination of what happened before rather than the beginning of something new, as this is the fastest marking within the piece and the climax of a differently-paced acceleration in comparison with bars 1-221/2 (for example, the point where $\text{d}=\text{d}.$ is reached, occurs after 20 bars rather than 134). Thematic repetition may, on the surface, suggest a new structural 'section' but the articulatory force of accelerating tempo-change achieves an organic join, a sense of continuity, which creates overall unity. The passage from bar 222 to the end may be viewed as one entity, combining (rather than segregating) functions of development and restatement, thematically and temporally, and lending to the whole piece the following proportions which Example 22 begins to qualify:

STATEMENT		COUNTERSTATEMENT	
221	:	226	+ 78 (= 525 bars, total)
3		3	+ 1 (proportional relationship)

The concept of incorporating a possible ternary form within an overall binary structure has been the prevailing principle behind all the examples of formal compression in the Sibelius symphonies. This piece represents its culmination: a possible four-movements-in-one proposition by the arch-form elements functions within a higher level, binary

structure of an organic, one-movement symphony ... 'a new stage in the evolution of symphonic form'. Tempo-change, which traditionally has always assumed a structural role, that of division into movements and contrast between them, now plays a crucial part in creating sufficient continuity throughout one movement to give overall unity to a complete piece.

Considered in overview, the structural function of tonality supports the newly-defined two-stage diversification of a unity which epitomises the progress of the piece. In tonal terms, its symphonic argument surrounds the systematic undermining of a basic C-major scale, not by traditional establishment of a secondary key or keys but by asserting, on different levels, alternative 'centres' which, although outside this collection, are in some way related to it. Example 22 summarises the possible structural divisions outlined above in relation to this tonal scheme.

The first stage in creating diversity whilst preserving unity of the basic collection, is by adopting its minor mode version. It is this aspect of the tonal structure which is most clearly articulated both in terms of thematic presentation, the three complete appearances of the main trombone theme, and functional harmony (II-V-I, at bar 60; V-pedal at 290ff and at 449ff, for 27 bars!) using the only structural dominant-tonic cadences within the entire work.

Thereafter, tonal alternatives are less unequivocally established. The Allegro molto moderato passage plays an important part in the overall scheme by directly pursuing compositional consequences of the C major/minor issue. At the end of the central, C-minor trombone statement, a chromatic harmonic sequence, initiated by a brief reference to a surprising E major, descends from F minor (of bars 246-7) via E minor (249), Eb minor (253), D minor (255), C \sharp minor (256), C minor (257), (via V-VI- \flat VII) to C major. This sequence, particularly with its use of major and minor triads on the third scale-degree, underlines the fact that the C-minor development of the basic collection is essentially a chromatic issue. The inherent tonal potential of alternative scale-

degrees is now examined in the key scheme of this self-contained, ternary episode.

The temporary regaining of C major counters the dramatic effect of the preceding trombone-theme C minor but the middle section of this episode recalls elements of that passage and as a direct result the main material returns in Eb major. In tonal terms, given that Eb is the only unequivocally established key outside those with a C₇ tonic, the remainder of the symphony may be viewed as concerning the recovery of C after this Eb, an issue clearly articulated within this episode whilst at the same time revealed as the product of progressive diversification of C major: →C minor→ Eb major.

That explicit aspect of this particular tonal system is balanced by two passages of equivocal tonal status which implicitly play an important role within the overall key scheme. The two scherzo-like passages assume structural significance as the peaks of the two waves of accelerating tempo. Their fragmentary nature is paralleled by tonal instability and these two factors produce a greater degree of contrast in relation to the main trombone theme than elsewhere in the piece. However, the local function of these passages is that of preparing for the two reappearances of that material (significantly the minor then major versions) which in itself suggests some degree of dependence on that fundamental tonal issue.

The First Scherzo, beginning thematically at bar 134 (D=0.) but adopting its full characteristics at the Vivacissimo of bar 156ff, implies G[#] minor (or its environs) whilst the corresponding passage, Vivace, bar 409ff, explores its relative major C_b (=B). Neither of these passages are given the necessary harmonic support to confirm unequivocal key-establishment but they stand in subsidiary relationship to very fundamental areas. The A_b minor of the First Scherzo ultimately functions as neapolitan to the dominant and in that sense is not really disruptive but, as the initiator of contrasts, produces a comparable effect. C_b/B major also stands in subsidiary relationship playing an important (essentially

chromatic) role where $B\flat$ is to be redefined, both as part of a dominant sonority and as leading-note to $C\sharp$. The nature and function of both these passages require full investigation, as detailed in the next chapter, but within the present overview some sense of a schematic design is discernible: the three potential middleground areas, $A\flat$ minor - $E\flat$ major - $C\flat$ major, arpeggiate that of the First Scherzo. This indicates an important compositional principle (not only for this piece, but elsewhere for Sibelius): that a local event of implicit significance (the possible but abortive establishment of $A\flat$ minor) will generate and condition the relationship between later, comparable statements (the arpeggiation of that sonority) eventually to reveal explicit structural significance. This is articulated by a continuous development technique which precisely demonstrates foreground-background correspondences.

The tonal theory behind the progress of this piece may therefore be summarised in terms of the diversification of a unifying C-major collection on two levels: its chromatic 'development' as the minor mode and subsequent exploration of the conflict between a reordered version of that collection (the relative, $E\flat$ major) and the original model; plus, the use of $E\flat$ as a pivot-note within and between the third-related areas of $A\flat$ minor and B major creating an internal arpeggiation of the triad which distinguishes C minor from C major.

This principle can be observed within the remaining structural layers of the piece (to be discussed in the following chapters) but already a sense of internal balance is discernible. Within the first half, the major third motion from C to $A\flat$ is reflected by that of $E\flat$ to B in its counter-statement. The significance of the fact that these major thirds are based on alternative whole-tone collections is a product of middleground motion, and it will be demonstrated that the earlier passages of transition, away from C major, use the whole-tone scale which includes that pitch-class, whilst the later transitions, back towards C major, use its complement, that which includes the dominant, $G\sharp$. This

extension of the whole-tone segments within a diatonic C major is a further exploration of its potential diversification. On a foreground level, given the continuous development nature of thematic workings and that so much, therefore, literally derives from the opening of the piece, the initial statement of an ascending C-major scale interrupted by an $A\flat$ minor triad (bars 1-3), an event which will have considerable consequences, is indicative of the kind of foreground/background correspondence worthy of further investigation.

Finally, these theories about form and tonality are offered, not as an account of what is literally heard during the progress of the piece, but as a rationalisation of both the compositional principles which engendered it and the emotional experience it produces. Sibelius' Seventh Symphony produces an organic structure designed to create and defeat expectations in a continuum of emotional effect. After the stability of tempo and key generated by the first trombone statement, a progressive acceleration (tempo, harmonic motion, thematic derivation) creates a sense of instability, of motion away from that centre. This motion culminates in a Scherzo-like passage, Vivacissimo. Its completion is disrupted, aborted, its $A\flat$ minor potential never fully realised. In fact the $A\flat$ functions as the neapolitan to the dominant coinciding with a rallentando and a sense of return. This too is defeated, C becomes minor as a consequence of that $A\flat$ minor and Vivacissimo material is emphasised, so that the regaining of C major can only be temporary. This proves to be the case as the tonality darkens and $E\flat$ major becomes the key of internal restatement. The recovery of C major from $E\flat$ is the goal of the remaining accelerando tempo which moves to a corresponding scherzo section which implies B major. The $B\flat$ (offering large-scale balance as leading-note to the tonic: $A\flat$ -G; B-C) acts as a pivot-note within the final dominant preparation, at the fastest tempo so far, gradually slowing down to Adagio for the concluding C-major affirmation.

Tempo, tonality and themes are so diversified as to

suggest (interweaving) segments of separate movements (of a standard symphony) within the actual single-movement framework.

To present a clear statement which would unequivocally define Sibelius' tonal language would seem to be a contradiction in terms. A starting-point is Sibelius' conviction that the tonal system still offered new compositional opportunities whilst those around him dismissed that possibility, seeking radical alternatives. Alternatives for Sibelius existed within some kind of tonal framework which, by the preservation of some sense of its hierarchy but an extension of conventional methods to achieve it, would allow experiments on other structural levels - notably form - with a sense of originality exceeding that of younger composers' whose styles are so much more adventurous than their musical structures'.

Undoubtedly the inherited tonal language of the late nineteenth century was of immediate appeal to a young composer subjected to a very traditional training in his native Finland and much of its ambiguity of scale-degree function, complex harmonies and chromatically controlled dilution of functional diatonicism is used to great effect in Sibelius' early works. Sibelius retained the essential expressive quality of this kind of musical language whilst offering a significant advance in his desire for discipline and functional economy which led to his adoption of Neo-Classical stylistic features. His Fourth Symphony was composed as a reaction against modernity (...'nothing, absolutely nothing of the circus about it'), by which he referred to the excesses of Strauss and Mahler, yet paradoxically was received and decried as being 'of the twenty-first century'.¹ The paradox continues today, as few people are fully aware of the nature and extent of this tonal experiment which plays off the conflict between the hierarchical qualities of diatonicism and the anti-hierarchical situation established by the whole-tone scale. This kind of extended tonality tends to be attributed solely to Debussy, whereas Sibelius' exploitation of this technique, in symphonic terms, offers a degree of originality hitherto unrecognised.

Sibelius' admiration for what he described as the 'profound logic' of symphonic composition, rather than Mahler's all-embracing, Romantic standpoint, places him in a prominent position within the Neo-Classical movement of the early twentieth century. The conventional articulation of functional tonality is replaced by a network of motives that are, themselves, implicit harmonic cells and it is this power of suggestion, exploiting classical expectation, which creates a refinement and economy of tonal language, compression of form and expression and a truly symphonic, organic technique of remarkable structural unity. Sibelius' technique of tonal organisation originates in his recognition of the compositional potential of modality for the modern tonal composer. The way to move forward, ironically, seemed to be to look back, recognising that the application of techniques, which elsewhere were causing the demise of the tonal system, to those constructional elements on which the system was founded - modes - would provide the discipline, economy and originality of expression which he sought.

The incorporation of modal collections within tonal compositions also originated within nineteenth-century practice where it was used to produce either archaic or folksong (nationalistic) connotations. Kullervo relies on melodic contours using flattened scale-degrees (notably the second and seventh) for the latter purpose. There is evidence of Sibelius studying Finnish Runic melodies around this period (1891) and the nationalist aspect of this exercise has been frequently overstated by various commentators and correspondingly (even intriguingly) understated by the composer. The fact that this investigation was merely the preliminary to, or basis for, a complete series of experiments moving away from a nineteenth-century, Romantic standpoint towards twentieth-century tonal innovation, has not been considered. Sibelius realised that the use of modal/diatonic collections could form the basis of a system of extended tonality and although this idea, as part of general Neo-Classical style, is not new in itself, the proposal that many of Sibelius' experiments in this field predate those of other leading exponents (such as Stravinsky, Bartók and Hindemith) does attribute to him a greater level of originality than previously assumed.

The most significant element distilled from the early studies of modality in Runic melody is that of its whole-tone characteristics. That these formed the origins of the whole-tone/diatonic system eventually employed in mature Sibelius must not be overlooked either in explaining its nature (including its inherently Finnish atmosphere) or its reliance on some sense of pitch-class centre, even if not a diatonically achieved one. The fusion of this with nineteenth-century concepts of chromatic harmony, the concept of dynamic interaction of the whole-tone scales as a systematised approach to the total chromatic, makes the tonal language of late Sibelius both the product of several earlier influential trends and a development which is parallel with contemporary ideas. Any proposed parallel with Schoenberg's use of the total chromatic as a series gains support, given the inter-relationship of structural levels in Sibelius' music, through a consideration of the very precise motivic technique he employs which is often almost 'serial' in character (see Chapter Four).

In comparison with Schoenberg, at least as regards tonality (rather than form), Sibelius could never be considered an innovator. Sibelius will always be viewed as a (modern) 'tonal' composer, Schoenberg as an 'atonal' one, but nevertheless some credit must be given for his originality in finding new compositional techniques within that system, his ability to refine rather than reform. By comprehending and achieving mastery of the subtleties of diatonicism and concise statement, Sibelius became a leading exponent of twentieth-century symphonic music.

Principles of Tonality

The Sixth Symphony, a more systematic and diversified approach to the Neo-Classical tonal experiments of the Fourth, has been described as 'the symphony par excellence about tonality'.² The basis of its tonal organisation arises from Sibelius' recognition of the inherent compositional potential of the interaction of modal/diatonic collections, originating with the D-based Dorian mode versus its minor scale counterpart, expanding to incorporate an entire network of pitch centres with varying tonal and modal interdependence. The tonal principle is one of continuous development of a fundamental D-Dorian collection working towards a definitive tonal outcome and, therefore, reflects the surface motivic technique where cells, of both implicit harmonic and thematic significance, articulate a process of eventual, explicit synthesis.

A theoretical tonal basis for the movement, deduced from a detailed analysis, is represented in Example 23 and reveals the fundamental concept of minimal collection change to articulate modulation being adapted to curiously static effect. The result is generally that of collections which are little more than variants of their contextual model subsuming the Classical idea of polar key-conflict into that of more subtle ambiguities surrounding scale-degree function. Much of the character of the Sixth Symphony, which tends to be dismissed as a gentle, introspective and unassuming piece, is a direct consequence of this principle and this tonal language of great refinement and sophistication must be viewed as a further step in symphonic development rather than a reaction against the epic grandeur of the Fifth Symphony, as is so often perpetrated. Economy of formal structure in that piece is reflected in the condensed tonal language of the Sixth with both pieces standing as examples of the increasing concentration of ideas which characterises the late works of Sibelius. The choice of a modified sonata-form outline for this opening movement is similarly not a regressive step but part of the Neo-Classical element of Sibelius' style where

S I X T H S Y M P H O N Y

D-DORIAN COLLECTION & VARIANTS

EXAMPLE 23

D-minor:ascending melodic

B-minor :ascending melodic

D-minor :descending melodic

F-major collection

D-BASED DORIAN MODE

C-major collection

D-minor :harmonic

C-minor :ascending melodic

(C-minor : descending melodic)

the tonal polarity of its model has been replaced by contracted, extended tonality: a deliberate, and skillfully exploited, paradox.

The possible whole-tone confrontation between potential D minor and C major collections occurs without recourse to traditional modulatory procedures. It is simply the result of careful manipulation of a white-note collection which could be either D-based Dorian or C-based major through the adroit recognition that context, more than content, defines hierarchy. This principle initiates the network of varied scale forms used in the first movement, outlined in Example 23. The transformation of D-Dorian into D-minor (harmonic) can be achieved by the chromatic alteration of the sixth and seventh degrees: $B\flat/B\sharp$ and $C\flat/C\sharp$. The use of the former results in the descending melodic minor format, simply a reordering of the F major collection, creating a new stage, of mediant ambiguity, in the principle of scale-segment ambivalence defined by context; the latter substitution, $C\sharp$, creates the ascending melodic minor collection, a scale with a unique large-scale symmetry between scale-degrees $\hat{8},\hat{7},\hat{6}$ and $\hat{3},\hat{2},\hat{1}$ where an extension of that internal transposition factor produces the B minor collection type. Its new pitch-classes, (E), $F\sharp$, $G\sharp$, $A\sharp$, are themselves an extension of the whole-tone scale on D which C (and $B\flat$) of the descending melodic minor completes. The process is highly systematic. As regards the network surrounding C, its relationship with F major (formed as a variant of a D-based model) is an orthodox diatonic one whilst the $B\flat$ and $A\flat$ whole-tone elements can be subsumed within a C minor context requiring the substitution of $E\flat$ for $E\sharp$, to complete the total chromatic.

The process is essentially a chromatic one involving pitch-class substitution on a local level; however, the large-scale ramifications encompass whole-tone, mediant and diatonic relationships where, at any stage, conflict of centre can simply be revealed as the complement of systematically varied scale-forms producing a unique balance of dynamic and static tonal organisation.

Chromaticism

The Introduction (bars 1-66) begins with gently interacting polyphonic lines using white-note material which explores D-Dorian/C major potential and includes emphasis, within its phrase structure, on D minor, F major and C major triads. The first indication of defining D minor (rather than Dorian/C major) occurs halfway through bar 17 where a Tristan Chord resolves briefly to a D minor triad: B ————— A

G ————— A

E ————— F

C# ————— D.

The inherent chromaticism of this whole-tone issue begins with this early appearance of C# assuming a leading-note function. The immediate effect is that of local tonicisation though the syncopation removes any sense of resolution in that direction. Its chromatic consequence arises in the F#-G motion (three bars later) giving the fleeting E/G diad some E minor (rather than C major) potential but offering some sense of balance in the C# direction (ambivalent diads) rather than that of D, maintaining the equilibrium of this tonal confrontation.

The same event is presented again at the end of the Introduction but with a real sense of chromatic conflict between the Tristan Chord of the strings and woodwind and the C major triad in the brass: B \flat ————— C \sharp

G.....G

E.....E

C#.....C \sharp which highlights

both the pivotal role of the previous E/G diad and the motion of leading-note to tonic also being defined by context: B \flat -C \sharp now, with the C# functioning in effect as D \flat , the neapolitan to the tonic. The symmetrical tonal issue, C/D, is emphasised both by the correspondence and the placing of these events; half way through bar 17 represents exactly a quarter of the total 66 bars of the Introduction. The regaining of a C \sharp centre from the chromaticism which could define D minor precipitates the next section which projects C \sharp , rather than D \flat , as its centre.

The same kind of chromatic issue recurs in the Coda of the movement, from bar 229, offering a sense of large-scale symmetry. The chromaticism of the lower strings underlines the brass whole-tone/chromatic motion of triads moving B \flat -A \flat -G with the latter being arpeggiated by the upper strings as a G7th sonority; the gesture is then transposed up a whole tone, producing the same configuration, based around A \flat . These arpeggiations continue the basic C/D conflict of the movement, representing their dominant triads, although, by appearing in a context where D \sharp has been favoured, they may function as IV-V in relation to that centre. Neither resolution is offered; instead there is an extended outburst of chromaticism settling on to an E \flat major sonority which functions as neapolitan to a D7th chord, bar 245. The two scalic figures which follow are deliberately ambiguous due to their inclusion of extra chromatic elements, their symmetrical transposition outlining the augmented triad of D \flat - F \sharp - B \flat .

Chromatic harmony in the next two bars (letter M) oscillates between G \flat and F \sharp based sonorities which, as the potential dominant sevenths of B \flat /B \flat may possibly represent that issue. These resolutions are also never realised as the passage culminates by asserting a complete D \flat major scale: the chromatic compromise between the C/D issue? However, its leading-note, C \flat , is prolonged with triadic affirmation as if D \flat is merely neapolitan to C major and this is to be the outcome. So far, this passage of tonal ambiguity has been systematic in its chromatic harmonic relationships projecting neapolitan motions of E \flat /D, G \flat /F and D \flat /C, that is, chromaticisms surrounding each of the three white-note centres implied in the Introduction. The issue of leading-note to tonic defined by context, which originated there, is also taken a stage further. The C \flat of bar 259, the leading note of D \flat major, assumes the potential role of tonic in C major; this is deflated by the final four bars where C \flat is assumed the flattened leading-note, modal seventh degree, of the D-based Dorian collection which closes the movement as it began with precise motivic correspondence.

SIXTH SYMPHONY

TONALITY : C \flat - WHOLE-TONE PROLONGATION

EXAMPLE 24

EXAMPLE 25

BARS 97 - 103 (from the Link into Section II)

EXAMPLE 26

Development of C/G \flat motives as
dominants of F/B; keys to be
realised later as F major/B minor

Arpeggiation of C major/G \flat major
triads

C \sharp - Whole-Tone Prolongation

Section I (bars 67-97), the equivalent of an Exposition in this modified sonata layout, concerns the confirmation of C \sharp as a tonic, pursuing the chromatic resolution at the end of the Introduction. The C-major of the string texture here is prolonged in tonal terms appropriate to that preceding section; its large-scale D - C motion is continued on a middleground level by means of a whole-tone sequence moving C-B \flat -A \flat , as shown in Example 24. The effect is not disruptive in a traditional modulatory sense but is nevertheless, within the terms of this piece, analogous to modulation as it produces a change of mode: C major becomes C minor, (though only briefly - bars 74-75), in order to subsume the whole-tone motion from D to A \flat within a diatonic context, the major being regained immediately, but with less stability.

A complete C-major scale leads to the second theme of this section (bars 80-97) where the emphasis on its supertonic reintroduces the ambiguity of D-Dorian/C-major centre. The context and the woodwind G \sharp pedal suggest that this is really C major and indeed C \sharp proves to be the outcome of the melodic voice-leading at bars 86-87, D \sharp functioning as second scale-degree. The bassoon scale-segment of F-E-D from the opening of the piece, gives support to the D-centre possibility but the horn harmony, with its prevailing C \sharp pedal (neatly incorporating a D minor triad as part of II⁷b in C), proves D \sharp to be merely a whole-tone neighbour-note to a C \sharp centre.

Bars 97-109 provide a link into the central, development-like section of the movement. They initially take up exactly the same kind of prolongation of C \sharp as did the opening of Section A: undermining diatonic stability by whole-tone motion which is complementary to both D \sharp and C \sharp . Example 25 summarises the voice-leading of D-C-B \flat -A \flat plus a further step involving diatonic cadential motion, establishing G \flat major. The whole-tone complement, yet diatonic conflict, of C/G \flat is now explored in the first stage of the Development, bars 110-143. Example 26 reveals the spiccato string figures as arpeggiations of the two major triads in question as accompani-

ment to woodwind figures which develop the C-B \flat -A \flat motive from Section A. A new periodicity of phrase-structure articulates a symmetrical transposition scheme: C/G \flat at bar 112, E \flat /B \flat at 120 (and again at 124) and a return to C/G \flat at bar 132. Symmetrical placing of events is apparent on the large scale as well; bar 132, that is 66 bars into this main part of the movement after an Introduction of precisely that length, is the point where horn and bassoon pedals prolong these pitch-classes (C, B \flat , E \flat and F \sharp) to modulatory effect:

horns F \sharp resolve to F \sharp

E	D \flat
C	B \flat

resulting in a key-change to B minor. This neatly incorporates common whole-tone elements and an all-important reversal of scale-degree function: C \flat functions as neapolitan to B \flat tonic (rather than B \flat as leading-note to C).

D \flat - Diatonic Prolongation

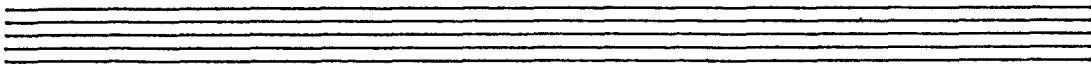
At this stage in the movement any assertion of D \flat as tonic has been systematically undermined by elements which prolong C \flat , though their whole-tone complementation is of implicit relationship rather than conflict. The second stage of the Development, bars 144-167, starts with a reworking of the main thematic element from the Introduction (bar 29/30ff) transposed down a minor third in a clearly-defined B-Dorian context. The reworking of this theme incorporates A \sharp as well as A \flat , giving the first indication of transformation from Dorian-mode to minor collection. The choice of this transposition is also significant, given the special relationship surrounding melodic minor scale-forms a major sixth apart, the B-C \sharp -D are, in effect, clarifying the all-important scale-degrees (6,7,8) of its original model.

This observation is supported both by the choice of tonal areas elaborated during the rest of this development section and by the way in which these are prolonged. Against this B-based melody, the bass voice-leading symmetrically places elements of its whole-tone scale, descending B (bar 144) A (148) - G (152) - F (154), with parallel minor-triad accompaniment. This whole-tone motion continues, via E \flat major harmony, to D \flat which is respelt as C \sharp and becomes the next tonal area to be prolonged. The tritone descent of the bass during this next passage (bars 158-166), C \sharp -B \flat -A-G, is a diatonic one in that it belongs to the D harmonic minor collection. However, the G \flat assumes a dominant function to C \flat , apparently curtailing the prolongation of D \flat , though in fact the C \flat forms part of an A minor triad and merely pivots back to D-Dorian, rather than minor.

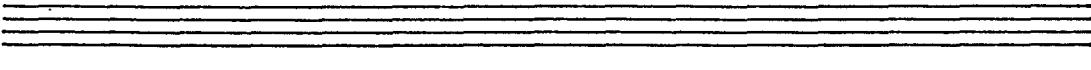
The third stage of this development, bars 168-189, reworks the main theme of the Introduction in terms of D-Dorian, its original pitch level. The more local effect of this passage is that of providing a precise link with the second stage of the development where the same material occurred within a B-Dorian context. Thus the three tonal areas involved, B, C \sharp and D, prolong crucial scale-degrees of the

S I X T H S Y M P H O N Y

TONALITY



EXAMPLE 27



Theme B

BARS 220 - 226

D-Dorian outcome.

COMPARED WITH:

BARS 80 - 88

C-major outcome

(w)

(w)

(w)

ascending D-melodic minor collection, so as to emphasise the significance of the B/D mediant relationship whereby the former may be viewed as part of a diatonic prolongation of the latter.

This concept of minor-third relationships surrounding a D $\frac{4}{3}$ centre is confirmed by the abrupt modulation to F major at bar 190. This climactic moment is of structural significance as it marks the beginning of a passage of restatement. The way in which it comes about is also systematic as the alternating D-G bass approach implies C major resolution which is denied in favour of the closely D-related, F major interruption. The choice of F major at the point of (varied) restatement, that is a transposition up a perfect fourth from the original C major of the exposition, suggests a deliberate play on the transpositional practice of Classical sonata form with considerable Neo-Classical tonal implications for this piece. F major offers a sense of compromise in the C/D issue; it relegates C $\frac{4}{3}$ to the function of dominant (realised at bar 200ff), rather than tonic, whilst presenting a tonal area of very close affinity to the prevailing D-Dorian/minor of the movement, a reordering of its descending melodic minor form.

The change in tonal status assigned to C $\frac{4}{3}$, that of dominant rather than tonic, is reflected in the changed order of thematic events during this restatement. The second theme in its entirety is omitted during this C-major passage: only its cadential figure of bar 87, that which confirmed C rather than the potential D-Dorian, recurs (at 206ff). C $\frac{4}{3}$ is then to assume the role of flattened leading-note to D, as witnessed over bars 218-220. Now the omitted second theme can reappear with significant effect: confirming its potential D $\frac{4}{3}$ centre, its ending being changed for that purpose, as outlined in Example 27.

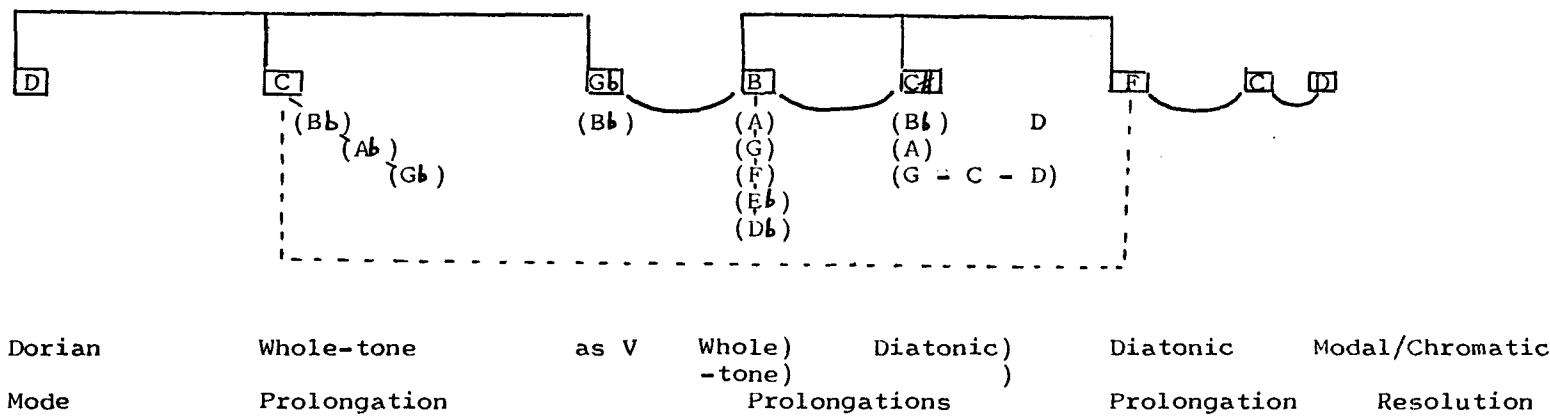
The ensuing Coda confirms a sense of outcome in favour of D $\frac{4}{3}$ articulated in chromatic terms. Ultimately, D $\frac{6}{5}$ functions as a kind of C $\frac{4}{3}$, that is as a leading-note, precisely reversing the function at the close of the Introduction where C $\frac{4}{3}$ assumed a neapolitan (D $\frac{6}{5}$) role in relation

EXAMPLE 28

S I X T H S Y M P H O N Y

FORMAL/TONAL SCHEME: OPENING MOVEMENT

INTRODUCTION	SECTION I	SECTION II	SECTION III	CODA
Bars 1-66	67-97 Link 98-109	Stage I Stage II Stage III 110-143; 144-167; 168-189;		196-209 223-266



to C \sharp . Sibelius' use of combined modal and tonal principles creates a complex, but systematic, sense of equilibrium between the two possible hierarchic outcomes of C \sharp and D \flat . The issue is ultimately presented in favour of the latter pitch-centre but, as part of the overall unity within late symphonies, it takes the remainder of the piece to resolve this conclusively.

Example 28 demonstrates the network of tonal and harmonic relationships which govern the progress of this movement, indicating the overall tonal scheme and the main motions (often pedal points) which prolong these centres. In voice-leading terms it is significant that the first half of the movement involves a descending motion D - C - B \flat balanced by an ascending B \natural - C \sharp - D within the second part. This suggests the extent to which the tonal scheme of the movement pursues the main issue within the basic collection: the alternatives surrounding scale-degrees $\hat{6}$ and $\hat{7}$ which distinguish Dorian mode/ascending - or descending - melodic minor scales.

ROMANTICISM : SYMPHONY NO.7

The tonal structure of this piece has already been outlined, in relation to formal articulation (see Ex.22), and defined as the diversification of a unity. The Seventh Symphony exhibits a final stage in the Sibelian technique of continuous development - now operating on a tonal level - which has a crucial part to play in the organic nature of its one-movement structure. The prolongation of a C-major unity is undermined only by two passages which unequivocally establish alternative collections: the C-minor central trombone statement (bar 221ff) and the Eb major re-statement of material within the Allegro episode (bar 375ff).

Theoretically, these alternative centres represent two stages of development of their original C-major model: firstly, by retaining the C \flat pitch-class centre but using the chromatic development of its minor mode and secondly, by re-ordering that collection creating conflict of tonic pitch-class but resolution of the major/minor issue. The fact that C minor is presented as a varied statement of the (C-major) trombone theme and Eb major as a transposed re-statement of material previously presented in C major, demonstrates the concept that these secondary tonalities merely concern derivation from, rather than denial of, the fundamental C-major prolongation and are eventually shown to complement rather than conflict.

A crucial compositional premise for a symphony 'in one movement' concerns the interdependence of diverse tempi which have already been assigned importance regarding large-scale structural articulation. It is, therefore, by no means trivial to note that the C-minor interlude returns to the original, C-major associated tempo, whilst that of the Eb major Allegro marks a significant stage in the acceleration towards the final C-major goal. It is this integration of extremes normally associated with separate symphonic movements which accounts for the success of this piece as a one movement, rather than linked multi-movement, work. Its tonal organisation adheres to the same principle

because, superimposed on this slow-moving tonal diversification, a two-stage acceleration of harmonic activity creates modulatory effect which is deliberately made more apparent than real. Culminating in the symmetrically placed, abortive Scherzo passages, this middleground motion, exhibiting a mastery of implication, in fact functions in tonal terms as a preparation for regaining C \sharp pitch centrality rather than moving away from it. This apparently disruptive force is never allowed fully to realise that potential; it is merely interruptive, exerting pressure on the stability of C major (through a carefully balanced sense of motion in both flat and sharp directions) initiating dynamic contrasts against the static tonal background of the piece.

The persistently disruptive elements employed, pitch-classes standing outside the C-major collection, ultimately prepare for its denial in favour of the minor mode and its relative major. The alternative scale-degrees involve chromatic substitution, notably E \flat /E \sharp , A \flat /A \sharp , B \flat /B \sharp , and much of the discrepancy between apparent and real harmonic function arises from adroit reinterpretation of the enharmonic role assigned to those pitch-classes. Within the general use of chromatic neighbour-note motion the balance between sharp (leading-note) and flat (neapolitan) directions is carefully calculated and additionally countered by the use of the remaining members of the total chromatic: F \sharp as a leading-note to the dominant and D \flat as the neapolitan to the tonic.

Due to the nature of the work, its reliance on a technique of continuous development and on context rather than content to define function, it seems more appropriate to examine the tonal and harmonic organisation as it unfolds during the piece, prior to assessing more large-scale correspondences and their effect on structure.

SEVENTH SYMPHONY TONALITY - INTRODUCTION : BARS 1 - 21

EXAMPLE 29

(a)

G6 (as v of v)

V - I in F

Bars 1-6

(b)

minor F major

EXAMPLE 30

BARS 7 - 14

EXAMPLE 31

Tonal Principles : Introduction Bars 1 - 21

The opening statement of the piece, reduced in Example 29, epitomises many of the later tonal issues as the initiator of continuous development technique. The opening scalic ascent of C-major is subject to a number of disruptive elements which, in direct consequence, are to be explored during the rest of the piece where their peaks of interruptive function, the two Scherzo-like passages, are countered by harmonic processes which actually prepare for a return of the tonic pitch-class. The Introduction contains, in miniature, this underlying tonal principle in its initial denial of, but eventual preparation for, the establishment of C major by reinterpretation of the same elements which interrupted that goal in order to confirm it.

The chromatic interruption of an $A\flat$ -minor triad and the corresponding voice-leading continuation on to that of F major pursues the syncopated presentation of the opening diatonic statement in order to delay its outcome (as re-presented in Example 29(a)). In diatonic terms this opening gesture presents $C\sharp$ not as a tonic but as a dominant, a possibility implied by the scale beginning on $G\sharp$, giving a sense of fifths progression overall: G - C - F. The concept of redefining the function of $C\sharp$ in this way is also to play a significant part in later developments during the progress of the piece.

Considering the harmonic nature of this event, the motion can be reduced to a four-chord level (see Example 29(b)) comprising the outer stability of $A\flat$ -minor/F major triads (in second inversion) via two Tristan Chords where the use of inversion produces complementary, first-inversion triadic content, respectively (enharmonic) E major and $B\flat$ minor, giving harmonic support to the collection defining tritone of F major and its chromatic neighbour-note function in this process:

$E\flat$ - F

$B\flat$ - A. The remaining consistent feature of chromaticism concerns the first-inversion triads within the Tristan chords with motions of $A\flat$ -G and $D\flat$ -C which are of fundamental impor-

tance in the reworking of the disruptive potential of these harmonic events: the neapolitan motion to the dominant (Ab-G) in the First Scherzo preparing the tonic minor of the central trombone statement and the corresponding event at the tonic level as the Second Scherzo prepares for the final trombone statement affirming C major. The chromatic voice-leading of this initial gesture has the effect of delaying and reinterpreting the diatonic potential of its opening scale; the same elements on a middleground level may be viewed as a precise correlative in terms of the tonal scheme of the piece.

Such parallels with the two peaks of potential tonal disruption, the two Scherzo passages, are further supported by another device which is important in the progress of the tonal workings of the work: enharmonic reinterpretation. The Eb/Cb diad of the Ab-minor sonority is reworked in terms of its (enharmonic) relative major (B major) in the D#/B diad of bar 6. This mediant relationship is made particularly clear not only by the timpani trills, on Eb bar 3 and D# bar 6, but by the inversional symmetry of the complete gesture in the upper voice: Eb - F B \flat - A
Cb - A D# - F.

The effect, temporarily to destabilise the F major 'outcome', is systematically achieved: the F/B tritone counters that of its previous chromatic neighbour E/Bb, being definitive of C, rather than F major, and thus epitomises the tonic/dominant functional polarity surrounding C \flat . Given that Ab minor and B major represent peaks of harmonic motion away from C major in conjunction with those of tempo (respectively, Vivacissimo, p.23 and Vivace, p.59) discussion of such foreground/background correspondences and the degree of structural consequence engendered by these opening events seems complete.

Bars 7-14 are reduced in Example 30 which, on the large scale, represents the first, but not yet definitive, attempt at establishing the C-major centre of the work. The originally disruptive elements of the opening gesture are sufficient to make the status of the F-major sonority (bar 7) questionable, though the context implies a kind of F-Lydian background for the woodwind melody. However, the use of

exact sequence redefines this in terms of D-Dorian moving down by whole-tone transposition. These progressive stages in defining the centre of the piece clearly incorporate elements from its original interruption used with precisely calculated balance. Thematically, bars 11-12 represent a condensed version of this material whilst the new harmony continues to satisfy both the disruptive forces so far (the local whole-tone motion of G-F-E \flat sonorities) and the eventual C-major definition, (initiating large-scale G - C motion). The final stage in this process (bars 13-14) develops those harmonic elements, the E \flat 7th chord overlapping and generating two more such constructs on A \flat and B \flat , pursuing disruptive whole-tone elements whilst implying traditional harmonic functions of V of ii and V of iii which, in conjunction with the melodic balance of flat and sharp scale-degrees (B \flat and F \sharp respectively), gives a curiously neutralising effect, allowing the final bass $\hat{3}-\hat{2}-\hat{1}$ scalic descent to achieve a C-major point of arrival. The large-scale bass voice-leading is therefore diatonic, G-F-E-D-C, with (significantly) F \sharp being prolonged by apparently disruptive whole-tone elements which, by encompassing the tritone F/B and incorporating a careful balance between potentially flat- and sharp-moving chromaticisms, eventually reinforce, rather than refute, the goal of C \flat .

The tonal instability of this triadic outcome, directly parallel to the F major of bar 7, is immediately and consistently exploited by sequential motion which incorporates tritones, D \flat -A \flat , E \flat -B \flat , F \sharp -B \flat , that originated within the initial disruption of bar 3ff. The fact that the larger scale voice-leading of these figures is potentially diatonic (D - F) and that this is reflected in the accompanying bass motion, indicates the goal of this passage whilst the presence of alternative scale-degrees, B \flat and A \flat , exert an influence in the flat direction: again as if C \flat were a dominant rather than a tonic.

Example 31 presents the harmony of the final bars (18-21) which prepare for the first passage of C-major confirmation in order to reveal the consistency of elements used

to delay it. Descending, first-inversion triads produce an overall bass arpeggiation of $A\flat$ - $E\flat$ - $B\sharp$ ($=C\flat$), giving a precise correspondence with the $A\flat$ -minor harmonic interruption of bar 3, whilst the upper voice (in fact the roots of these triads) reverses that earlier tonal motion: moving F - C - G (as dominant of C). Thus the bass arpeggiation over a $C\sharp$ pedal, where $B\sharp$ (not subjected to enharmonic reinterpretation) patently functions as a leading-note, now confirms C major, by acting as a neapolitan to its dominant, rather than denying it. The internal complementary whole-tone descending motions, $F-E\flat-D\flat$ and $C\sharp-B\flat-A\flat$, develop voice-leading elements from the intervening sequential passage whilst the all-important neapolitan figures of $D\flat$ to C and $A\flat$ to G confirm the correlative extent of this approach to C major in comparison with its original displacement.

SEVENTH SYMPHONY

- TONALITY

EXAMPLE 32

EXAMPLE 32

IV⁷/V⁷ (of I) IV⁷/V⁷ (of ii) IV⁷/V⁷ (of iii)

BARS 71 - 80

EXAMPLE 33

FIRST TRANSITION (BARS 93-108 only)

C-minor collection as V of F complex

C# minor / G# minor as V of Ab complex

B-minor collection 'C-major' V of B minor V of F

C-minor/Tristan

C#-minor/Tristan

G-minor/Tristan

E♭⁷ (as V)

F#⁷ (as V)

(C) - F as V (B♭) - E♭ as V (C#) - F# as V C as V

BAR 93 95 99 100 103 107

C# as V

The Establishment of C major

The ensuing C-major polyphonic passage (pp. 5-8) confirms the status of C \flat as a tonic by preparing for the definitive trombone statement, incorporating previously disruptive elements in a careful balance between flat and sharp directions, culminating in the scalic figure of bar 50, which recalls and clarifies that of bar 17. Thereafter the opening scale reappears in transposed form emphasising C \flat as a tonic rather than a dominant, its new rhythmic presentation articulating this transposed cycle of D - G - C (continuing to F, but as neighbour-note to the E \flat before the trombone theme) which the extraordinarily orthodox harmony of bars 59-60 confirms.

The passage from bars 71-83 functions as the interruption and denial of the newly established C-major centre. Example 32 reproduces its initial harmonic motion which, in traditional terms, reveals IV7 - V7 motions of, respectively, I, ii and iii recalling aspects of the Introduction (bars 13-14) which later thematic analysis confirms. The issue of C \flat as a dominant or tonic recurs, concisely indicated in bars 80-84, where B \flat supports the former and F \sharp the latter interpretation. The tonal effect of such chromatic oscillation is static, the C \flat centre prevails, though the possibility of its minor mode begins to emerge but is not fully realised until the central trombone statement. The first two bars of page 12 confirm this issue and the consistency of disruptive elements: A \flat (major) harmony interrupts C (minor) cadential outcome at this point. Bars 90-93 contain the same version of the opening scale as initiated the trombone theme and this, plus the woodwind figure related to that on page 4, underlines the important compositional premise of the work: its constant manipulation of a limited number of compositional units which are subjected to ever-varied interpretation and re-interpretation on a harmonic/tonal level.

Transition as Pitch-Class Redefinition : C \flat as a dominant

Having implied C minor as the next stage in a tonal process of diversification rather than conflict, this transitional passage, with its gradual increase in speed to the First Scherzo, pursues that goal. Its temporal purpose, providing mediation between extremes and thereby integration of a multi-movement concept into a single structure, is reflected in the dichotomy between tonal and harmonic motions. The former prolongs C \flat as the centre of the work whilst the latter implies disruptive movement away which, though never fully realised, exerts an important interruptive influence by effecting the change to the minor mode. This redefinition of the tonic pitch-class as that of the minor collection is not achieved until the end of the Scherzo passage; the first transition continues an earlier issue, that of defining C \flat as a dominant rather than a tonic.

The first stage of this transition, bars 93-108, is represented in Example 33 which reveals three simultaneous levels of activity. The surface motivic workings initially define the C-minor collection (bars 93-98) side-stepping to a brief intimation of C \sharp minor which becomes more clearly G \sharp minor from bar 100. Two bars later this is reworked at a new transposition indicating B minor and from bar 104 the collection is basically that of C major which, having been subject to chromatic development on either side of that centre (C \sharp and B minors), contains two significant chromaticisms, flattened 7th and sharpened 4th scale-degrees, which exert a neutralising effect around the tonic.

The harmonic level provided by middle strings and brass supports this motivic activity whilst at the same time, due to careful use of pivot-notes, defining the underlying tonal motion provided by the bass voice (horn 4 and bassoon) which gives a different reading of the passage. A sense of cycle of fifths motion is discernible on this level:

C - F - B \flat - E \flat
 (93) (95/8) (99) (100) with F \flat and E \flat (both as part of dominant ninth sonorities) being the more important pro-

longations. This flatwards move to the dominant of Ab/G \sharp minor is then balanced by a sharpwards one: F \sharp is prolonged (bar 103ff) as the dominant of B minor. The decision to prolong the dominants of these pitch-classes, Ab and B \flat , is to have large-scale significance given their crucial role within the two Scherzo sections.

The 'outcome' of the bass motion of this paragraph is E \flat where the harmony supports a reading of first-inversion C9th sonority (confirmed by the bass move to C \flat at bar 107), so that the tonal workings of this passage overall may be summarised as the prolongation of C \flat as part of a complex of dominant functioning events, moving C - F - C (continuing and reversing the implications of the Introduction). The common characteristic of all the projected pitch-classes in the bass confirms this principle in their definition (by context), but lack of realisation, as dominants. The final E \flat stands as an important pivot-note (3 of C; 7 of F; 6 (F \flat) of ab; 4 of B) and much of the harmonic activity arises from the adroit handling of the pivotal function of significant pitch-classes which can produce many surface variations of a few fundamental issues. E \flat is also important in the major/minor issue surrounding the tonic and additionally as leading-note to F, should the dominant function of C \flat be realised. The sonorities at the close of this passage are interesting in this respect comprising:

E
C \sharp
B \flat
G
E \flat

(bar 100)
dom.min.9th of ab

G
E
C \sharp
A \sharp
F \sharp

(bar 103)
dom.min.9th of b

F \sharp -G \flat
D
B \flat
E \flat
C

(bar 107)
dom.maj.9th
of F

where pivot-notes of E \flat and B \flat are significant as the tri-tone of potentially F-major defining function.

The second stage of the transition, bars 109-118, begins by prolonging this C-based dominant sonority for six bars whilst the woodwind figuration is a transposed and condensed version of the earlier material, now implying the G-

minor collection. The underlying dominant function of the sustained harmony is briefly realised in a closing cycle of fifths which moves rapidly flatwards: C - F; B \flat - E \flat ; A \flat - D \flat . The third stage, bars 119-133, pursues previous elements more directly with its initial motivic workings being closely modelled on the opening of the transition, at the transposition of a semitone, defining a C \sharp -minor collection as the product of the half-way point reached by the previous fifths cycle. The bass harmonic prolongation corresponds, its F \sharp functioning as the possible dominant of B.

Therefore, the dominants of F \sharp and B \flat are prolonged during each successive stage of the transition as a direct product of harmonies within its first statement and as significant flat and sharp areas surrounding the C \sharp centre. As in stage two, the dominant function of the prolonged F \sharp is briefly realised initiating a cycle of fifths (page 19) moving sharpwards which completes the total chromatic:

F \sharp - B; E - A; D - G; C - F; D - G - C (repeated)
 with C \sharp prolonged. In tonal terms the outcome of the transition is a static one - the prolongation of C \sharp - but now redefined as a dominant rather than a tonic. The use of chromatic harmony, pivot-notes, cycles of fifths in both flat and sharp directions is carefully balanced so as not to undermine that slow-moving sense of tonal redefinition. The effect, however, is one of considerable harmonic motion but one where implicit function is not realised: the harmony is merely one level of activity superimposed on a slow-moving tonal process.

The role of Ab - Interruption and Confirmation : 1st Scherzo

This Scherzo passage precisely extends the tonal principles of the first transition. The increase in temporal and harmonic activity has a static effect on the background tonality (the prolongation of C \flat) but a dynamic one in terms of redefining that pitch-class as a tonic - but of the minor mode. Once again this effect is indicated by the use of slow moving pedal points in the brass which exhibit a balance of possible functions as follows: C7th sonority (from the preceding transition) at bar 134, C \flat as V; G \flat pedal at 152, C \flat as I; C \flat as pedal from 174 which is ambivalent as regards I/V function (after the previous G \flat it appears to be a tonic yet the context implies the opposite pole) and finally G \flat at 198, confirming C \flat as a tonic, though of the minor mode.

In order to achieve this change in function of C \flat the surface harmonic motion in fact defines its tonic minor status, whilst simultaneously implying flatwards motion to suggest a dominant function, through a carefully balanced use of harmonies which explore ambivalent I/V poles. The crucial element in this process is the pitch-class Ab, presented both as the product of a cycle of fifths away from C \flat and as the neapolitan to G as part of a dominant complex confirming that centre. Ab, therefore, represents both middleground harmonic issues surrounding the major/minor mode and background tonal oscillation between the equivocal functions of C \flat . Additionally it stands as a unifying feature, a consistent factor in the elements which exert a disruptive force on the C-major tonality of the piece, providing a link with the Ab-minor interruption of bar 3 and pursuing its consequences in the subsequent minor mode affirmation of the central trombone statement.

First Scherzo : Introductory passage - bars 134 - 147

The local harmonic and tonal function of this paragraph stands in direct parallel with the second stage of the previous transition (bars 109-118). The woodwind and string figuration of the first four bars defines the G-minor collection but in fact forms part of a dominant ninth complex on C \flat overall, due to the sustained brass sonority, which initiates

SEVENTH SYMPHONY - TONALITY

EXAMPLE 34 FIRST SCHERZO

VI V/c V of G min. V of Ab V of C min.

BAR 147 149 151 153 155

VI (C MINOR) V

EXAMPLE 35 CODA BAR 500ff.

Diatonic motion

Ab/F#/*B*b as whole-tone complements to C#.

(Trombone' motive)

a cycle of fifths of increasing diminution:

F as V of B \flat ; (B \flat minor); B \flat as V of E \flat as V of A \flat ,
(139) (141) (143) (145) (146)

where Scherzo material proper begins. The increase in the rate of harmonic activity supports temporal considerations in the gradual move to Vivacissimo at Letter J. The tonal function of this introduction pursues that of the preceding transition, presenting C \sharp as a dominant which begins a cycle of fifths flatwards establishing A \flat as the peak of such motion.

Scherzo : Stage I - bars 147 - 155

Characterised by the use of main material for the Scherzo as a whole, this passage is concerned with exploring the pivotal harmonic role of A \flat and the effect of this on re-defining the tonal status of C \sharp . Example 34 illustrates the way in which the rapid harmonic motion may be reduced to a basic progression for each complete thematic statement where the intervening voice-leading defines their tonal position. Thus, in summary:

147 - 149	149 - 151	151 - 153	153 - 155
A \flat - G as V of c	(G) - D \sharp as V of g	E \flat as V of A \flat	A \flat min.-G \sharp as neapolitan to G: V of c

Overall, the motion is chromatic: from A \flat to G as neapolitan to the dominant of C minor which is confirmed by the brass G \sharp pedal from bar 152. The contrast between the fifth/semitone motions surrounding the establishment and role of A is internally reflected during this passage with its A \flat - E \flat
G \sharp - D \sharp elements.

Scherzo : Stage 2 - bars 155 - 169

From the Vivacissimo at Letter J, material is developed but with the same kind of rapid harmonic activity in which A \flat continues to play a crucial role in defining overall tonality. Using the same reductive technique this paragraph may be summarised:

155 - 158	159 - 161	162 - 164	165	166 - 168
E \flat prolonged	G \sharp as V of c	C minor (briefly)	B \flat as V of E \flat	E \flat minor (briefly)

with $D\flat$ at 169 as an apparent dominant to $G\flat$ but functioning in an equivalent way to $A\flat$, as the neapolitan to $C\sharp$, now a dominant rather than tonic, which initiates the next stage of the Scherzo passage. Therefore, pitch-classes which are prolonged as dominants, $E\flat - G - B\flat - D\flat$, form an arpeggiation of the dominant of $A\flat$ whilst those which briefly assume tonic status, C and $E\flat$, form the common diad of $A\flat$ -major and C -minor triads.

The dual role assigned to $A\flat$ during this passage epitomises the tonal principle of the piece: a potentially disruptive element undermining the tonic pitch-class but at the same time capable of confirming that status by exerting an interruptive influence, changing the mode to that of the minor. This is articulated by the two levels of activity which have been observed: rapid harmonic motion (more apparent than real) away from the tonic, using cycles of fifths, and slow-moving background motion, involving chromaticism, which confirms the tonic.

Scherzo : Stage 3 - 169 - 180

This process is systematically continued during the remainder of the Scherzo by the careful use of balanced transposition levels in stages three and four. The passage comprising bars 169-180 is the equivalent of 147-155 transposed up a perfect fourth thereby realising the dominant functions within its model whilst at the same time continuing the process as these too are presented as dominants. In summary:

169 - 171	172 - 173	173 - 175	176 - 180
$D\flat - C$	$(C) - G$	$A\flat$	$D\flat - C$
as V of f	as V of c	as V of $D\flat$	as V of f

The overall motion is that of $D\flat$ to C , coinciding with the $C\sharp$ pedal, the context again implying dominant function reversing the tonal status assigned to $C\sharp$ during the corresponding passage.

Scherzo : Stage 4 - bars 181 - 194

This is balanced during this next stage where the equivalent of bars 155-168 are transposed down a perfect fourth. After the carefully calculated link between these statements,

$C\sharp$ at bar 180 as V to F minor at 181, the passage may be summarised overall as a corresponding arpeggiation:

$B\flat$ - $D\sharp$ - (G minor) - $F\sharp$ - (B \flat minor) - $A\flat$
 that is, arpeggiating the dominant of E \flat major with A \flat acting as a neapolitan to $G\sharp$ as V of C minor. The brief establishment of G- and B \flat -minor corresponds to those of C and E \flat during stage two.

Scherzo : Stage 5 - bars 194 - 208

The basic conflict surrounding the centre of the work, $C\sharp$ as a tonic or dominant, is now temporarily resolved as the final stage of Scherzo material presents material of stage one (bars 147-155) confirming the tonic status of $C\sharp$ but of the minor mode and preparing for the affirmative central trombone statement in that key.

In each harmonic circuit outlined above, the opening event recurs, reinterpreted, at the end suggesting that internal motions are simply means of prolongation. Thus these surface workings of the Scherzo may be summarised for each stage of presentation, indicating the changing role of the pitch-class $C\sharp$ on a tonal level:

Stage 1	$A\flat$	to	$G\sharp$	C as I
Stage 2	$E\flat$	to	$D\flat$)
Stage 3	$D\flat$	to	$C\sharp$)
Stage 4	$B\flat$	to	$A\flat$)
Stage 5	$A\flat$	to	$G\sharp$)

The parallel between the first and last stage, and thus the overall motion of the Scherzo, emphasises the important role of $A\flat$ as a neapolitan. The total descending scale segment is also interesting in this respect: $E\flat-D\flat-C-B\flat-A\flat-G$ being a selection from the $A\flat$ -major or F-minor collections which have come to epitomise the balance between tonic and dominant status surrounding $C\sharp$. Having assigned this implicit structural function to the key relationship of major/relative minor, the increasing role of mediant tonalities later in the piece is highly significant. As F minor and its relative $A\flat$ major have come to be associated with what may be summarised as the 'dominant' level of this C-major piece, then the next stage in its progress, the passage of Counterstatement,

involving C minor and E \flat major must, by the very nature of the transposition level involved, play a crucial role in establishing the C-major conclusion of the work.

Use of alternative tonalities - C minor and Eb major

The central trombone statement confirms the newly established C minor tonality, returning to the C \flat -associated Adagio tempo, and initiates the second stage of the piece. The traditional concept of 'development' which it engenders is now pursued on a tonal level in the large-scale move to its relative major, Eb.

The second transition, bars 241-257, preparing for the Allegro Episode was described previously (see p.68). The significant event which initiates this paragraph is the re-definition of C \flat as a dominant to F minor articulated by a surprising harmonic shift using E major which in turn is soon qualified as F minor (see Letter N). The chromatic motion between these two sonorities (bars 241-242) is important not only because (enharmonically) it involves Ab but because of the reversal of chromatic motion which occurs : leading-note (rather than neapolitan) movement. A complete Ab-minor triad is discernible at this point, linking this interruption to that at bar 3 :

E	D \sharp
B \flat	B \sharp
G	G \sharp
C	E
C \flat 7th	E \sharp 7th
(bar 241	242).

The ensuing chromatic sequence, F, E \flat , Eb, D, C \sharp , C \flat (minors) (bars 247-257), emphasises both the perfect fourth tonal shift at the climax of the trombone theme and the instability it produces.

The self-contained Allegro Episode, comprising Introduction plus A-B-A' design, has the tonal function of temporarily restoring C major (but with the consistent use of B \flat and Ab emphasising its dominant, rather than tonic, role) to balance the effect of the central version of the trombone theme and its unstable transitional aftermath. Yet its middle section is clearly based on that aftermath resulting in the main material of the Episode returning in Eb major. As Arnold Whittall states: 'thus this Episode does not merely

postpone the clinching return of the main theme but prepares the ground for the most dramatic tonal event of the entire symphony: the recovery of C after its displacement by E \flat , a situation prefigured but not fully realised by the First Scherzo and the central trombone statement'.

The contextual instability implicit in the Introductory section of the Episode becomes manifest during Section A, Allegro moderato (bars 285-321). Again the process involves careful balance in its use of disruptive pitch-classes: B \flat and A \flat (from bar 292), which affect the tonality by emphasising the flatwards direction (F minor), are countered by F \sharp (from bar 297) re-establishing C \sharp centrality (G major as V) by pulling in the other direction. The mediant relationship of F minor and A \flat major is re-asserted in the reworking of this gesture, this time resulting in a transitory modulation to A \flat at bar 310; only for the A \flat to act again as neapolitan to G \sharp as V of C major. C major is however undermined as a consequence of this and the instability in conjunction with a new element of chromaticism in the tonal/harmonic proceedings, the enharmonic reinterpretation of A \flat as G \sharp (a leading-note rather than neapolitan), produces a brief shift to the relative, A minor, before it acts as neapolitan to A \flat at the end of the subsection.

The central section of this Episode, bars 322-374, begins as a clear recollection of the transition from the C-minor trombone theme so that the A \flat major is quickly re-qualified (for the second time) as A minor, corresponding to the E major/F minor of pp.36-37. Were this transposition level to continue, the tonality would move too much to the sharp side so that the ensuing parallel chromatic descent is modified in order to counteract this. The initial shifts are preserved: A minor at 325, G \sharp minor at 327, G minor at 331 where the alteration takes place. As with previous transitional passages, surface harmonic activity is given an underlying sense of direction through background brass pedals and large-scale fifths motion occurs: D \sharp at bar 329; G \sharp at 337; C \sharp at 343. In itself such motion may appear simply to confirm the sharpwards movement implicit

in the major-third transposition level detailed above; but as this would occur far too soon in the progress of the piece the principal tonal issue strategically recurs as C \sharp is qualified as a dominant. The use of a D \flat neapolitan emphasis achieves this (consistently), see around bar 346, and a sense of F minor ensues (see 352ff.).

From now on, the use of background brass pedals provides the tonal continuity and does so in a significant way. The surface activity once again helps qualify each of these as dominants as a whole-tone sequence occurs: C \sharp at bar 343; B \flat at 358; A \flat at 364; G \flat at 368; E \sharp at 369. Were this whole-tone sequence to continue (that is moving to D) and the dominant potential realised, then resolution in terms of C would quickly occur. Such affirmation (D - G - C) has to wait until the closing section of the piece, though ironically it was used to initiate this motion, due to the interruption of E \flat major.

The establishment of an E \flat major tonality as the basis of Section A' (bars 375-408) is achieved chromatically: whole-tone pedals of B \flat resolve to the triad B \flat

$$\begin{matrix} A\flat \\ E\sharp \end{matrix} \xrightarrow{\hspace{1cm}} \begin{matrix} G\sharp \\ E\flat \end{matrix}$$

and this chromatic shift corresponds with the C major of Section A as its structural function supports. The internal tonal schemes work in parallel so that the two sections may be summarised on that level:

C major	F minor	A \flat major	A minor	A \flat
Bar 285	294	310	316	320
E \flat major	A \flat minor	C \flat major	C minor	C \flat
Bar 375	384	394	403	407

The use of the relative minor within the sequences and re-interpreted as the minor-third transposition level between them, provides a systematic way of continuing the tonal principles in operation. The arpeggiation of respective F \sharp and A \flat triads pursues aspects of the earlier part of the piece whilst the minor/major alternatives pursue ramifications of the central trombone theme whilst their implicit chromaticism reverses earlier motion of that type, being

concerned with leading-note (as well as neapolitan) relationships. The crucial tonal achievement of the new E_b centre (qualified as a dominant) concerns, not so much the establishment of a secondary tonality, but a point of reference which implicitly prepares a consistent way for the re-establishment of the tonic C major.

Tonal Resolution - Second Scherzo - Bars 409-448

Within each successive section of the symphony elements of previous tonal/harmonic issues have been adopted and pursued. The Second Scherzo is no exception, immediately raising the question of whether C \flat is to be established as a key in its own right, act as a neapolitan to B \flat aiding its dominant potential and thereby reinstate E \flat (with a possible minor-mode qualification) or reinterpreted as B \natural and act as a leading-note to C \sharp . These issues have so far been developed in relation to A \flat and the return of scherzo-like material (Vivace) to balance the earlier Vivacissimo reflects this tonal principle in temporal terms.

The initial G \flat pedal is part of the ambiguity, as V of C \flat or III of E \flat minor, whilst removing the leading-note functional possibility of C \flat , at least for the moment. This major-third issue (E \flat /C \flat) is a direct correlative of that of C \flat - A \flat within the First Scherzo. There, however, it was projected in full diatonic detail (A \flat as part of a cycle of fifths motion) whilst here, as part of a general sense of compression of tonal argument, it is simply presented in terms of whole-tone complement underlying surface chromaticism - that is, as a further peak of tonal instability. To understand the function of that instability and its possible role in tonal resolution, the full (diatonic) context of cycles of fifths needs to be considered:

First Scherzo

C major - A \flat minor
(C - F - B \flat - E \flat - A \flat)

theoretical continuation in
the light of the above model: (B - (E - A - D) - G (as V of
C)

Second Scherzo

E \flat major - B(C \flat) major
(E \flat - (A \flat - D \flat - G \flat) - C \flat)

as the C \flat (B \natural) major overall tonal centre which can be ascribed to this Scherzo (in a corresponding sense to the A \flat minor of the First Scherzo) marks a significant, yet compressed, stage in a balancing cycle of motion back to the tonic.

With a further view to compression, the theoretical model of cyclic resolution is achieved in terms of the key establishment at the close of the piece: the B major of the Second Scherzo resolves to the final C-major affirmation of the Coda via twenty-seven bars of $C\sharp$ pedal. Yet the pacing of the tonal structure and the apparently incomplete nature of its cyclic organisation demands further consideration of harmony. In this sense the reference to $D\flat$ major harmony at the end of the Scherzo, bar 446, should not be viewed as part of the flatwards section of the tonal cycle (previously presented as the peak in that direction within the First Scherzo) but as the mid-point in reversing that process, immediately articulated as a classic $^b\text{IIb} - \text{V} - \text{I}$ motion initiating the Coda with neapolitan reference.

Additionally, having reached B major within this Scherzo, the cyclic resolution is pursued in (displaced) harmonic terms with the huge E-minor interruption within the Coda (letter Z) where material corresponding to that of the first transition (pp.10-12) now diverges. The extraordinarily orthodox closing progression of the piece, bars 520-525, completes this level of resolution. The disruptive chromatic elements, in terms of the background C-major collection, are also resolved so that a reduction of the passage initiated by the E-minor interruption (see Example 35)* reveals $B\flat$, $A\flat$ and $F\sharp$ as part of whole-tone prolongations complementing $C\sharp$. Just as within the Second Scherzo $B\flat$ had been functionally reinterpreted as leading-note to $B\sharp$, the all-important disruptive element, $A\flat$, is reworked in the same way so as to epitomise many of its changing roles; the final harmonic sequence may be summarised:

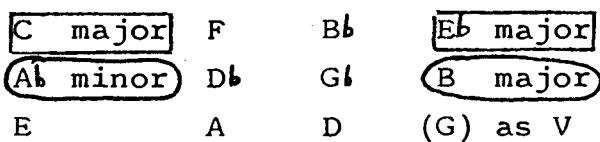
	F	-	$B\flat$	-	$E\flat$	-	$A\flat$		
							$A\sharp$	-	
Bar:	500	517	518	519/20	520	521	522-5.	C	
	(C \sharp as dominant)				-	(C \sharp as tonic)			

*(Ex. 35 is located opposite p. 96 as it corresponds to Ex.34)

Towards a Tonal Theory

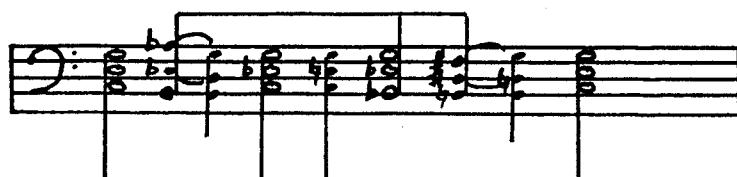
In summary, the main C-major tonality is prolonged throughout the piece with Eb major standing as the only unequivocally and conventionally established secondary key. The two peaks of temporal activity, the abortive Scherzo passages, have the tonal function of potential key-establishment away from C major which is made more apparent than real: Ab functioning as a neapolitan to the dominant, B \flat (ultimately) as the leading-note to the tonic. Both stand as remote areas, in terms of cycles of fifths, but are in fact very close to the tonic level of the piece by way of chromaticism. The three centres involved arpeggiate the initial disruptive event of the piece - the Ab minor triad of bar 3 - an event which has generated consequences in a very precise way.

From a traditional diatonic standpoint, the progress of the work may be viewed in terms of cycle of fifths motion and represented thus:

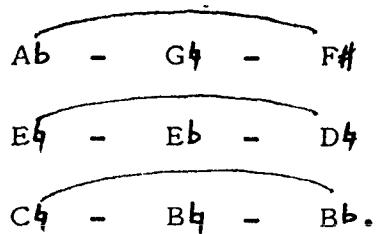


indicating the hierarchic levels of key-establishment and the balance of the two-part formal and tonal design, whole-tone related major-third motions at tonic and dominant levels.

Pursuing the implicit chromatic relationships observed above, essentially: C \leftarrow B \flat
 E \longrightarrow Eb
 G \leftarrow Ab, then the earlier overview of form and tonality (Example 22) may be presented again such as to emphasise voice-leading concepts, that is, respacing the triads involved:



The three lines involved all concern chromatic movement and can be further 'reduced' to reveal their basic motions in this respect:



What now emerges is the remaining level of tonal motion within the symphony, that of whole tonality as a systematised type of chromaticism involving all six members of the whole-tone scale which includes C-sharp. The striking resemblance between this theoretical abstraction and that based on cycle of fifths motion is no mere accident. It is indicative of the schematic, balanced network of tonal relationships governing the progress of the piece in terms of chromatic, whole-tone and diatonic organisation.

CHAPTER FOUR THEMATIC PROCESS

Much in the way of analysis of the music by Sibelius has concentrated, often exclusively so, on the thematic level. This tends simply to reveal the most obvious, easily detected and assimilated correspondences which, despite providing a satisfying network of germ-motive identity, prove unsatisfactory in the shallow and distorted musical viewpoint arising from such selectivity. ~~It is not intend-~~
~~ed that the present study should reproduce such findings~~
- except as a preliminary gathering of information which requires analysis and interpretation. Although thematic relationships, both local and large-scale, are obviously of interest in discerning one level of unity within a piece, merely to describe them is to miss the point; it is the concept of thematic process, the function and purpose of such identities, which must be investigated.

1

Two quotations of Sibelius' own views on the nature of symphonic composition form a starting point for this discussion. The famous conversation with Mahler in 1907 where Sibelius, considering the essence of the symphony - 'admired its style and severity of form, and the profound logic that created an inner connection between all the motifs. This was my experience in the course of my creative work' - suggests that analysis should aim initially to find these 'inner connections' as a preliminary to determining their 'profound logic': namely their function within the symphonic structure as a whole. This is supported by a quotation from the equally famous letter of 1918 in which Sibelius sketched out plans for the last three symphonies ('with due reservation') saying: 'with regard to Symphonies VI and VII, the plans may be altered according to the development of the musical material. As usual, I am a slave to my themes and submit to their demands.'

This final statement, despite its implicit modesty (Sibelius undoubtedly being a master of thematic process, rather than its 'slave'), can reasonably be interpreted as a compositional process concerning the 'working out' of

EXAMPLE 36 (a) CONTINUOUS DEVELOPMENT TECHNIQUE

Type-I

A1 Bars 1 - 3

A2 Bars 4 - 6

Type-II

A2 Bars 7 - 9

A3 Fl. Bar 11

Vln./Cl. Bar 12

A5 Ob. Bar 14

(Vln. Bar 17)

A7 Ob. Bar 18

A8 Fl. Bar 21

A9 Vln. Bars 22-26

A10 Vln. II Bars 34-36

A11 Vln. Bars 50 - 52

A12 Strings Bars 56-60

A14 Ob. Bars 68-71

EXAMPLE 36 (b) STRUCTURAL ARTICULATION

B1 Woodwind Page 20

F1. Page 15

B3 Fl. Pages 21-22

F1. Page 17

D3 Vln. I Page 41

D4 Vlns. Page 43

E2 Fl. Page 59

F2 Vla. Pages 65-66

F3 Fl. Page 51

Type-III

A4 Vln. Bars 12-14

A6 Vln. Bar 17

A9 Bars 27-31

A10 Bars 37-38

A11 Bars 54-58

A13 Trombone Bars 60-67

B2 Vln. I Page 20

C1 Cl. Page 13

B4 WW/Strs. Page 22

B5 Strings Pages 22-23

C2 Strings Page 37

C3 Strings Page 37

D6 Strings Pages 36-37

D7 Strings Page 46

E4 Strings Pages 58-59

D2 F1/Ob. Strings Page 42

E3 Strings Page 64

F1 Vln. I Page 59

'inherent compositional potential' of thematic cells which would effect the very structural outlines planned in 1918. Against the background of form and tonal/harmonic organisation of the Seventh Symphony, discussed in previous chapters, the present outline of its thematic process aims to demonstrate the extent to which surface events articulate those deeper structural levels: how far the manipulation of what amounts to a few basic shapes determines the structure as a whole.

Example 36 divides into two parts where (a) represents all the main thematic appearances over the first stage of the piece, the gradual establishment, affirmation and denial of its C-major tonality, bars 1--70. The fourteen fragments which constitute this part of the diagram are presented in order of appearance so that by reading horizontally, across the whole layout, the way in which material actually unfolds is clearly revealed. Their vertical alignment is less significant at this stage except to emphasise that this whole corpus of music essentially derives from four basic motive-types:

- I - scalic figures
- II - scale, ornamented by turn figures which prolong larger intervals
- III - turn-figures, extended (that is, contracted) to include chromaticism
- IV - arpeggiated shapes, which include scalic/turn-figure motions.

The economy of material is striking, the thematic process being concerned with the incessant manipulation of a few basic cells, yet a fundamental contrast is made clear: scalic shapes versus arpeggiated ones. However, it is their synthesis which is to be significant as the 'resolution' of this basic contrast on a thematic level coincides with that on a tonal one.

Unlike Section (a) of the diagram, its counterpart stresses the importance of vertical alignment of motivic segments which is indicative of their compositional potential, rather than the local 'working out' of continuous development technique. This is not meant to imply that

the initial self-perpetuating process ceases after bar 70, on the contrary such a technique is crucial to the progress of the entire piece, but simply, having set up and outlined this technique, it is unnecessary to follow it through in such detail. What is of interest at this stage of the analysis is the large-scale structural function, harmonic, tonal and formal, of these motives: not merely the impressive degree of motivic invariance which characterises the symphony but the underlying reason for specific shapes recurring at particularly significant structural points. The use of bar numbers on the diagram pinpoints their exact placing in the work, whilst the grouping of themes under letter headings coincides with the previously-defined subsections of the overall structure. The statement, development and reappearance of the main trombone theme, the fundamental indicator of the tonal and formal scheme of the piece, is sufficiently important for separate presentation and discussion within this part of the analysis.

Continuous Development - Example 36 (a)

A1 - represents the opening scale of the piece, here simply shown as a succession of intervals which form the basis of subsequent derivations. However, it should not be overlooked that this segment is to be found at the end of a complete octave ascent (white-note, G-G) of which the initial attack was emphasised by orchestral segregation and its subsequent linear motion, plus attendant expectation, articulated by syncopated presentation making the E_b of bar 3 (with its A_b minor harmonisation) an all the more cogent interruption and denial of supposed 'outcome'. Already implicit compositional potential emerges; a scalic shape, using the C-major collection, could have a key-defining role, but this single strand is immediately denied that possible function by the interruption of a conflicting pitch-class. The consequent chromaticism and arpeggiation (at this stage, inexplicable in motivic terms) encapsulate the motivic process which characterises this entire stage of the piece: scalic shapes, interrupted by chromatic ones, lead finally to the harmonic stability of an arpeggio.

The progress from motive A1 through to A13 can be described in this way using a process of continuous development; the affirmative tonal potential of that theme is denied by the very shape which set this concept in motion (compare A1 and A14).

A2 -- the woodwind motive, offers a sense of temporary stability. An overall inversion of the opening scale-form, with a compass of a perfect fourth (/fifth), its last three notes clearly originate from those of the complete opening gesture. Its immediate continuation, transposed repetition at the interval of a whole tone, is consistent on a relatively large-scale (the 'two'-bar level) with the local interval content which initiated the piece. The new element here, is the turn-like shape which decorates the scale, its decorative, rather than functional, purpose indicated by the simplification of this unit - A3.



A4 - Directly out of this emerges a turn-figure, distinct from its immediate model by its chromaticism, which is to assume a crucial role in the harmonic and tonal progress of the symphony. Again such potential is implicit; chromaticism, as well as playing a disruptive role within key definition is essential to that process and this ambivalence of function is to be exploited. This motive displays an internal structure of inversional relationship and this not only broadens the scope of the extent to which derivations may be defined and grouped but also its own precision clarifies the general sense of inversion which links type I and type II motives. The origins of A5 are thus revealed and those of A6 appear ambiguous in as much as it has connections with both turn- and scale-figures. This is the first indication of possible integration (and eventual synthesis) of scalic and turn-figure motive forms: something always implicit in the chromatic disruption of A1.

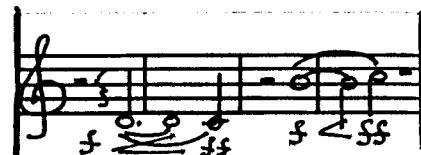
A7 has some affinity with type II motives in its basic perfect-fourth plus whole-tone shape, its orchestral presentation and its sequential repetition..

A8 - both by following this motive-type and inverting the shape of its model, neatly underlines the unity which characterises the continuous development technique of these introductory twenty-one bars.

Thematic Integration - Key Establishment

A9 - is the motive that opens the C-major polyphonic passage (bars 22-50) which, ~~since it prepares~~ the way for the first unequivocal establishment of the main key of the work, is, consequently, never repeated. However, its constituent melodic/motivic elements are clearly derivative of earlier figures and do recur in these guises playing an important part in the structure of the piece as a whole. This opening theme elaborates the scalic ascent of A1 (its ultimate model) incorporating both neighbour-note motion (of turn-like figures) and an emphasis on intervals of a perfect fourth - the link between type-I and type-II motives.

A9' - the continuation of this theme, extends the turn-like element so that a direct affinity with A4 emerges. The use of this chromaticism, plus its sequential treatment, confirms the harmonic function of this motive-type: articulating change; though the potential for disruption of key is not the only possibility, as the first five notes indicate. A glance at the closing bars of the piece reveals this ultimate goal:



A10 - and its continuation (A10') has the same internal thematic structure, the integration of type I and type II motives, only its opening stands in inversional relationship with its model and its close confirms the C-major diatonic collection.

It is from this point, the second beat of bar 38, that the internal repetition scheme of the passage in question begins. The varied restatement is not complete as the expected reappearance of A10 is denied, or rather delayed, until a far more crucial point in the structure: it is to form the countermelody to the affirmative, C-major trombone statement (see oboes and clarinets, bar 64ff).

A11 - thematically provides the interruption to this repetition pattern whilst the syncopated presentation, coupled with its scalic nature and the compass of (essentially) a perfect fourth, emphasises an inversional relationship with the A1 model. However, the chromaticism involved and the consequent (A11') fragment suggest that type-I and type-III motives are becoming more fully integrated. The structural function involved would seem to confirm this motivic observation: expected C-major outcome is temporarily denied (retrospectively, delayed). This process of thematic integration is gradual and coincidental with harmonic and tonal developments.

A12 - makes tenuous motivic connections far clearer. Based on the opening scale, but with clear metrical presentation, its line ascends beyond the D \natural of A1, through E \natural (rather than E \flat) and F which is to act as a neighbour-note prior to the trombone's confirmation of C major. The process is sufficiently precise, in terms of relationship with A10, for the idea of synthesis (between type-I and type-III motives) to become increasingly valid.

A13 - despite offering the essential contrast of an arpeggio shape of key-defining function, contextually appears as a development of earlier cells. (The tonal progress so far would confirm this, given that this is the third time that C major has tried to emerge as a diatonic key.) Thus the affinity, not only between the unit which prepares this theme (and reappears as its countermelody) but between its first three notes and the compass of the opening gesture (plus the E \natural here, rather than E \flat), is not simply coincidental: it stands as an implicit manifestation of thematic synthesis which the progress of the rest of the piece (articulated by motivic derivatives) is to make explicit. The indications are already given; A14, which interrupts this diatonic motion, is directly modelled on the same source yet includes the turn-figure involving the D-C-B-C which will conclude the piece, illustrating the ambivalent function (diatonic disruption/definition) which characterises this shape.

Thematic Process - Structural Articulation : Example 36(b)

Having demonstrated that a process of continuous development operates over the first part of the piece, any further detailed illustration of that technique would offer nothing new in itself but simply confirm this established principle. The next stage in the analysis, indicated by the second part of the diagram, concerns the large-scale ramifications of this thematic technique, illustrating the consistency of thematic shapes over the whole symphony. The order of events during the progress of the piece can be seen by following the alphabetical and numerical sequence of these segments. Their vertical alignment is significant, presented so as to reveal either the immediate model, placed in brackets, or subsequent derivations, written underneath. Thematic identity itself thus requires little further comment; the question is one of why particular shapes should appear at a specific later stage in the work. Its answer emerges through a consideration of the large-scale structural function, harmonic/tonal/formal, of these motives. The letter names attached to segments coincide with previously discerned formal subdivisions as follows: B - First Scherzo, from bar 134; C - Transition to Allegro Episode, bar 242ff; D - Allegro Episode, bar 258ff; E - Second Scherzo, bar 409ff; F - Restatement section from the Presto at bar 449.

The traditional concept of thematic recurrence articulating formal divisions is provided by the appearance, development and restatement of the trombone theme. What is of interest to the present discussion is the way in which this piece displays a considerable unity of material in a diversity of contexts, operating on both the large and small scale. The material of the First Transition, bar 70ff (page 10ff), immediately follows the first statement of the trombone theme (A13) and has the effect of undermining its associated C-major tonality. That the elements in this disruptive force form the basis of a later, definitive one can be immediately illustrated by comparing this 'continuation' of the trombone theme with its next strategic re-appearance in C minor.

Compare: bars 68-80, from the First Transition
woodwind motives:

with the trombone theme, in its C-minor version, bars 230-36.

This reveals that the forces of interruption in the early stages of the piece become the source of confirmation for later events. Given the presence of a continuous development technique observed during the first 70 bars, the interruption which initiates the first transition is directly related to that of bar 3 and equally directly linked with the large-scale modulation which the C-minor trombone statement confirms. Three issues arise from this example and provide a framework for the present discussion:

- (i) the clear, large-scale identity between thematic units;
- (ii) that this thematic identity suggests something of a complementary function, that of disruption/definition in terms of key-establishment;
- (iii) whether there is any schematic use of recurrent material, notably a correspondence between thematic shapes and the larger structural levels of the symphony.

The structural function of the First Scherzo is relevant here as it both disrupts the earlier establishment of C major whilst prefiguring, indeed articulating, the modulation to C minor and therefore provides the necessary link between the theoretical observations from the above extract and the actual progress of the intervening music. Turning to Example 36(b) which indicates how this process operates over the entire piece, the origins of the First Scherzo (B) elements confirms this view. Thus, themes B1 and B2 not only implicitly correspond with basic shapes which have connections reaching right back to the opening of the piece, but explicitly derive from intervening elements (material of the first transition) as the bracketing with

those models indicates. The structural progress of the first transition through to the First Scherzo concerns the interruption of one key and establishment of another and the functional identity of those two processes, the transformation of disruptive elements into definitive ones, is conveyed by the continuity and consistency of the shapes being manipulated. B4 and B5, whilst contributing to the surface level of harmonic activity, ultimately convey the slower sense of tonal motion, concerning the redefinition of the tonic pitch-class C \flat as that of the minor mode, and do so by using arpeggiated shapes which relate to the model of the trombone theme - the element they directly prefigure.

An initial consideration of motivic identity, within each column of Example 36(b), reveals a consistency in their function within the harmonic and tonal organisation of the piece; indirectly, it suggests something of the extent to which different structural levels inter-relate in order to convey the progress of a traditional symphony within a single expanse of music. Type IV motives, which appear during each subsection of the work, display both a strong thematic identity and correspondence of function and may be summarised as follows:

B4/5 - from the First Scherzo, prefigures C minor by using material which undermined the original C major (that is, from the first transition);

C1 - initiates the transition to the Allegro Episode by curtailing that C minor level as preparation for the C major which opens this passage;

D6 - provides the turning-point at the beginning of the central section of the Allegro Episode, the passage which undermines C major in order to precipitate the move to E \flat major - the key of internal 'restatement' within the episode;

D7 - has a correspondingly articulatory role, undermining that E \flat centre and pivoting towards the C \flat of the Second Scherzo;

E4 - as the final example of this closely identifiable recurrent shape, completes this level of organisation in the piece as its final turning-point - away from the C \flat of the Second Scherzo and towards the C major of the Restatement.

It neatly incorporates the motive A_b-G which not only confirms the identity between this statement and its immediate model, B4, but represents, in microcosm, the harmonic motion of that section (the First Scherzo) where the neapolitan/dominant move engendered the original C-minor deflection. Additionally, this combined correspondence, thematic and harmonic, helps underline the tonal relationship between the two scherzo passages, that their respective sense of A_b minor and C_b/B major stand in subsidiary position to the more fundamental keys of the piece.

If type-IV motives come to signify large-scale articulatory function within the structural modulations of the piece (its tonal organisation), the turn-like figures of type III correlate in terms of transitory modulation (harmonic events) and may be summarised as follows:

C2/C3 - from the transition to the Allegro Episode, have the effect of temporarily establishing F minor as the first in a sequence of keys involving a chromatic descent to the C-major stability of that episode;

D1 - appears at the final stage in that process as the thematic shape which engenders the last harmonic circuit, prior to that establishment of C major;

D2 - is the figure which undermines that stability by initiating motion in the flatwards direction (temporarily F minor, p.43) as if C₄ were a dominant, rather than a tonic;

D5 - has a comparable effect, later in this passage, appearing at the point of A-minor emphasis and at the same time indicating the close relationship between C/a by using the pitch-classes D-C-B-C which have been shown to have close connections with the tonic level of the piece: see A9, as one example;

E1 - which opens the Second Scherzo, has a similar function in both giving a very temporary sense of stability to the accompanying E_b minor triad whilst initiating the tonal ambiguity which characterises the opening of this section.

Examination of type-I motives indicates an additional element within the technique of thematic process, that of synthesis (or at least combination) of motives, which coincides with particularly striking tonal/harmonic events. D3 is interesting in this respect as it is the element which directly confirms the return to C major during the introductory section of the Allegro Episode. Its ultimate model is A10 which had the same function within the polyphonic string passage which prepared the trombone theme. The present element not only displays the scalic contour which characterises type-I motives but includes the diatonic turn-figure (of type II) which is vital to the cadential establishment at this point: the synthesis of motive-types coincides with tonal stability. D4, in contrast, is simply scalic, recalling the opening gesture of the work (as its ultimate model) and thereby directing motion beyond its C-major collection towards the subdominant (as had occurred during the Introduction). E2, as descending version of this type of motive, most clearly corresponds to B3 and helps to confirm previously observed connections between the two scherzo passages.

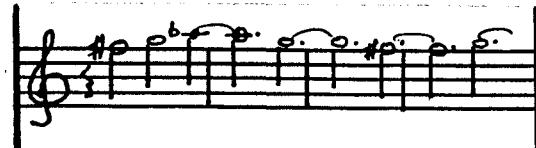
Considering the analytical segmentation as presented horizontally, and thereby reviewing the combination of motive-types used in each subsection of the work, something of the tonal/harmonic function of these component parts, as conveyed through a consistency of their thematic content, indicates the extent of the processes at work. D-elements are interesting in this respect as the function of this passage concerns the establishment, confirmation, undermining and denial of its temporarily regained C major. Each of these four stages of its progress is articulated by corresponding motives: the turn-figure of D1; the affirmative arpeggio of D2 (which has very close connections with its model, A13 and neatly includes a diatonic turn-figure) leading to D3 (associated with the countermelody of that model); the progressive undermining of C major occurs via D4 and D5; the eventual denial of that centre articulated by D6. Thus the only subsection of the piece (outside the trombone theme itself) which is connected with relative tonal stability, the C/E \flat of the Allegro Episode, contains the greatest amount of combination of motive-types in order

to achieve this function. The two scherzo passages, in their abortive attempts at key-establishment, represent the next tonal level in the progress of the symphony. Likewise, their motivic content corresponds in its combination of elements from each of the three main types of material.

Tonal Resolution - Thematic Synthesis

In that the Allegro Episode contains the most significant tonal event of the piece, the displacement of C major by E \flat , and that the remainder of the symphony concerns not only regaining but confirming C \sharp as tonic, some sense of a parallel technique of thematic synthesis would support the theoretical concept that thematic process is sufficiently schematic to epitomise the tonal workings of the symphony.

Once again, it is the continuation of the trombone theme which provides indication of this inter-relationship of structural levels. In terms of thematic content, rather than harmony, orchestration and texture, page 71ff follows the material of page 10ff, the material initiating the first transition. The point of deflection, in order to confirm C \sharp supremacy rather than deny it, is the F \sharp of bar 504 as the first pitch in the following motive:



a chromatic turn-figure which has connections as far reaching as A4 (of bar 12-13). Here, by tonicising G \sharp but then defining it as a dominant, it directly prepares for the closing gesture of the piece:



This new conflation of material, the affirmation of the trombone arpeggio leading to the confirmation of the turn-figure, epitomises the C-major outcome of the work. The approach to this climactic moment has been equally systematic in its synthesis of motives and inclusion of all four types of material. Thus the Presto string configuration (bar 450ff) includes the turn-figure (F1) used in conjunc-

tion with the return of the opening scale (F2); the scale itself represents something of a synthesis in its incorporation of semitones in distinction to its model: the leading-note effect of the initial E \sharp -G and its final E \flat , rather than E \flat . That E \flat leads directly into the opening D \flat of the final trombone statement, the dovetailing of these two elements, scale and arpeggio, aiding the stability of this event on a thematic level and thereby reflecting the overall tonal context. After the climactic use of the turn-figure (as above), the final harmonic motion to confirm C major uses theme F3 which relates events right back to the opening of the work in being the only clear recollection of A2/A3 in the symphony. The idea that thematic synthesis and tonal outcome directly correspond and that the process clearly recalls disruptive elements for definitive purpose, can be intimated through a final example which juxtaposes the opening and close of the piece:



Germ-motive Theory - Sixth Symphony

In conversation with Karl Ekman, Sibelius described the essence of his symphonic technique as 'the compelling vein that goes through the whole', a view which seemed to generate a corpus of musical writings concentrating on motivic relationships within the symphonies. In the context of the present analytical technique, as applied to the Seventh Symphony, a review of what is usually termed 'germ-motive theory', in relation to the Sixth Symphony, completes this overview of thematic process. Germ-motive theory concerns the identification of a small motive at the beginning of a work which is isolated, abstracted into a basic shape (usually three or four descending notes) and then rigorously pursued throughout the entire piece in a search for 'unity'. Curiously, perhaps, this quest for thematic invariance produces a quite remarkable degree of variance of opinion amongst analytical commentators. Cecil Gray² states that there are no thematic connections of any kind between the separate movements of the Sixth Symphony, whilst Gerald Abraham³, observing connections between the opening counterpoint and the descending scalic figure of the Finale, views the similarity as 'probably accidental'. David Chernaivsky⁴ bases his argument on purely intervallic considerations, 'descending fifths' and 'ascending thirds', whilst Simon Parment⁵, who at least considers overall contours, still limits the discussion to the horizontal level.

The method can be summarised by way of two fundamental criticisms: firstly, the isolation of certain basic intervals may well be the product of mistaking characteristic interval progressions or turns of phrase in Sibelius' musical language which, on their own, have nothing to do with motives and their function; secondly, even less systematic is the limitation of considering purely linear, thematic issues and not the inherent harmonic implications, in short the context, of these motives. Thus the significance of such a system of motivic variation, which forms a crucial part of Sibelius' style, is missed. Failing to consider the larger context of these motives denies the possibility of understanding the reasoning behind them.

The present approach does not deny the observation that one small figure is constantly being manipulated throughout the Sixth Symphony. Although acknowledging the presence of a scale-segment which is capable of amalgamation into a variety of themes, allowing contrast yet providing unity, the ensuing analysis attempts to guard against conducting an argument in isolation as this could distort the significance of its findings. One example serves to illustrate the point as it displays a clear relationship between two thematic shapes:



yet the first is from the Sixth Symphony and its 'counter-part' is from the Seventh (after all, both pieces were sketched at the same time). The example stands, simply, as a general observation of a typically Sibelian motive and even if these themes had occurred in the same piece mere inter-vallic identity, divorced from the context, could be dismissed as being trivial.

Example 37: THEMATIC PROCESS : SIXTH SYMPHONY

(i) (x) (c)
Vln. II (div.) Vlh. etc.
Bars 1 - 9

(ii) Motives: (a) (b) (c)
Ob. Fl. Ob.
Bars 29 - 39

(iii) Cello
Bars 168 - 190

(iv) Cl. (b')
Vlns. (a) + (x)
Vla. (c') + (x)
C.B/Cello
Bars 263 - 266

(v) Fl. (x)
Ob.
Vln. I
Harmonic projection of (x)
Bars 68 - 72

(vi) Motive '(c)'
Vln. Spic. Motive '(b)' + (x)
Ob.
Bars 110 - 114

Thematic Process - Sixth Symphony, First Movement - Ex. 37

Example 37 represents a deliberately selective overview of thematic process operating over the opening movement of the Sixth Symphony. This selectivity, arising from the necessity of limiting the amount of space devoted to this discussion as, in essence, it has been presented elsewhere,⁶ at least serves to illustrate the principle of the compositional technique employed. By returning to a symphonic movement which has been considered in relation to its tonal organisation, the following account should be viewed as a supplement to that earlier analysis.

(i) By showing the opening bars of the piece, the descending third of motive (x), what has generally been described as the germ-motive, emerges from the gentle interaction of polyphonic lines manipulating white-note material spanning the collection C - A. This characteristic shape is immediately shown as being appropriate to a variety of contexts: A-G-F/F-E-D epitomise, in their ambivalent diads, the D minor/F major tonal level of the movement; their distinction, concerning the placing of semitones, gives to the former shape, A-G-F, inherent, non-diatonic potential of whole-tone organisation - an additional context beyond the diatonic nature of its complement, F-E-D; the ascending third of the viola, C - E, raises the theoretical question of inversional identity whilst the semitone motion to F \sharp epitomises large-scale tonal issues of D-Dorian/C-major invariance and its relationship with F major.

(ii) The perpetual variation process intimated in the above extract gives rise to several discrete thematic shapes (emphasised by changes in orchestration), the first three of which are presented here. Motive (a) directly grows out of the opening scalic context with (c) being a significant quasi-reduction involving a turn-figure which adds to the possibility of D assuming tonic status. Motive (b), by way of contrast, has a more angular shape and comes to signify the initiation of change, operating on both harmonic and (eventually) tonal levels.

(iii) Given that each of the opening elements may be viewed as epitomising different (yet related) tonal issues of the movement, the thematic shape which initiates the dramatic key-change to F major, at the beginning of the section of restatement, is of interest. Here, in tonal terms, the D-Dorian/C-major relationship reaches its most striking compromise as any earlier sense of D \flat centricity gives way to C \sharp as the dominant of F major in the abrupt move to that key at bar 190. On a thematic level, that event is achieved as the product of a general trend which characterises the later stages of the movement: the formulation of relatively long stretches of melody fashioned from earlier, discrete, thematic elements.

The cello theme, a gesture which contains motives (a), (b) and (c) in one melodic voice, illustrates that principle whilst exploiting the distinctive quality of (b) in its potential for generating harmonic consequences; the orchestration neatly involves a variety of woodwind instruments doubling the component 'fragments'.

The balancing tonal event at the end of this third section, D \flat 's supremacy over C \sharp , is achieved through a change in the order of thematic elements in comparison with the progress of Section I and culminates in the explicit thematic synthesis (involving the germ-motive) at letter K. The significant effect of thematic considerations in emphasising this important turning point in the tonal structure has been described in the preceding chapter (see page 83) and detailed in Example 27.

(iv) The final confirmation of D \flat as tonic, again in terms of displacing C \sharp , is achieved as the conclusion to the movement (bars 263-266) through a further (re-)combination of these motivic elements, presented simultaneously. Motive (a) appears in the violins and is extended to include six scale-degrees of the Dorian mode with the B \flat , previously shown to be important in both the cancelling of F major and as a leading-note in C, overlapping with a direct restatement of (x) as it opened the movement, though in a less equivocal tonal context. Similarly, motive (b) has been modified (see the clarinet part) in order to remove any C-major implications of its original first three events in favour of D-Dorian (or even minor) confirmation. Motive

(c) has also been altered but its turn-figure identity is retained in the oscillating contour of the viola figure (octave-doubled by flutes) prior to the final statement of its model, (x), which closes the movement.

(v) In addition to the correspondence between thematic process and tonal organisation some consideration of the relationship between foreground and middleground effects should be made. This extract provides a very clear example as the theme itself, at the opening of the first main section after the Introduction, appears to be new and in fact is not restated during the course of the movement. Nevertheless, it does not seem incongruous as its quaver tag is so clearly derivative of (x). The reason for this derivation, indeed the rationale behind this sole appearance, concerns specific harmonic potential as it is that tag which generates sequential motion. The sequence involved is a direct (harmonic) product of this basic cell in the C - B_b - A_b - G motion which effects the temporary C minor tonal inflection at this point; this is discussed in the previous chapter, page 80, where voice-leading considerations are detailed in Example 27.

(vi) The inherent whole-tone potential of the above construct (confined to a diatonic context there) is explored at the beginning of Section II, as explained earlier. The motive here proves to be an amalgam of an extended derivative of (b) plus the descending scalic tag of (x), in the strings, answered by a whole-tone version of motive (c) in the woodwind. The progress of the passage in question follows major-third transposition levels (see oboe at bars 112, 120 and 132) and is, therefore, indicative of the extent to which the middleground issues of the piece interrelate with foreground, thematic workings. The minor-third element within the (x)-complex is pursued, as a complement to the above, during the rest of the section in its balancing larger-scale motion of B minor - C[#] minor - D-Dorian, as detailed on page 82.

The present summary therefore provides further evidence in support of earlier tonal/harmonic analysis and is indicative of the high degree of inter-relationship between structural levels which characterises this symphony. It is through this, essentially comparative, process that the striking amount of germ-motive identity (which continues throughout the piece, reflecting the unity of an overall tonal concern) can be seen to be significant. The small amount of information about the composer's working methods, which has emerged from a preliminary study of sketch material, supports the view expressed by Sibelius ('I am a slave to my themes and submit to their demands') showing the manipulation of thematic shapes as the starting-point of his composition technique. The restricted number of discrete thematic elements and the continuous development process to which they are subjected generate a concise and well-proportioned symphonic movement where the tensions within the material itself (essentially concerning scale-degree function) are clearly worked out in a balanced tonal argument of interacting diatonic/modal elements.

'Several persons applauded the Sibelius Symphony No. 4. Most of those in the large audience sat amused, smiling, wondering what to make of it. They had tasted cubist music at last.'¹

'..... his Fourth Symphony is a dismal failure.'²

'The score of Sibelius' Symphony No. 4 is almost the classical orchestra, but the classical ends there, for the treatment is of the twentieth, or perhaps the twenty-first, century.'³

These extracts from reviews of 1913 indicate the extent to which the Fourth Symphony was considered problematic by contemporary audiences. Written in 1910-11, just after Sibelius had been seriously ill, the piece tended to be dismissed as merely the direct result of that condition, and although that is probably a gross overstatement it should not be overlooked that the possibility of a premature death may have prompted both the nature and extent of this particularly experimental work. However, within the context of the series of seven symphonies as a whole, much of innovation within the Fourth is both the product of earlier trends and the basis of later, more controlled experiments, giving this piece a central place in the overall development of the Sibelian symphony. Nevertheless, the piece still remains problematic, as increasing familiarity coupled with analytical writings designed to increase Sibelius' popularity by stressing the traditional features of this work, have created new prejudices amongst those who still view the composer as something of an anachronism within the twentieth century.

The highly critical reception of the work prompted Sibelius to make some kind of attempt at justifying its conception, a unique event which cannot be underestimated but, being appropriately cryptic, has often led to misunderstanding: 'It stands out as a protest against the composition of today. Nothing, absolutely nothing of the circus about it.'⁴ The key phrase is 'composition of today' as the 'circus' to which

Sibelius was referring was primarily the grandiose conceptions of Mahler and the opulence of Richard Strauss. With the Fourth Symphony Sibelius appears to have decided, quite consciously, to reject Romanticism in favour of Neo-Classicism and the contemporary reviews, with the benefit of hindsight, in fact support that interpretation.

The question of style is not as straightforward as that kind of categorisation would imply. The piece is significant in bridging the gap between Romanticism and Neo-Classicism as its separate movements are so clearly related - four views of the same fundamental ideas. Their tonal scheme is cyclic, A minor - F major - C \sharp minor - A major, arpeggiating an augmented triad (a compositionally significant construct within this piece) which adds to the overall unity of a four-movements-in-one symphonic concept. Moreover, within these movements, the Sibelian characteristic of formal compression, previously associated with Romantic trends, is much in evidence but now as part of playing on Classical expectations. The Scherzo second movement is perhaps the best example of this as the 'joke' extends into the realms of deliberate parody.

The most striking feature of the Fourth Symphony, and in particular its first movement, is its extreme economy. In comparison with the previous symphonies, the Fourth is concerned with elimination rather than accumulation, paradoxically relying on a compositional technique, continuous development, that might seem to suggest the opposite procedure. However, one of the most remarkable qualities of Sibelius' use of this technique is its power of suggestion, implication rather than explicit statement, which allows elimination, say of restatement material such that a previous 'development' of ideas assumes a dual function - 'Counter-statement'. The resultant formal compression originated from Romantic structural trends, linked movements, cyclic forms, tonal ambiguity and so on, but his power of suggestion, understatement, is the very thing that enables Sibelius to convey the idea of vast slow motion without running to inordinate length.

5

Robert Simpson has suggested the following analogy: 'If one single achievement of the Fourth Symphony has to be singled out, then it is this: its pace is comparable to that of a Wagner opera yet its first movement, within 114 bars, demonstrates the complete sonata principle, with all its tensions perfectly distributed, as if by Mozart.' As a generalisation, this provides a useful starting point though the specific contrast concerns 'Wagnerian' pace and actual duration, as the economy of the piece is really the product of surprise timing where the listener's expectation of something expansive is denied in favour of epigrammatic short-circuiting. In this way the stylistic dichotomy between the Romantic Second and Neo-Classical Third symphonies is finally balanced and something of what Neo-Classicism comes to mean in mature Sibelius emerges. It is as if Sibelius had looked beyond the surface rhythmic, thematic and incidental activity of a traditional symphonic movement to the slower motion of tonality, isolated it and superimposed a thematic invention which is sparse and slow moving, resulting in an economy of expression bordering on austerity which creates a new stage in symphonic unity. Nevertheless, the piece is in four separate movements, segregating opposing kinds of tempi, so that the remaining step was to find a way of incorporating both extremes of pace in a continuous form; the Fifth and Seventh symphonies may be viewed as the direct result of this new experiment in compression.

The view of form as the product of a thematic continuous development technique rather than of following pre-determined models, is especially original and significant in this piece and may be considered an important turning point in the structural evolution of the Sibelius symphonies. This thematic/motivic technique is also pursued a stage further, not only in operating over the entire work rather than being confined within its component movements, but in the extent to which other structural levels are directly related. Experiments in tonality, extended far beyond their origins in the ambiguities of diatonicism, explore related whole-tone/diatonic systems (prefiguring, notably, the Sixth Symphony and Tapiola) and form a crucial middleground between surface

continuous development and background formal principles.

It is these aspects - Neo-Classical style, formal compression, extended tonality and continuous development technique - which form the basis of the present discussion. By considering the way in which these structural levels interact, rather than their previous segregation under separate headings, in a piece which marks a turning point within the symphonic series being both the product of earlier experiments and the source of later refinements, a synthesis of analytical and compositional techniques combine as summary of the important and original advances made by Sibelius as a symphonist.

EXAMPLE 38

FOURTH SYMPHONY

FORMAL AND TONAL STRUCTURE - FIRST MOVEMENT

STATEMENT

(Exposition)
 (First Subject Transition Second Subject)

A B C

C-WT; A-minor (B-major)
 (E/F#)

COUNTERSTATEMENT

(Development) + (Recapitulation)
 of First Subject Transition Second Subject)

A1 B1 C1

C-WT
 (E/F# - A)
 (D-major) A-major

BARS:

1-6; 6-31

31-41

41-57

57-86/7

86/7-97 97-114

(30)

(27)

= 57

(29)

(28)

= 57

TEMPO MOLTO MODERATO, QUASI ADAGIO

'We do not think that Sibelius has any business in the pasture of Schoenberg.'⁶

Principles of Form

The concentration of expression as revealed in economy of form is illustrated in Example 38, an overview of the first movement showing the compositional extent of sonata thinking as conveyed through a precisely balanced binary structure. The passage which opens the section of 'Counterstatement', the most concentrated example of continuous development in the movement, is significant in terms of compression and economy representing, in traditional terms, both 'development' and 'recapitulation'. The principle of removing repetition within an otherwise sonata structure, in favour of implying that function whilst preserving balance, marks an important evolutionary stage in Sibelius' attitude to symphonic form far beyond the mere telescoping of component sections, as in the Second Symphony. The fact that the two halves of this movement are literally so (at least in terms of bar numbers) is indicative of this new feeling for symphonic structural proportion. Several analyses dwell on the 'omission of the first subject in the recapitulation' rather than a more positive investigation of the form as it stands and the present function of its component subsections.

It is consistent in a movement where the form relies on a principle of implication (no explicit restatement, as expected, of opening material) that its tonality should reflect that principle. The musical effect is to enhance the prevailing sense of continuous development but the analytical result is problematic when attempting to rationalise what is essentially tonal ambiguity. On the surface, the movement progresses by the systematic development of its opening gestures - a kind of perpetual variation of small cells. These thematic shapes prove, during the evolution of Section A, to be the projection of one basic collection of the piece - the ascending melodic minor scale on A_b. Analysis has revealed

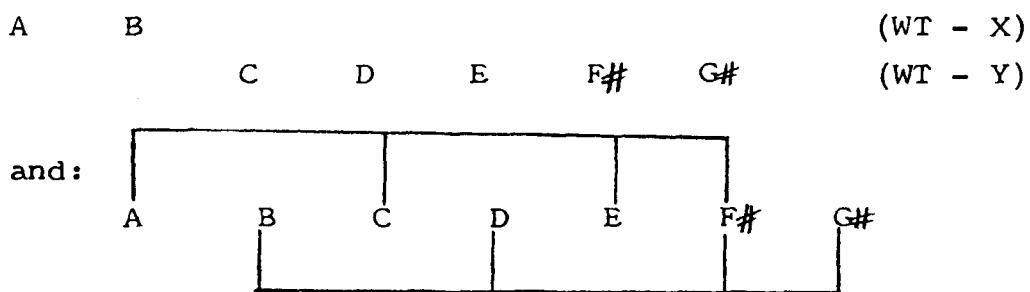
a comprehensive network of direct correspondences between structural levels in this piece and the tonal scheme for the movement, suggested in Example 38, may prove to be the product of exploring inherent compositional properties of the collection.

Despite the local exploration of such potential within this movement, its larger-scale structure is articulated by 'conventional' modulation. However, the majority of Classical precedents (even those which use their opening material almost exclusively during the development section) still contain thematic restatement typically in the tonic key for the structural modulation at the point of Recapitulation. What is unconventional here is Sibelius' conviction that direct restatement (thematic or tonal) proves unessential at this stage of the counterstatement. The reasons for this arise from foreground/background relationships and may be summarised:

- (i) the detailed analysis of that passage will reveal not only the exclusive use of opening material but the precise implication of its associated A-minor tonality;
- (ii) in the first half of the movement this 'tonic key' was never unequivocally established, merely suggested, and its specific properties (often non-diatonic) were explored.

Tonal Theories

The opening paragraph is concerned with the gradual unfolding of a collection, which eventually is to be defined as A-based, but initially explores ambiguities in the details of its elements notably surrounding the sixth and seventh scale-degrees, $F\sharp/F\#$ / $G\sharp/G\#$, before the ascending melodic minor proves the more significant. It has potential for the following partitioning:



two Tristan Chords, one a whole-tone transposition of the other, based around the sonorities of A and B minor, with the common pivot-note of F#.

The significance of such theoretical partitionings is the inherent whole-tone potential of the collection, particularly the five-note weighting of the (Y) scale, conflicting in not containing the tonic of the overall diatonic framework. The Tristan Chords also display this diatonic/whole tone relationship comprising, respectively, perfect fifth and tritone intervals. The curious paradox, yet essential feature of this system, is that whole-tone elements, which by virtue of their symmetry can operate as a possible disruptive force in the hierarchy of diatonicism, can also play a crucial part in the process of key-definition. The Tristan Chord is an inversion of a dominant seventh sonority (the tritone being an essential element in this function) and the remaining symmetrical trichord of the collection, the augmented triad, C-E-G \sharp , is in theory the one and only triad uniquely to identify a particular minor key. In practice it is the question of context which determines the functional definition of these cells so that the foreground manipulation of a limited number of segments from this diatonic collection is open to a variety of interpretations which, cumulatively, affect the tonal structure of the movement.

The tonal scheme for the first part of the movement involves the secondary keys of B major and F# major. This encapsulates many of the tonal principles of the piece as a whole and of this movement in particular:

(i) minor/major collections - conflict

this is reflected in the overall tonal scheme for the work as a whole: A minor - F major - C# minor - A major; much of the chromaticism of this movement and its use of ambivalent diads arises from this issue;

(ii) whole-tone relationships - A minor/B major

these two keys stand in the whole-tone relationship of the (x) partition of the overall collection (as outlined above) in contrast to many of the middleground workings in this movement which use the complementary scale;

(iii) diatonic relationships - B major/F# major

the I - V relationship of these tonalities is emphasised by the use of F# major as dominant at the point of structural modulation (see bars 28 to 36 where the bass motion may be summarised as C# (28) - F# (32) - B (36), conventional II-V-I);

(iv) diatonic mediant relationship - A minor/F# major

the overall structural modulation of this section is that of a descending minor third, emphasised by the earlier presence of F# as V to B major (as above) and is to be balanced by the transposition levels of those directly restated passages detailed in Example 38. What is avoided is the conventional minor-third relationship above the tonic, the relative major.

(v) overall secondary tonalities - B, F#, D majors

B and F#, the areas of this first part of the movement, are the exclusive pivot-notes of the three secondary keys, suggesting a process of continuous development within the tonal scheme originating within its basic, A-minor collection.

In the passage of Counterstatement, the sections of more direct repetition of material, B' and C', take up the overall mediant relationship of the preceding half of the movement with a balancing use of a minor-third transposition factor (see Example 38). If the opening part of this Counterstatement were a part of such symmetry and precisely concerned with (tonal) recapitulation then it would be in C major. In

fact the passage is uniquely concerned with both functions of development and restatement, respectively in a complex process of thematic synthesis articulating whole-tone/diatonic interaction.

This is such an important example of Sibelius' use of these particular techniques for the structural purpose of compression that it will be analysed in detail. At this stage, in an overview of tonal theory prior to a demonstration of compositional practice, the following observations may be made in relation to Example 38:

- (i) the passage is in two sections (bars 57-72 and 72-88) respectively using thematic elements from Sections A and B;
- (ii) the final reduction summarises the 'areas' as E/F# (-A) which are highly significant for the following reasons:

(a) they are an extension of the opening whole-tone E/F# pedal of the Introduction;

(b) these whole-tone elements were shown to be part of the (y) collection, based on C \sharp , and this is the only type of projection of this pitch-class (non-diatonic, rather than the conventional major key);

(c) E and F# are the respective dominants of Sections A and B (A minor/B major) which the thematic material of the initial subdivision would support;

(d) such elements of a whole-tone subcollection ultimately are part of the fundamental A-minor scale and the large-scale diatonic function of these pitch-classes is clearly revealed by their voice-leading resolution to the goal of A \flat (see bass, bar 88ff).

This passage of extended tonality is, in a unique way, a part of the recapitulatory scheme of things. It is not a projection of C major, as could be suggested compositionally by the subsequent transposition level, but of the whole-tone scale using C \sharp . At the same time it does assert the tonic - by implication - (which is, after all, how it was originally presented) using the whole-tone subcollection of the tonic scale with the projection of E \sharp functioning as a dominant prolongation. The tonal scheme of this second part of the movement is directly related to the surface continuous development technique and the treatment of these two structural

layers in combination accounts for both 'developmental' and 'recapitulatory' functions. The result is formal compression and extreme economy; the method uses a neo-classical attitude to the tonal organisation of symphonic structure.

Continuous Development Technique

The consistent use of this technique to generate the foreground linear motion of the first half of the movement produces clear thematic relationships between its component sections. The dominating cell of C-D-F \sharp -E, a whole-tone subcollection emphasising the tritone, which characterises the Introduction, proves to be the basis for the 'new' theme of Section B: A-B-D \sharp '-C \sharp ' (bars 31-32); correspondingly the contrasting arpeggiated shapes of Section A are clearly recalled in the closing passage of this half, Section C (bars 41ff). Beyond the obvious large-scale balance which such varied recurrences produce, the immediate comparative effect between alternate subsections will be shown to reveal the articulation of a balanced tonal argument involving the two possible whole-tone constructs within the overall framework of the diatonic collection of the movement.

The interval of a whole-tone, F \sharp /E, is extracted from the Introduction as a pedal which persists throughout Section A. Over this whole-tone background the A minor collection gradually unfolds though the tonality is never unequivocally established but merely implied, particularly in the main motivic cell: G \sharp /A - C - E. This overall arpeggiation of an augmented triad continues the whole-tonality of the Introduction by including a further member of that collection whilst at the same time having a function which is implicitly diatonic - defining A minor - as its semitone motion, leading-note/tonic, would strongly suggest. This kind of whole-tone/diatonic ambivalence and relationship epitomises the extended tonality of the movement: a system which is projected further by the use of Tristan Chords - the A-minor triad plus E/F \sharp pedal produces the complex A-C-E-F \sharp .

The linear presentation of intervals of thirds results in the more conventional tonal ambiguity of ambivalent diads as material is reworked (from bar 15) and the texture thickens. The potential triads of C and F \sharp majors (bar 17ff) prove significant in terms of being both the evident product

of continuous development originating in the Introduction and prefiguring crucial elements within the ensuing structural modulation. The compositional potential of the tritone, the paradox of its tonally disruptive yet diatonically definitive function, is well understood in this passage where so much of the tension hinges on these conflicting roles. At the point where the persistent link with the Introduction (the E/F# pedal) ceases, bar 24, the first real sense of directed motion towards a new goal is felt. The preceding C/F# issue now concerns a kind of C major (ironically spoiled by F#) where the violin motion of C-D-E-F# (from the Introduction) now resolves to G and is mirrored by bass contrary motion which demands Cb to give a sense of completion. The bass Cb is omitted, though the horn C-major triad suggests 'how things might have been', C# fortissimo interrupts and is to act as dominant to F# (which in turn will be the dominant of B major).

Thus the tritone issue is once more 'resolved', this time with C giving way to F#, as a neo-classical treatment of secondary tonality denying the conventional relative major in favour of its whole-tone counterpart. The compass of the overall bass motion from the Introduction to the end of Section A may be viewed as two tritone intervals from conflicting whole-tone collections:

C	-	F#;	G	-	C#;
(bar 1	23		24		27

as V to F# (bar 28). The F# outcome, achieved locally by diatonic means (and indeed to assume that function, as V to a centre standing in whole-tone relationship to the tonic of the movement), seems to be the product of tritone motion, of whole-tone relationships developed from the opening bars of the work. That this cell is merely a part of a complete diatonic collection having whole-tone potential can be seen in the use of significant Tristan Chords (those which partition that scale) in the harmonic motion which articulates the arrival on F# - bars 29-32:

E	-	Fb	F#	-	Gb	Fb	-	F#
C	-	Db	D	-	Eb			
A	-	Ab	B	-	Bb	Ab	-	A#
F#	-	Fb	G#	-	Gb	C#	-	C#
Bar	29		30		31		32	

Bar 30 is obviously a whole-tone transposition of bar 29: a Tristan Chord, based around a B minor rather than A minor triad, resolving chromatically. The four triads involved are those of A minor, D \flat major, B minor, E \flat major: all members of the whole-tone collection from A \flat . They are used to articulate a modulation to an F \sharp centre which has, so far in the piece, always been associated with the alternative collection. These pitch-classes in more familiar shape form the main thematic element at this point - A-B-D \sharp -C \sharp - a theme which will be the upper voice initiating a passage which is to establish B major as the secondary tonality to the original A minor of the work.

It is often pointed out that the theme here is a transformation of the opening bars - but not why. Essentially this is a product of a continually evolving developmental process exploring the compositional potential within those opening gestures. The first four notes here, A-B-D \sharp -C \sharp , are a transposition of that cell, C-D-F \sharp -E: but a significant transposition. They are based on the alternative whole-tone collection and significantly start on A and C - the interval which separates them within the tonic collection of the movement. The further use of a transposition factor of a minor third, when these themes are restated, reverses the whole-tone allegiances to give an additional balance to the overall structure.

The role of the chromatically altered pitch-class which defines A minor as 'melodic' (rather than 'harmonic'), F \sharp , must be emphasised. It has assumed significant pivotal functions throughout: as part of that basic diatonic collection; and of its whole-tone subcollection, denying the relative major in favour of tritone relationships; as dominant of B major; and finally as a tonic in its own right. This brief closing section (bars 41-57), simply by being in F \sharp major, implies a peak in the continuous development process which characterises the progress of this movement. The motives here are clearly derived from Section A whilst the tritone interval which generated it, and by implication the issue of whole-tone conflict within the tonal scheme, is preserved: violas, bar 41, span F \sharp -C; bar 42, B-F \flat .

The structural role of this passage is important as it marks the end of one main section and is the generating influence on the subsequent progress of its complement. That it is the peak of continuous development so far, whilst prefiguring issues yet to be explored in a more compressed way, is implied in the very means by which F# major is initially defined. This structural modulation (bars 40-41) is once again articulated by brass motives and may be summarised as follows:

F#	-	B	C#	D 7	D b	=	C#
		G#		F 7		-	F#
		E		B b		=	A#

so that the three major triads involved are E, F \sharp , and B b . Again these are a harmonic projection of the opening cell of the piece, precisely analogous with the earlier modulation to B major, but now at the complementary transposition of a major third which preserves important invariant elements: E/F \sharp . This evidences the degree of inter-relationship between structural levels which continuous development articulates whilst emphasising the fact that whole-tone segments are part of a fundamentally diatonic framework: a key scheme. Beyond this process, the cell more precisely underlines the progress of development so far by linking the (whole-tone/tritone) projection of C \natural at the beginning of the section with that of F \sharp at its close. Furthermore, indicative that the process is continuous, these harmonic relationships initiate the Counter-statement section appearing as triadic arpeggiations of E, F \sharp and B b minors, as detailed below. These gestures, in turn, generate and condition much of the progress within the second half of the movement.

FOURTH SYMPHONY

COUNTERSTATEMENT

EXAMPLE 39

PART I - Bars 57/8 - 72

Motive/
Section A: Motive/
Section B:

Bar 57/8 Bar 61

(Augmented triad arpeggiation, from Section A)

(asv)

i (ii) V (i) i (ii) V (i)

E major prolongation

64 68 71

F minor B minor

C whole-tone (N)

B minor (complete collection)

(Tritone shape from Section B)

E major prolonged as V;

Counterstatement

The crucial structural role and corresponding analytical significance assigned to the opening section of this passage demands a detailed presentation of events and assessment of their significance. The section clearly divides into two parts and Examples 39 and 40 (respectively bars 57/8-72 and 72-88) represent voice-leading reductions. The linear texture is well suited to this approach but considerable problems arise concerning the harmonic organisation, a structural layer of implication, often inherent in a single strand. Again it is Sibelius' power of suggestion, refined further here, which requires analytical interpretation if the harmonic potential and its place in the coherence of this movement is to be understood.

Example 39 covers the first subsection of this passage and divides into three statements of material which between them represent successive stages of large-scale development whilst internally pursuing the small-scale continuous development of their opening gestures. Extended tonality is projected through the exploration of the dual whole-tone/diatonic function of augmented triads. Diatonic resolution of whole tonality essentially involves chromaticism which, when applied to one member of an augmented triad, can produce a tonal outcome. There is a hierarchy within this process despite the ambiguity of the six possible resolutions: different degrees of plausibility, surprise and expectation. The chromatic resolution to a minor triad is completely diatonic, the motion of leading-note to tonic (implicit V-i function); whereas that to a major triad, involving a chromatic neighbour-note descent to the fifth scale-degree, can only be viewed as diatonic if that major triad is assumed the dominant of a minor-mode collection. The additional hierarchical element concerns the three spacings of each kind of triad involved: root position, first or second inversion. Therefore, the diatonic role of the augmented triad is the potential definition or establishment of a minor key either by direct resolution to its tonic triad (dominant function) or by motion to that of its dominant (interdominant function) with the total number of three keys being involved.

Against this theoretical background the first statement of material (bars 57/8-61) reveals the following chromatic motions of augmented triads:

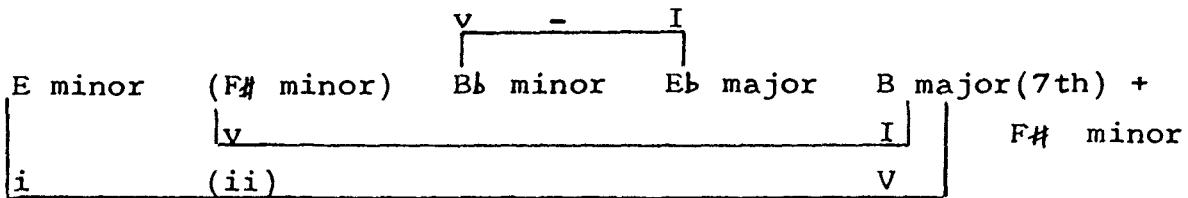
B...B	F...F	B - B \flat	B...B
G...G	D \flat ..D \flat	G...G	G - F \sharp
D \sharp - E	A - B \flat	E \flat ..E \flat	E \flat = D \sharp
E min.	B \flat min.	E \flat maj.	B maj. ^{7\flat}
T \flat	(V of ab)	(V of ab)	(V of e)

which is not only the order of actual presentation, but also their hierarchy, particularly as the distillation of a B major arpeggiation is far less directly articulated. The E \flat major triad has an implied dominant function (as above) to Ab minor which proves to be the centre of the next thematic statement (bars 61-64) as this is a precise major-third transposition. Additionally, the B \flat involved in its chromatic establishment is itself the peak of the melodic phrase, of prolonged duration and in fact the beginning of a balancing descent involving a B major seventh arpeggiation overall; the balance is further emphasised by reinterpreting the opening gesture as the dominant of its originally projected E minor. Also, within this B major arpeggiation, a further triad is present, F \sharp minor, giving another element of balance between antecedent and consequent as it had occurred within the original E minor-B \flat minor motion. Its position there was interesting in terms of alternative resolution:

(F \sharp) - F...F
 (C \sharp) = D \flat ..D \flat
 (A \flat)...A - B \flat

where a root position (B \flat) rather than first inversion (F \sharp) minor triad followed hierarchical rules. During the course of this passage, the arpeggiation of B-major and F \sharp -minor triads is far less explicit than that of E- and B \flat -minor suggesting that diatonic relationships are deliberately undermined in favour of whole-tone considerations.

The total triads involved may be represented and diatonically grouped as follows:



Beyond these diatonic correspondences the first three triads stand in (0,2,6) relationship of one whole-tone collection and the remaining two form an (0,4) from the other. Moreover, given the dominant function inherent (and later realised in the next statement) in major triads which are the product of chromatic motion from an augmented triad, then the following theoretical abstraction can be made indicating that the implicit harmonic centres of this passage are in fact a projection of the opening motive of the piece at the significant transposition of a major third:



The use of this transposition, reflected on a local level in relation to the following thematic statement (bars 61-64), gives prominence to the pitch-classes E/F# which were the whole-tone pedal extracted from the Introduction and present throughout Section A and will prove, beyond such foreground-middleground correspondences, to be part of the background motion over this entire opening passage of counterstatement (bars 57/8-88). The surface texture at this point explicitly supports this view of implicit large-scale inter-relationship; the material articulating this motion is an inversion of Section A material (augmented triad resolving chromatically) and the main motive of Section B (the 0,2,6 from the Introduction). By the nature of the construction of this passage, its internal exploration of inherent properties within augmented triads, and the precise correspondences between its overall relationship of triads, the extent of coherently articulated inter-relation of structural layers is considerable. The method is one of continuous development which gradually clarifies implications; the result is one of extreme economy of expression: an organic process which is quintessentially symphonic.

The passage therefore projects E minor by a mixture, an interaction, of whole tonality and diatonicism through augmented/minor-major triads each of which is prolonged on a local level by the same technique. Looking beyond the purely harmonic implications of arpeggiated triadic shapes, at the actual voice-leading, the octave B \flat - B \sharp (regional peak) and balancing descent B - D \sharp (an octave above the lowest pitch of the phrase) gives the basic contour in which the articulation emphasises, essentially, respective E minor and B major arpeggiations: i - V in E minor.

After the second statement of material (bars 61-64) has, by virtue of its transposition level, taken up aspects of the preceding phrase, the third statement diverges so as to bring various issues to a climax. It initially projects F minor in a precisely analogous way to the previous E and G \sharp minors which, in terms of whole-tone allegiance, conflicts with that prevailing motion of the section. F minor has a special relationship with the tonic A minor (and of course with C \sharp minor), given the context of the present passage, as the augmented triad which can define either collection in their whole-tone relationship is essentially the same: the difference is an enharmonic one, A \flat /G \sharp . This is particularly relevant as A minor was originally defined, during Section A, by means of this construct. This specific issue and the more general one of establishing F minor as on a par with the preceding E and G \sharp minors are pursued during the closing variant of this statement which, instead of comprising a corresponding type of C major-seventh arpeggiation, projects two strands of material suggesting both clearer harmonic definition and more extreme conflict.

This conflict, of essentially chromatic nature on a surface level, is articulated by augmented triads, through which chromatic motion originated, as part of a larger whole-tone issue. The lower voice initially reveals the repeated configuration of augmented/minor triads: A \sharp - B
F \sharp F \sharp
D D

where the potential resolution in terms of diatonic B minor is indeed confirmed in due course by the upper voice, significantly in unison with the lower part, projecting the complete B melodic minor collection. However, this resolution proves temporary as the chromatically conflicting element, C \sharp , recurs and is now projected as part of a complete whole-tone scale with significant elements prolonged by registral leaps : the outline of the augmented triad, C - Ab - E.

Once again a whole-tone/diatonic issue hinges on the use of augmented triads. The constructs here may be represented as : B/A \sharp - F \sharp - D where the resolution is undoubtedly B minor; and

C - G \sharp /Ab - E (Sibelius significantly uses both 'spellings') where the resolution could be : F minor, root position; C \sharp minor, first inversion; A minor, second inversion; E major, as V to a; (strongly implied due to the prevalence of B \sharp 's during this passage). The two final bass entries which close this subsection, that is overlap and initiate the texture of the second part of the passage, are completely whole-tone and each contain the two augmented triads in question: F \sharp - Bb -D and Ab -C-E. This emphasises that these constructs are in fact complementary in terms of whole-tonality yet in conflict, after chromatic resolution, with the areas of F, A and B minors.

The conflict of this phrase (bars 64-70), represented as the chromatic clash of B/C, is never completely resolved at this stage. Its effect, however, is interesting. Firstly, it undermines the overall F minor potential of the phrase as, rather than arpeggiating its dominant, its whole-tone complement, B minor, is favoured. Secondly, in context, the most satisfactory resolution of the ambiguous augmented triad (that which is most strongly implied) is as follows:

C \sharp - B

G \sharp /Ab = G \sharp

E.....E as its note of resolution is already being sounded.

Its root, E \sharp , is its whole-tone complement and the sonority

itself implies eventual A-minor resolution (one of the other possibilities undermining F minor) and of course the one which proves to be the case as regards the movement as a whole.

Considering the subsection overall, its background level comprises the following:

E minor - G \sharp minor - (F \flat minor) - B minor - (C whole-tone) a symmetrical construct (E/F - G \sharp - B/C) comprising an augmented triad plus two of its possible chromatic resolutions - F minor and E major (as V of A minor). Due to the enharmonic presentation, G \sharp rather than A \flat , the latter arpeggiation is favoured (as was the case within the working out of this issue during the final thematic statement).

Therefore, perfectly logically, by means of complex whole-tone/diatonic interaction and precise correspondences between structural levels as a result of that technique, this passage of continuous development has the function of Counterstatement. It fulfills the traditional role of 'development', being entirely based on previous material, whilst at the same time that of 'recapitulation' as this projects the tonic collection, consistently, by implication. The arpeggiation may be viewed as the neo-classical articulation of dominant prolongation and given this projection of an E-based sonority - essentially E-G \sharp -B/C - E \flat becomes the final background reduction of this passage within the movement as a whole. Again, this is logical, given the continuous development technique employed, as this was the first centre to be defined (bar 58) by a construct which pervades the whole passage and epitomises the extended tonality of the piece.

So far the suggestion that E \flat forms the background of this passage may be viewed as logical in the light of detailed reductive analysis; it becomes convincing in relation to the balancing subsection which follows as this reveals, by the same means, F \sharp as having the same function. The structural function of Counterstatement thus becomes explicit: E/F \sharp were literally projected as the background pedal of the passage which is being simultaneously developed and restated.

FOURTH SYMPHONY

COUNTERSTATEMENT
PART II - Bars 72 - 88

EXAMPLE 40

etc.

Bar 72 73 74 75 76 Bar 77 78 79 80

Whole-tone (Y) - D B_b (F_#) D_# C A_b (E) E

Whole-tone (X) B G (G) G D_# (G)

(T) (F) (V) (I) A C E

F# - Prolongation

CONTINUATION - To be read as the second system of the graph (not as further reduction)

Bar 81 82 83 84 85 86 87 88

C (A_b) E A_b C C C

D B_b D_b A_b A A F

A_b - Prolongation

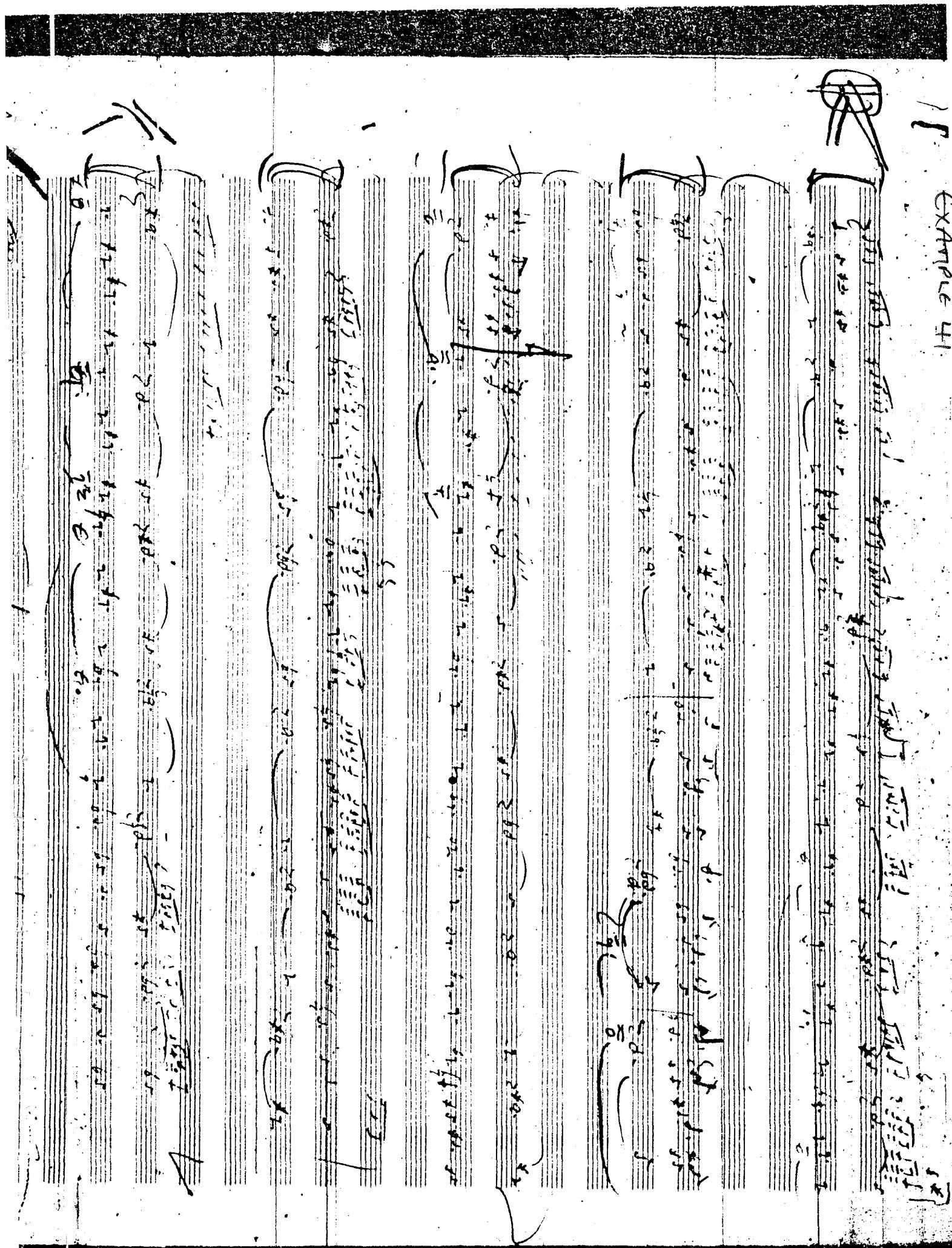
The second part of this passage, bars 72-88, represents a further stage of development as arpeggiated shapes give way to more scalic ones - the essential contrast between the respective material of Section A and the Introduction (that is, equivalent to Section B). Repetitions of the motive of the opening bar of the piece account entirely for one main strand of the still extremely linear texture so that each thematic statement is completely whole tone as the entries which link these two subsections (bars 70 and 71, lower strings) patently emphasise.

The motives are divided, yet overlapping, amongst the string parts and can therefore be reduced to one line in Example 40 as a preliminary stage of analytical presentation. Essentially a complex chain of thirds, for example:

C - D - F# - E reduces to
C ————— E,

they are designed to dilute, if not destroy, any sense of middleground diatonic or tonal progression. Therefore it seems pointless to attempt to discern (or impose) an underlying diatonic system as an explanation of the choice of pitch-classes for each motivic appearance when, by pursuing the system which Sibelius has set up so far in the piece (middleground exploration of compositional properties inherent in a foreground motive and the interaction of whole-tone subcollections), it seems more consistent and analytically appropriate at this stage to group them according to whole-tone allegiance. Musicological evidence may support this approach as Example 41 shows a sketch for this movement where the composer was pre-occupied with whole-tone transpositions of its opening motive such as dominate the texture at this point.

This method of reduction, considering the local transposition factor of these cells according to their own internal construction, clearly shows a systematic partitioning within and between the two collections. The more prominent is that of the C-based whole-tone scale which opened the piece and has maximum intersection with its basic A minor collection. The interaction of conflicting whole-tone segments has the



traditional effect of pitch-class prolongation. Thus, the upper voice of this reductive level projects the arpeggiation over an octave descent of the augmented triad D - B_b - E[#] - D and again, at whole-tone transposition with octave displacement, as C - A_b - E - C: the two shapes which ended the previous passage and thus explicitly underline the continuous development process. This second construct dominates the remainder of this section which culminates in the cell of its origin: the motive C-D-E[#]-E which opened the piece.

The lower beams on this level group members of the other whole-tone scale and again pitch-classes are prolonged by the same means, revealing an initial arpeggiation of B_b - G - D[#] - (G - D[#]) - B which was present at the opening of the previous subsection as was the augmented triad D_b - A - F - D_b, its whole-tone transposition, which completes the motion here. Thus a complementary process of augmented triad arpeggiation between the two whole-tone collections, articulated by prolongation arising from their conflicting interaction, can be observed. The dense textural presentation, perpetual variation of the opening motive of the piece developing its whole-tone potential is, therefore, systematic in its middleground organisation.

The local relationship between these alternating segments is more diatonic, being entirely based on perfect fourth/fifth or semitone relationships. The concept, that two whole-tone segments together may form a diatonic collection, is literally taken up by the woodwind motives from bar 80. These appear at points of overlap between conflicting whole-tone subcollections, use elements from each (respectively major-third and tritone), often forming complete major scales. Any more precise correspondence between such collections and the middleground voice-leading of the string figuration remains elusive; but the principle of a potential diatonic framework for these conflicting and complementary whole-tone processes is relevant.

This principle is supported within the bass motion on a background level where the overall passage projects the following arpeggiation: F \sharp - A - C - E (- A), the Tristan Chord from the A minor collection which has both whole-tone and tonal properties in its tritone (F \sharp /C) and perfect fifth (A/E) intervals; the E \natural does finally resolve to A \flat . Therefore, this subsection may be reduced as a fundamental diatonic relationship within the earlier half of the piece but part of a precise development of that aspect of its structure: the relationship between its two equal halves. The whole passage of Counterstatement, so far, projects the motion E - F \sharp - A, the pedal from, and implied tonality of, the Introduction and Section A thereby fulfilling the tonal function of Restatement in terms appropriate to this particular piece.

Considering the bass motion on the middleground level in relation to that of the upper voice, the same principle of extended tonality observed in the preceding passage, implications arising from the chromatic resolution of augmented triads, is in evidence. These may be listed as follows: the augmented triad of D - B \flat - F \sharp - D coincides with the bass F \sharp pedal, implying the dominant of B minor; the motivic nature of this 'bass' line F \sharp - G - C \sharp , which requires B \flat to complete a diatonic version of the surface cells, supports this implication; that of C - A \flat - E - C coincides with the bass arpeggiation of A minor suggesting that the A \flat is really to function as a G \sharp and the augmented triad implies resolution to A minor; the whole-tone alternative which interlocks with these in its gradual arpeggiation of B - G - D \sharp - B coincides with G \flat in the bass which is emphasised by the last major third appearance, E \flat -D \flat -B, aligning with a G \flat which has been projected by V - I (D - G) motion; its whole-tone complement, the remaining augmented triad arpeggiation D \flat - A - F - D \flat , similarly relates to notes of resolution: A \flat (and to a lesser extent D \sharp /E \flat) suggesting D \flat major.

Thus, prominent pitch-classes prolonged within the bass voice occur in parallel with the pitch-class projections from the upper whole-tone system. Their purpose seems to support, almost define, the chromatic resolution of those augmented triads in terms of two major and two minor sonorities coincident with whole-tone allegiance:

D - B_b - F[#] - D = B minor
 C - A_b - E_b - C = A minor and

B - G - D[#] - B = G major
 D_b - A_b - F_b - D_b = D^b major.

These four 'areas', or implied centres, stand in whole-tone relationship filling in the interval of a tritone overall; that is, not surprisingly, projecting the basic cell of the piece which dominates the foreground at this point.

Finally, the overall motion of this section of Counterstatement is from E_b to A, essentially V - I in A minor. The sense of arrival is clearly felt by the end of this passage and immediately coincides with direct transposed restatement of earlier material. The means of arrival is a very complex one as it involves extended tonality but despite extension, in terms of multi-layered development of material, there is contraction in terms of its compressed structural function. The result is a balanced two-part symphonic movement, conveying all the tensions of traditional sonata thinking through an equivalent sense of organic coherence, within a neo-classical framework.

ALLEGRO MOLTO VIVACE

Sibelius' interest in economy of expression as part of a Neo-Classical symphonic style is pursued further, almost into the realms of parody, during this Scherzo movement. This play on expectations arising from Classical practice literally forms the framework here as the apparent adherence to traditional Scherzo-Trio-Scherzo design proves not to be the case: the final 'section' is merely a fleeting reference to that earlier block of music, occupying six bars only. Somehow the structure seemed complete to Sibelius without the necessity to restate material fully so that a Scherzo movement completes itself, coherently and conclusively, within a binary design. That this movement can be viewed as a Scherzo at all arises not only from its position in the symphony as a whole (a fast middle movement in 3/4 time) but from internal evidence concerning gesture, large-scale contrast of the equivalent to a Trio (from bar 260) and a clear sense of return to the opening (from bar 344). It is only with the benefit of hindsight that the listener becomes aware of the relationship between so-called Scherzo and Trio material and the resultant logic of the 'surprise ending' and, as is so often the case, subsequent hearings can modify original perceptions. Nevertheless, much of the effect of this movement, its acknowledgement but denial of Classical precedent, clearly depends on experiencing the actual binary structure against ternary expectations and not to consider the movement as a Scherzo would undermine its Neo-Classical conception. It is interesting to note that in the manuscript score the movement ended some seven bars earlier, that is without even this brief concession to traditional structure, so that the final inserted reference to Scherzo material suggests something of a change in attitude on the composer's part.

Assuming that this movement does display something of the kind of formal compression exemplified in the first movement, or even adopting the standpoint that it is simply a two-part structure, the issue concerns a sense of thematic identity between Scherzo and Trio material which imparts underlying unity to these 'contrasting' sections. The final

inserted reference to Scherzo material provides an explicit underlining of this relationship and additionally reveals its function as, beyond such foreground correspondences, this brief 'reprise' has an implicit tonal purpose. Despite little within the 'Trio' section which diatonically projects the prevailing F major of the movement, a sense of tonal completion is achieved due to the resolution of ambiguities arising from the consistent system of extended tonality used throughout. Formal compression proves the direct result of this neo-classical attitude to tonality and is articulated by a technique of continuous development. Again this process, operating on all structural levels, rests on Sibelius' power of suggestion: implications which, in terms of large-scale correspondences, can be both ambiguous, to suggest diversity, yet at the same time precise, to impart unity, depending on the context. The process culminates in an explicit thematic synthesis of Scherzo and Trio material; encapsulated in the final thematic reference of the closing six bars; this achieves tonal resolution.

EXAMPLE 42 F O U R T H S Y M P H O N Y FORMAL AND TONAL STRUCTURE - SECOND MOVEMENT

Allegro molto vivace

Doppo piu lento (○ = ●)

S T A T E M E N T

SCHERZO

A B1
(A:124+)

A

C

A

D

C O U N T E R S T A T E M E N T

TRIO

SCHERZO

B2 B2 B3 - A

Key Scheme:

F - major
F# / E

F - major - E^b - D^b
G^b / F
(V-I)

F/E - PEDAL.....F.
(B-major/F-minor (A-major)
F#-major/B-major) (F#-minor)
(V.....I)

BAR NO:

1-50 50-145

146-163 163-192

(=33-50) (= 1-50)

193-240

(= 1-50)

240-259

260,

301,

340, 344-

STRUCTURAL PRINCIPLES

Formal Plan

Example 42 summarises the layout of the movement, the relationship of its subsections to an overall binary structure and the possible functional labels for this two-part articulation of implicit three-part form. The Scherzo section uses a rondo-type format where the opening material, or parts of it, recurs, directly repeated, after episodes of an apparently contrasting nature. This block-like juxtaposition is in fact connected with the surface continuity of development; the extension and the model are placed side by side, suggesting their relationship. Such implicit unity is gradually made more explicit as the degree of contrast between blocks is greatest at the outset and becomes progressively less so, as they dovetail with partial restatements of main material, as the section continues. The tonal scheme which these structural divisions articulate concerns whole-tone relationships within the two conflicting scales, what will prove to be 'tonic' and 'dominant' levels, their interaction and eventual diatonic resolution by chromatic motion.

Tonal Theory

In theory, the tonal organisation of this movement essentially arises from the compositional use of the tritone and its dual function in both whole-tone and diatonic systems. The collection at the opening of the piece generates a network of pitch-class organisation which denies conventional modulatory relationships yet acknowledges their functional purpose of tension and resolution, realising this in a complex system involving chromatic/whole-tone/diatonic interaction,

F G A B \flat C D E F.

(i) Diatonic Ambivalence

Thus the collection used is that of C major whilst the context defines it as (Lydian) F major where the B \flat 's are plausible as tonicisations of V though in theory there is some ambiguity surrounding I/V functionality.

(ii) Tritone/Leading-note Function

In terms of F major, the collection has been altered by a process of chromatic substitution surrounding the disruptive presence of one tritone (F-B) which denies the definitive presence of another (B \flat -E \sharp). Therefore the issue of scale-degree substitution may be viewed in two ways: that of perfect fourth versus tritone, B \flat /B \sharp , and/or that of defining the leading-note function of E \sharp .

(iii) Whole-Tone Potential

Beyond that surface issue of chromaticism is the middleground level of whole-tone projection of F \sharp by extending the resultant four-note subcollection. Additionally, conventional chromatic substitution for modulatory purpose could, in this case of a contextually defined F major, with C-major pitch content, produce key-change over the distance of a whole-tone to a completely diatonic G major.

(iv) Chromatic Relationship

As the tonal ambiguity arises from chromatic substitution, that transpositional relationship is relevant. Thus:

F	G	A	B \sharp	C	D	E	F	(altered F major)
F \sharp	G \sharp	A \sharp	B	C \sharp	D \sharp	E \sharp	F \sharp	(conventional F \sharp major)

reverses the tritone substitution outlined above.

Within the framework of formal compression and extended tonality the workings of the movement stem from thematic identity and corresponding overall implications of both Scherzo and Trio material. Example 43 provides the necessary extracts for theoretically demonstrating this complex process. It comprises all the main thematic stages from each part of the movement and their abstractions into partial diatonic collections revealing corresponding scale segments. Thus against the background of theoretical observation in conjunction with the diagrammatic abstraction of actual pitch-collections used, the following analytical commentary proposes one interpretation and is correspondingly in two sections.

FOURTH SYMPHONY

SECOND MOVEMENT

EXAMPLE 43

SYNTHESIS OF 'SCHERZO' + 'TRIO' MATERIAL

SCHERZO MAIN THEMATIC ELEMENTS

COLLECTIONS USED (+ Scale-degrees)

A1

(A6)

B1 - COMPLEX

MAIN THEMES

ANSWERING PHRASES

A2

A3

A4

A5

TRIO

B2 - COMPLEX

MAIN THEMES

ANSWERING PHRASES

A6

F MAJOR

A MAJOR

G_b MINOR C MINOR

D_b MAJOR G_b MAJOR

D_b MAJOR (OR A_b)

C_b MAJOR (OR G_b)

G_b MAJOR

F MAJOR

B MINOR F MINOR

F# MAJOR B MAJOR

(or D_b MAJOR) (or F# MAJOR)

F# MINOR

A MAJOR

/F# MINOR

/ F MAJOR (7-8)

The musical score for Example 43 is divided into two main sections: SCHERZO and TRIO. The SCHERZO section includes sub-sections A1, (A6), and B1 - COMPLEX. The TRIO section includes sub-sections B2 - COMPLEX and A6. Each section contains 'MAIN THEMES' and 'ANSWERING PHRASES' on musical staves. To the right of the staves, 'COLLECTIONS USED (+ Scale-degrees)' are listed. The collections include F MAJOR, A MAJOR, G_b MINOR, C MINOR, D_b MAJOR, G_b MAJOR, D_b MAJOR (OR A_b), C_b MAJOR (OR G_b), G_b MAJOR, F MAJOR, B MINOR, F MINOR, F# MAJOR, B MAJOR, (or D_b MAJOR), (or F# MAJOR), F# MINOR, A MAJOR, /F# MINOR, and / F MAJOR (7-8). Scale-degrees are indicated below some of the collections, such as 3 2 1 7 6 5 for F Major and 1 2 3 4 5 6 for D_b Major.

Scherzo Section : Statement

Diatonic Ambivalence

Theme A1 displays the diatonic ambivalence detailed at (i) above where a C-major collection is presented as a contextual F-major displaying pitch-class substitution of $B\sharp$ for Bb . The juxtaposition, in Example 43, of this generating thematic statement and its final fleeting appearance reveals a correspondence which is initially of whole-tone complement due to the transposition of a major third. The diatonic resolution in favour of F major (rather than the potential A major/ $F\sharp$ minor) is achieved by the final invariant pitch-classes, E- $F\sharp$ (leading-note to tonic). Immediately the specific question is how one chromatic motive can be felt sufficient to confirm and re-establish the prevailing tonality of the movement; more generally, how one brief reference to a whole section of material satisfies the expected formal balance which this movement-type proposes. The answer lies in the intervening continuous development process: the various derivatives of this opening material and their whole-tone/diatonic/tonal implications.

Whole-Tone Potential

Pursuing the theoretical level which Example 43 proposes, the Scherzo section of the movement contains close derivatives of its main opening theme, A2 and A3 plus the transposition A4. Motivic relationships are directly emphasised by the pitch contour of the first six elements in each case so that corresponding scale-degree functions can be assigned, assuming F major to be the model, though these are subject to change according to context if the enquiry is not to be restricted to the horizontal level. The system becomes more complex as transpositions involving invariant elements are frequently used.

Themes A2 and A3 stand in the transpositional relationship of a whole tone suggesting, respectively, $D\flat$ (or $A\flat$) and $C\flat$ (or $G\flat$) major collections. Each displays the chromatic element of tritone/perfect-fourth substitution ($G\sharp$ not $G\flat$; $F\sharp$ not $F\flat$) which, in conjunction with conventional diatonic

(chromatic) substitution (as outlined at (ii) above), is directly responsible for alternative key establishment: A2 cadences into E \flat major (bar 169) and A3 into D \flat major (bar 183) and both are confirmed by clear leading-note - tonic motions. In these examples, chromatic pitch-class conflict has generated whole-tone key conflict as the tritone allows both foreground diatonic cadential motion and middleground complementary whole-tone potential. The three keys involved suggest a projection of F \natural in terms of whole-tone centres: F - E \flat - D \flat . This major-third tonal relationship may be viewed as the precise correlative of the transpositional relationship between A1 and A2 and the direct product, articulated by continuous development involving cells of that precise intervallic construction, of the original tritone issue: the partial infilling of the interval F - B.

Chromatic Relationship

The next thematic statement of this type, A4, follows the model more exactly being indicative of the extent of the system in operation, given the properties outlined in (iv) above. The choice of a partial G \flat major collection short circuits the complementary whole-tone relationship in favour of diatonic motion; the previous D \flat cadence (bar 183) acts as a dominant, articulated by voice-leading of D \flat -C \flat -A \flat -G \flat , so that instead of completing whole-tone motion to the tritone B \natural , the local perfect-fourth motion, D \flat to G \flat , confirms a new centre. This statement is at the transposition of a semitone from the opening theme, and therefore resolves pitch-class conflict: a resolution which has been gradually emerging. The original F major collection required B \flat rather than B \natural to be definitive; A2 contains B \flat but no B \natural , A3 has both these pitch-classes. This final, G \flat major, closely related derivative contains B \flat whilst requiring B \natural /C \flat - reversing the chromatic substitution of the original collection. Moreover, the pitch-class required, B \natural , would form the essential key-defining tritone for G \flat major, B-F, the disruptive force as regards the F major model. So far the discussion has not paid attention to the whole question of enharmonic equivalents. As section (iv) of the theoretical outline suggests, it is in fact an F \sharp - (not G \flat -) based collection which exhibits these properties and would aid any sense of resolution. The system utilises

significant invariant elements of differing scale-degree function between selected transpositions of diatonic collections. In terms of 'resolving' the initial pitch-class conflict, the transposition of a semitone provides a solution; however, what remains unresolved is the key-conflict, F/G \flat .

Sibelius delays this level of resolution, merely hinting at the important potential relationship (rather than conflict) of a semitone transposition. At this stage the G \flat -major clarinet entry is almost a false reprise acting as a (chromatic) neighbour-note to a complete F-major statement of main Scherzo material before leading to the Trio. The effect is Neo-Classical; the Scherzo section is rounded off in the home key as would be traditionally expected but the ambiguities surrounding that centre - the denial of a definitive diatonic version - remain to be resolved.

Trio Section : Counterstatement Function

The structural role of the Trio would become what has previously been referred to as 'Counterstatement', if it satisfied the dual function of contrast and resolution. Clearly it does provide elements of contrast in tempo, orchestration, articulation, gesture and potential keys. Additionally it satisfies the function of restatement through its thematic affinity with preceding material and moreover by resolving the conflicts within the extended tonality generated by that section. Theme B2 comprises the main elements of Trio material. In fact it is two themes, each of which is repeated, transposed, forming a four-element complex of two main themes of descending scalic contour and two answering phrases using a balancing ascent. The relationship with Scherzo material extends far beyond the immediate descending major-third motive into precise correspondences; the potential function of the Trio, the resolution of Scherzo issues, is suggested by the transposition levels involved within this four-phrase complex. In comparison with the Scherzo section, the static nature of this material arises from the preservation of these pitch levels even when themes are repeated and, of course, by the presence of a relentless oscillating E \sharp -F pedal of eventual leading-note - tonic function.

Choice of Transpositions - Pitch-class Invariance

The two statements of the main thematic element, respectively bars 263ff and 273ff, stand in the transpositional relationship of a tritone; the pair of answering phrases, bar 281ff and 285ff, use that of a perfect fourth. Therefore, a fundamental issue, projected on all structural levels, that of tritone versus perfect-fourth, is apparent. This theory gains credibility when considering the collections involved, as abstracted in Example 43. The 'new' element of the Trio concerns its use, confined to the main statements rather than the answering phrases, of the minor mode. Here, consistently, the fourth scale-degree is omitted within, significantly, B and F melodic minor collections. The important features in the choice of these possible centres are the fact that they are minor and that the pitch-classes E \sharp and B \flat , omitted from re-

spective B and F collections are the opening pitches, the leading-notes, in the reverse order. The correlation between tritone and leading-note issues, between pitch-class and key conflicts, becomes more explicit.

As regards the two answering phrases, which imply respective F \sharp and B major collections, they follow the major-mode pattern of not only lacking a fourth scale-degree but containing the tritone alternative: C \flat not B \flat ; F \sharp not E \flat . However, diatonic ambiguity surrounds these collections as the evidence is not conclusive and the context would allow interpretation as D \flat and G \flat respectively; this is significant as it recalls the use of those areas at the close of the Scherzo section itself. The process is systematic as all the pitch-class conflicts within these four elements chromatically surround the tritone F-B and are thus directly related to the opening of the movement. More important is the precisely corresponding issue of key conflict involving F/B minors and F \sharp /B majors: centres of F \sharp /F \sharp -B. There are two further consistent elements within this four-statement thematic group; they all begin on the leading-note of their collection, which resolves immediately to the tonic in the answering phrases (the only examples of the leading-note rising, significantly F \sharp -F \sharp and B \flat -B \flat , as the others use descending scale forms) and all statements end by emphasising the motive of a tritone.

Chromaticism

The conflict between pairs of keys, F - B, F \sharp - B, whole-tone related minor collections and diatonically related major ones, is chromatic. In terms of internal conflicts, the latter pair achieve some sense of resolution; F \sharp major requires B \flat rather than C \flat which is precisely the motion between the two appearances of these groups of themes (the intervening statement of bars 293-298, between B2 and B3) whilst the analogous E \flat rather than F \sharp , of the B-major collection, forms a persistent pedal for the entire Trio section. This incessant oscillation is finally resolved in the penultimate bar: E-F, leading-note to tonic, in the final definition of F major.

Considering key conflict, the common centre of B (both minor and major) is to persist, as emphasised by the

timpani pedal throughout. Ultimately this comes to be viewed as not being in conflict with the prevailing F major of the movement, but more as its complement in terms of whole-tonality, because the original tritone issue is projected as that of a leading-note one. The crucial remaining chromatic conflict between keys of F minor and F \sharp major can be developed likewise, and the compromise which is favoured is that of F \sharp minor as it contains all the important pitch-classes: A \flat as third scale-degree, B \flat as the fourth and F \sharp (=E \sharp) as the definitive leading-note.

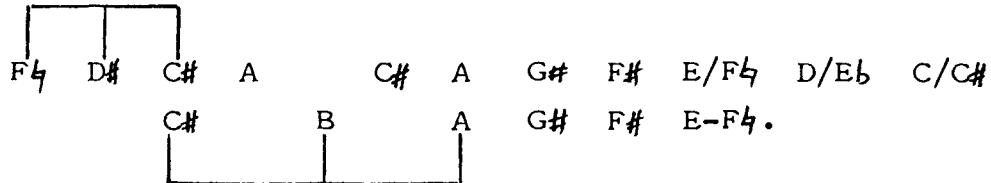
Chromaticism, as the means of resolving both diatonic pitch-class/key conflict and whole tonality, has been projected in terms of large-scale relationships of structural articulation. The episode within the Scherzo section which superficially displays the greatest amount of contrast in comparison with the main theme of the movement, Section B, in fact contains a subtle prefiguring of 'Trio' elements within its texture. Example 43 reveals these correspondences as theme B1 which uses the potential keys of F \sharp and C minors for the main material and D \flat and G \flat majors for its answering phrases; that is at a transposition of a perfect fourth below the keys involved in the 'Trio'. But, as each statement begins on the leading-note this means that the first pair use the pitches F \sharp and B so, once again, the use of invariants is producing a precise correspondence between pitch-class and key relationships: a chromatic issue. The most consistent invariant element on both these levels and within these earlier appearances of Trio material, that which offers resolution at this stage of the movement, is F \sharp ; itself standing in chromatic relationship/conflict with the diatonic centre overall. This inherent chromaticism, as the underlying relationship between Scherzo and Trio material, was articulated precisely at the opening of the Trio section. Due to the change in scale-degree function of essentially the same thematic shape, the Trio theme at bar 263 opens on A \sharp in comparison with the initial A \flat at the beginning of the movement.

Tonal Resolution

Tonal conflicts are finally resolved by the unique property of Trio material on this level - its use of the minor

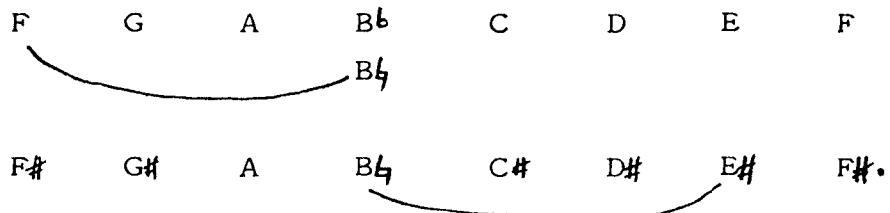
mode. Its final statement, theme B3 (bar 340ff), is in F \sharp minor and (ironically) requires B \natural to make it complete. This essential pitch-class is provided by the explicit thematic synthesis at this point, the fleeting reference to the Scherzo theme, infilling as follows:

(enharmonically)



which not only defines the F \sharp minor collection overall but, due to previous diatonic associations, suggests A major, a whole-tone complement to F \natural . The whole-tone partitioning, as indicated above, reveals significant invariant pitch-classes: F \natural , E \flat , D \flat , B \natural , A \natural , those diatonically projected, large-scale centres which, during the course of the movement, prolonged F major as its prevailing tonality.

The initial tonal ambiguity of the movement originated from chromaticism and is correspondingly resolved:



The presence of the F-B tritone in itself does not finally come to undermine the F centre of the movement due to whole-tone complementation. The fact that it replaced the definitive tritone of F major, B \flat -E, and therefore undermined the crucial diatonic function of the leading-note, demands chromatic resolution. The transposition of a semitone precisely achieves this whilst the choice of the melodic minor emphasises pitch-class invariants related to both these issues.

As regards the F-based whole-tone scale, the melodic minor collection on F \sharp contains an additional tritone to that of F-B, the infilled A-B-C \sharp -D \sharp , which has significant large-scale connotations. The use of whole-tone potential within a melodic minor collection plus the major-third relationship of the implicit A- and F-major scale segments underlines, at

the conclusion of the Scherzo, precise relationships with the previous movement which the protracted, opening, A \flat pivot-note initially suggested. Also the major-third tonal cycle of the piece as a whole, with its balance between major and minor modes, obviously reflects internal issues detailed above. Indeed, with its precise adoption of structural principles which originated in the first movement, the Neo-Classical economy of expression extends beyond 'separate' movements towards differing views of the same fundamental ideas: towards symphonic unity.

IL TEMPO LARGO

'The third movement is even more incoherent than the first - it would take a Philadelphia lawyer to find any sense of form in it. It sounds like the improvisation of an unskilled organist.'⁷ This extract from a review of 1913, despite its extreme nature, is relevant in that the movement is still generally felt to be a problematic one. Moreover, it is in some ways less coherent than the opening movement and does display improvisatory qualities; these two observations are clearly interdependent and form a starting point for the present discussion.

These issues arise from the essential compositional precept of the work: compression. The effect of this approach on traditional first-movement form has been discussed at length revealing, through the deeper structural levels, a systematic technique of formal construction. The system, having been set up during the course of that movement, is now itself subject to compression so the piece becomes progressively less self-explanatory in its placing of events, formation of subsections and attitudes to form. This is the direct product of a further contraction in terms of thematic process where many of the logical steps in the progress of continuous development are omitted; the generating cell and its (eventual) synthetic product are placed side by side without recourse to their 'working-out'. Something of a precedent for this has been observed during the latter stages of the preceding movements, the Scherzo being less explicit in this issue than the opening movement.

The effect is improvisational, though not fortuitous, and is very demanding of both listener and analyst if the expected, traditional levels of coherence are sought. But the Fourth Symphony is undoubtedly a piece concerned with progressive compression and listener and analyst alike must learn from earlier, more explicit compositional statements and apply that newly acquired experience and knowledge to these later, apparently imprecise, musical utterances. The technique rests on Sibelius' power of suggestion, of implication, beyond

the surface presentation of material; whereas, in the first movement these implications were well defined, or at least limited in number and discernible as some kind of hierarchy, by this stage of the piece ambiguity is paramount. For some, concerned with comparisons with external models, it creates incoherence; appreciated purely in the context of this piece, in relation to the clearly laid out principles of its generating, opening movement, coherence is apparent - but of a different order.

The increasing compositional compression of the work is reflected here in its analytical presentation. Whether this be viewed as appropriate or merely inept (the author is not a Philadelphia lawyer!) it is seemingly the only way to proceed. With an expanse of music which for other composers might be considered as only a sketch, where the analytical and aural experience varies on every hearing, no rigorous theoretical presentation would enhance that experience. The compositional premises, systems, techniques for the Fourth Symphony were discernible at its opening and their ramifications, in the light of continuing compression, can only be observed selectively.

FOURTH SYMPHONY - THIRD MOVEMENT: INHERENT SYNTHESIS OF THEMATIC GROUPS

EXAMPLE 44

MAIN CELL

GROUP A MATERIAL

(a)

A minor G# minor C minor G# minor E minor

Whole-tone (D/G#)

Whole-tone (B/F)

Alternative: C-minor reading

GROUP B MATERIAL

(b)

car 9

(A)

Dm

A - Dm

(5ths/wt's)

(c)

CLIMACTIC STATEMENT OF B-MATERIAL - INCLUDING MAIN CELL FROM GROUP A*

Principles of Form

This movement pursues, to more extreme ends, aspects of the formal processes observed in the preceding Scherzo. That rondo-type layout now comprises an alternation of self-contained blocks of music with apparently no linking material. The resultant compression invites comparison with the Stravinskian concept of calculated discontinuity - the juxtaposition of contrasts. Despite the possibly static effect of such formal principles, progress may be discerned as each recurrent block of material is in some way a development of its predecessor; there is never direct restatement and indeed by listening 'over the top', as it were, there is a sense, in retrospect, of (discontinuous) continuous development. Both types of material are deliberately fragmentary to enhance their potential for development: their later statements pursue such inherent ambiguity in a search for eventual clarification and completion.

The opening eight bars constitute Section A, a block of material characterised by small wisps of shape, not clearly directional but in a local sense developmental, which engender a corresponding sense of tonal ambiguity. Example 44(a) shows the cells in question and their reduction to possible harmonic centres. Their essential feature is the gradual move away from altered triadic shapes towards whole-tone constructs - the product of that initial alteration. In this sense the 'progress' during this block of music epitomises much of the structural principles operating over the entire movement.

By contrast, the brass figure after the pause at bar 9 which forms Section B has strong diatonic potential in its C#-minor collection, voice-leading and directed harmonic motion which neatly incorporates chromaticism - but in a diatonic context, (see Example 44(b)). The tonal diversity between these blocks hinges on the inherent whole tonality of A-material, with its prominent tritone, and the diatonicism within B-material as exemplified by its emphatic perfect-fifth motives. The key of this movement, which the B-material

gradually moves towards in its search for greater stability, is C \sharp minor. During the course of this establishment of tonal centre the reappearances of A-material, with its attendant disruptive tonal properties, creates moments of instability and it is this alternation which underlines the formal principles here. However, in the later stages of the movement this kind of contrast progressively becomes undermined; this is immediately discernible during bars 57-63 where close derivatives of A-material are placed over a G \sharp pedal.

The final process of resolution is surprisingly clear (given the nature of the forces involved) and would, therefore, seem to explain many of the problems this movement has engendered. The climactic articulation of 'resolution' occurs at Letter G, bar 82, and is indicated in Example 44(c). Theme B is finally presented, fully harmonised in terms of C \sharp minor, with the stability it has been seeking throughout the movement. Yet an essential part of both that harmonisation and stability is furnished by the closing bass motion: A - D \sharp - E (bars 86-87) where the dynamics make certain that it is not overlooked. It originates from the opening bar of the movement, underlining the fact that the whole-tone potential of A-material was, initially, diatonically contained. Therefore, to an important degree, the climactic statement of this movement represents a synthesis of its two main components. But has this synthesis been systematically brought about? By considering the intervening 70 bars or so, the clear developmental changes between appearances and reappearances of blocks of material, it emerges that no directly articulated process of synthesis occurs because the technique of structural compression is so extreme in this movement that the stages of synthesis - its progress - are deliberately understated.

The synthesis itself is really the product of many of the issues of the piece as a whole: whole tonality versus diatonicism and their resolution by key-establishment involving chromatic motion. As this movement functions as essentially another glimpse of the same world, any new contribution it has to make must arise from a different, in this case, more extreme, compositional technique. This may explain

the apparent incoherence experienced by the reviewer of 1913, but given that the movement does, in its own way, display a degree of coherence, then further observations of the way this synthesis so conclusively comes about are necessary.

Thematic Synthesis and Tonal Resolution

Given the implicit means by which a dynamic fusion of two disparate elements explicitly emerges, the following can only be regarded as interpretative, even conjectural, rather than conclusive but is, therefore, reflective of the musical processes at work. The two main groups of cells which constitute the alternating sections of the rondo-type structure have implicit underlying thematic relationships yet potentially conflicting tonal properties. These two factors, their interaction and eventual resolution, account for the developmental processes each group of material undergoes and the progress towards eventual synthesis.

Stage I : Sections A and B : underlying relationships

Example 44 shows the main materials in question and indicates these issues. The cells of Section A each outline a minor triad so that the interval of a perfect fifth, with its attendant tonal potential, is significant within each unit. It is also important as the link between them: the D \sharp of the first cell stands in V-I relationship with the G \sharp minor of the second; the G \flat here has the same function in terms of the final C-minor arpeggiation. Additionally, these pitch-classes have non-diatonic potential as, internally, they represent the possibly disruptive force of whole tonality. The D \sharp is in diatonic conflict with the prevailing A-minor arpeggiation, standing in tritone relationship with that centre. Similarly, the G \flat of the second cell, though a stage nearer diatonic resolution (the leading-note of a G \sharp minor collection) is presented as part of an augmented triad configuration, B-D \sharp -G \flat , of the same whole-tone subcollection. The third cell is very much the product of the previous two, offering diatonic resolution of these whole-tone elements: D \sharp =E \flat and G \flat being part of the C minor triad at this point. Its added note, D \flat , stands respectively in chromatic and perfect fifth relationship with those elements and is diatonic in terms of the C minor context.

The question of tonal ambiguity which characterises this section may be extended if these cells are viewed in terms of collections rather than as discrete harmonic events. Thus Example 44(a) represents some kind of E minor/major collection, its continuation invites an almost mono-tonal reading (in terms of C minor) and the ensuing bass motion and reappearance of the opening cell at bar 7 suggests B \flat minor. A conventional reading may, therefore, be summarised as E minor - B \flat minor (via II in B \flat minor) and should not be viewed as contradicting observations from the earlier segmentation as it is still, essentially, the tritone which undermines traditional tonal/harmonic relationships. In both readings the presence of local chromaticism or larger-scale whole-tone elements plays an important part in undermining clear cut diatonicism yet, in abstract, is fundamental to any diatonic collection. A balance between inherently disruptive and definitive elements is therefore discernible and the manipulation of these shapes in different contexts which exploit those alternatives summarises the tonal progress of the movement.

An examination of the first appearance of B-material, bars 9-11, as shown in Example 44(b) reveals the close connection between harmonic and motivic cells. The bass voice-leading is initially chromatic (from A to C \sharp) and thereafter whole tone so that the last diatonic harmony, V7c in C \sharp minor, is D \sharp based, incorporating the motion A to D \sharp , the tritone from the opening cell of Section A. The expected outcome of this harmonic progression dissolves with the final diminished seventh (that is two tritones) its E \flat bass adding a further whole-tone step indicating the potentially disruptive force of whole-tone motion within an overall diatonic context. The melodic contour corresponds in its motion of A to D \sharp which is emphasised by the phrase structure with its internal rhythmic and registral considerations. That the tritone can be subsumed diatonically (as is to be the case in the final synthesis of elements) is also indicated; D \sharp , resumed in bar 10, resolves as a leading-note to E \flat and thereafter to further elements of that collection. The effect is, therefore, that of potential modulation.

The initial stage in this movement explores these implicit relationships between contrasting blocks in the first passage of transition, from bar 11. The main melodic contour concerns chromaticism surrounding perfect fifth/tritone intervals reflected in the harmonies of F minor - B major plus E - A, bass motion, over bars 13-15. From material which corresponds with that of the B-type, the string entries of bars 15-16 achieve a similar degree of implied relationship with that of Section A articulating arrival on whole-tone related harmonies, C major and A \flat major triads (bars 16 and 18), by local chromatic motion. This alternation of the two material types within a bridge passage has precise effects in undermining the contrast between blocks of material. The process is very gradual but the reworking of opening material, (section A1), from the double bass entry at bar 18, is now at a D-level (rather than the initial A-level), that is a perfect fifth lower, the register being defined by the bassoon entry of bar 20 in comparison with bars 1-2, so that the transpositional relationship between blocks of A-material is defined by the perfect-fifth characteristic associated with Section B.

Section A1 (bars 18-21) is notably brief, simply re-presenting its opening three cells (the equivalent of bars 1-2) thereby removing the subsequent intimation of whole-tone organisation which could be deduced from bar 4ff. Correspondingly, Section B1 (bars 22-27) is also simplified in being presented as one line, divorced from its key-defining context. Each element has been modified in detail, involving a kind of mutual exchange. The initial cell of A1 now outlines a major (rather than minor) triad which is significant as the more conventional tonal concerns of the movement involve major/minor contrast; the pitch-classes here are to be used in the final passage of synthesis involving C \sharp minor, rather than A major. B1 has been extended to a new point of rest, though not conclusion, on a D minor triad (bars 26-27) and this, plus the new melodic prefix, C \sharp -G \sharp (violas, bars 21-22) are both important in the final formation of its contour which most closely defines the C \sharp minor outcome of the movement.

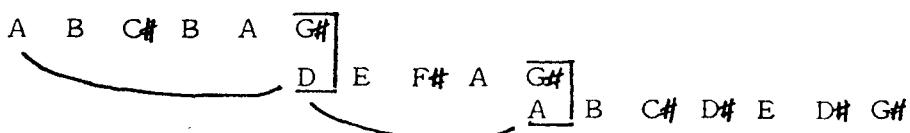
Stage II : Sections A and B : whole-tone/diatonic contrasts

In both blocks of material the intervals of a perfect fifth and tritone and their respective implicit functions (diatonicism and whole tonality) are crucial elements. The contrast between sections A and B concerns the whole-tone potential of the former and diatonic potential of the latter; this arises from a differing emphasis on each of these essential elements and is not fully realised due to the balance of these forces within these sections. Section A2, from bar 28, begins as from its second cell at the transposition of a tritone from the original rather than that of a perfect fifth. This contraction at the opening, which neatly preserves the starting-note D \sharp , which began its earlier reappearance in bar 18, is balanced by an expansion of its later, more specifically whole-tone, melodic continuation presented over a D pedal and emphasising the tritone cell, E-F \sharp -G \sharp -A \sharp , which may also be part of the C \sharp melodic minor collection. That diatonic context remains theoretical for the moment though the requisite pitch-classes, C \sharp and D \sharp , do occur but only as neighbour-notes. This passage (bars 30-35) is the most unambiguously whole tone in the movement and the emphasis on contrast between systems of pitch organisation characterises this stage of its progress. Just as Section A2 further explored associated whole-tone potential in its extension of material, Section B2 does the same in terms of diatonicism, so that the balance of this rondo structure is preserved on all levels. Here, a descending, chromatic answering phrase has cadential effect: C \sharp minor at bar 48, F minor at bar 50 and very nearly reaffirming C \sharp at 54, all, significantly, using an inverted form of the main motive.

Bar 35ff is transitional in a similar way as before though now leading into, rather than away from, B-material and therefore containing a greater amount of material related to that group in its emphasis on an inversion of the fifths motive which is to be used immediately as its accompaniment. The concept of chromaticism as the means of diatonically resolving whole-tone disruption is suggested by the harmonic motion from C-to C \sharp -minor triads during this sequence.

Stage III : Towards Synthesis

Section A3 represents the beginnings of the process of resolution at approximately the half-way point in the movement, bar 57. It pursues and develops cells of the type seen in Section A1, those containing a major third, whilst continuing its associated perfect-fifth transpositional relationship by juxtaposing cells beginning on $A\sharp$ and $D\sharp$. The prevailing $G\sharp$ pedal corresponds to the preceding $D\sharp$ one, implicitly continuing whole-tone issues which the $D/G\sharp$ and $A/D\sharp$ of the surface motives emphasises, whilst explicitly undermining any whole-tone potential of these fragments in favour of diatonic interpretation. The selective use of these basically scalic cell-forms highlights a significant stage in the articulation of motivic synthesis and its attendant tonal resolution. The cells in question stand in the following relationship:



emphasising large-scale transposition levels of a perfect-fifth, A - D, and local tritone conflict, $G\sharp/D$, and chromatic resolution (that is, diatonic semitone), $G\sharp - A$. The total collection used comprises: $C\sharp D\sharp/D\sharp E F\sharp G\sharp A B C\sharp$, which, due to the chromaticism surrounding $D\sharp/D\sharp$, implies possible $C\sharp$ minor (descending melodic) or A/E major collections.

The relationship between these centres is explored during the final climactic statement of bar 82ff. The presence of $D\sharp$ as part of an E-major 7th sonority of bar 85 emphasises this point and it is the $D\sharp$ of the next bar (as part of the opening motive of the movement) which curtails any possible A-major outcome in favour of $C\sharp$ minor. The purpose of this thematic synthesis is therefore a tonal one and furthermore not only on an internal level (as part of the stability of $C\sharp$ minor which is the goal of this movement) but within the symphony as a whole as A major is significant, its tonic looking back to the opening movement of the piece where this motive originated along with the entire major/minor, whole-tone/diatonic issue. Additionally, the A-major Finale

completes the augmented triad tonal scheme of the work and the present climactic passage indicates such large-scale issues. The pre-echo involved here is an explicitly intentional one as clarinet and bassoon (in the next bar, 86) play a version of the opening theme of the Finale - a correspondence which is often quoted but never explained.

Thus the three possible centres arising from the tonal ambiguity at this stage, epitomise the main issues so far: in relation to the final C \sharp minor outcome of the movement, A and E majors stand respectively, in major and minor third relationship within an overall framework of a perfect fifth (A-E), arpeggiating the tonal centre of the subsequent (indeed consequent) movement. The G \sharp pedal assumes a correspondingly pivotal role during this passage linking all these issues.

Section B3 pursues the idea of tonal clarification in terms which complement this turning-point in the development of A-material. The C \sharp minor collection is clarified in the chromatic extension of the main melodic element and at bar 70ff, uses both B \sharp and A \sharp of the ascending melodic minor scale, but also explores other chromatic alternatives, see A \flat , B \flat of bar 69; B \sharp of 70; A \sharp , but B \flat , of 71. The use of a Dorian-mode selection with sharpened 6th and flattened 7th degrees, together with other favourable indications, encourages their reinterpretation as scale-degrees $\hat{2}$ and $\hat{3}$ of V producing a brief establishment of G \sharp minor. This unexpected consequence of potential tonal clarification of C \sharp minor underlines the systematic nature of the process involved. The four possible centres stand in the following relationship A \flat , C \sharp , E, G \sharp , arpeggiating triads of the two most significant keys involved (C \sharp minor and A major) whilst, as a cell, representing a derivative of those of the opening section.

The opening of Section A4, from bar 73, brings various elements together. The G \sharp minor arpeggiation has local connotations as well as those operating over a larger scale: referring back to bar 2 of the movement and also the first extended reappearance (Section A2, bar 28ff) of this second cell. It is the latter parallel which is the more interesting at this first point of direct repetition in the

movement as it is the A \flat -based cell which is omitted again and by now the potential A \flat tonal centre. In terms of texture, the articulation of synthesis advances a significant stage further as these cells are used as accompaniment to similarly condensed B-material derivatives. The transposition levels of these entries, starting on G \sharp , bar 76 and B \flat , at bar 80, continue the web of tonal relationships by standing at the distance of a perfect-fourth and a whole-tone from the tonic C \sharp .

The intervening fragments of A-material are those of the very opening section and therefore continue the feature of direct repetition at this strategic point. Unlike previous appearances, the material has not changed, implying that potential for diatonic resolution was always present. The important and subtle change is the context: now placed in relation to C \sharp rather than A (of the opening) the whole-tone elements, in their own terms, still complement rather than conflict; during the climax, the original tritone, A - D \sharp , also complements C \sharp minor - but in diatonic terms.

The Coda reverts to the original mood of the movement significantly using material from Section A3, the passage which initiated precise progress towards synthetic resolution. The material continues its attendant transpositional relationship, using entries starting on D/G rather than A/D, resolving now on to C \sharp (rather than G \sharp). Whereas the previous motion from A to G \sharp was never unequivocal, implicitly tonic/leading-note in terms of A major (rather than neapolitan relationship) the fact that G \sharp did become a centre in its own right during the subsequent passage gives a sense of C \sharp minor resolution here which is far stronger than G-A-B-D-C \sharp motion would otherwise suggest. Tonal affirmation having been achieved during the climactic passage through a combined motivic and diatonic synthesis, the tritone from Section A confirms the diatonicism of Section B, these final bars reaffirm that C \sharp centre in terms of whole-tone/chromatic resolution offering an enigmatic conclusion.

Something of an enigma remains for both analyst and listener and would appear to reflect the composer's own experience as expressed in his diary at the time of its conception: 'I wonder how the third movement will work itself out'.⁸

ALLEGRO

Many of the gestures in this final movement exaggerate, in a Neo-Classical manner, traditional Finale characteristics in a way which is reminiscent of the Scherzo. Its formal plan, however, recalls that of the first movement in its modified sonata style giving large-scale structural balance to a piece which itself incorporated the same principle in the formal correspondences between its inner movements. That the Finale stands as the structural conclusion to the work is further indicated by its internal recurrences of material, in a rondo like manner, creating a kind of synthesis of previous formal-types. Such symphonic unity on a formal level is also apparent in terms of content as many of its cells, with their attendant tonal/harmonic implications, pursue the same issues as elsewhere in the work.

Tonal Organisation

The characteristic principle of extended tonality in the Fourth Symphony has, so far, manifested itself in terms of whole-tone developments of diatonic collections through Sibelius' adroit recognition of both the disruptive and definitive tonal functions of its idée fixe: the tritone. The compositional technique exploring related structural levels has emphasised a correlation between this motivic cell and its resolution in chromatic terms, that is, by emphasising the distinctive element of hierarchic collections which curtails the inherent whole-tone potential of scale segments. The technique essentially concerns the linear motion of opposing (yet related) pitch-constructs and each movement has projected, in different ways, new insights into the overall system producing the cumulative effect of dissipating a sense of tonal centre.

The remaining level on which the tritone/whole-tone issue has yet to be presented is a tonal one, key conflict and resolution, and this last movement, a conclusive statement on this compositional principle, provides a rare example in Sibelius of bi-tonality in its opposition of A- and Eb-majors.

The crucial whole-tone issue of the Fourth Symphony is finally explored in diatonic terms as the progressive confrontation, conflict and resolution of two tonal centres standing a tritone apart. In theory this process is highly systematic and used in conjunction with the technique of chromatic substitution, as observed earlier in the piece, may be viewed as a logical final stage in the underlying tonal principles of the symphony. The use of two collections exploring their transpositional relationship of a tritone permits whole-tone, diatonic and chromatic interdependence in the following partitioning:

A	B	C \sharp	whole-tone	D	E	F \sharp	G \sharp	- A major
E \flat	F	G	collections	A \flat	B \flat	C	D	- E \flat major

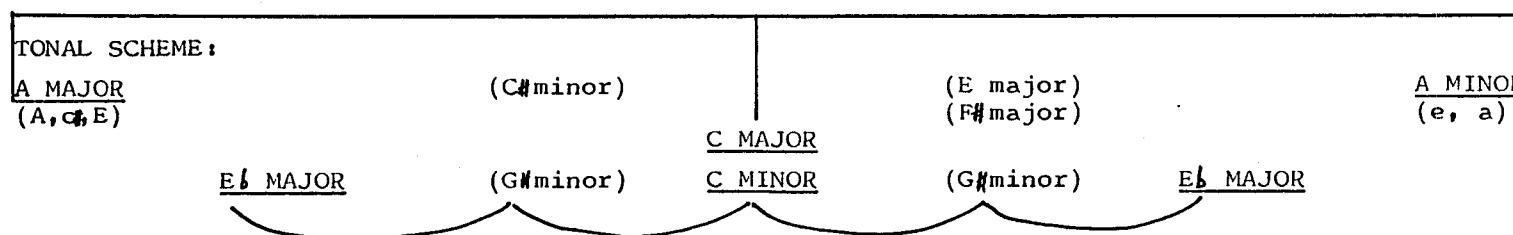
Additionally, the consistent use of chromatically altered scale-degrees involving the balance of sharp-fourth and flat-seventh which, in terms of the tonic, is neatly centric, generates compositional possibilities exploiting the pivotal role of invariants in order to relate the two centres without undermining the tonic status of A \flat ; thus:

A	B	C \sharp	D	E	F \sharp	G \sharp
			($\#$ 4)			(\flat 7)
becomes			D \sharp			G \flat
E \flat	F	G	A \flat	B \flat	C	D

which removes the common tritone elements (D/G \sharp , A \flat /D) whilst producing a balance of V (A-D \sharp) and IV (G-C \sharp) elements within the model and an invariant major-third between the pair of collections (E \flat /D \sharp -G). Thus the symmetry of tritone transposition, a possible disruptive force in diatonicism, is reinterpreted in terms of balance around an A \flat centre involving both sharp (dominant) and flat (subdominant) directions. However, considering whole-tone organisation, this pitch-class substitution does produce considerable weighting in terms of the collection which includes A \flat , with five elements being present: G, A, B, C \sharp , D \sharp .

EXAMPLE 45 F O U R T H S Y M P H O N Y FORMAL AND TONAL ARCH-STRUCTURE - FINALE

INTRO.	A	B	C	B	A	CODA
BARS:						
1-15	16-144	144-218	219-281	282-313	314-441	442-527
	Trans.I (32-48) -A	160 -C#m 168 -Eb	219-237 C major	282 -E 292 -F#	Trans.I (331-40) -E \flat	468 -Em 484 -Am
	Trans.II (57-90) -A/E \flat	202 -G#m	238-281 C minor	312 -G#m	Trans.II (350-86) -E \flat /A	
	Trans.I (114-44) -E \flat /A				Trans.I (386-436) -	



Structural Principles

Sibelius' approach to sonata style takes the form of an arch-like layout, summarised in Example 45, and thus the internal form of this movement reflects its relationship within the symphony as a whole. The formal development, in relation to the opening movement, concerns the reappearance of Section A in a more complete format rather than the previous brief allusion to it in the Coda. The tonal function of this passage, its resolution in terms of A minor, suggests that it may be viewed as a Coda to the work as a whole rather than simply to this movement.

The Introduction is literally such, as it does not directly recur, and is almost a false start to the movement. Its importance lies in its function as a bridge passage: presenting A major in the light of the preceding C♯ minor. Ambiguities surrounding the establishment of this tonal centre characterise the construction of Section A where main material alternates with passages of a more transitional nature in a way analogous to the Scherzo section of the Second Movement. The use of the sharpened 4th scale-degree (D♯) underlines that relationship, being synonymous with the B♯ of that earlier major-mode movement. Much of the Neo-Classical character here lies in persistent delay (or apparent denial) of cadential formulae, so that the D♯-E motive (bars 19-20), (at this stage nothing more disruptive than a local tonicisation of the dominant), resolves, via its naturalised form, over V - I motion, only to suggest that the I, A major, may itself be V in D major. However, as the movement progresses, that complementary 4/67 becomes sufficiently consistent to assume a neutralising effect.

The balance of strong dominant and then subdominant emphasis plays on classical practice to create ambivalence between tonic and dominant function. The effect at this point is to delay A major outcome leading to the first transitional paragraph within Section A, from the cello solo at bar 32. The transitional function of this passage is as abortive as the original attempt to define A major; that is, having created expectations of moving away from that implicit centre, it simply confirms it and any B-minor implications of bar 32ff are qualified as II in A major.

An unequivocal A-major perfect cadence is, therefore, first achieved at bar 57 but the stability is short-lived. The ensuing passage of string tremolandi with the sequential motion of its inner parts implies transition again, though this is in conflict with the static nature of the bass ostinato pattern. Rather than generating the large-scale tonal conflict arising from modulation, this second 'transition' forms a passage of confrontation. Against this undoubtedly A-major based string figuration the woodwind interjections of a major-third motive, E \flat to G, are significant; the choice of this cell is consistent with the way A major has been presented and by synecdoche represents the E \flat major collection and thus the whole-tone issue of the piece in terms of tritone key-conflict. At the same time, the motive clearly arises as the product of earlier use of alternative scale-degrees (#4, b7) and thus the temporary solution to this confrontation is, on two levels, chromatic. The motion G \flat -A \flat , projected as a seventh, suggests that E \flat is not a tonic but a possible dominant to A \flat (pursuing previously used ambivalence) so that the implicit key-conflict involves A \flat /A \sharp . However, the A \flat is more significant as the enharmonic leading-note of A major and functions as a G \sharp within the dominant harmony of bar 90. Whenever E \flat and G \sharp have appeared, their alternative forms, D \flat (#4) and G \sharp (#7), always sound against them and this consistent use of alternatives together, cancelling each other out as it were, helps create the static effect of simultaneous E \flat /A majors whilst highlighting that chromaticism is fundamental to the diatonic resolution of this tonal issue.

Material from the first transition follows, now fulfilling that function though achieving an identical effect: (re)-establishing A major and its opening gestures. This reappearance of earlier elements persists, with bar 111 corresponding to 27, its new continuation at 114 (the equivalent of 32) extended to effect a real transition. The recurrence of previous paragraphs where their earlier implicit function becomes a real one is, on a formal level, analogous to the system of pivot-notes (between diatonic or whole-tone/diatonic collections) within the pitch organisation of the piece: a further example of the relationship between different structural levels. The modulation is similarly consistent: moving

to Eb major presented against opposing A-major fragments with both key signatures being used. The first violin motives (bar 124ff) from each centre, Eb, F, G and A, B, C \sharp , illustrate the inherent whole-tone relationship of this tonal conflict. The conflict remains one of deadlock as Eb and A major triads alternate between winds and strings, providing the accompanying rhythm for the next structural section. The Db pedal represents an element of compromise, again significantly implying the subdominant of Eb (or the dominant function of that triad) whilst enharmonically using C \sharp which defines the major mode of the opposing pole.

The move into Section B, from bar 144, involves chromatic sequential treatment of material of a corresponding nature providing the first indication that tritone opposition of tonal centres represents, in terms of collections used, the total chromatic. The first point of repose is at bar 160 where the brass motive projects the possible centre of C \sharp minor which has connotations as far reaching as the opening of the movement and local whole-tone connections with the preceding A/Eb issue, as presented over the Db pedal. This connection is immediately taken up, exploring the relationship between G \sharp /A \flat to effect an abrupt modulation to Eb major, significantly using the melodic motive G-F-Eb. The chromatic version of this material which follows articulates the dominant function of Eb whilst the remaining sequences occur over dominant harmonies of E - F \sharp - G \sharp minors which, in tonal terms, continue the original C \sharp minor potential. However, the use of dominants to project this, and moreover in first inversion, means that the bass voice-leading comprises (enharmonically) Eb-F-G. Thereafter, the bass voice-leading pursues 'major-third' motion of A-E \sharp , G-D \sharp balanced by F-E \flat -D-C (bars 219-222) as a perfect-fourth segment of a C-major collection. The first hints that the issue of ambiguity of function surrounding tonic and dominant, pivot-notes between diatonically related collections and a considerable degree of chromaticism, may be the means of resolving the tonal conflict of the movement (rather than merely relating it in terms of common whole-tone organisation, as in previous movements) are important. It is a precisely developed form of this material which has a crucial role to play in the conclusion of the piece.

The middle section of the movement concerns mediation, between the two extremes of E \flat - and A-major. The tritone motive from Section A carries C major (rather than G major) connotations given the previously defined local dominant tonicisation of the chromatic figure: F \sharp -G. The complete C major scales in the string configuration support this view and the theoretical compromise which this collection offers, that is four pitch-classes from each of A and E \flat majors (D \flat being the pivot-note), begins to be explored.

The outcome, at bar 238, is temporarily C minor, a step in the E \flat direction (whereas the relative, A minor, would be analogous in terms of the other pole), and the immediate cycle of harmonies, G minor-F minor-E \flat minor, support that view. They have additional, larger-scale connections with the close of the previous section where those pivot-notes projected minor keys of E, F \sharp and G \sharp that is, keys standing in chromatic relationship. This emphasis on balance, reflecting both the symmetry of the tonal issue of the movement and its structure, forms the basis of organisation during the closing part of the arch structure and eventually the resolution and outcome of its close. From bar 249, fragments of both B- and A-material, of respective chromatic and whole-tone potential, alternate in a development-like manner involving minor-third transposition levels offering little stability but rather a sense of transition towards that goal. This is provided by the restatement of B-material as the arch-form begins to be completed.

From bar 281, the restatement of Section B is abridged, beginning part-way through that previous section (corresponding with p.49) at the point where enharmonic pivot-notes between the tritone polar collections were emphasised. Their G \sharp minor potential is more fully realised here (see bar 303ff) but only briefly so before being systematically denied. The bass voice-leading of D \flat -E \sharp -F \flat (of G \sharp minor potential) is countered by descending major-third motion (G \sharp -F \sharp -E) of A-major potential, the chromatic relationship of these cells being emphasised by the reappearance of the main tritone motive of the movement, A-D \flat -E, which articulates

the return to Section A material and the main tonality. This recall of material is quickly followed by its transitional passage (that of p.40) which, in abridged format and with subtle changes in transposition levels, establishes an E_b major string texture, from bar 349. The tritone conflict is therefore reversed between strings and wind but due to its symmetry the confrontation remains the same: static.

A complex extension of material ensues which balances, in formal terms, the compressed nature of the arch-structure so far and in tonal terms pursues the conflict within this static confrontation of tritone poles. This working out of key-conflict involves the integration of both collections - the total chromatic - which achieves a parallel sense of lack of centre but a very tense and dynamic one due to the dissonances involved. The upper string parts, from bar 386, present a complete chromatic scale in adjacent steps against descending scale-segments in cellos and basses from A, C and E_b major collections articulated by octave displacement of pivot-notes between them: A at 390, I in A/VI in C; $C\sharp$ at 395, I in C/VI in E_b . The relationship of these centres has been worked out on the large-scale with the middle section of the movement, C-major based, mediating between these tritone oppositions. The pivot-notes A and C are crucial in the final outcome: the compromise between A and E_b being A-minor. Both these chromatic and diatonic string elements are encapsulated in the brass motives in their use of the fundamental tritone/perfect-fifth cell, incorporating a semitone, of potentially key-defining function. Any sense of centre, or even directed motion towards a particular goal, is suspended during this passage of crisis by the random nature of these appearances in terms of transposition levels and timing. The process begins systematically enough, involving $D\sharp$ -A-E ($A\sharp$ centre) to $F\sharp$ -C-G ($C\sharp$) and $A\sharp$ - E_b - B_b (E_b) over bars 387-400, that is arpeggiating A-C- E_b , assuming previously defined scale-degree functions. Charting these statements in this way reveals that the following 'centres' are involved in overview:

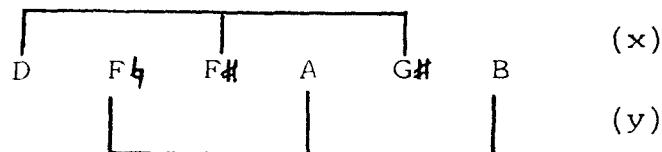
A B C $C\sharp$ D $D\sharp$ E $F\sharp$ suggesting a definite weighting in the $A\sharp$ (rather than E_b) direction and displaying chromatic elements surrounding third and fourth 'scale-degrees'. By bar 436 resolution seems in sight in the climactic arrival on the diad $C\sharp$ /E incorporating the original

tritone motive (A-D \sharp -E) in the trumpet; that is, resolution in favour of A major (which the glockenspiel motive emphasises) whilst implying its C \flat minor origins from the very opening of the movement.

CODA

The closing passage, from Letter S, provides the conclusion to the tonal argument of the movement, indeed the piece, in terms of A minor. The chromatic string phrases, which refer back to the end of the central section of the movement (that of mediation) and ultimately to a varied form of B-material (of parallel function in its implicitly greater stability), begin the process of distilling diatonic cadential outcome. The resolution on to E minor is significant in terms of the original D \sharp /E (leading-note/tonic) potential of the main motive acting, in large-scale terms, as dominant to the eventual A minor outcome, achieved for the first time sixteen bars later.

All the material used here has significant motivic associations with earlier passages, offering a sense of formal unity, whilst the pitch-classes involved have important tonal associations within the resolution they articulate. Thus the woodwind motives prove to be a minor-third version of those which indicated the first stage of the tritone key-conflict (see bar 79), an association which becomes explicit on the final page of the score when they are juxtaposed with their attendant descending-seventh figure, whilst their pitch-classes, D-F; F \sharp -A; G \sharp -B; form part of the A minor collection which is gradually being defined, though with some chromatic ambiguity surrounding the sixth scale-degree, F \sharp /F \flat , of respective harmonic or melodic scales. The two cells involved are significant:



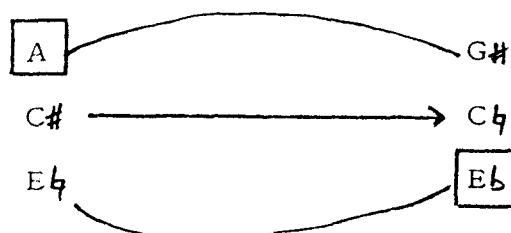
(x) being the tritone of an A major/minor collection and (y) being that of C major/minor - or the descending melodic minor scale on A, that is, appropriate to all the possible centres involved at this stage of the piece.

The cadential motion initially defining A minor (at bar 484) contains a considerable degree of chromaticism: an indication of its crucial underlying role within the progress of the movement. This observation gains significance as only eleven pitch-classes are used - D \sharp /E \flat is omitted. The ensuing chromatic phrase, (bar 485ff), from which A minor is distilled, underlines this point: the upper voice formed of the total chromatic except A \sharp /B \flat (which is, of course, present in the final chromatic statement, from bar 511), whilst the bass voice-leading concerns two cycles of fifths motion:

$\overbrace{F\sharp} - \overbrace{B} - \overbrace{E} - \overbrace{A} - D$ and $\overbrace{C} - \overbrace{F} - \overbrace{B\flat} - \overbrace{E\flat} - G\sharp$ ($=A\flat$)

respectively, from the A major collection emphasising its subdominant, D \flat and likewise from the E \flat major collection, the overall D to G \sharp interval being the common tritone between the two collections. The A-minor compromise between these two extremes is now spelt out in its entirety with cadential motion which neatly incorporates D \sharp ($=E\flat$) as a tonicisation of its dominant.

The chromaticism persists at the close of the piece with a final use of diatonic semitones, B \flat -C and G \sharp -A, from the A-minor collection. Looking back at the complete tonal scheme of the movement it can be viewed as a systematic projection of the chromatic crisis and resolution it generates at the close of the work. The centre of A major has been prolonged by means of implicitly stated, mediantly related areas: C \sharp minor and E major; likewise that of E \flat major, though using a descending arpeggiation, involving C minor and G \sharp minor; C major stands significantly in the centre. Diagrammatically represented, the relationship is chromatic:



and C \flat , therefore, literally becomes the mediator, the pivot-note, in the final A-minor outcome, whilst G \sharp - A and D \sharp - E

function as leading-notes to the tonic and the dominant pitch-classes.

As suggested previously, Sibelius' use of whole tonality originates in the exploitation of modal/tonal relationships: an essentially chromatic process in terms of collections involved. Thus, the function of whole-tone organisation within a diatonic system ultimately may be viewed quite logically as a systematic method of employing chromaticism to dilute, but not destroy, tonal outcome.

Contrast and Consistency

That the question as to why Sibelius should choose to write tone-poems has never successfully been answered can be immediately, but unsatisfactorily, explained: it has never really been asked. Why this should be so does however remain a curiosity worthy of some speculative discussion as a preliminary to analytical investigation.

The fact that the essential Sibelius, his position and standing as a twentieth century composer, rests upon, and emanates from, his achievements within the series of seven absolute symphonies is a widely held view which remains unchallenged, though no longer unsubstantiated, in this study. Similarly unchallenged (but not necessitating substantiation) is the view that the incidental orchestral music stands at the other extreme of his output, originating more for reasons of financial expediency than artistic experiment, and that somewhere towards the centre stand the tone-poems. However, there is something rather eccentric about a composer whose originality and ability successfully challenged, extended and resolved the complex incompatibility of Romantic feelings and Classical form - in a Neo-Classical symphonic solution - yet still wrote tone-poems right up to the end of his creative life.

Symphonic poems, as they are generally termed, originated during the nineteenth century in a corpus of compositions designed to satisfy Romantic notions of emotion, imagination and subjectivity in orchestral works which did not demand the apparent strictures of the Symphony in its precision, economy and objectivity - a means of departing from the 'constraints' of symphonic composition, as seen from the Romantic viewpoint. Such an attitude seems irrelevant to a composer like Sibelius whose very place in musical development rests on his ability to adapt symphonic methods to suit that very purpose whilst at the same time striving to preserve, yet renew, the symphony per se.

The presence of the tone-poems as an important part of Sibelius' total output must, therefore, be crucial in any understanding of Sibelius the symphonist, indicating that his achievement in the latter capacity exceeds the mere adaptation of Classical forms to Romantic ends. Reflecting a moment on the Romantic standpoint, it emerges that it was precisely that segregation between subjectivity and objectivity which Sibelius understood and reacted against. The Neo-Classicism of the Sibelian symphony may just as well be termed Neo-Romanticism in that it fused something of the intellect and economy of the Classical period with the emotion and extravagance of Romanticism, demonstrating that the distinction is far more apparent than real. Thus Classicism today cannot mean the same as it did in the eighteenth century any more than twentieth-century Romanticism reproduces the early nineteenth-century aesthetic. Yet for a composer of this period (1865-1957) who chose to continue to develop the Symphony proper this issue created a real stylistic dilemma at a time of universal uncertainty of expression.

A claim for Sibelius as the leading exponent of the twentieth-century symphony cannot rest merely on the reinterpretation of immediate, nineteenth-century models but gains credence from analytical evidence establishing the view that Sibelius gradually came to understand the essence of the symphony, the musical continuity and intellectual discipline envisaged in the Classical period, respecting that past, bringing it into the present and possibly prefiguring the future. The Third Symphony marks the turning point within the series of seven works initiating inter-related experiments in extended tonality and formal compression. At this time, Sibelius' view about the role of the symphony in the twentieth century was consciously articulate, verbally presented in the famous quotation from his conversation with Mahler in 1907 where he admired severity of form and profound logical connections between all its motives in contrast to Mahler's: 'the symphony should be like the world - all embracing'.¹ The Mahlerian view was, at that time, the more fashionable, directly pursuing late nineteenth-century ideals in symphonies which were essentially structural hybrids embodying many Romantic principles as expressed by the writers of symphonic poems:

the elevation of instrumental music to a higher level than that of opera, a genre previously considered to be the highest mode of musical expression.²

Sibelius' contrary view of the symphony, coupled with a comment of 1905 (that is exactly contemporaneous with the composition of the Third Symphony (1904-7) and the 'symphonic fantasy', Pohjola's Daughter) - 'I am no longer writing a symphony, rather a symphonic fantasy for orchestra. This is my genre!! Here I can move freely without the weight of tradition.'³ - presents again the original question about the purpose of writing tone-poems but with the intimation of a solution. Sibelius did not, after all, approach the problem of writing a symphony until the age of 34. He was deeply concerned about the essence of what constituted a symphony, worried about continuing in that vein and, like Brahms before him (a parallel to be developed later), had a tremendous respect for a tradition established by Beethoven. Thus, at the same time as formulating principles about the nature of symphonic composition, he sought some kind of outlet for an inherently romantic spirit which the compositional nature of tone-poems appeared to satisfy.

An understanding of Sibelius the man gives the final clue to this issue. A compulsively, even violently sensual man, for years a drinker of dangerous proportions, Sibelius was, at the same time, an ascetic and moral purist. The issue of a musical stylistic balance between Romantic and Classical ideals embodied in the symphonic series has previously been observed (see Chapter One) and subsequent analysis concludes in favour of a Neo-Classical solution where any significantly Romantic gesture, notably within the Fifth and Seventh Symphonies, is controlled by precision and concision of material : a thematic process of 'profound logic' ultimately articulates 'severity of form'. The real Classic and Romantic balance within the music of Sibelius, possibly emanating from a balance of personality, is not simply to be found in the symphonies themselves but is apparent in, if not responsible for, the inextricable relationship between symphony and tone-poem. These two types of composition, and Sibelius deliberately chose to highlight their contrast adopting the term 'tone-poem' rather than the more typical 'symphonic poem'

to emphasise their conceptual difference, do in reality complement, exhibiting an interactive parallel, each throwing light on the other.

Historical perspective, even basic chronology, is helpful here. What has been referred to as 'the essential Sibelius', the series of seven absolute symphonies, originates from Kullervo (1892) and culminates in Tapiola (1926). As examined in Chapter One, Kullervo may usefully be viewed as a mixture of symphonic processes (the three orchestral movements) framing tone-poetical ideas (in the two vocal interludes). It is a symphony, as Sibelius much later in life acknowledged, but in the Mahlerian sense of the term, standing in parallel with his 'Resurrection Symphony', not in the composer's own view of what epitomises 'symphony' hence its original title on the manuscript score: 'Tondichtung für Orchester, Soli und Chor'. The very fact that it is this kind of nineteenth-century structural amalgam emphasises its germinal importance for subsequent compositions, leading far more directly to En Saga which immediately followed it than to the First Symphony of some seven years later. Moreover, despite its genuine success after initial performances, Sibelius withdrew it completely, never allowing publication in his lifetime, as if instinctively aware that this was not the path he was to follow.

A similar situation surrounds the history of En Saga. The composer found the original version unsatisfactory, withdrawing it for revision which was not completed until 1901, that is, after the completion of the First Symphony and during the composition of the Second. A comparison between these two versions, essentially revealing greater structural control and precision in the later version, sheds some light on the relationship between symphony and tone-poem. Analysis of subsequent, but pre First Symphony works does likewise. The Four Legends (the Lemminkäinen Suite), op. 22, were, later in the composer's life after the symphonic music itself had made the distinction clear, referred to, by Sibelius, as constituting a symphony - a claim which necessitates critical investigation.

CHRONOLOGY

SYMPHONY

TONE-POEM

Kullervo, 1892En Saga, 1892, rev. 1901The Swan of Tuonela, 1893/97Vårsång, 1894Skogsräet, 1895Lemminkäinen Suite, 1895/97Finlandia, 1899

First Symphony, 1899

(Revision of En Saga)

Second Symphony, 1901-2

Pohjola's Daughter, 1906

Third Symphony, 1904-7

Nightride and Sunrise, 1907The Dryad, 1910

Fourth Symphony, 1911

The Bard, 1913/14The Oceanides, 1914

Fifth Symphony, 1915/16/19

Sixth Symphony, 1923

Seventh Symphony, 1924

Tapiola, 1926

(Eighth Symphony, completed by 1929)

This chronological table of the parallel evolution of symphonies and tone-poems indicates their mutual historical position: roughly half the tone-poems were composed prior to the First Symphony, demonstrably providing a link in stylistic change from Kullervo to that 'absolute' work; the remaining examples surround particular symphonies, often being composed simultaneously, so that strong analytical links emerge between the two genres.

The ensuing investigation of the concept that the later tone-poems in some way exhibit experimental techniques which are to influence processes found in their companion symphonies is not meant to undermine the value of these compositions, particularly as the process works both ways. Thus, although The Dryad (1910) can, with remarkable directness, be seen to have prefigured material worked in the Fourth Symphony

EXAMPLE 46

TONE-POEM AND SYMPHONY

Extract from THE DRYAD (1910)

Bars: 12 - 15

Extract from the FOURTH SYMPHONY (1911)

First Movement, Bars: 29 - 34

(1911) - see Example 46 - the structure of The Bard (1913-14) clearly bears consequences of that intervening symphony, notably that of its opening movement. Tapiola, Sibelius' last major work, has often been considered in parallel with the one-movement Seventh Symphony which immediately preceded it, the genesis of both works occurring simultaneously. Like Kullervo, which initiated the whole corpus of music under investigation, Tapiola raises, full circle, the question of distinction between symphony and tone-poem, even to the extent of being dubbed 'Sibelius' Eighth Symphony'.⁴

It is undoubtedly possible to view Tapiola as the ultimate stage in symphonic compression, reducing the role of contrast and resolution within the Seventh Symphony to that obsessive concentration on different aspects of one idea. However, precisely because of the absence of dialectical and dynamic force associated with symphony, Tapiola cannot really be considered to be of the same generic origins. In technical terms, formal compression which characterises the evolution within the series of seven symphonies has been shown to be related to tonal experiment and the factor which ultimately distinguishes these two pieces is the lack of modulation in Tapiola in contrast to its structural role (though even then concerning resolving tension rather than initiating argument) within the Seventh Symphony. The unclear distinction remains, illustrated by the composer himself in his original title for the latter work, Fantasia Symphonica, which raises parallels with Pohjola's Daughter (now considered a tone-poem) which initiated the second distinct stage in the production of symphonic poems.

Sibelius' own words (as quoted by Karl Ekman) help clarify the situation though their historical context is of equal interest in the present discussion:

'I was uncertain whether I should begin on the fifth symphony. I have, indeed, had to suffer a good deal for having persevered in composing symphonies at a time when practically all composers turned to other forms of expression. My stubbornness was an eyesore to many critics and conductors and it is really only in recent years that opinion has begun to change. Perhaps the name injured my symphonies, but once they represent what I understand under the idea of a symphony I could

not very well provide them with labels that would give a wrong impression of what I aimed at. The current idea had to be extended.

'I do not wish to give a reasoned exposition of the essence of symphony. I have expressed my opinion in my works. I should like, however, to emphasise a point that I consider essential: the directly symphonic is the compelling vein that goes through the whole. This is in contrast to the depicting.'⁵

The distinction between symphony and tone-poem is, therefore, a conceptual one, rather than one where these types of composition exhibit mutually exclusive musical processes. The terminology itself illustrates this: 'tone-poem' being simply a descriptive term, 'symphony' a generic one. Consistency lies less within the tone-poems considered as a group of compositions but more between their different conception in comparison with symphony. The origins of the earliest tone-poem, En Saga of 1892, begin to indicate some of this contrast in conceptual intention. Sibelius, at the age of 70, told Erkman:

'After the success of Kullervo, Robert Kajanus pointed out to me how desirable it was to have a piece by me in the regular repertoire of the orchestra written for the general public and not making too great demands on their powers of concentration and comprehension. This would be an advantage both for the orchestra and for my popularity as a composer, Kajanus said. I was not at all disinclined to write a piece in a more popular style. When I got to work I found that some notes I had made in Vienna were very suitable for adaptation. In this way En Saga appeared.'⁶ Twelve years later Sibelius was to deny this story (possibly due to his subsequent lack of affection for Kajanus) so as not to undermine this famous work. Nevertheless the composition of music offering more popular appeal was a significant factor in the genesis of the early tone-poems. The most extreme example (outside the incidental orchestral music which undoubtedly belongs in this category) is the tone-poem Finlandia.

Composed in a wave of nationalist fervour, after Russia had rescinded Finnish autonomy in 1899, contemporary with the First Symphony, this outburst of blatant Finnish

jingoism would seem to highlight the distinction rather than similarity between tone-poem and symphony (its banal musical content is unworthy of serious analytical investigation - hence its exclusion from this study!) and in this respect, and only on this level, Finlandia is exceptional. However, present critical orthodoxy has remained suspicious of programmatic intent, especially of the nationalistic variety, and assessment of Sibelius' ability has suffered from the very accessibility of much of his work. Comparison between the two versions of En Saga reveals something of compositional technique and self-criticism and assigns to the work some credit for skilled craftsmanship, notably in control and pacing of modulatory freedom over wide-ranging tonal relations and in orchestration, both of which were to play an important role in mature symphonic style. Nevertheless, critical acclaim for this piece, despite subtleties of technique, will remain limited simply because of the nature of the material itself: its simplistic and predictable melodic content is striking, though merely as a succession of rather 'trite' tunes.

Nationalism, however, constitutes an important force behind the genesis of many of the (early) tone-poems, Sibelius drawing on Finnish mythology, notably the Kalevala, as a source of compositional inspiration. Despite this and its manifestations in characteristic melodic/rhythmic units reflecting Finnish speech (the verse-rhythms of lines from the Kalevala give rise to a parallel musical solution existing in Runic folk-melodies) Sibelius, even if absorbing the metre and cadence of the runes, was not concerned with simply manipulating pre-existent folk-song material. What is of interest melodically is the use of modality, its effect on the tonal organisation of early pieces and the repercussions this was to have in the extended tonal language of Sibelius the symphonist.

That a sense of Nationalism played an important role in these early pieces is undeniable but it occurred in conjunction with another important factor, in turn related to previous issues concerning the Romantic aesthetic of the late nineteenth century, which is more significant. The 1892 performance of En Saga was less than successful and led

to considerable self-doubt and deliberation for the young Sibelius, hence the delay of seven years before its revision. During the summer of 1893, he drew up plans for the composition of an opera entitled: Veneen luominen (The Building of the Boat) based on an episode from the Kalevala. A letter from Sibelius (July 8th, 1893) to J.H. Erkko, the poet who was to collaborate in the preparation of the libretto is of interest in the present discussion:

'But first I must tell you of the conclusion I have been forced to reach concerning the role of the music - and not without considerable pain. I believe that music alone - that is to say, absolute music - cannot by itself satisfy. It arouses feelings and emotions, but there is always something left unsatisfied in our souls. Music is like the wife who needs the husband in order to become pregnant, and music's husband is poetry. Music can reach its true power only when it is guided by poetic meaning - in other words, when music and poetry are united. Then the obscure atmosphere that the music has aroused can become clear, and the words, even though magnificent in themselves, take on a greater meaning!'⁷

8

Johnson explains the apparent anomaly of this statement by the architect of seven absolute symphonies in terms of the composer's experience at the time - the success of Kullervo, guided by poetic meaning, the failure of En Saga which had no programme beyond its vague title - but there seems to be more to the issue than that. The most significant clue to the composer's attitude seems to have been overlooked. Despite the 'success' of Kullervo, Sibelius withdrew the work and never allowed publication, indeed the piece had to wait until 1958, one year after the composer's death, for a revival. Also the dissatisfaction with En Saga was only temporary: it was at least revised, not simply suppressed.

Sibelius had a strong desire to write opera, particularly in the early stages of his career, and something comparable to the Wagner Ring cycle drawing on the Finnish mythology of the Kalevala seemed an ideal subject. However, his relationship with Wagner was an uneasy one, directly parallel with that of Brahms to Beethoven regarding the symphony, and although the influence of Wagner always remained (consider the numerous references to the Tristan-chord

in analyses) the desire to produce first-rate Sibelius and not second-hand Wagner prevailed. The projected opera never materialised, rejected in favour of purely orchestral composition so that the only surviving product of this effort was a piece conceived as its overture, The Swan of Tuonela, 1893. This found its place within a collection of four tone-poems, The Lemminkäinen Suite, op.22, directly inspired by that originally operatic conception based on the Kalevala.

The Swan of Tuonela is undoubtedly Sibelius' earliest masterpiece (despite its unreserved popularity) and does more than simply raise the possibility of tone-poems conceived as substitute opera, as analysis of its musical processes reveals a startlingly original use of harmony which extends traditional criteria of chord-function. Its technique, on this level, finds its acme in the A-minor tonality of the Fourth Symphony, a work also concerned with the environs of death though on a more personal level.

Detailed investigation of this piece suggests another parallel of interest: the methods of Debussy. The Swan of Tuonela (1893) is directly contemporaneous with L'après midi d'un faune (1892-4) and may even be viewed as the Finnish equivalent (or perhaps L'après midi is the French equivalent!). The parallel takes on significance in two areas: Wagnerian influence and programme music. In the relationship with opera, or more precisely Wagner, the music of Debussy offers an interesting correspondence with that of Sibelius. The latter's attitude emerges quite clearly as that of a young composer embracing this aesthetic (as witnessed in the letter of 1893) only to reject it through the composition of seven absolute symphonies: an achievement completely at variance with both Wagner and Debussy. Towards the end of his composing life Sibelius was to make the position clear:

'Since Beethoven's time all the so-called symphonies, except Brahms's, have been symphonic poems. In many cases the composers have told us, or at least indicated, the programmes they had in mind; in others it is plain that there has been some story or landscape or set of images that the composer has set himself to illustrate. This is not my idea of a

symphony. My symphonies are music conceived and worked out in terms of music and with no literary basis. I am not a literary musician; for me music begins where words cease.... A symphony should be first and last music. Of course it has happened that, quite unbidden, some mental image has established itself in my mind in connection with a movement I have been writing, but the germ and the fertilisation of my symphonies have been solely musical. When I set out to write tone-poems it is a different matter. Tapiola, Pohjola's Daughter, Lemminkäinen, The Swan of Tuonela, are suggested to me by our national poetry, but I do not pretend that they are symphonies.'⁹

Thus the composer's distinction, made late in his life (1934), between symphony and tone-poem is defined but not really clarified and the position ascribed (solely) to Debussy's L'après midi in the development of the tone-poem in general is directly relevant. Hugh Macdonald in The New Grove¹⁰ says of the Debussy work: 'it is explicitly decorative, not narrative, and the originality of its idiom, its tonal ambiguity, the delicate, fragmentary orchestral style look forward to a new world of musical expression'; this comment could be applied to The Swan of Tuonela with comparable validity. To suggest that Sibelius' music in the tone-poems could be better described in terms of 'impressionism' rather than programme music may simply create a further ambiguity of terminology. The parallel between Debussy and painting, for instance, is now less readily accepted and that with symbolist poetry has gained credence in the light of more recent research. Painting and Sibelius' tone-poems, the 'depiction' to which he himself referred, remains a valid parallel particularly as biographical evidence shows the composer commenting on the years 1892-1895 as his 'symposium' period. The name is taken from the title of a painting by his friend Akseli Gallen-Kallela who was completing a highly-stylised conception of Lemminkäinen's mother, revealing a preoccupation with colour, texture and spacial relationships, at the same time as Sibelius was producing his Lemminkäinen Suite. This descriptive relationship is relevant throughout the tone-poems as a whole so that Arnold Whittall,

despite earlier references to 'an Eighth Symphony', says of Tapiola: 'there is no genuine symphonic progress through argument to resolution, but, instead, the exploration of a landscape seen in a single frozen moment: a painting'.¹¹

The programmatic extent of the Sibelius tone-poems is a further issue which must be briefly discussed. Those who wish to indulge in the game of writing programme 'analyses' - originating in the writings of Gray, Newman and Ringbom¹² - do so with the aim of popularising the music in question, making it more accessible to a wider public. In so doing, on the one hand they unwittingly acknowledge the origins and purpose of such programmes whilst on the other do considerable disservice to the musically self-contained structures of these works, which will be examined in the ensuing analysis. Even as recently as 1983, in Burnett James' book on Sibelius,¹³ the problem recurs: 'The music of Pohjola's Daughter follows the programme in some detail, unlike most of the other tone-poems which evoke mood and atmosphere rather than essaying direct narrative. In this respect it stands nearest to Richard Strauss's Till Eulenspiegel or Elgar's Falstaff among other compositions of its period.'

Although this at least acknowledges that the majority of the tone-poems are not programmatic, the piece in question cannot be seen as 'essaying direct narrative' in the light of new historical evidence. Erik Tawaststjerna has not only shown that the music of this piece was intended for another (Luonnotar, an operatic conception for solo voice and orchestra) but that the 'programme' for Pohjola's Daughter was actually suggested to Sibelius by his publisher, Robert Lienau, after the piece had been completed. Similarly, the famous quatrain which prefaces the score of Tapiola was written by Sibelius, at the request of his publisher, when the work had been finished, in order to clarify the meaning of its title - not as either narrative or a kind of descriptive 'analysis'.¹⁴

Inspired by extra-musical considerations, appropriately atmospheric and evocative in their execution, the tone-poems do not stand as narrative, programmatic works in

any sense of that generally accepted (nineteenth-century) term, as analysis of their individual (and independent) structures demonstrates. It is, after all, writers who do not themselves produce any deep degree of analytical thinking who have opted for the opposing standpoint. Moreover, it was at the time of Pohjola's Daughter that Sibelius made his comment about 'structural freedom' that this genre provided, a view which is hardly consistent with adhering, rigidly, to some kind of programme. The desire to move away from 'traditional' constraints presumably included those of the nineteenth-century symphonic poem as well. Beyond explicitly Finnish extra-musical inspirations for the majority of the tone-poems is another factor which deserves consideration in relation to programmatic intent. The Oceanides, 1914, which has no programme, draws on Homeric mythology revealing, as a unique direct example, Sibelius' passion for Greek and Latin classical culture and art. An element of the autobiographical emerges here: the composer's life- and world-view of the Greek idea concerning the conquest of pessimism through art. The Oceanides may, stylistically and conceptually, be paired with the earlier work, The Dryad, 1910. The latter directly prefigures the Fourth Symphony, the former the Fifth, two symphonic works of great stylistic contrast which may well represent that very issue as relevant to the composer's life. Much of the extreme experimental nature of the Fourth Symphony arose from Sibelius' preoccupation with the overriding threat of impending death; the Fifth Symphony, which was to necessitate considerable revision involving a classical sense of formal compression, was written for his fiftieth birthday and undoubtedly hurried for that occasion.

Reconsidering the purpose of the early tone-poems, the Lemminkäinen Suite directly grew out of an operatic conception controlled by more absolute criteria. Thus, it may be viewed as bridging the gap between the Romantic structural amalgam of Kullervo and the First Symphony which followed it. That Sibelius in later life should chose to refer to it as 'a symphony' intimates the important role the early tone-poems may assume in the transition from operatic to symphonic aesthetic. The uncertainty of this eventual path is indicated both by the delay in the applic-

ation of such a label and a significant event between the completion of the Op.22 Suite of 1895 and the Symphony of 1899 – Sibelius' only completed opera, The Maid in the Tower, 1896. Given the direction towards absolute music which Sibelius' composition was already taking, it is of no surprise that the opera remains unpublished and when once asked if the piece would be produced after his death, the composer replied: 'She will remain in the Tower and will not come out!'; (a limited edition of a 'private' recording recently 'issued' confirms the reasons for this dissatisfaction with the work). Once again the Debussy (Wagner) parallel emerges, the subject matter and chronology invite comparison with Pelleas and Melisande, 1893-95/1901-2.

Sibelius' interest in opera never really left him, yet his self-recognition as an orchestral composer took precedence. The issue, essentially aesthetic but also stylistic, epitomised in the Classical/Romantic balance of the symphonies and tone-poems, found resolution in the theatre music which he wrote throughout his life. That his final published work was neither symphony (the Seventh, 1925) nor tone-poem (Tapiola, 1926) but the incidental music to The Tempest, stands as a testimony to this fact and may indeed have had some part to play in the silence of the final thirty years and the problems surrounding the conception of the Eighth Symphony (particularly given the relationship between Tapiola and the Seventh), though this is not the time for renewed speculation on that score.

Stylistically, the tone-poems stand somewhere between the completely absolute music of the symphonies and the operatic conception of the incidental theatre music. As such they mediate between the two aesthetic and personal extremes which caused Sibelius so many problems. As far as the present study is concerned, such a collection of individual pieces defy the kind of subject-classification as applied to their generic counterparts, the symphonies. However, given the issues which have arisen from historical speculation and chronological perspectives, they divide into two stages:

Tone-Poems

prior to the composition of the First Symphony, showing something of the progress from Romantic external criteria to internal self-sufficiency; and

Symphonic Poems

which stand in direct parallel to their symphonic counterparts revealing some sense of mutual influence between companion pieces.

This self-imposed distinction in title is merely a matter of convenience, simply to underline the rather different conceptual and structural criteria at work. Whilst the progress of the tone-poems prior to the First Symphony essentially charts something of the evolution of symphonic method, that of the symphonic poems indicates degrees of experimentation which both prefigure and interact with developments in the symphonies themselves, displaying complementary tendencies in style and technique. The division of this study into 'Symphonies' and 'Tone-Poems' indicates their contrast whilst the consistency of their compositional technique is intimated through the corresponding analytical method employed.

CHAPTER SEVEN THE TONE-POEMS

To begin an investigation of Sibelius' tone-poems with En Saga is to start in the middle, as it were, as its definitive version was completed some nine years after the original conception. However, this most extreme example of recomposition is appropriate in the present context as it immediately highlights the whole question of correspondence between symphony and tone-poem which is to provide the framework for the remaining discussion.

EN SAGA

Composed in 1892, En Saga, the first in the series of tone-poems, pursues ideas formulated during the composition of Kullervo and, despite its revision of 1901-2, the materials used ultimately designate it a stylistic place alongside that companion 'symphony'. With both versions of the piece being available (the original only in an unpublished score) much has been written by way of comparative analysis with Nils-Eric Ringbom's study of 1955¹ remaining the most comprehensive and the source of later observations. An examination of both versions of the work in relation to Ringbom's article (its diagrammatic conclusion and English summary) confirms the accuracy of his factual observations though, in the light of more recent analytical thinking, questions his criteria for discerning 'modulation' as this appears to compare harmonic and tonal events as if part of the same structural level. It is not the purpose of the present study merely to reproduce those findings but more to consider Ringbom's conclusions, in conjunction with selective analytical observations, as the starting point for the discussion of new ideas concerning Sibelius' stylistic development between 1892-1902 in general and the relationship of tone-poem to symphony in particular.

The main differences between the two versions may be summarised as follows: the second version has been condensed from 952 to 810 bars with the number of tempo changes reduced

from 18 to 6. Nevertheless, the piece remains the longest of all the tone-poems adding to the validity of a stylistic placing alongside Kullervo which corresponds in symphonic terms. The frequency and number of modulations has diminished (Ringbom defines 48 in the first version, 34 in the second) with proportionally a far greater emphasis on the central key of the work, C minor, and the overall effect is of an increased sense of tonal uniformity in the revised version. The corresponding increase in length of unbroken pedal points and decrease in passages of rapid harmonic change (particularly those of a mechanical sequential nature) support this view. Coupled with this, a greater consistency in thematic treatment, variation, combination and development of material, and the elimination of particularly incongruous elements (the sole appearance of one passage of new material) contributes to a new sense of structural unity which characterises the process of revision.

This new feeling for proportion, control of tempo and the rate of harmonic/tonal change in conjunction with a clarification of thematic process seems, in hindsight, to be the product of Sibelius the symphonist applying new-found technical assurance, gained from the composition of the first two symphonies, to this earlier piece. Such an observation can only remain speculative even though the composer's preoccupation with elements of unity and coherence obviously stem from that position; even if the revision of En Saga is arguably a process of making the piece 'more symphonic' it is certainly not one of transformation (the work definitely remains a tone-poem) but simply illustrates how developments in one genre play some part in the other. Historical fact supports this balance as, after the revision of En Saga, Sibelius' next major orchestral composition was Pohjola's Daughter, a 'symphonic fantasy' for orchestra, and his strong feelings at this time about the value of writing tone-poem rather than symphony have already been quoted, evidencing the distinction between the two types of composition.

Considering each area of the process of revision in relation to analytical observations from the definitive version of the piece, the issue of distinction and relationship between tone-poem and symphony at this stage in Sibelius'

career can be re-assessed.

Formal Compression

The reduction in the size of the piece and in its number of tempo changes are connected, aiding a sense of one continuous structure rather than a multi-sectioned work. In terms of the symphonic poem in general this has two effects: firstly it indicates some kind of move away from the late nineteenth-century model of Liszt and Strauss (Sibelius had been impressed by a performance of Don Juan he had heard in 1899) in that these works, as a rule, have built-in sections of contrasting tempi associated with the traditional movements of a symphony; secondly, blocks of fluctuating tempo assign to the piece something of a narrative quality appropriate to the programmatic intentions of those composers which would be at variance with Sibelius' attitude. There is some factual evidence in support of these conjectural statements: the largest passage to be removed in revision, that containing new material as mentioned above, had the effect of creating an independent interlude comparable with the multi-sectioned principle of late nineteenth-century examples; Sibelius consistently denied all attempts to impose programmatic 'meaning' on the piece, referring to it as 'atmospheric', and in the 1940's he was to state that he found all literary explanations quite alien to its conception.

Tonal Organisation

The reduction in the number of modulations and increase in the length of pedal points has the effect of greater control of tonal organisation. Ringbom is concerned with justifying the 'paradox' that an increase in tonal uniformity at the expense of tonal diversity is considered as a gain: 'The bold tonal single-mindedness, not to say obstinacy, stands out as both more audacious and, in its effect, more exciting than the greater richness of modulation in the first version'. However, something of the 'audacity' and 'excitement' is overlooked in that his observations are made in relation to the preconception that the piece displays clear elements of sonata-form thinking which in fact completely contradicts the actual tonal principles in operation.

Summarily, throughout the work there is evident concern with contrast, mediation and eventual balance between passages of tonal stability and instability which is not confined to component stages of a formal outline as is the case in Sibelius' sonata structures of this time. Instability is created in passages with a relatively fast rate of harmonic/tonal change in complete contrast with those which clearly prolong the stability of one key. Mediation is provided through the dual function of pedal points either as a tonal anchor supporting attendant figuration or as a basis against which harmonic 'motion' creates a feeling of tension. Balance is achieved by exploring the relationship between clearly-defined keys through an adroit use of pivot-notes so that the essence of sonata principle, the presence of key-conflict and its resolution through transposed restatement, is deliberately denied during the progress of this piece.

Gradual movement from instability to stability can be illustrated in an overview of the opening stages of the work. The introductory bars contain a number of keys (or potential keys) of fluctuating tonal allegiance: A minor initially, a possible C major/minor of the new texture of bar 9ff, the $A\flat^7$ sonority of p.3 of implicitly dominant function enharmonically realised in the C \sharp minor of the main theme (p.6ff) and its reappearance at the transposition of a semitone in the contextually defined D-Dorian of p.11ff. Accelerating tempo and an increase in chromaticism leads to the second main theme, Allegro, (p.18) as instability gives way to ambiguity in a passage exploring mediant ambivalence between D/F centres in a search for more stability. From letter F this begins to be achieved in terms of a diatonic E \flat major though only as a preliminary to exploring its relationship with C minor as the shift in pedals indicates; the reappearance of that E \flat pedal (from p.29) is to coincide with a new theme at letter H which confirms C-minor stability.

However, it is the persistence of the pedal point which undermines this, initiated by the new ostinato figure (from p.32) which ushers in a reappearance of the C-minor theme, newly harmonised, to articulate a balancing tonal

move back to Eb (see letter K) with its attendant thematic material. The tonal compromise between this Eb major/C minor relationship concerns Eb minor which first appears on page 39, prefiguring the final tonal outcome of the piece.

It is the large-scale reappearance of the Eb-major associated theme in the key of C minor (see p.60-61) immediately followed by the contrasting thematic element still in its original key which has led to the numerous conclusions concerning sonata form. Undoubtedly two contrasting themes reappear in the same key (though traditionalists seem to overlook that this is the second(ary) tonality, C minor) but the 'Eb-major theme' is not transposed - merely reharmonised - undermining any sense of sonata thinking in favour of exploring the relationship between tonalities, rather than their contrast.

The reduction in the amount of tempo change in this definitive version elevates its significance so that the return to a slow tempo at letter P (with a clear recall of an element from the introduction), the subsequent acceleration to the Allegro molto (p.66) and the reappearance of the first main theme in this tempo are very striking. The purpose of this part of the revision concerns tonal organisation; the theme on page 67, in comparison with the model of page 6, could be assumed to be G minor, though its new context defines that G $\frac{4}{4}$ as the dominant of C minor. This G $\frac{4}{4}$ pedal, balancing the earlier one on Eb, creates the final sense of tension prior to the stability provided by the Eb minor of the Coda in its tonal compromise between the C minor/Eb major issue. Overall, the tonal motions within the piece are primarily concerned with the intervals of minor-thirds and semitones epitomised by that closing key; the process of refinement which characterises the revised tonal workings of the definitive version clarifies that schematic layout.

The revised tonal organisation of En Saga shows how symphonic techniques of control, pacing and balance have been applied to tone-poetical effect in an exploration of key-relationships rather than conflict. Conclusions regarding 'tonal single-mindedness' and 'loss of tonal diversity' result from comparison with the sonata model whereas

(i) (a) (b) (c)

THEME A1 (Page 6)

THEME A2 (Page 11)

THEME B (Allegro, p.18) Juxtaposed with Theme A2

Continuing Phrase = model: theme A2 (second phrase)

THEME C (Page 26) (b) (b)

Answering Phrase: Close derivative/Theme B;

THEME D (Page 30)

(vi) (Pages 58-59) From Theme D
Theme C (Just after Letter P)

(vii) (Page 81) Synthesis of Elements (Page 82)

the main purpose of the revision seems to have been to provide a clearly articulated structural outline which is independent. Just as an overview of the five-movement plan of Kullervo revealed a balance of symphonic and tone-poetical ideas, En Saga, in the relationship between the nature and effect of its revision, displays a complementary process.

Thematic Process

If the tonal reorganisation is viewed as redefining symphonic principles for tone-poetical ends, the revision of thematic process, curtailing the number and variety of shapes and removing mechanical sequential repetition, more directly displays evidence of an organic technique in parallel with that of the early symphonies. Example 47 attempts to summarise that process and the following commentary provides additional information in order to illustrate the progress from implicit relationship, through juxtaposition, to eventual synthesis.

- (i) The three main motives of the introduction are extracted here and are to be used as the basis for later material: (a) semitone figure; (b) repeated note and characteristic rhythmic element and a scalic turn-figure which includes the semitone of (a); (c) perfect-fifth gesture, prolonging A_b^7 sonority so that both harmony and thematic shape prefigure the first main theme.
- (ii) Theme A1 assumes the perfect-fifth gesture and repeated-note characteristic from the above, outlining a contextually defined $C^{\#}$ minor. The absence of a leading-note (either B_b or $B^{\#}$) allows for alternative interpretation which is to be explored in the later tonal ambiguity of the piece and is the crucial factor behind the purpose of thematic synthesis.
- (iii) Theme A2 is a variant of the above at the transposition of a semitone; its re-shaped contour to include C_b ($b7th$) more clearly defines a D_b -based collection, the Dorian mode. It is the second phrase which is more varied, the presence of $G^{\#}$ as a chromatic neighbour-note, highlighted by being outside that collection, suggests something of its

origins in (a) above. Theme B, at the Allegro tempo of p.18, derives its shape from that second phrase and is immediately juxtaposed with the opening phrase of A2 so that its continuation, exactly the same as that model, makes the relationship explicit.

(iv) Juxtaposition of apparently contrasting elements such as to reveal their underlying correspondences is a feature of this stage of the piece and the subsequent block-like repetition of shapes, in a kind of changing background technique, pursues, what for late nineteenth-century Russian music is an essentially static process, in a more organic way; the new context not only highlights thematic consistency but helps define diatonic collections. Theme C illustrates this process. Its eight-bar phrase confirms tonal stability of Eb major and both its rhythm and something of the turn-figure type contour originate in the introduction, motive (b). The answering phrase is a close variant of the opening of theme B (itself explicitly derivative from that source) where the significance of the semitone (as the leading-note of an alternative key, C minor rather than Eb) is felt. The turn-figure which is bracketed in both cases is to prove to be the common denominator between these later, more contrasting, thematic shapes. Something of this process is intimated on p.39 in the combination of this theme, now in Eb minor, with the woodwind shape above which, in being devoid of theme C's rhythmic characteristic, recalls B. The correspondence in contour arises from chromatic alteration to accommodate the minor mode context; the two shapes in conjunction define the Eb minor collection.

(v) Theme D is the final, main element in this process and theoretically, in combination with theme C, could define the C-minor collection. The repeated-note characteristic, fixed number of pitch-classes over a small compass and folk-like simplicity are all consistent with other materials in operation. It is the turn-like figure (as bracketed) which is to become the most important element; once again this contains a semitone (exclusively so) of key-defining potential, particularly regarding C minor/Eb major. As part of the changing background technique, this theme is placed in

a variety of contexts each of which allows differing interpretations regarding key. For example, its placing in relation to the semitone motive of the introduction (a), see page 34ff, influences the tonal motion away from C minor and back to Eb. Concerning thematic synthesis, it is the turn-figure which is to be developed; on page 49, theme D is placed against a variant of an earlier ostinato element (which first appeared on p.32) which highlights that shape, influencing the progress of the theme itself.

(vi) The juxtaposition of themes C and D for key-defining purpose is illustrated in this extract where previous Eb-major associations of the former give way to the C minor of the latter. After the return to a slow tempo and the semitone motive (a) of the introduction (at letter P), it is the turn-figure element which is extracted, as shown on the diagram, to initiate the final climactic progress of the piece.

(vii) The reappearance of theme A1 on page 67 articulates that motion, during which its development re-emphasises the consistency between A1, A2, B and C elements. The final climactic moment of the work involves explicit synthesis of the B-shape in relation to the turn-figure common to all themes indicating their origin from the introduction, as suggested in the extract from page 81. The final detail of the diagram is from the point where the climax is curtailed (p.82) illustrating that synthetic process in the woodwind version of the turn-figure from theme D used to establish Eb minor.

This overview of thematic process reveals the clearest evidence of a technique which characterises symphonic concerns of the time, as was illustrated in the opening movement of the Second Symphony for example. Nevertheless, the simple and often less than distinctive contours of the material imply that the process here is considerably less subtle than such a parallel may at first suggest. Additionally, the method employed relies far more heavily on juxtaposition of elements to reveal relationships rather than on a technique of development or transformation as evidenced within the Second Symphony. It is only the turn-figure

which is subject to that kind of treatment and even then not consistently enough to outweigh this opinion. En Saga, therefore, lacks 'the compelling vein that goes through the whole', to use Sibelius' own distinction between symphony and tone-poem. Erik Tawaststjerna² has suggested various thematic correspondences between the material of En Saga and that of Kullervo and the folk-like, modal simplicity of the tunes used here and their nationalistic implications recall that model more closely. Once again, although the revision of En Saga displays related tonal and thematic concerns of a much greater structural control than the original, its stylistic place remains firmly in the 1890 - alongside Kullervo.

EXAMPLE 48

VÄRSÅNG (SPRING SONG)

Extract from the opening melody: perpetual variation of smaller units

Cantabile

mp

mf

f dim. p mf

pp cresc. poco a poco cresc. molto

f dim. p etc.

VÅRSÅNG (Spring song)

It was during the summer of 1893 that Sibelius became most involved with the music of Wagner and embarked on the composition of an opera, The Building of the Boat, a project which was to cause him considerable problems and which he was to abandon altogether by about 1895. Having sketched various ideas for this work, Sibelius simultaneously wrote several short pieces and a commission from the city of Vasa, a piece to be included in the choral festival there, prompted the composition of a small-scale work originally entitled 'Improvisation for Orchestra'. This early version included a final section in a Spanish dance rhythm which was removed prior to the Helsinki premiere in 1895 with the new title: Vårsång (La Tristesse du Printemps).

If there is any evidence to support Sibelius' comment that the composition of tone-poems arose from a desire to produce pieces in a more popular style, then Vårsång seems to provide it. An unassuming and gently lyrical work, it obviously reflects the occasion for which it was commissioned. However, it is of interest, not least because chronologically it coincides with the period when Sibelius was most consciously aware of Wagner yet demonstrates his ability to resist such an influence, though conversely 'it contains little that is genuinely Finnish but leans on the wider Scandinavian tradition of Grieg, Svendsen and Sinding'.³

The most immediately striking feature, distinguishing this piece from virtually all others in this study, is its unashamed use of unbroken melody resulting in an opening theme which is probably the longest in all of Sibelius' output. The structure of this melody (see Example 48) appears to be the product of its initial eight-bar phrase made into a sentence by adding another; then a further 16 bars, matching the earlier unit, plus an additional 8 leading into a reprise of the original 16, and so on. However, there are two features of interest in this: firstly, the ease with which one element flows into the next, arising from a kind of continuous development technique operating at

the four-bar level; secondly, superficially the phrase structure seems very square-cut but Sibelius goes to great lengths to counteract that, not only in that bars 8 and 16 are immediate repetitions, but by shaping a melody where the actual stresses created by its contour work against that metrical background. This simple device can be most striking, for example from letter K as shown in Example 48, where the background pedal and regular harmonic rhythm make this displacement all the more effective. It almost seems as if Sibelius deliberately emphasises certain formulae in order to derive maximum effect from defeating expectations which arise from assumed predictability. Thus, in a work of very conventional harmonic and tonal organisation, certain events become very effective: the chromatic harmony around letter G being one example. Here the D \flat bass acts as neapolitan to C \sharp which not only effects a brief excursion to F minor but is to have consequences, immediately in terms of the G \flat -major harmony of letter H, on the large-scale in the final climactic outburst (just after letter M) where the main thematic unit reappears as diatonic to that key prior to acting as neapolitan to the closing F major.

Vårsång provides something of an interlude in a period when Sibelius was experiencing something of a compositional crisis. At the same time it stands, along with its companion piece, Skogsrået (The Wood Nymph), as an example of a relationship between tone-poem and incidental music, a corpus of pieces deliberately composed during interludes between major compositions and designed for that specific musical purpose. Skogsrået (1895) has remained in the obscurity of manuscript (despite its opus number it was never published) and that score shows it simply to be an orchestral version of a melodrama based on a Rydeberg poem. Unlike any other tone-poem, it strictly follows the narrative of that literary work which in turn directly influenced its musical structure. The piece is of interest as an example of the extent of experimentation at this time, using Liszt's example as its starting point.

THE FOUR LEGENDS

The chronology of these four pieces, collectively the Lemminkäinen Suite, is relevant in the present discussion as it illustrates the stylistic crisis facing Sibelius at this time and intimates something of a turning-point in his career. When first performed in 1896, The Four Legends comprised Lemminkäinen and the Maidens of Saari, Lemminkäinen in Tuonela, The Swan of Tuonela and Lemminkäinen's Return. Sibelius himself explained that The Swan of Tuonela originally had served as the overture to The Building of the Boat which means that the piece dates from 1893, though how much revision it underwent is not clear. This piece and Lemminkäinen's Return were finally revised in 1897, appearing in print in 1900. The other two, however, were withdrawn and not performed until 1935, after which Sibelius modified minor orchestral details prior to their publication (delayed by the Second World War) in 1954. In the final version of the suite the order of the middle movements was reversed.

Three significant issues arise from this background and provide the context for the present investigation. The suite emerged during the period of Sibelius' greatest pre-occupation with the music of Wagner, directly emanating from the operatic project at the time; two of the pieces were withdrawn despite the recorded success of the first performance indicating the composer's evident dissatisfaction; the definitive version of 1935 reordered the pieces, placing The Swan of Tuonela second so as to correspond with the slow movement of a symphony, thereby supporting Sibelius' comment in later life that the Four Legends could be regarded as a Symphony. This history apparently implies progress from opera, through tone-poem, to symphony and although this is not literally the case, the Lemminkäinen Suite does display a curious balance between these elements, suggesting something of a change of aesthetic, (away from Wagner and towards the absolute symphony) which was to engender Sibelius' subsequent development.

Many of the elements which distinguish the sound-world of The Four Legends from that of En Saga or Kullervo, orchestration, pacing, gesture and harmonic detail, owe much of their origin to the influence of Wagner. After his visits to Berlin (1899-1900), Sibelius had become almost fanatically interested in the music and prose writing of Wagner, attending numerous performances and undertaking detailed studies of scores, and the concept of producing his own opera, based on the legends of the Kalevala, reached a peak in 1893. The extent of Wagnerian 'indoctrination' was apparent in the letter to the poet Erkko (quoted in the previous chapter) and Erik Tawaststjerna⁴ has detailed, through the composer's correspondence of the time, how Sibelius experienced increasing doubts about the project, gradually realising that he was not suited to follow in Wagner's footsteps as he had originally hoped. A letter to his wife, dated August 19th, 1893, stands as a testimony to this fact: 'I have found my old self again, musically speaking. Many things are now clear to me: really I am a tone painter and poet. Liszt's view of music is the one to which I am closest. Hence my interest in the symphonic poem'. In fact, the progress within each of The Four Legends is determined, not by following an exact literary programme, but by evoking something of the general atmosphere of the poem through independent musical structures. In this way these pieces do not directly follow Liszt's model yet neither do they completely embrace absolute symphonic criteria.

Lemminkäinen and the Maidens of Saari illustrates these issues in its atmospheric evocation of events of the Kalevala, points of climax which invite comparison with Wagnerian gesture set in a sonata-type outline where elements of development and restatement are telescoped into one section, twice as long as that of the opening. The use of harmonic and tonal language of overt romantic style placed in the context of a sonata outline proves an unhappy amalgam where the control of large-scale tonal workings seems at variance with other levels of formal proportion. Thus the first return to the main tonality of the work, Eb major at bar 261, initiates, by way of this brief return to the home key, the second stage of the piece; this comp-

rises a very long passage involving extreme chromatic harmony (elaborating the harmonic/tonal flux which had characterised the second subject, from letter H) 'searching' for tonal clarification which is constantly denied. Directed motion towards Eb-major outcome, only to move away from it, occurs too frequently and over too large a time-scale for the dramatic effect of this excessively long-paced (tonal) crescendo to be completely convincing. Despite this undoubted weakness, the attempt at combining Wagnerian pacing with symphonic form is of considerable interest given Sibelius' later experiments within the symphonies themselves.

The thematic workings of this piece display a careful integration of melodic ideas. Thus the climactic moment of tonal resolution, initiated by the recurrence of a Bb pedal (at bar 495, again at 510 and finally at 530), coincides with explicit thematic synthesis of involving the main element from the second subject (the overtly romantic gesture from letter H) and two prominent motives from the introduction (bar 18ff). However, this thematic relationship had already been made clear during the first passage of transition; the viola entry of bar 99ff, echoed by clear statements of introductory material (Largamente, letter G), articulates the modulation to F# minor for the second subject by prefiguring its melodic contour. Although the parallel between thematic integration and tonal argument is neatly systematic, occurring at the first structural modulation of the work and recurring at its point of tonal outcome, the main climax merely underlines the explicit - on both levels. The characteristically Sibelian process of thematic synthesis in this early work is closest to that observed in En Saga in that the elements involved are not sufficiently contrasting at the outset for their conflation to be meaningful; the total effect is more of confusion than clarity. Like En Saga, Lemminkäinen and the Maidens of Saari was withdrawn (though not substantially revised) indicating Sibelius' own dissatisfaction with the piece. Nevertheless its importance should not be overlooked as it marks a turning point in the processing of Wagnerian influence towards symphonic ends.

Lemminkäinen in Tuonela, its companion piece, is much more successful in its finely-judged proportions of a large-scale ternary design, use of modality and simple thematic elements, of a more folk-like nature, treated in a far more characteristic manner. The overall structure of the piece, in contrast to that of Lemminkäinen and the Maidens of Saari, is reflected on the small-scale by the use of clearly defined subsections which constitute its first part, articulated by tempo and contrasting texture; these indicate tonal/harmonic change and thematic contrast or development. The use of the minor mode prefigures later interests in its exploration of tonal ambiguity through the variant nature of its upper tetrachord. The opening string-tremolando passage illustrates this, being fundamentally concerned with tonal motion from C \sharp to the F \sharp -minor centre of the piece but deliberately blurring any progressive effect. The texture contributes to this effect in its overlapping entries based on C \sharp and F \sharp ; the initial C \sharp -minor collection is incomplete as no leading-note appears until bar 14 where it is flattened (B \flat) so as to intersect with F \sharp minor (4); the modal nature of that collection (Dorian #6 and 7) continues this process using D \sharp and E \sharp initially; the point of F \sharp -minor clarification occurs at bar 23 where D \flat is used for the first time, emphasised by contour and dynamic, though the characteristic flattened-seventh degree always prevails.

Abrupt key-change is used to striking effect as in the move to the 'central' section of the piece which is simply achieved by a 'thematic transition' into an assumed A minor passage. From bar 186, the cor anglais motive, reshaped by the clarinet, becomes the string figuration of a repetitive, folk-like (Runic) nature. Such a wholesale shift into a new key recurs during the course of this section in conjunction with scale-degree ambiguity surrounding the minor mode. The white-note A-minor collection (descending melodic) gradually gives way to an increasing use of F \sharp (Dorian mode) and thereafter G \sharp (ascending melodic) which, as leading-note, adopts a pivotal role functioning as V to the C \sharp minor of the next subsection, Piu lento, page 39. The return to the opening material, Largo assai, page 44, is equally abrupt through a similar use of pivot-notes.

The recognition of certain properties of the minor mode, even to the extent of some whole-tone related harmonic/tonal shifts, prefigures ideas which were to occupy Sibelius throughout his compositions (Tawaststjerna points out the prominent use of the tritone and acoustic scale, at letter H, for example) whilst suggesting something of their origin: Runic folk-song and late nineteenth-century tonal ambiguity. The Wagnerian influence however, is still directly present — consider the brass outbursts involving Tristan chords at the Largamente assai (page 14 and corresponding places) — and Erik Tawaststjerna correctly suggests that the excessive reliance on sequential progression is more closely reminiscent of Liszt than in any other Sibelius work.

Much has been written about the final piece of the suite, Lemminkäinen's Return.^s This displays a fundamentally characteristic Sibelian technique in its use of a tiny germinal cell at the opening which is subjected to a process of continuous transformation and thus over-rides any sense of clear-cut sectional delineation that the rondo form might otherwise suggest. The final affirmation of E \flat major, from the Quasi Presto on page 59 through the well-paced 'accelerando' to the end, is remarkably prophetic of things to come: the (much revised) ending of the first movement of the Fifth Symphony. It is, perhaps more than anything else, the presence of this rondo-finale type of piece which lends weight to the idea that the Four Legends correspond with the movements of a symphony. Thus, in the final order, Lemminkäinen and the Maidens of Saari constitutes a sonata-allegro preceded by a slow introduction, The Swan of Tuonela functions as a slow movement and Lemminkäinen in Tuonela has something of the schematic, three-part design of a Scherzo though this commonly held assertion demands a much qualified view of a Scherzo, given the prevailing mood of this piece. However, the overall key-scheme, considering later concerns for a tonal cycle operating over an entire work, would support the symphonic view: E \flat major — A minor — F \sharp minor — (C minor)/E \flat major, displaying minor-third relationships which so often characterise internal key schemes of the component pieces. Ironically, it is the original order of the 'movements' which would make this more schematic: E \flat — f \sharp — a — (c)/E \flat .

On reflection, the Four Legends exhibit an interesting balance between tone-poetical and symphonic thinking and one which Sibelius seemed unsure about. At the time of their first performance Sibelius did not employ any kind of symphonic title, in fact he withdrew two of the pieces leaving the others clearly as tone-poems, and at no later stage was such a title adopted. It must, after all, be noted that Sibelius' remark that both the Four Legends and Kullervo could be regarded as 'symphonies' was made long after he had established himself as a leading exponent of the absolute symphony. If the question of tone-poem versus symphony remains equivocal, that of Wagnerian influence as a generating force in the formulation of Sibelius' style, a process which was to culminate in directly symphonic composition, can be demonstrated through a detailed analysis of the most successful of these early pieces - The Swan of Tuonela.

THE SWAN OF TUONELA

As possibly the earliest masterpiece in Sibelius' orchestral output, The Swan of Tuonela stands as a personal statement of what may be viewed as a conflation of Wagnerian influence and Debussyian method. The chronology, this stylistic background and the originality of the work are of particular interest regarding the whole issue of historical influence and individual response. ^{The piece was} Originally intended as the prelude to an opera, a project ^{which} Sibelius felt unable to complete. Its history intimates something of Wagnerian aesthetic, embraced yet transformed, inducing a process of self-discovery out of which many characteristic elements of Sibelius' style clearly emerge.

With its death and water symbolism, The Swan of Tuonela conceptually owes much to Wagner and the ever-changing A-minor sonority which opens the work may well follow something of the example of the Lohengrin Prelude. Erik Tawaststjerna⁶ argues that had Sibelius not heard the shepherd's 'alte Weise' in the third act of Tristan, it is unlikely that he would have conceived the work throughout in terms of a cor anglais sole. Correspondences between characteristically Sibelian, long, asymmetrical, non-stanzaic melodies and Wagner's unendlich Melodie are only superficial; the present example is of a gently flowing line without the frequent points of melodic climax found in Wagner and predominantly diatonic, rather than chromatic. Relationships with Debussyian method concern harmonic issues; by considering the piece as primarily monodic, underpinned with 'colouring' triads, something of Debussy's parallelism emerges. Parallelism, in the general sense of Debussyian Sibelian style, is of interest as their independent absorption of Wagnerian influence (Sibelius not knowing any music of Debussy's at this time) suggests that Sibelius was to formulate a progressive, individual style from nineteenth-century origins; a view assigned to Debussy in the wake of analytical research but, as yet, denied to Sibelius. Instead, analyses have tended to examine the piece in terms of a musical realisation of pictorial imagery which is to avoid

any discussion of the specific compositional techniques employed and evade the larger stylistic question.

Erik Tawastjerna's conclusion to his descriptive account of the piece provides the starting-point for the present discussion: ~~'No doubt the attempt could be made to analyse 'The Swan' formally and contrive some textbook formula but it would not do it justice. The overall impression it leaves is of an organic entity within which the musical line flows freely and rhapsodically but is subjected to a strong inner discipline'.~~ These two statements are not as mutually exclusive as the author intimates, given current analytical thinking. Certainly analytical contrivance of a 'textbook formula' is neither desirable nor appropriate but some investigation of the 'strong inner discipline' of the piece which results in Tawastjerna's impression of 'an organic entity' is required in order to rationalise intuitive response through the consideration of the musical evidence which engenders such personal feelings.

The Swan of Tuonela provides the earliest example of a compositional technique which systematically explores chromatic and whole-tone potential arising from the various versions of a minor mode collection. The progress of the piece is characterised by the gradual establishment of one diatonic key as the outcome of the whole work, rather than the more symphonic principle of a clear-cut sectional structure defined by key-establishment, conflict and resolution. For this reason, and in respect for the originality of its structure, the continuity of this tone-poem must be acknowledged in the analytical presentation; only through the observation of pitch-organisation as it unfolds can any sense of a formal outline be determined.

EXAMPLE 49

THE SWAN OF TUONELA

(i)

BARS 1-4

(ii)

(iii)

BARS 5-8

BARS 9-11

Bb minor

B minor

(iv)

(v)

BARS 12-15

BARS 16-22

C minor

(A \flat -based DORIAN)

STAGE I : Melodic/Harmonic Minor Collections - Chromaticism

Bars 1-22 form the first subsection of the piece and are framed by A-minor sonorities. The internal phrase structure provides the means of segmentation and, in relation to Example 49, can be summarised as follows:

- (i) Bars 1-4 project an A-minor triad over four octaves though the absence of any further members of the A-minor collection prohibits interpretation as a key.
- (ii) Bars 5-8 establish the key of B_b minor through a mixture of melodic and harmonic collections. The cor anglais emphasises the \sharp 6th degree of the ascending melodic minor as its first note and presents a complete scale segment of $\hat{6}-\hat{5}-\hat{4}-\hat{3}-\hat{2}-\hat{1}$. Consideration of register, contour and rhythm suggests an arpeggiation of a Tristan chord: G-F-B_b-D_b-F. The accompanying chords may be viewed, in relation to this melody, as colouristic, relying on a system of pivot-notes and local parallel motion. The root positions involved stand in minor-third relationship, G minor to B_b minor of bar 5 and G_b major to E_b minor of bar 6. These motions are significant as the local, harmonic projection of large-scale tonal relationships which characterise one structural level of the piece as a whole. The presence of both major and minor sonorities is relevant in that context as is their inclusion of G_b (rather than G \sharp) which redefines the collection as that of the harmonic minor at the point of key-definition. That establishment of B_b minor, over bars 7-8, is achieved by completing the collection with leading-note/tonic motion in an arpeggiation of augmented - tonic triads: F....F
D_b...D_b
A \sharp \rightarrow B_b.
- (iii) Bars 9-11 represent a compressed version of the preceding harmonic events at the transposition of a semitone, establishing B minor. Clearly derived from the harmonic gesture of bars 5-6, the pitch-class content of this phrase marks something of an elaboration, in the use of chromatic neighbour-notes (D \sharp), and contraction, by only using G \sharp (rather than G \flat as well) as the sixth scale-degree.

(iv) Bars 12-15 are a direct transposition of phrase (ii) and by resuming the same texture suggest, in establishing C minor, that beyond the parallel, chromatic tonal motions between adjacent phrases, underlying whole-tone divisions are in operation.

(v) Bars 16-22, by initially displaying a clear parallel with phrase (iii), create expectation of C#-minor outcome. Thus, the C-major chord of bars 18-19 sounds like an interruption, even in the absence of directed functional harmony, and the unexpected presence of the cor anglais at this point confirms that sensation in orchestral terms. An extension ensues involving parallel harmonies, C major - B minor - A minor, the total collection being that of the Dorian mode on A (A6, F#; b7, Gb). This has the effect of assigning to the final A-minor sonority something more of a tonic status than its counterpart, which opened the piece in isolation, thereby marking the first stage in establishing what proves to be the tonic key of the work.

Reviewing this section, it is the balance between symmetrical and asymmetrical events, operating on many levels, which characterises respective ambiguity and definition of tonal organisation. The phrase-structure reflects this in its 'balance' of units which are, in themselves, asymmetric:

Phrase	(i)	(ii)	(iii)	(iv)	(v)
No. of bars	4,	4	+ 3,	4	+ 7 (3+4)
Balance	(4)	+ (7)		+ (11)	= 22 total.

In terms of key-establishment, minor-third motion is projected yet finally denied: Bb minor - B minor - C minor - (C#); harmonic references display a corresponding relationship of: A minor (bar 1) -- C major (bar 18) - A minor (bar 21); and whole-tone motion, beneath the local chromaticism of adjacent keys, may be demonstrated as being symmetrical: A minor (bar 1) - B minor (bar 11) - A minor (bar 22). Chromaticism is significant, as the bass references which articulate modulation involve voice-leading motion of F (bar 7) - F# (bar 10) - Gb (bar 13) - G# (bar 15) - A (16,21) which, in terms of larger theoretical concerns, uses all the chromatic variants of the upper trichord of the minor mode on A^b.

Stage II : Dorian Mode - Whole-Tonality/Diatonicism

Bars 23-35 form the next subsection and take up the Dorian mode, which distinguished the preceding phrase from the previous use of melodic/harmonic minor collections, at the transposition of a perfect fourth. The D-based Dorian cor anglais statement of bars 23-24 recurs over bars 27-30 in terms of Eb, that is by pursuing a consistent, internal, transpositional relationship; the phrase-structure additionally reflects earlier concerns in its 'balanced asymmetry':

2 + 3 + 3 + 5
 5 + 8 = 13 bars total. The whole-tone potential of the collections involved, their possible hierarchical re-ordering in terms of a major key a whole-tone below, is initially implied: the G-major (7th) sonorities of bars 23 and 24, in context, suggest a C-major centre; the D_b-major potential of its complement, the intervening bars (25-27), is implied in their being diatonic to that key, though the use of 7th-chords suggests motion beyond that centre.

The bass motion, bars 26-27, neatly incorporates the tritone G \flat -C (the equivalent of F \sharp -C in the previous A minor) culminating in a Tristan chord, E \flat -G \flat -B \flat -C, which intimates something of the whole-tone complementation underlying the diatonically projected key-conflict between a D \flat /E \flat area and the A \natural tonic of the piece. The interruption of a contextually defined E \flat minor (Dorian) by means of an entirely whole-tone sonority, the tritones E \flat /A \natural and B \natural /F \natural , support that view, denying diatonic resolution in terms of E \flat whilst precipitating chromatic resolution on to the Tristan chord which helps define the A-minor opening of the following

section:	E _b	A	-	A
	B _b	E _b	-	E _b ⁷
	C	F	-	F _# ⁷
	G _b	B	-	C _b ⁷

bar (27) (34 - 36). The slowing down in the rate of harmonic change and elaboration of melodic statements, distinguish this section from the previous; the resultant sense of expansiveness is balanced by something of a contraction in

tonal terms: (C major) D-Dorian (D \flat major) E \flat -Dorian

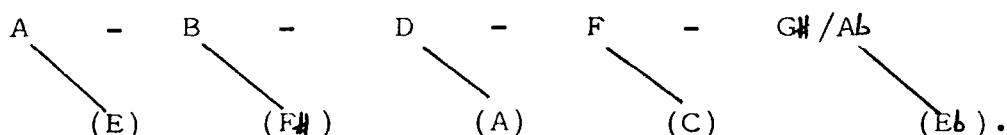
representing a further chromatically infilled motion of a minor third (C - Eb), partitioned according to whole-tone criteria, which is explicitly presented in the semitone key change from D $\frac{4}{4}$ to Eb. Once again, it is the fundamental balance between symmetrical and asymmetrical pitch relationships which defines respective whole-tone/diatonic interpretations.

Stage III : Use of Transposition Levels - Bars 36-57

Against a pattern of tonal organisation culminating in an emphasis on an $E\flat$ centre, a peak of key-conflict in being a tritone away from the $A\sharp$ tonic of the piece, the next stage in its progress concerns the systematic use of transposed thematic variants which directly pursue previous minor-third, whole-tone and chromatic considerations in movement towards diatonic outcome. Consistently adopting the Dorian mode, the local organisation of this subsection involves diatonic relationships by exploring the invariance of this collection-type with that of the descending melodic minor at the transposition of a perfect-fourth/fifth. Thus, in terms of collections, events may be summarised:

Phrase (i)	Bars 36-39	A - Dorian - E minor
Phrase (ii)	Bars 40-43	B - Dorian - $F\sharp$ minor
Phrase (iii)	Bars 44-46	D - Dorian - A minor
Phrase (iv)	Bars 46-48	F - Dorian - C minor
Phrase (v)	Bars 48-53	$A\flat$ - Dorian - $E\flat$ minor
Phrase (vi)	Bars 54-57	$G\sharp$ Dorian.

The most substantially prolonged collection is the climactic $A\flat$ -based Dorian mode which, particularly given the emphasis on its dominant, $E\flat$, may be seen as the product of large-scale, diatonic (perfect-fifth) motion from the $E\flat$ area that closed the previous subsection. Therefore, a sense of internal considerations as having external significance emerges and the relationship between horizontal and vertical elements within this passage correlate with large-scale issues. Details of presentation, phrase-structure, melodic contour and accompanying harmony, may suggest that the initial whole-tone motion from $A\sharp$ to $B\sharp$ could be separated from the ensuing minor-third cycle but, nevertheless, the total projection involves arpeggiation of a Tristan chord/diminished seventh conflation, underlaid by local fifth motions:



Therefore, the main prolongations within the sequence, A-B-D-F-G \sharp , systematically partition the harmonic minor collection based on A \flat ; the final stage, that of enharmonic reinterpretation of A \flat as G \sharp , supports this theoretical view. This factor, in combination with the subsidiary role of the fifths-motion during each phrase, means that the corresponding arpeggiation (E-F \sharp -A-C-E \flat , not D \sharp) can be viewed less as some kind of E-minor projection and more as related to the prevailing A-minor centre; it incorporates the Tristan chord which opened this subsection (bar 36) and the E \flat which immediately preceded it.

The Tristan chord is in fact the unifying sonority, present at the beginning of each statement (though arguably not so for the second, B-Dorian, element until bar 42) and arpeggiated during the cor anglais melodic line. Its internal construction, comprising tritone plus perfect fourth/fifth, epitomises the larger tonal motions of the piece whilst the symmetry of the minor-third transposition levels produces corresponding invariants:

Phrase (i) C - F \sharp (reflecting the earlier part of the piece)
 (ii) D - G \sharp ; (iii) F - B;
 (iv) D - A \flat ; (v) F - C \flat ;

the first pair, theoretically, being part of the melodic minor collection on A \flat , the second being the distinguishing element of the harmonic minor scale.

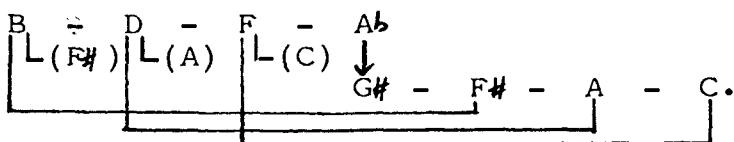
Thus whilst the surface elements of this subsection refer back to previous concerns by pursuing both Dorian mode and melodic minor considerations, middleground elements are equally schematic in the choice of transposition levels so that a background sense of the harmonic minor collection is discernible, though as little more than a theoretical intimation of how resolution could be satisfactorily achieved.

Stage IV : Tritone Elements/Diatonic Resolution - Bars 58-74

In the context of a piece initially concerned with semitonal modulation, where the tonic of one key becomes the leading-note of the next, the prolongation of G \sharp minor presages chromatic resolution in terms of A minor. The opening Tristan chord, D \sharp

B
G \sharp
E \sharp

enharmónicamente contains the tritone which could define the tonic collection as harmonic minor, rather than melodic or Dorian, and is used locally to modulatory effect. Thus E \sharp plays a significant (chromatic) role in the harmonic motion from G \sharp minor to E \sharp minor (a whole-tone step), bars 62-63, where C \sharp and A act as pivot notes in the next move to A major (the distance of a minor third) so that these small-scale events reflect the transposition levels which have characterised the piece so far. B \flat assumes a corresponding function in terms of C major (see bar 65) so that the minor-third motions of the previous paragraph continue, on this local level, at the transposition of a perfect fourth/fifth, thereby directly taking up an internal relationship at that point:



The sequence is curtailed by a further schematic move from the C-major harmony of bar 65ff to that of E \sharp major at bar 69. Neatly this incorporates the tritone element common to both the melodic minor and Dorian mode on A \flat , whilst having large-scale connotations reaching back to the G \flat -C of bars 26-27, involving both a reversal and enharmonic reinterpretation (as G \flat becomes E \sharp) of that motion. The point of A-minor resolution, bar 70ff, restates the arpeggio figure from phrase (ii) of the first subsection at the transposition of a semitone; the large-scale progression over the present passage is similarly consistent as A-minor outcome is

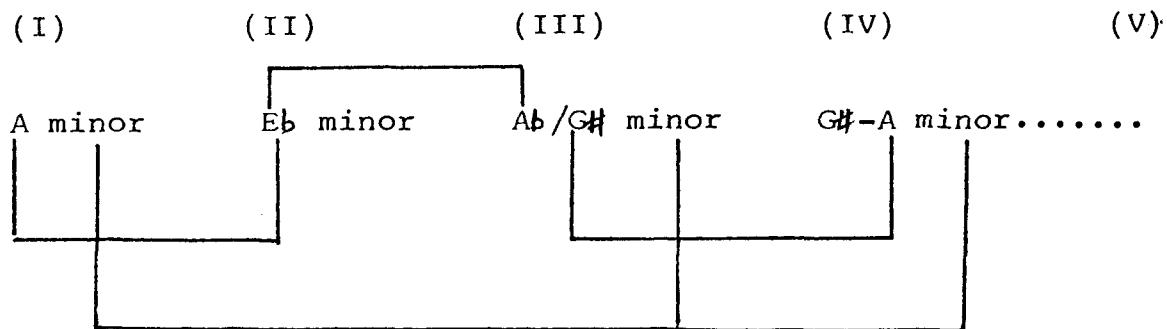
achieved chromatically: D \sharp - E
B - C
G \sharp - A
E \sharp - E

(bar 57; bar 70ff).

Stage V : Tonal Confirmation - A-minor Prolongation

Bars 75-83 prolong A minor through the melodic elaboration of a Tristan chord arpeggiation over a tonic pedal which incorporates both $F\sharp$ and $F\flat$ of respective melodic/harmonic minor collections. Within this diatonic context, the accompanying harmony neatly includes tritone elements of direct significance in this respect, comprising: C/ $F\sharp$, D/ $G\sharp$ and B/ $F\flat$. Bars 84-92 stand as a varied repeat of the above with the resumption of the solo cor anglais being indicative of the distinction between these phrases. Harmonic simplification, involving the tritone $F\sharp/C$ only (as part of a subdominant (major) 7th sonority), combines with melodic extension, bars 92-93 where the cor anglais completes the A-minor voice-leading, in order to confirm tonal outcome. The remaining (chromatic) element to be clarified, $F\sharp/F\flat$ (respectively representing melodic/harmonic minors), is achieved systematically, through a return to the opening material which has specifically explored that issue, in order to confirm the harmonic minor collection.

In conclusion, the pitch organisation of The Swan of Tuonela has been characterised by a balance of symmetrical and asymmetrical relationships through the exploration of whole-tone/chromatic/diatonic interdependence between the various versions of a minor-mode collection. A large-scale summary of the keys established at the end of each stage of the piece, epitomises those issues whilst the five-section layout intimates something of an arch structure:



According to Erik Tawaststjerna's researches, throughout the spring of 1906, Sibelius had been planning a new symphonic poem (to be called Luonnotar) and by May the score seemed to be complete. As late as June there is a record of his referring to it yet the piece, when it finally appeared in December 1906, was in fact Pohjola's Daughter. Its historical placing (just after the completion of the definitive version of the Violin Concerto and contemporary with the composition of the Third Symphony), the choice of title (a 'symphonic fantasy' for orchestra) and of course the question about its 'programme' (see page 198), not only raise the issue of Romantic/Classical style once more, but place it firmly in the context of the distinction between tone-poem and symphony. In the broader context, by following the Lemminkäinen Suite with its strong operatic connections and more immediately arising from a decision to delay the production of Luonnotar (a clearly operatic-inspired conception, completed in 1913), Pohjola's Daughter not only comes to represent the stylistic question of Romanticism/Classicism but the larger issue of a transition from an operatic to symphonic aesthetic.

POHJOLA'S DAUGHTER

Many of the gestures of this piece invite comparison with operatic concerns though less superficial characteristics clearly underline its immediate chronological place, between the Second and Third Symphonies. In style, Pohjola's Daughter is undoubtedly Romantic and thus relates more directly to the Second Symphony. Formal considerations would appear to support such a parallel in the adoption of a modified sonata-type layout of two large-scale sections where the second combines both developmental and recapitulatory functions in an extended passage approximating twice the length of its counterpart (respectively, pp.1-18; 19-46).

Thematic process clearly contributes to this view of the work as the progress of motives from the opening cello

statement, through the exchange of derivatives between cor anglais and clarinet (at letter A) to the main element of the opening subject (at letter B) is a characteristically 'symphonic' one. This technique is underpinned by a more direct process of transformation as the opening cello motive ultimately becomes the ostinato-pattern accompaniment to this main theme and with a specific tonal purpose: redefining the opening G-minor context in terms of B_b major, the main tonality of the work.

The mediant relationship involved is very typically Sibelian, though its details are of interest at this particular stage in his career as they concern the initial use of the Dorian mode on G (with E_h and F_h) and its intersection with a diatonic B_b major. The opening theme is ambiguous in terms of scale-degree function presenting the segment G-A-B_b-C-D, as contextually $\hat{1} - \hat{5}$ in G minor, which could be part of the B_b-major collection. It is the chromaticism which defines G minor as Dorian mode which plays such an important role in these early proceedings (and by synecdoche to the piece overall); the flattened leading-note, F_h, becomes the main pivot in this initial definition of B_b major and it is the segregation of a minor-third descent (quavers F- E_b, to D), prior to letter B, which articulates this process as they assume the function of $\hat{5}-\hat{4}-\hat{3}$ in B_b. The opening of the oboe theme at this point is interesting in this respect, comprising a simple permutation of the pitch repertoire of the initial cello motive in a rhythmic and voice-leading context where A_h is assumed to be a leading-note. Thereafter, the filling out of the entire B_b-major collection (that is, using E_b, not E_h) confirms this centre in a consistent manner.

If the flattened leading-note of the G-based Dorian mode plays a crucial role in establishing the main, B_b-major tonality of the piece, then it is the raised sixth degree, E_h, which is to have large-scale repercussions. Presented as the tonicisation of the dominant pitch-class in the confirmation of B_b (over pages 8-9) which culminates in the affirmative brass gestures at letter C, it is cancelled by the considerable emphasis on E_b during this outburst only then to assume a highly significant role after the abrupt

key change, prior to the second subject - Tranquillo molto, page 11.

Characterised by an increase in shifting tonal allegiance, this section initially adopts E \sharp as the tonic of its secondary key ('E major'). That the tritone key-conflict is essentially a chromatic issue is indicated by the timpani pedals, B \flat prior to the key change, B \sharp during the tonally diverse passage beginning on page 13. The implicit relationship between these conflicting keys is intimated by the internal transposition scheme of this second group, its use of the interval of a minor third, as the material of page 11 (E \sharp -based) reappears on page 16 (on G). As both these passages use sonorities which include a major seventh, respectively E-G \sharp -B-D \sharp and G-B-D-E \sharp , much of their tonal vagueness concerns possible mediant relationships anyway.

The process of tonal resolution is achieved in an equally schematic way. The climax of tonal diversity during the second section of the piece culminates in the whole-tone scales of page 28 with their emphasis on the tritone F \natural -B \sharp , standing at the distance of a semitone from the sonata-type key conflict. Material from the opening subject pursues its internal mediant relationship between Dorian-mode and diatonic-major collections but uses the transposition levels which had characterised the second group. Thus, from an E-Dorian/G-major level (of page 29) through the G-Dorian/B \flat -major (of page 30), B \flat is finally confirmed, at letter K. The enigmatic concluding bars of the work are quite intriguing in that they seem to hint at the tonal evolution of the opening section, so that the final G-A-B \flat motive is sufficient to confirm B \flat outcome.

Despite the surface correspondences with the Second Symphony, the tonal and thematic workings of Pohjola's Daughter, in their exploration of a more extensive network of key-relationships, have a more direct bearing on the organisation of the Third Symphony than on that of its predecessors. In this context, Sibelius' enthusiasm for writing in this genre - 'here I can move freely, without the weight of tradition' - confirms the interpretation of this

overview: that within a symphonic poem, Sibelius felt able to carry out experiments, particularly concerning tonal organisation, which in turn were to influence ideas in a purely symphonic context. The very abrupt modulation to a second group, itself standing in remote diatonic relationship to the principal key of the work yet characterised by shifting tonal allegiance which helps define that large-scale relationship more clearly, is the most striking parallel between the two works. The progress of the music, up to that point in the structure, is similarly consistent in its directly arising from the harmonic and tonal implications of the opening material concerning the ambiguity of both a submediant emphasis and alternative scale-degree functions. That parallel extends beyond this function of the opening material to encompass its nature - not only because of correspondences of instrumentation and contour but because it sets in motion the issues outlined above, forming the generating cell in both cases.

There is no doubt that the Third Symphony exhibits a greater degree of differentiation than similarity in relation to Pohjola's Daughter, notably in its rigorous control of formal compression which gives rise to its Neo-Classical stylistic connotations, and this helps to define the contrast between 'symphony' and 'symphonic fantasy'. There is one further element of creative interplay between the two genres and one which may help clarify the idea of a transition from operatic to symphonic aesthetic: tempo. Much of the drama of Pohjola's Daughter (indeed, the level which gives this piece something of the 'narrative' quality associated with tone-poems) arises from the use of tempo: that is, Sibelius' increasing awareness and interest in the interaction of speed, pulse, harmonic rhythm and tonality. In essence, this was just what the Finale of the First Symphony lacked and that of the Second avoided by using static repetition patterns whilst, for the Third Symphony, this concept is of considerable consequence in the unconventional design of its Finale.

NIGHTRIDE AND SUNRISE

The use of tempo as a structural force behind the integration of two movement-types in the Finale of the Third Symphony provides the main link with Sibelius' next orchestral work, the tone-poem Nightride and Sunrise, composed in 1907. It is perhaps this element, more than any other, which imparts some mark of distinction to what, in other ways, is a rather unremarkable piece. Its handling of rhythmic and temporal considerations and control of pacing not only draws upon the experience of the Third Symphony but prefigures later symphonic experiments in formal compression.

Nightride and Sunrise suggests a further turning-point within the broader issues surrounding the tone-poem by being the first example where any possible programmatic connotations give way to more evocative concerns. Just as the parallel stylistic change of the Third Symphony, evidenced by a new emphasis on Classical procedures, is something of an abrupt departure within the symphonic context, the rejection of 'programmes' is characterised by a piece which is positively pictorial (almost to the point of realism) in both its nature and conception. Sibelius expressed doubts over the title, asking Rosa Newmarch whether she thought it was judiciously chosen or whether 'Nightride and Sunrise' might lead people to expect in it a reflection from the older Romanticism, saying that 'the music is concerned with the inner experiences of an average man riding solitary through the forest gloom; sometimes glad to be alone with Nature; occasionally awe-stricken by the stillness or the strange sounds which break it; not filled with undue foreboding, but thankful and rejoicing in the daybreak.'

Pictorial, formal and tonal concerns combine in the two-stage design of Nightride and Sunrise which moves from the insistent trochaic metre of the minor-mode string figuration to the glowing brass tone of its E \flat -major close. It is the sense of transition from one to the other, conveyed through rhythmic and metrical organisation (rather than by the thematic integration of its symphonic model)

which is of primary interest. The presence of ostinato figuration is a very characteristic Sibelian device dating back to En Saga but now used as a new creative force making the more immediate parallel with such devices in the Finale of the Third Symphony (see Meno Allegro, p.49, for example) all the more cogent. The ease with which the opening pattern gives way to a semiquaver version, by the adroit use of time-signature and tempo change (see the Moderato assai just after Fig.18, p.13), prefigures the use of even semi-quavers (Moderato assai, p.23) which, coupled with an orchestral exchange of melodic fragments (from woodwind to strings), pave the way for the eventual 'Sunrise' section.

This metrical and textural sense of transition gives, in those clearly-delineated but aurally imperceptible stages, the clue to the internal formal layout and coincides with its slow-moving tonal progress. Thus the C-minor in which the opening settles, gives way to G minor, with the even semiquavers of page 23, where the use of scale-segments which are later defined as of the descending-melodic format, in their identity with (respective) Eb- and Bb-major collections, prepare for that closing evocation of 'Sunrise'. Here the horn theme is simply a permutation of this limited pitch repertoire, though without any recourse to the directly symphonic process of gradual redefinition of scale-degree function. Several commentators have mentioned the similarity between this material (see Fig.41, for its first appearance) and that of the close of the Fifth Symphony; the later stages of this section, where the theme is placed within (quaver) repetition patterns over an Eb pedal (see Più largamente, p.39ff), may well be viewed as being prophetic. However, even if the details of contour, gesture and texture do prefigure that work, it is not that relationship in itself that is meaningful but rather the general context in which it appears. This kind of interaction between tone-poem and symphony at this stage in Sibelius' career, and the evident compositional interest in control of tempo, metre and pacing, provide evidence from different genres of both the origin and nature of one level of experiment within the Third Symphony whilst supporting an earlier assertion that this was to find its solution in the formal compression of the Fifth Symphony.

THE DRYAD

If Pohjola's Daughter and Nightride and Sunrise promote a series of parallels which testify more to the influence of tone-poem on symphony than the other way around, then the comparable situation regarding the Fourth Symphony (1911) reverses that process. Thus, of the two tone-poems which surround that work, it is The Bard (1913) that is by far the more profound piece and which, by drawing on the compositional techniques of the Fourth Symphony, prefigures later experiments, notably within the Sixth Symphony and Tapiola. This is not meant to undervalue the direct correspondence between material of The Dryad (1910) and that of the Fourth Symphony (as mentioned on page 192) but simply to show the effect of the complete context on such an observation, which reveals this extremely experimental symphonic work to be the turning point in Sibelius' compositional development as a whole.

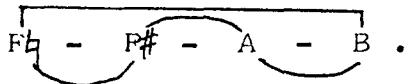
If the use of the tritone within the Fourth Symphony comes to represent a compositional understanding of the tonal balance between its disruptive and definitive potential (that of whole tonality and diatonicism), then The Dryad may be viewed as something of a preliminary exercise, concentrating on the diatonic function of this interval. A glance at the closing motivic statement clearly reveals this to be the case:



and although much of the tonal ambiguity of this piece arises from the ambivalent function of the tritone, it is always short-lived as the progress of the work is punctuated by this kind of diatonic affirmation.

The opening bars epitomise this process as the tritone E#/B, despite initially evoking an atmosphere of tonal uncertainty, is reinterpreted in the gesture prior to letter A (see Example 46) where the F# functions as an E# in order to give the first indication of the D-major tonic of the work. Thereafter, the local progress of events arises

from much use of sequential repetition so that the woodwind, thinly-disguised tritone motive (from letter B) generates a succession of temporarily established keys: G \sharp minor (p.7), F \sharp minor (letter D, p.9), E \flat major (at letter E) and finally D minor (also on p.11). That these tonal references span the distance of a tritone, with internal motions of whole-tone, minor-third and semitone steps, is at least indicative of some degree of relationship between structural levels as the gesture of Example 36 included these intervals within its tritone span:



The D minor of page 11ff represents the most stable tonal area so far and this choice of key epitomises something of the chromatic and tritone shift (involving E \flat - D/A) which precipitated it. Here the E \sharp of the opening is definitely an F \sharp of the minor mode and as the tonal progress of the rest of the piece concerns the confirmation of a D-major tonic, such a connection is made compositionally significant. Allied to that element is the presence of both E \flat and B \natural , as alternative sixth scale-degrees, within this episode. From the Vivace of page 15, the tritone interval is incorporated in scale segments which generate a cliché-ridden passage of sequential repetition. The final turning-point is the transference of the F-B tritone from this scalic context to that of a large-scale repetition of the gesture of letter A (as in Example 36) prior to the moment of D-major 'resolution', as quoted on the previous page.

1 Robert Layton's summary is useful here-: 'What is so surprising about The Dryad is the absence of any real continuity of growth. Changes of tempo and substance are legion, and although there are many imaginative touches the work as a whole does not seem to hang together.' - as it hints at a crucial difference between tone-poem and symphony which the present overview, in the context of the earlier analysis of the Fourth Symphony, serves to underline. One further stylistic issue is relevant here in that this lack of (symphonic) continuity in conjunction with a certain piquancy of orchestral colour, has frequently led commentators to draw parallels with the work of Debussy. Rosa Newmarch²

records Sibelius' reaction after his meeting Debussy in London in the previous year (1909) where he had heard Debussy's new songs and the orchestral suite Nocturnes and found them to be 'very interesting' - saying - 'All I heard confirmed my idea of the road I had travelled and had to travel.'

THE BARD

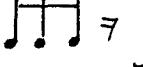
Composed in 1913, in the wake of the unsuccessful première of the Fourth Symphony, The Bard is the shortest of all the mature tone-poems and possibly the most introspective. Erik Tawaststjerna sees it as being influenced by Runeberg's poem of the same name, where the bard, having set out from the valleys of his childhood and conquered the world with his song, returns home to take "once more his lyre in hand to pluck a deep chord on it" and to die, returning his soul to the spirit world. Given Sibelius' lifelong interest in the work of Runeberg and his emerging from a period dominated by serious illness, this view seems perfectly plausible but any autobiographical or specifically programmatic intent must remain speculative. Nevertheless, the form of the piece is clearly in two parts and the change in mood between them may well be compared with the shift in emphasis in the second part of a Sonnet: both parts are related in feeling but the second section raises the emotional temperature a little.

The atmosphere of The Bard certainly places it in the same conceptual world as that of the Fourth Symphony and the present investigation concerns the extent to which its musical processes reflect this. The length of the piece, its form (where the second part involves the transformation of earlier material) and pacing all suggest correspondences with the opening movement of the Fourth Symphony. The question of pacing constitutes a significant level in the progress of the latter composition, with ideas which implied expansiveness in gesture subjected to contraction in their treatment, conveying a sense of vast, slow motion within a highly compressed structural outline. This newly refined control of musical time is taken a stage further in The Bard, evidenced through its balance between static and dynamic elements, where material is both compressed in terms of time-scale, yet obsessive in its actual treatment.

Structural Principles

Consideration of the balance between static and dynamic elements within this piece provides a useful overview of its structural principles. The Bard is firmly rooted in its tonic key of E \flat minor with any sense of motion away from that centre deliberately made more apparent than real. Conceptually, this accords with the Fourth Symphony though the lack of modulation, in any real sense, underlines tone-poetical, rather than symphonic, manifestations of this principle. By exploring pitch-relationships within its tonic collection, The Bard refines a technique already discussed in relation to its companion symphony. Its constant manipulation of a few basic cells exploring inherent tonal ambiguity, their reappearance in new contexts offering alternative interpretations regarding content and a formal outline which is the direct product of this process, similarly correspond to the Fourth Symphony. The cells in question, motives rather than themes, are presented so as to dilute any sense of directed motion as a result of two basic characteristics:

the simultaneous presentation of a minor-third motive in contrary motion;

and rhythmic concerns of either downbeat  or lack of destination: 

This principle is reflected on the large-scale through the use of repetition patterns of cells, phrases and harmonic blocks which, by virtue of their unpredictability, create the effect of formal progression which is then curtailed as their relationship to the model is revealed. Once again, the balance between dynamic and static levels of organisation concerns the correspondence between implicit (potential) and explicit (realisation) of the compositional properties of the units in question.

Harmonic organisation may be viewed as being similarly consistent within this general context where the frequent use of added-note sonorities which imply motion beyond themselves gives way to parallel movement, rather than traditional chord-function. Thus, any implicit outcome, in a diatonic sense, is often denied or at least diverted. This principle of balance is also present within metrical concerns.

During the 112 bars of the piece, there are a surprising number of time-signature changes (14) which play an important articulatory role in its progress on a surface level, whilst undermining any clearly-directional tonal sense as traditionally would be provided through harmonic rhythm. Additionally there is a total of six tempo indications throughout the work which only coincide with changes of metre during the second part of the piece which is, in comparison with the opening section, more dynamic in its motions away from and back to the E_b-minor tonic.

Stylistically, within the series of tone-poems, The Bard occupies a significant mid-way point between The Swan of Tuonela (1893) and Tapiola (1926) in a line of evolution which both influences and has been influenced by symphonic techniques within the Fourth and Sixth Symphonies.

Compositional Technique

Section A : Bars 1 - 81

The E \flat -minor tonality of this section is, for the most part, never seriously challenged as the chromaticism which characterises motion to alternative points of reference arises from the exploration of the ambiguity surrounding the upper scale-segment of the minor-mode collection: harmonic, ascending/descending melodic or Dorian mode. The texture comprises three basic levels:

- (i) motivic - small wisps of shape which are basically scale-segments of characteristic minor/major third compass are placed in different contexts so that a sense of surprise arises from the unpredictability of which harmonies or inflections will appear next;
- (ii) harmonic - provided by the harp and occasionally doubled by lower strings, its motion is generally characterised by parallelism which deliberately exploits the resultant sense of expectation in a balance of diatonic and non-diatonic movement;
- (iii) tonal - provided by the bass pedal points in conjunction with (ii) above where the brass and woodwind are generally used to provide that link; these prolonged and slow-moving points of reference act as a kind of anchor against which the other elements 'pull', exerting dynamic force over this static background.

On the large-scale, the section may be subdivided according to temporal considerations with the passage marked 'Poco stretto - a tempo' (between letters C and D) and framed by two pauses creating a small divergence before the return to completely familiar shapes from bar 53. Thus, the formal divisions within Section A suggest a typically Sibelian three-part outline of binary proportions:

Subsection A1 - Bars 1 - 41	41 bars
A2 - Bars 42- 52	(11 bars) = 40 bars
A3 - Bars 53- 81	(29 bars)

though this can only be considered approximate given the fluctuations in time-signature.

EXAMPLE 50

THE BARD

(a)

BARS 1-4

(b)

BARS 3-7

(c)

BARS 8-11

(d)

BARS 10-20

(e)

BARS 20-27

(with octave transposition)

'Melodic' span: bars 10-34

'Melodic' span: bars 10-34

(Violin) (H. p. Viola, Cello) (Violin)

(Oboe) (Cello)

Perpetual Variation

Changes in time signature belie the small-scale segmentation of material, according to surface change (texture, motives, orchestration etc.), occurring at points of overlap as one texture gives way to another. Example 50 reveals the following segments and their tonal implications form a useful starting-point for analysing the internal units of construction which characterise the progress of this section of the piece.

(a) - Bars 1-4

The opening gesture, the motive B_b-D-E_b, is immediately taken up by the harp where the initial harmony, an augmented triad, forms the bass line of the next three events in the arpeggiation of B_b - D - G_b. The pitch-class content of the harmony of bar two comprises entirely whole-tone elements, B_b, C, D, G_b, and A_b, except for the all-important E_b (of the final A_b⁷ sonority) which is the pedal note throughout this segment and the pivot between the chromatic motion of the harmonies of bars 3 and 4. Three important principles are set up during this opening gesture: the use of parallel harmonic motion, both whole-tone and chromatic; the presence of pivot-notes as the means of linking such events whilst giving some sense of a reference point; and the concept of perpetual variation to provide local coherence, here essentially concerning alternative scale-degrees which characterise the various versions of the minor mode.

(b) - Bars 3-7

This second segment overlaps with the first (as later versions clarify) comprising harmonic motion framed by two species of an A_b-minor sonority. The tonal balance implied by the sonorities of bars 3 and 4, potential flat- (sub-dominant) and sharp- (dominant) motions which is aided by the string motives, is significant. Later reference points in this section are those of A_b- and B_b-minor which locally suggest movement away from the tonic though simply confirm it, overall, by their neutralising effect in relation to E_b.

(c) - Bars 8-11

This harp motion, supported by the harmony provided by the lower strings, confirms E \flat centricity, after the preceding subdominant implication, in a systematic way. The initial choice of chord II7 neatly incorporates the previous A \flat -minor triad in its inversion of the sonority of bar 3:

G \flat	
E \flat	E \flat
C \flat	C \flat
A \flat	A \flat
F	?

Again, the point of rest is an unstable one with the E \flat -minor, first-inversion triad complementing that of A \flat at bar 7 and even though some sense of a $\hat{3}-\hat{2}-\hat{1}$ descent is discernible, within the upper-voice of the harp itself, its effect is undermined by the overlapping entry of the violins.

(d) - Bars 10-20

This segment concerns motivic rather than harmonic development as, systematically, it presents the opening viola cell in a transposed, augmented version (violins) against that model as accompaniment. Both are subjected to a process of transformation which balances previous subdominant implications with those of the dominant, conveyed through the (violin) B \flat -C-D \flat gesture and its attendant (lower strings) harmonic support.

(e) - Bars 20-27

A more conventional harmonic sequence than its model (see (b) above), this segment incorporates elements from (c) as bars 24-25 are a transposition (at a perfect fourth/fifth) of bars 8-9. Thus the outcome is that of B \flat (rather than the previous E \flat) and is more convincingly achieved even though the sonority of bar 26 only assumes a dominant function in its immediate context, given the voice-leading of C \natural /A \natural - D \flat /B \flat . The reworking of earlier elements is neatly schematic as it precisely takes up the B \flat -minor implication of the previous segment (with which it overlaps) whilst making a more large-scale reference, to the sonority of bar 4.

By this stage in the piece, the points of rest at the end of each segment involve a balance between implicit motions to IV and V and their explicit relationship to an Eb-centre which intervenes. This idea is confirmed at letter B where the woodwind (for the first time) carry the weight of material conveying a further subdominant feel, but one which is contained by the presence of an Eb pedal throughout this phrase; the centricity of Eb is additionally confirmed by the horn motion from the preceding Bb pedal, through Cb - Db, to Eb (bars 29-31). The continuity of this process can be observed by means of alternative segmentation which considers the perpetual variation of a limited number of intervals forming one 'melodic' span from from bar 10 through to bar 34 (see Example 50, last stave).

Such detailed comments serve to illustrate the compositional process and structural progress on a local level; the recurrence of these events is indicative of the systematic extent to which such internal relationships operate on a larger scale and may be summarised as follows:

- (c) recurs during bars 34 - 37,
- (b) at 38 - 41; thereby reversing the tonal implication of IV - I (presenting motion of I - IV) so that the first subsection, A1, closes with an Ab-minor sonority.

The same process is to be used later in conjunction with transposition, which clarifies tonal implications and produces a more definite sense of outcome:

- (e) recurs at bars 53 - 60, transposed up a perfect fourth, arriving on Eb (rather than Bb) and incorporating a supporting cadential gesture: the first perfect cadence of the piece;
- (d) recurs at bars 59 - 66, and is extended, through to bar 72, by the use of a chain of minor-thirds (essentially D-F-Ab -Cb) which reinforces the dominant (rather than possible new tonic) function of this segment;
- (e) forms the closing segment of this first main section of the piece (bars 73-81) using the version of bars 53-60 and thereby confirming that Eb outcome with changes in detail (notably in the string figures) aiding that sense of completion.

Tonal Theory

Beyond the observation that $A\flat$ - and $B\flat$ -minor have received deliberate emphasis during the early part of the piece in order to convey the idea of motion away from its $E\flat$ -minor centre only to function as the means of confirming that tonic, the chromaticism involved at these points of (relative) tension arises from the construction of the upper part of the minor-mode collection:

B_b **C_b** **D_b** **E_b** - of the descending melodic version,
C_b **D_b** - of its ascending form,

or the possible permutations of these variants which create either the harmonic-minor or Dorian-mode collections. The issue of chromatic substitution, $C_b/C\#$; $D_b/D\#$, characterises the second part of the work in its exploration of modulatory potential, though this process was intimated during the progress of part one.

Subsection A2, bars 42-52, offers the only real sense of contrast within Section A and does so by prefiguring Section B, thereby occupying an important place in both the internal and overall formal outline of the piece. The following example shows the main thematic shape at this point; bar 42ff, and its sequential repetition:

which, juxtaposed with the opening figure of Section B, bar 84ff:

A musical score for 'The Star-Spangled Banner' in treble clef, 4 flats, and 4/4 time. The melody begins with a rest, followed by a series of eighth and sixteenth notes. The notes are grouped by vertical bar lines, with a brace and a bracket indicating a melodic line. The notes are primarily eighth and sixteenth notes, with some quarter notes and a half note.

reveals the latter to be a permutation. Beyond this motivic correspondence, harmonic events prove to be significant; the E major of bar 41 arises from the use of pivot-notes, the enharmonic reinterpretation of $A\flat/C\flat$ from the previous $A\flat$ -minor triad as $G\sharp/B\sharp$. The harmonic inflection of bar 43, the addition of $D\sharp$ and $A\sharp$, qualifies the E-major triad with a strong whole-tone element which, in turn, is reflect-

ed in the harmonic motion here: E major - F \sharp major. This is immediately reviewed by the ensuing whole-tone melodic motion of bars 49-52 (D \flat - E \flat) and incorporated in its modal cadence, indicating that events here are in some way related to the E \flat -minor centre of the work or, more precisely, to the means by which that has been projected. The timpani pedals during this passage, C \flat of bar 41, C \sharp of bar 46 and the eventual E \flat outcome, precisely recall the horn motion observed at letter B where, in an A \flat -minor context, E \flat was regained.

The A \flat /B \flat elements during Section A, find whole-tone complement in the harmonies of E major - F \sharp major which open its contrasting subsection whilst the ensuing motion of D \flat - E \flat stands in diatonic relationship. Underlying this observation is the theoretical view that, just as A \flat -B \flat have ultimately come to represent E \flat minor, the E-F \sharp motion here forms the equivalent gesture in terms of B minor. This theory gains credibility as a closer examination of the melodic sequence first detailed on the previous page, its being tonal, rather than real, reveals the use of the B-minor collection. Thus the A \flat -minor level of the piece gains emphasis through the implicit use of a minor-third related area (C \flat /B minor) and extends the pitch-class content of the E \flat -minor collection favoured so far. That particular version, the descending melodic type, contains a strong relationship with its own subdominant:

E \flat	F	G \flat	A \flat	B \flat	C \flat	D \flat	E \flat
<hr/>							

Tonal Progress and Resolution

Section B : Bars 82- 112

Against this background of the chromatic variability within a minor-mode collection, Section B initially explores the modulatory potential of that system prior to revealing its close inter-relationship with the $E\flat$ centre of the piece in a new balance of dynamic and static organisation. Thus the opening bar contains the $F\flat$ and $G\sharp$ required to confirm an $A\flat$ -based collection with a further $C\sharp$ which widens the issue to include that of major/minor contrast. Over an elaborate $A\flat$ pedal, the sequential treatment of motives during this passage confirms the temporary centrality of $A\flat$, though as minor rather than major; this may, therefore, be viewed as systematically extending one level of ambiguity within the tonic collection: $C\sharp/C\flat$.

Harmonic events support this view, the $D\flat$ and $E\flat$ sonorities of bars 85-86 corresponding to the $A\flat/B\flat$ of Section A but extending that issue by being major chords which, with the addition of (added) 7ths, imply motion beyond themselves. A further level of balance between the two sections of the piece emerges from this: Section A was characterised by the presence of referential sonorities where tonic status, in any traditional sense, was denied through the absence of any dominants; Section B, by adopting seventh-chords, reverses this process as their dominant (7th) function is not realised due to the lack of any tonic resolutions.

The tonal progress and resolution can be seen to be systematic when viewed in relation to the chromatic alternatives which characterise the tonic collection. The sequential repetition starting from the end of bar 86 explores the diatonic, minor-third relationship between $A\flat$ and F minor, achieved through the use of the pitch-classes $C\sharp$ and $D\flat$ (see bar 87). The next statement takes this a stage further, using $C\sharp$ and $D\sharp$, adopting the complete F -based Dorian collection (between letters I and K). The climactic sonority epitomises the system in operation: F , $A\flat$, C , $E\flat$

(of bar 89) being a compound of both $A\flat$ major and F minor yet at the same time potentially chord II7 in $E\flat$ major (the latter collection being a hierarchical reordering of the F-based Dorian mode) thereby, in itself, representing the balance between static and dynamic tonal organisation.

Events from letter K concern the idea of resolution, or at least further confirmation, in terms of an E \flat centre. The earlier E \flat - D \flat major (plus 7th) sonorities are now replaced by those based around a minor triad in a passage of stepwise harmonic motion, with clear recollections of Section A, involving the pitch-classes D \flat , C \natural and C \flat in a descent to B \flat which is to act as the dominant. The string tremolando of E \flat /B \flat + A \flat /D \flat incorporates a balance of flat/ sharp elements which epitomise many of the tonal principles of the piece whilst the chromaticism of the final harmonies is equally systematic:

G \flat	A \flat	B \flat
	D \natural	E \flat
C \flat	A \flat	G
E \flat	C \flat	B \flat
A \flat	F \flat	E \flat

(bars 101-2)

(chord of bar 3) (chord of bar 42) (E_b major resolution).

The closing harp sequence, from letter M, recalls that of bars 5-6, which precipitated the **Ab** issue, at the transposition of a whole-tone giving a final reference to **Gb** and thus the minor mode prior to the **Eb** major of bar 110.

Throughout the piece there has been significant use of major-third motions on the middleground level which, in effect, partition the prevailing E \flat minor collection:

Db Eb F of Section B: but presented as 7ths
and therefore projecting motion to:

G^b **A^b** **B^b** used as the upper voice at the point of resolution.

The final melodic voice-leading defines the collection as that of the descending melodic minor:

Db (of bar 100)

Cb Bb Ab Gb (Harp, bars 106-7)
F E_b (Strings, 110).

The principles of tonal organisation in The Bard have roots originating in the Fourth Symphony but conveyed in a tone-poetical rather than symphonic manner in the absence of any real sense of argument and resolution arising from the use of modulation. This process pre-figures many of the issues which characterise the Sixth Symphony in its exploration of a D-Dorian/C-major conflict and relationship. More directly, in the combination of static and dynamic elements arising from the perpetual variation of one minor-mode collection fused with whole-tone issues which are only implicit here, The Bard points the way towards the whole-tone/modal/diatonic experiments of Tapiola. Returning to the question of its title and the possible relationship with the Runeberg poem, then, something of a sense of depiction emerges from the orchestration - a study in evanescence - where the whole orchestra turns into a giant 'harp' in effect, pictorially recalling the quotation from the poem: "once more his lyre in hand to pluck a deep chord on it".

THE OCEANIDES

In August 1913, Carl Stoeckel invited Sibelius to conduct a concert at his 'Norfolk Festival' in Connecticut, during June 1914, which would include a specially commissioned new work for chorus and orchestra lasting about fifteen minutes. From this renewed American interest in the composer, The Oceanides (published, 1915) eventually emerged as the product of a period of optimism, prior to Sibelius' 50th birthday and the Fifth Symphony, counterbalancing the personal crisis which had surrounded the genesis of the Fourth Symphony and its companion piece, The Bard. Given the extreme nature of compositional experiment which characterises the Fourth Symphony and Sibelius' increasing commitment to absolute music, it is not surprising that the outcome of the commission should have been a purely orchestral work and one that was inspired by Homeric mythology, rather than events of the Kalevala.

In mood, The Oceanides stands in contrast to its predecessor, The Bard, offering a direct parallel with the Fifth Symphony in comparison with the Fourth. Displaying a preoccupation with self-contained, balanced musical structure conveyed by way of a tonal scheme progressing from ambiguity to climactic outcome, The Oceanides exhibits considerable consistency (of musical style and chronology) in employing a compositional technique which balances tonal freedom and formal control. The placing of this work within a symphonic context, the notion that it prefigures creative ideas which are to be worked out fully in the Fifth Symphony, is indicated by its complex, yet not clearly documented, history.

Through the research of manuscript sources in both Helsinki Library and the Sibelius Museum at Turku, a story of unusually difficult compositional genesis emerges. Although not surprising given the extraordinary problems which the composition of the Fifth Symphony was causing, this state of affairs appears to be unique amongst the tone-poems with The Oceanides existing in three different versions where their progress offers a direct parallel with that of

1. Find 1 1
2. Find 2 2
3. Find 3 3
4. Find 4 4
5. Find 5 5
6. Find 6 6
7. Find 7 7
8. Find 8 8
9. Find 9 9
10. Find 10 10
11. Find 11 11
12. Find 12 12
13. Find 13 13
14. Find 14 14
15. Find 15 15
16. Find 16 16
17. Find 17 17
18. Find 18 18
19. Find 19 19
20. Find 20 20
21. Find 21 21
22. Find 22 22
23. Find 23 23
24. Find 24 24
25. Find 25 25
26. Find 26 26
27. Find 27 27
28. Find 28 28
29. Find 29 29
30. Find 30 30
31. Find 31 31
32. Find 32 32
33. Find 33 33
34. Find 34 34
35. Find 35 35
36. Find 36 36
37. Find 37 37
38. Find 38 38
39. Find 39 39
40. Find 40 40
41. Find 41 41
42. Find 42 42
43. Find 43 43
44. Find 44 44
45. Find 45 45
46. Find 46 46
47. Find 47 47
48. Find 48 48
49. Find 49 49
50. Find 50 50
51. Find 51 51
52. Find 52 52
53. Find 53 53
54. Find 54 54
55. Find 55 55
56. Find 56 56
57. Find 57 57
58. Find 58 58
59. Find 59 59
60. Find 60 60
61. Find 61 61
62. Find 62 62
63. Find 63 63
64. Find 64 64
65. Find 65 65
66. Find 66 66
67. Find 67 67
68. Find 68 68
69. Find 69 69
70. Find 70 70
71. Find 71 71
72. Find 72 72
73. Find 73 73
74. Find 74 74
75. Find 75 75
76. Find 76 76
77. Find 77 77
78. Find 78 78
79. Find 79 79
80. Find 80 80
81. Find 81 81
82. Find 82 82
83. Find 83 83
84. Find 84 84
85. Find 85 85
86. Find 86 86
87. Find 87 87
88. Find 88 88
89. Find 89 89
90. Find 90 90
91. Find 91 91
92. Find 92 92
93. Find 93 93
94. Find 94 94
95. Find 95 95
96. Find 96 96
97. Find 97 97
98. Find 98 98
99. Find 99 99
100. Find 100 100

~~Heilbronn~~

different and the characters
are ~~from~~ from the type.



the companion symphony. Originally the piece was in three movements, the first of which, some 25 pages of manuscript, is lost, or more probably was discarded by the composer as his page numbers begin again at the opening of the second movement. Evidence of a concern for formal compression appears to emerge from this, going beyond the 'attacca' indication between the two remaining movements (both of which, incidentally, are in E \flat major) to the next, one-movement version (in D \flat) which Sibelius considered to be sufficiently finalised to send to Carl Stoeckel in 1914. A letter from Stoeckel, attached to the microfilm of the score, summarises the rest of the story:

'This is the original score of Aallottaret. It was sent with the orchestral parts by Sibelius from Finland about two months before his arrival here in May, 1914. After the arrival of this music, Sibelius wrote a note stating that he had made extensive changes to the score and that he would bring the revised work with him. Consequently, this score was never used and was presented to me by the composer on his departure for Europe in June, 1914.'

This historical evidence additionally clarifies one further point, concerning the title of the piece. Until now, when secondary sources have only referred to two versions of the work, it was always assumed that the score sent to Stoeckel was entitled 'Rondo of the Waves' and that only upon revision was the Finnish title, Aallottaret (Daughters of the Waves), adopted. In fact it was the original, three-movement conception which was called 'Rondo of the Waves', Aallottaret being immediately used once the one-movement version materialised; Sibelius made it clear that this was simply a translation, saying: 'The title has reference to Homeric mythology and not to the characters of the Kalevala. The Finnish title of the work, Aallottaret, is merely a translation.' The Oceanides, given along with that translation on the title-page of the Stoeckel score, (see opposite) were the nymphs which inhabited the streams and waters of Classical antiquity. Thus, the change in title, coincident with the distinction that the piece was to be a tone-poem, underlines the fact that Sibelius did not mean the piece to be a realistic picture of the ocean in music, but the product of the desire to evoke a fantastic scene of the sea filled with the living spirits of nature.

EXAMPLE 51

THE OCEANIDES

(i)

BAR 1: Violins

(ii)

BAR 5: Flutes

(iii)

BAR 18: Strings (octave transposed)

(iv)

BAR 62: Transposition of the above

(v)

BAR 67 (Letter I) - HARP THEME

The inspiration, pictorial (non-narrative) evocation and self-sufficient musical structure (which does display some elements of rondo thinking) conceptually prefigure Sibelius' last example in this genre, also an American commission but of some twelve years later, Tapiola.

The three versions of The Oceanides are so very different from one another that any clear analytical evidence, to support the musicological observations, is not easily forthcoming. However, several of the main thematic elements are consistent to all three as it is their treatment which changes so much. It is the third movement of the original version which corresponds most directly to the published score, opening with the same fragments and containing the Harp theme to be found at letter I in that definitive version. Through an investigation of the origins and construction of this theme, musicology and analysis can be seen to overlap. Frequent analytical claims concerning thematic inter-relationships are made during the course of this study and Example 51 is fairly typical in that it charts the progress of earlier thematic elements which give rise to the theme at Letter I (all from the published score) and may be summarised as follows:

- (i) opening scale-segment of the piece which, by virtue of its simplicity, forms the basis of later derivatives;
- (ii) main flute theme, again scalic, which occupies a precise, inversional relationship with (i) above;
- (iii) contour of the string figuration which initiates the internal, larger-scale repetition of elements during this first subsection of the piece;
- (iv) the reappearance of the above, transposed, letter H;
- (v) the apparently 'new', Harp theme at letter I which is clearly a permutation of the above and therefore owes its ultimate origins to the opening of the piece.

[1]

[2]

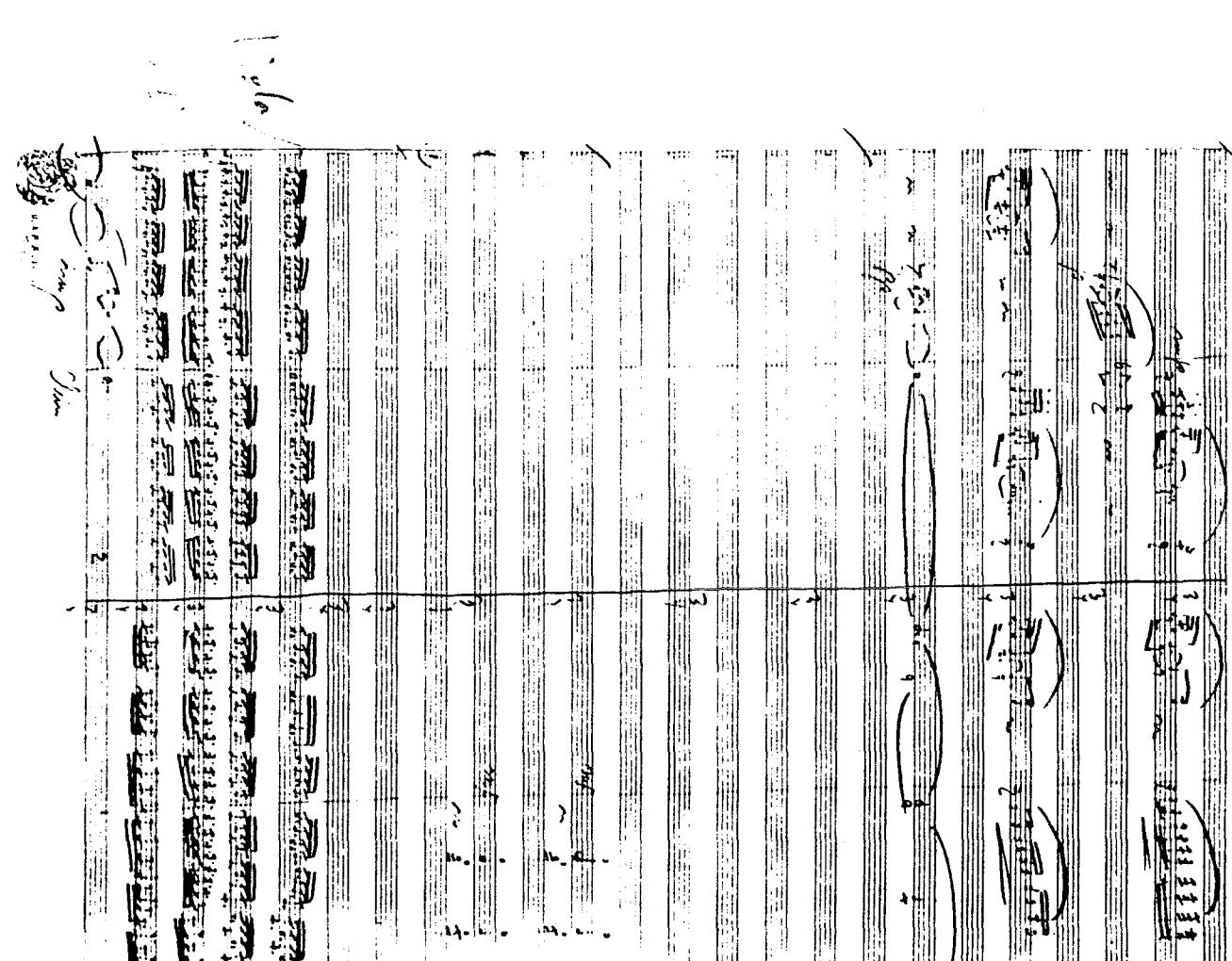
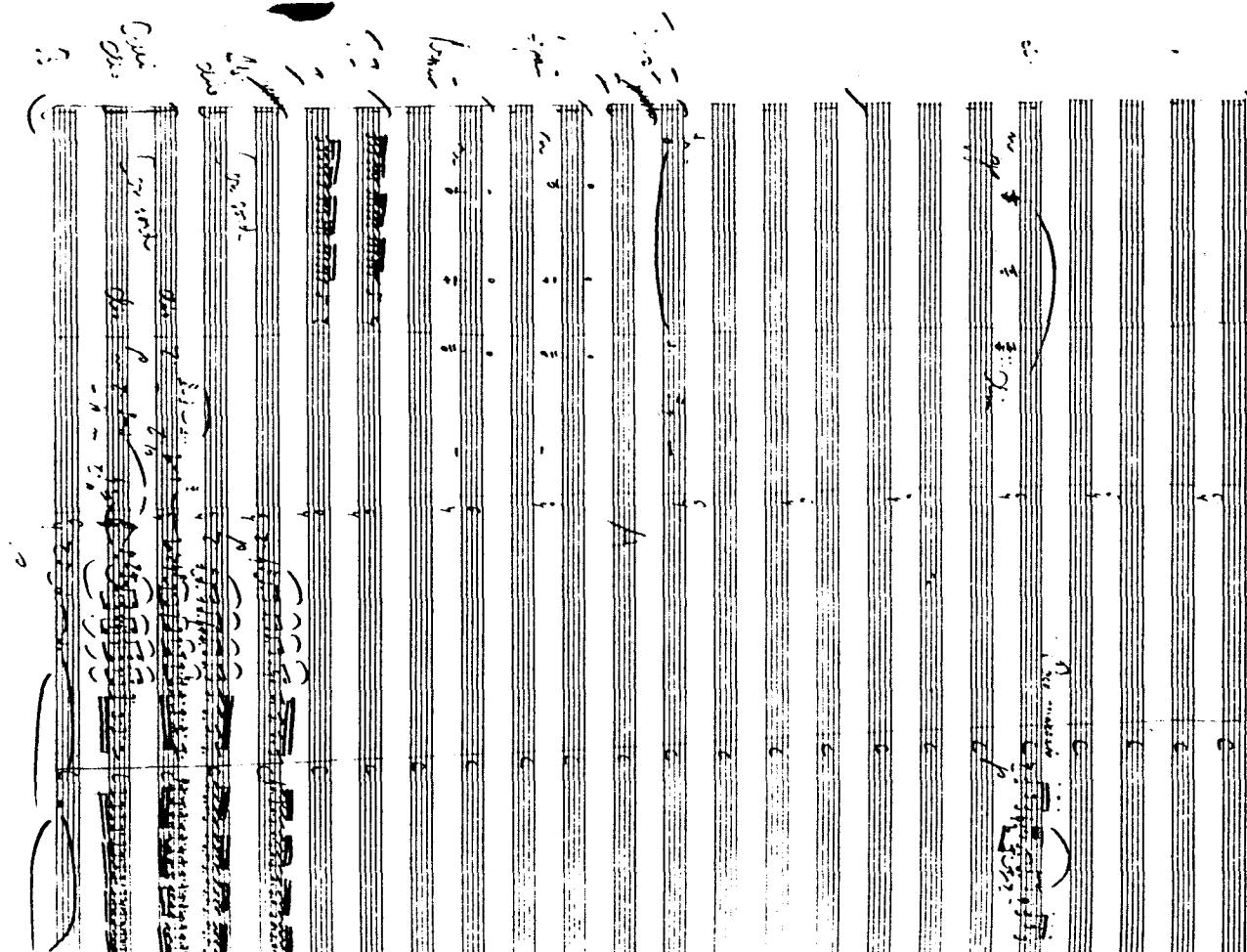
dunites - can form

affiliates - can form

3

[3]

[4]



This process involving continuous development of a few basic cells and thereby revealing one theme as generating another, the typically Sibelian technique involving some kind of synthesis of elements, is supported by a consideration of the order of events in the second version of the piece, the score which was given to Carl Stoeckel. An extract of its opening pages (see opposite) shows the evolution of the Harp theme, through the string scales (of its page 3) to the familiar woodwind motives; the reversed positions of the two related themes further substantiates their demonstrable analytical relationship and suggests, through the process of the composer's revision, that the characteristic revelation of some kind of unity underlying discrete elements was consciously worked out.

Comparative investigation of preliminary versions and the published score of The Oceanides reveals something of a growing concern with essentially symphonic techniques. The published version, therefore, displays a new emphasis on control of form, tonality (moving from initial ambiguity through increasing chromaticism to climactic, diatonic outcome) and a strict thematic process involving a continuous development technique. Collectively, these changes, which date from about April 1914 according to the letter by Stoeckel, technically and chronologically coincide with the conception of the Fifth Symphony giving some plausibility to the theory of a compositional interaction between that work and The Oceanides which now requires some analytical support.

Form

The decision to discard the original title, 'Rondo of the Waves', between different versions of the piece corresponds with the emergence of an increasingly schematic formal outline which does display evidence of rondo thinking, a formal consideration which distinguishes The Oceanides from any of the other tone-poems (with the possible exception of Lemminkäinen's Return). Though characterised by a surface process of perpetual variation generating a considerable sense of continuity, the form of the piece may be summarised by the following subdivisions based on thematic, textural and tonal considerations.

A	B	A1	B1	A2	B2	A3 (+ Coda)
Bar)		Trans.	Trans.	Trans.	Trans.	
no.s)		(40)	(73)	(94)	(113)	
1	28	47	80	101	124	132 - 144

- A - represents a whole group of themes which can all be shown to grow out of the opening cells; the section is in two parts, where the second is a varied re-working of the first;
- B - is, thematically initially highly-contrasting, less tonally and harmonically stable and also in two sections which stand in corresponding relationship.

Perpetual variation operates not only within sections but between them, particularly during the passages of transition which have the thematic function of gradually revealing common elements unifying A and B whilst articulating harmonic motion which, on the large-scale, gives the piece a schematic tonal structure overall. The Oceanides displays a considerable degree of foreground/background correspondence so that the readily discernible thematic and motivic process is indicative of more subtle levels of organisation.

Section A, which is characterised by tonal ambivalence arising from a mediant relationship (B minor/D major), itself prefigures the main transposition level of the piece

as a whole: A1, bar 47ff, its first varied restatement, is transposed by that interval appearing in D minor/F major. Additionally, internal ambivalence hints at the tonal principle operating between blocks of material: their essential contrast is one of relative tonal stability (the ambivalence within A-sections) and instability (the ambiguity of B-sections). The overall background sense of the piece concerns a deliberate avoidance of tonal outcome until the climactic moment where D major emerges from an intensely chromatic context giving a final sense of resolution (Section A3 + Coda, from bar 132). The middleground correspondence intimated through the initial appearances of A- and B-material, their respective 'levels' of avoiding clear tonal commitment, becomes explicit during the progress of the piece in a sense of reversal of function which arises from Section A2, around bar 101ff. Here, it is A-material which exhibits the instability of tonal ambiguity whilst the final appearance of B-material (B2, bar 124ff) initiates the directed motion that culminates in the D-major outcome of bar 132ff. Other structural levels support this view as earlier thematic juxtaposition of A- and B- material gives way to more explicit synthesis at this stage.

Given the larger tonal principles at work, it is possible to present a formal overview which groups the rondo-elements into a type of arch structure:

- I Sections A and B (bars 1-47); establishment of tonal principles:ambivalence /ambiguity.
- II Sections A1 and B1 (47 -101) ; second stage in this process using transposition levels.
- III Sections A2 and B2 (101 - 144); climactic chromaticism eventually directing D-major tonal outcome.
+ Coda

With transitional passages mediating between these recognisable varied repetitions of material, it is not possible to pinpoint such divisions with any mathematical accuracy. Nevertheless, in a piece of 144 bars, Sibelius' concern for proportion is intimated by a three-stage, tonal structure where its constituents approximate 48 bars in length.

Tonal Principles

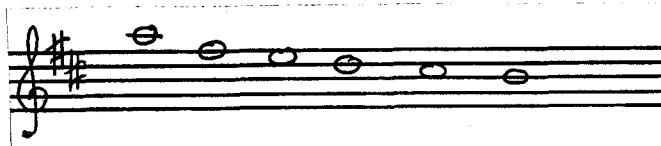
Section A : Bars 1 - 28 Ambivalence

The persistent avoidance of tonal commitment, which epitomises the basic principle of the piece, is set in motion during an opening section concerned with mediant ambivalence of possible B minor/D major created by the incomplete nature of the scale-segments employed. Thus:

Opening collection:-



Inversional relationship at the transposition of a minor third.



In theory, this selection of only six pitch-classes offers two pairings of possible diatonic collections: D major/B minor and A major/F# minor (with both minor keys being of the descending-melodic type) which require, respectively, Gb/G# for confirmation. Sibelius' characteristic technique of defining pitch-class function according to context (rather than content) initially concentrates on the former pair as represented by the opening timpani pedals: F# - B, of B minor; A# as a possible V of D major. This interpretation, with its weighting in favour of B minor, is supported by rhythmic and voice-leading considerations in the violin writing where the heterophonic presentation of scalic material produces an ostinato effect:

A	B	C#	D	E	D (3)	C# (2)	B (1)
F#							
V	I

From the flute entry of bar 5, the tonal pivot swings in favour of D major due to a contraction in the number of pitch elements: the total sonority of bar 8ff comprises D, E, F#, and A. The voice-leading within this

melodic element displays a corresponding $\hat{3}\hat{2}\hat{1}$ descent in terms of D major whilst the diadic content of oscillating D/F \sharp -A/E, which now constitutes the ostinato, serves to represent I/V 'harmonic' support. At letter A, a scalic extension of the flute melody such as to incorporate the complete D-major collection, with its registral and textural emphasis on the all-important G \sharp , would appear to offer some confirmation of that key. However, the sequential nature of bars 11-12, accompanied by a cycle of fifths where the use of added-note sonorities projects the harmonic motion further, helps to undermine this. Additionally, the first of these seventh sonorities (bar 11), a possible V of D major, interrupts its relative minor, b, and thus epitomises the tonal function of this phrase: to preserve the balance between D major/B minor.

Resolution of this harmonic motion is deliberately delayed by the presence of extra chromatic elements over an A \sharp pedal in five bars of essentially dominant prolongation (bars 13-17). It is the interruption of this possible cadential motion (at letter B) which initiates the internal condensed repetition within Section A and a temporary sense of gradual confirmation of a D-major centre, though without any clear-cut outcome. The process is contextually systematic, involving the pedal notes of B \flat and A \sharp as the respective bass of (second-inversion) E-major (7th) and D-major sonorities. This whole-tone motion is in one way a simplification of a diatonic progression, by using a secondary dominant the central stage is omitted, whilst at the same time something of an elaboration since it undermines any functional stability and continues the sense of ambiguity. The closing stage of Section A involves an extension of the scalic figure which used the complete D-major collection to include a special emphasis on G \sharp (from just before letter C). However, any sense of tonal outcome is denied by both the absence of any clear-cut cadential rhetoric and the cancellation of this G \sharp with the bass G \sharp of bar 27. The three basic harmonic devices used to delay D-major confirmation, rapid harmonic motion of cycles of fifths, chromaticism over a pedal note and the presence of secondary sevenths, are all to reappear during the final passage which culminates in climactic D-major outcome at bar 132.

Section B : Bars 28 - 40 Ambiguity

The bass G \sharp which undermined any sense of D-major outcome now acts as a pivot-note into Section B which is itself characterised by a greater sense of tonal instability that denies any clear-cut sense of overall key establishment. However, its use of transposition levels is indicative of internal structure and provides a useful summary of this next stage in the progress of the piece. Theme B is stated at bar 28 and reappears, transposed up a whole-tone, from bar 31 in a slightly extended version; a further variant (respectively a perfect fourth/fifth lower than the previous pair) begins at letter D and is itself transposed, up a minor third, four bars later so that the total compass of these repetitions is that of a whole-tone descent. During the course of this process, there are moments of relative harmonic stability which allow some interpretation of possible keys (though none of these is ever permitted full establishment):

F \sharp minor- G \sharp minor	(-F \sharp minor)-	B minor/ D major	(D minor)
	(due to the		(at the
	extension of		opening
	material)		of the
			transition)

28 - 31 31 - 34 - 35 36 - 39 40ff.

In one way, the passage exhibits the consistent use of minor-third motions (G \sharp /B/D) and a continuation of the B-minor level of the piece in its arpeggiation of that triad; however, the total linear construct is that of a Tristan chord, itself a significant recurrent event, initiating each of these sequential subdivisions. Much of the tonal ambiguity of this passage arises from local chromaticism and underlying whole-tone motion, as in the initial F \sharp -G \sharp -F \sharp of bars 28-35. Although these potential keys stand in diatonic relationship to B minor, they also complement D major in terms of whole-tone partitioning; however, these keys are implied, rather than stated, by chromatic motion to dominant seventh sonorities (on C \sharp , bar 31; E \flat , bar 34) which, in themselves, stand in whole-tone relationship with B minor. Thus the ambivalence between two large-scale centres is systematically pursued through the adroit use of whole-tone/diatonic relationships which acknowledge the organisational force of tonality whilst denying its functional one in any traditional sense.

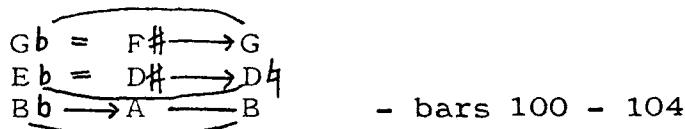
Choice of Transposition Levels

From the D minor/F major ambivalence of bar 40ff (the former indicated by B-material, the latter by the flute motive from Section A) and the temporary stability of D minor in the outburst of bar 44, there is a growing sense of transition towards a return of more familiar shapes from Section A which coincides with a renewed emphasis on the major-mode alternative. F major takes precedence from bar 54, in conjunction with transposed (and varied) restatement of material, and is asserted in a manner which directly corresponds with the D-major of Section A. The sense of key emerges from the perpetual variation process, exploring the inherent compositional properties of a partial collection, rather than with any recourse to traditional modulatory machinery: there are no cadential formulae. On the large-scale, the transposition level is, therefore, systematic as it pursues, between appearances of A-material, the minor-third relationship within that passage. Considered on a more local level, however, it offers a dramatic turning point, given the complex whole-tone related transposition which characterised the initial contrast of Section B.

In abstract, the principal tonal issue at stake, that of conflict between major and minor keys, is essentially a chromatic one. Thus, although obviously an extension of the initial proposition, Section A1, by being in F \natural major, is much further away from the D-major, tonic level of the piece. Something of the chromaticism which underlies the surface minor-third transposition level is intimated by the choice of pedals (from letter E): C and B b stand at the distance of a semitone from their B \natural /A \flat counterparts of Section A. Of course, on a more detailed level, the initial proposition of mediant-related ambivalence essentially concerned the idea of chromatic substitution of pitch-classes between the collections involved (originally epitomised by G \natural /G \sharp).

The concept of major/minor contrast being conveyed by chromaticism seems to illuminate the progress, back to B-material, articulated by the second transition, from bar 73. This passage marks (quite literally) a central turning point initiating the process of resolution away from the peak of tonal diversity (F major) back to the unity of a final D major. Over a chromatically oscillating pedal (F-E-F) the following triads are, in effect, arpeggiated: F major, Ab major, F minor, Ab minor and Cb (B \natural) major. Harmonically, this constitutes a chain of minor thirds, spanning a tritone, extending the main tonal transposition levels in a middleground cycle where the next stage would be D major. Moreover, they do so by emphasising major/minor contrast as an essentially chromatic issue.

The effect of this transition on large-scale transposition levels is a chromatic one. Section B1 proves to be a varied reworking of its model transposed up a semitone so that its climactic outburst at bar 98, the equivalent of bar 44, concerns Eb minor (rather than D minor). Were this transposition level to continue exactly, a further statement of A-material exploring the mediant relationship between Eb minor and Gb major would ensue, but the prevalence of chromatic motion ensures that this is not to be the case. Section A2, from bar 101, offers nothing of that kind of stability and its brief reference to clearly recognisable material (the clarinet entry of bars 103-4) implies G \natural major instead. The harmonic motion which supports a G-major interpretation may be summarised as follows:



Beyond the observation that this motion is essentially chromatic lies the more subtle presence of (Gb)/F \sharp , B and A which play a significant part in this process. Their importance can hardly be overlooked as this event coincides with the reappearance of the timpani pedals (on A \natural and B \natural) providing a direct link with the opening of the piece. G \natural played a crucial role at that stage and the generating pitch-class for Section B was its chromatic alternative G \sharp , of bars

27-8; now, at bar 104, that is 28 bars prior to the cadential outcome of the piece, $G\frac{4}{4}$ is re-asserted as a kind of subdominant harmonic emphasis, in effect. Although Section A2 does not display the same degree of harmonic and tonal stability which characterised its model, indeed cannot be described as diatonic, it is concerned, at least on the large-scale, with the regaining and affirmation of the D-major goal of the work which the arrival on an A pedal (at bar 112) initiates.

The final passage of transition comprises two phrases: bars 113-117 and 118-122. Thematic elements consist of a flute figure from Section A in conjunction with a main melodic strand which is clearly derivative of B-material; this suggestion of synthesis coincides with a sense of impending tonal resolution. It is the transpositional relationship between B-material here and its earlier statements which is of interest although the actual presentation, the local variation between the two phrases, neatly disguises such large-scale correspondences. That the second phrase (from bar 118) is in fact a whole-tone transposition of its counterpart (compare with bar 114ff) is not immediately obvious until the phrase endings are compared as the five-bar variation of a four-bar unit concerns an additional initial statement, bar 118 itself. The closing sonorities of each phrase are, respectively, B7th and C \sharp 7th; in comparison with their original model (Section B, bars 31 and 34) this represents the transposition of a whole-tone and in relation to Section B1, that of a minor third.

This subtle use of large-scale repetition of events brings together the different transpositional relationships which characterise the progress of this level of the piece. The respective B7th and C \sharp 7th sonorities in this final passage of transition underline that observation as the former coincides with the timpani A $\frac{4}{4}$ pedal and the latter with that of B $\frac{4}{4}$.

EXAMPLE 52

THE OCEANIDES

TONAL RESOLUTION : D-major outcome (BARS 124-132)

MOTIVE 'X'

MOTIVE 'Y'

V7 of C#; G; A; D;

Tonal Resolution - D-major Outcome

The passage from bar 124-132, represented in Example 52, comprises a direct reworking of B-material which, in context, reinforces earlier observations concerning the preceding transition. Considering the melodic material here, there appears to be something of a synthesis of earlier B-elements which coincides with the clearly directional nature of the accompanying harmony. The original Section B essentially comprised three varied statements of its main melodic element, respectively, bars 27/8-31, 31/2-35 and bar 36ff. In the present context, following a transition which, in effect, used material from those first two statements, the present melodic shape (marked (X) on the Example) invites comparison with that of bar 36ff. Indeed, the reappearance of a $B\frac{4}{4}$ starting note (with its attendant harmony of a Tristan chord) would seem to confirm a sense of return to the original pitch-level, though even in theory, this appears to be at variance with the tonal outcome at this stage as that model involved B-minor emphasis.

However, that is exactly the purpose as the present passage concerns a final resolution of the original B minor/D major issue, not merely the affirmation of the latter key. The return to this pitch level at bar 124, therefore, carries with it the implication of B minor so that the melodic 'divergence' of this statement (around letter Q) becomes more meaningful as the initiator of tonal resolution. This element (marked (Y) on the diagram) is, of course, nothing more than the second melodic statement of Section B (see bars 31/2-35 for its model) which started on $F\frac{#}{4}$ there and now begins on $B\frac{4}{4}$; this transposition level is a significant one as it directly resolves the $F\frac{#}{4}$ - B motion of the opening proposition, Section A having a generating effect on the entire piece.

The characteristically Sibelian use of melodic repetition patterns is once again of fundamental importance; by creating a sense of expectation/predictability only to re-order events, the process of tonal resolution is made all the

more cogent, being a coherently articulated turning point in the structure of the piece. The inter-relationship of structural levels confirms the manifestation of this foreground technique as the melodic transposition level corresponds with harmonic considerations. Moreover, the whole framework of this piece, its rondo-like layout, is designed to set up patterns in order to make divergences all the more significant, providing the background support for this compositional technique, so that the D-major outcome, though in one sense inevitable, is a meaningful affirmation - not a tonal cliché.

As ever, it is the details which give the final evidence for this broad assertion. The bass descent, as shown in Example 52, may be partitioned as two interlocking tetrachords:

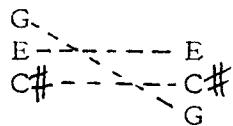
G [#]	F [#]	E		D
..	D [#]	C [#]	B	A

one which is diatonic to D major whilst the other uses elements of the whole-tone scale which includes B^b, in total representing a final schematic reference to the various levels of tonal organisation that have characterised the piece. However, the process of diatonic resolution is the uppermost concern and the 'whole-tone' descent represents a series of secondary sevenths, respectively V7 of: C[#] - B - A - D, conveying a cycle of fifths motion which is only realised in the final D-major V-I. Thus, B-minor harmony is incorporated (by implication) in this process of diatonic outcome, whilst both G^b and G[#] are included in the voice-leading.

Within this traditional framework of clearly-directed motion, Sibelius' specific use of harmonic events to explore the pivotal relationship between pitch-classes to which particular compositional significance has been attached. The motion from the Tristan chord of bar 124 (a sonority which itself first appeared at bar 36) to the final dominant seventh of bar 131 is epitomised in the inversional relation-

ship between those two sonorities:

B



A

Bars: 124 131

which essentially involves the pitch-class substitution of A $\frac{1}{2}$ for B $\frac{1}{2}$ so that the moment of D-major resolution emerges as the direct product of specific issues of the piece.

The details of Section A3, the Coda, similarly tie up loose ends, as it were, with the voice-leading of the clarinet solo (from bar 135) comprising the descent of the D harmonic minor collection (using F \sharp as a chromatic passing-note) and thereby reviewing the fundamental major/minor issue of the work. The closing gestures, the use of a contextually modal, flattened 7th, deflects the climactic sense of D-major outcome still further, by including this final whole-tone reference.

Returning to the theory that The Oceanides in some way reflects, or rather prefigures, compositional techniques within the Fifth Symphony, the analysis has at least revealed some of the highly schematic processes at work in this tone-poem. Characterised by a clear inter-relationship of structural levels and a continuity of tonal argument, in parallel with surface, motivic concerns, The Oceanides strongly suggests something of a 'symphonic' approach. Nevertheless, in the absence of any of the dialectical force associated with sonata thinking, which is so typical of symphonic contexts, in favour of a rondo-like format, such a parallel may appear to be unconvincing. However, by considering symphonic movements other than those which are sonata based, the concept of a creative interaction between tone-poem and symphony finds an immediate corollary: the Finale of the Fifth Symphony.

This rondo-like symphonic movement not only exhibits a corresponding concern for minor-third relationships (the sudden shifts of tonality to keys either side of E \flat : E \flat - C, between letters E and F, G \flat at letter I) but does so as a large-scale contrast to the balancing major-third cycle of its ('sonata'-like) opening movement, as detailed in Chapter Two. Moreover, the final affirmation of E \flat major emerges from a highly chromatic passage with a mastery of harmonic (and textural) pacing which may well have been achieved by experimenting with essentially the same process in The Oceanides. This parallel relies on (indeed arises from) aural considerations (gesture, pacing, tempo, orchestration, dynamics) so that any further analytical observation may simply detract from its striking effect; for additional evidence, the reader should listen to the closing stretches of The Oceanides (from the Largamente of bar 113ff) in comparison with the close of the Finale of the Fifth Symphony (from letter P to the end).

TAPIOLA

The tone-poem Tapiola, 1926, is Sibelius' last major orchestral work and, although the differences between it and the Seventh Symphony were defined earlier, through its incredible unity of form and content it stands as the last word in the evolution of the Sibelian technique of compression. No detailed analysis can be presented here, the piece formed the basis of an earlier study, but in the interests of the attempted comprehensiveness of this thesis the reader is encouraged to refer to that analysis.³

The earlier investigation concerned what was probably the first study of the application of reductive, linear analysis to the music of Sibelius and, given the extreme severity which Tapiola exhibits, revealed a remarkably high degree of foreground/background correspondence. In summary, Tapiola pursues, to extreme ends, the technique observed in The Bard now channelled through the control of pacing learnt in the Seventh Symphony. By the obsessive variation of one pitch-collection (the ascending melodic-minor scale on B^b) the form of the piece grows directly from the systematic exploration of compositional potential within that construct, producing an organic process-form, a kind of total variation structure. The static effect of non-modulatory procedures reacts against the dynamic friction of two whole-tone subcollections raising the question as to what extent the piece may be viewed as tonal. Moreover, its total effect, as expressed by Arnold Whittall,⁴ 'raises the question of time and timelessness far more acutely than many more radical works which contrast measured and unmeasured material.'

The connotation which may arise from adopting this title, the parallel with Schoenberg's famous essay on Brahms, is no mere accident. That Schoenberg should choose to put the nineteenth-century Brahms/Wagner polemic into some kind of new perspective, evidencing progressive features in Brahms' style to counter the more conventional thought of the time (that of Brahms as something of a reactionary composer), provides a framework for this brief, speculative chapter. The direct extent of the parallel between Brahms and Sibelius is not of primary concern, nor the irony that Sibelius' position in the twentieth century has often been measured against that of Schoenberg, but perhaps it should be mentioned that, for all his revolutionary ideas on musical theory, Schoenberg maintained that there was still plenty of good music to be written in C major - a realisation that Sibelius most certainly put into practice.

The theory, all too often propounded, that the music of Sibelius represents an anachronism within the twentieth century may now be subject to something of a review. Such opinion arose from the concurrence of several areas of thought which only through the progress of time can themselves be put into some kind of perspective in order to offer exactly that - but of a different order - for the composer himself. As mentioned earlier, the music of Sibelius appears to have suffered from its very accessibility and after the composer's death there was a definite reaction against the immense popular appeal he had enjoyed during his lifetime. In 1985, the time seems right to present a further reaction, as something of a revival, both in terms of performances and more significantly in terms of an objective interest, seems to be upon us. Performers (consider the new recordings, particularly of the symphonies, which have emerged in recent years), composers (Maxwell Davies claiming the Fifth Symphony to have been an influence on his Second) and writers (the scholarship of Erik Tawaststjerna's authoritative biography) have all contributed to, or are reflective of, this resurgence of interest - yet no significant

Revaluation of the music has taken place.

Perhaps in the light of the effect of the earlier evaluation of Sibelius' music, the direct emergence of huge popular acclaim, caution has prevailed, though really it is the continuation of prejudice against this composer which has produced its own cautiousness, where unfashionability has resulted in serious neglect. Early writings on the music occurred at a time when analytical methodology was in its infancy. Thus, traditional analytical techniques revealed traditional compositional ones, directly appealing to the public at large, achieving great success in increasing Sibelius' popularity but at the expense of genuine critical appraisal. The majority of those writings appeared in England where the whole idea of a composer apparently reworking nineteenth-century forms appealed to the prevailing conservatism of the time; reactionaries were in favour but subsequent reaction has been less than favourable.

The realisation of the kind of critical distortion which arises from a particular period in history, prompts a reassessment of Sibelius' place within the twentieth century. Born at the time of the first performance of Wagner's Tristan, dying just after Stockhausen had completed Klavierstück XI, Sibelius' lifespan covers an historical period of immense social-political change which is reflected in the arts. The fact that Sibelius effectively stopped composing in 1926, although narrowing the problem, only serves to accentuate it. As the development of music in the early twentieth century has tended to be categorised by the use of various "isms" - expressionism, impressionism, neo-classicism, serialism - which critical orthodoxy regards as constituting the mainstream, the inability of historians to fit this music into one of those categories has resulted in a view which sees in Sibelius more of the old than the new - an outmoded, nineteenth-century composer who lived too long.

The recent documentation of Sibelius' biography has set in motion almost a reversal of the popularly-held views of the composer. Erik Tawaststjerna has revealed that far from being a nationalist figure separated from mainstream European developments by living in his native Finland,

Sibelius travelled extensively, was fully aware of current trends in music, thought, discussed and came to terms with the complex nature of twentieth-century composition and from various stylistic influences gradually formed a personal and highly original style. The decision to reactivate 'the symphony' was not made lightly as both the previously detailed chronology and circumstances confirm. That the adoption of the symphonic rather than operatic aesthetic involved something of an anti-Wagnerian reaction, is the earliest indication of the evolutionary path that the absolute symphonies were to follow. Although the surface of Sibelius' music in general appears to represent a style which is essentially Romantic, that is, it tends to continue, preserve and develop the tradition rather than destroy it, at the same time, many works radically and consciously contradict that style.

Thus the whole idea of Neo-Classicism has emerged during the course of this study and as Sibelius himself was no theorist he gave few indications of an intention to reform symphonic thought by reviving the practices of an earlier era. The question of defining Neo-Classicism is a vexed one and the symphonies of Sibelius do not make the problem any easier, though this should not result in their neglect. Sibelius is on record¹ as having said: 'To my mind a Mozart allegro is the most perfect model for a symphonic movement. Think of its wonderful unity and homogeneity! It is like an uninterrupted flowing, where nothing stands out and nothing encroaches upon the rest! Previously he had described the Fourth Symphony in the following terms: 'It stands out as a protest against the compositions of today. Nothing, absolutely nothing of the circus about it.' The diary entries at the time of composition are very revealing² - 'have crossed out the whole of the development and fashioned the second part completely anew - marvellous day!' - where not only the revision but the change in terminology ('development'/'second part') gives something of an insight into the composer's conscious thoughts. Similarly, in relation to the Sixth Symphony, Sibelius explained that whilst other composers persisted in serving 'cocktails' to their audiences, he preferred to give them 'pure cold water'.

Something of a conscious awareness of a reaction against Romanticism - which is, after all, the essential aesthetic of the Neo-Classical movement - emerges from this. Of greater interest is the chronology, not only that the Fourth Symphony appeared as early as 1911 but that it pursues ideas formulated in the Third Symphony of some five years earlier which itself displays characteristics that were (indirectly) to interest Stravinsky, in his Symphony in C of 1940. 1911 is a significant year in the history of music, not least because of the death of Mahler, the architect of a particular symphonic type which Sibelius so clearly reacted against. Mahler's place in the development of twentieth-century music is well appreciated, though only after a complete revival of his work, which coincided with the decline of interest in that of Sibelius, and its relationship with the expressionism of the Second Viennese School is, by now, generally accepted. But by 1911, Schoenberg was moving away from this last vestige of Romanticism, forming the beginnings of a technique of concision which was to epitomise the process of rationalisation which characterised post world-war I developments. In this respect the concision of the Fourth Symphony can be viewed not only as progressive but actually prophetic of later developments in both serialism and neo-classicism. There is a further point of interest regarding the anti-Romantic/Neo-Classical element in Sibelius' music and this concerns his use of understatement. 'Understatement' is not meant to be a pejorative term but simply epitomises the new concision which Sibelius adopted at this time. Curiously it seems to be a product of his nationalism, it is a distinct characteristic of the Finnish people as a nation, and in the absence of any overtly nationalist trends in Sibelius' mature compositions but its presence as an 'inner sense', this somehow links Sibelius' transition from nineteenth- to twentieth-century styles.

However, analysis of the Fourth Symphony reveals not a complete rejection of Romantic practice but a new structural control, an interaction of pace and form which, if prophetic, is less so of twentieth-century mainstream developments and more of Sibelius' own creative path. The last four symphonies exhibit a balance of Romantic and

Classical ideas which, far from being regarded in a disparaging way, should be seen to represent an essential conflict, present within the composer's personality itself, and one which was to act as a creative catalyst throughout his career. Much discussion has arisen regarding the Eighth Symphony and recent research confirms that Sibelius definitely embarked on this project in 1928 but continues to speculate as to whether he destroyed the manuscript in an excess of self-criticism. What is known is that the first movement (some 23 pages of manuscript) was sent for copying in 1931 with the instructions that it was not to be bound as 'the Largo follows straight on'.³ Two things are of immediate interest: that the symphony should be in movements, thereby suggesting a continuation of the Fourth and Sixth which were characterised by Neo-Classical style and extended tonality; and that it took Sibelius three years to complete a first movement ('giving it form is taking so long', his diary records) which may well support the idea of some kind of waning in his creative powers given that the final three years of compositional activity (1923-6) resulted in the completion of Symphonies Six and Seven and Tapiola.

Tapiola which ultimately does represent a synthesis of Sibelius' symphonic technique, where expression (its content) and structural thinking (its form) are completely integrated, poses the problem of what development could take place next. This, in conjunction with Sibelius' inner conflict of Romantic expression and Classical form and the immense pressure of his popularity at the time, the external conflict of self-criticism versus an awareness of public expectation, collectively helps explain the silence of the last thirty years ('When stillness speaks, there are dreadful overtones'). Additionally, if the Eighth Symphony was to have continued along the line of development originating in the Fourth, then its surroundings invite comparison with that model of 1911. Sibelius records in his diary in relation to the Eighth: 'If I die in the middle everything will be in vain' - and after the disastrous premiere of the Fourth Symphony (also written under the threat of impending death) a mixture of self-criticism and humility could well have resulted in the burning of the manuscript.

Sibelius has left the legacy of a symphonic form which is characterised by condensed expression and cogent argument. Whatever claims are to be made regarding an historical placing for a composer who defies conventional categorisation (and is all the more interesting as a result), the present study of his compositional method reveals a symposium of progressive techniques: a thematic process which in its manipulation of motives offers a precision comparable to that of a serial composer; an attitude to tonality which is highly creative, inviting, in its use of whole-tone organisation, comparison with leading experiments in Impressionism; and a sense of structural control which revitalises traditional forms in a manner equivalent to that of the neo-classical movement. As the leading exponent of the twentieth-century symphony, Sibelius, in style may well be viewed as somewhat reactionary, in form, as something of a revolutionary - on balance: a progressive.

NOTES ON THE TEXT

PREFACE

1. A. Schoenberg: Style and Idea (London, 1975)
pp.398-442
2. Goethe: Farbenlehre, as printed in H.Schenker:
Der freie Satz (Vienna, 1935); English tr. as
'Free Composition' (1979), p.3

CHAPTER ONE:STYLE

1. E. Tawaststjerna: Sibelius, Vol.I (London, 1976)
English tr. by R. Layton
2. Ibid.
3. G. Abraham, ed: Sibelius: A Symposium (London, 1952)
p.15
4. My thanks to Prof. D. Brown for an illuminating
discussion on this issue.
5. K. Ekman: Jean Sibelius, His Life and Personality
(London, 1936) p.176

CHAPTER TWO: FORM

1. Op.cit, p.215
2. D.Cooke: 'Bruckner', The New Grove Dictionary of
Music and Musicians (London, 1980)
3. D.Tovey: Essays in Musical Analysis (Oxford, 1935)
4. C. Gray: Sibelius (London, 1931)
5. R. Layton: Sibelius (London, 1965)
6. G. Abraham, Op.cit.
7. S. Parmet: The Symphonies of Sibelius (Helsinki,
1959)
8. R.Simpson: Sibelius and Nielsen (London, 1965) p.14
9. Ibid.
10. H.Johnson: Jean Sibelius (NewYork, 1959)
11. A.Whittall: Music Since the First World War
(London, 1977) pp.20-23
12. Ibid.
13. Ibid.

CHAPTER THREE: TONALITY

1. For full details see Chapter Five
2. A. Whittall, Op.cit, p.19
3. Ibid., p.23

CHAPTER FOUR: THEMATIC PROCESS

1. K. Ekman, Op.Cit., p.176 & p.239
2. C. Gray, Op.Cit.
3. G. Abraham, Op.Cit.
4. D. Cherniavsky: 'The Use of Germ Motives by
Sibelius', ML XXIII, 1942
5. S. Parmet, Op. Cit.
6. T.Howell: Dissertation, Univ. of Southampton, 1978

CHAPTER FIVE: SYMPHONIC UNITY

1. N. Slonimsky: Lexicon of Musical Invective
(University of Washington Press, 1953) pp.178-9
2. Ibid.
3. Ibid.
4. B. James: The Music of Jean Sibelius (Associated University Presses, NJ, 1983) p.71
5. R. Simpson, Op. cit., p.21
6. Slonimsky, Op. Cit.
7. Ibid.
8. All quotations relating to Sibelius' diaries originate in Erik Tawaststjerna's research; later material is not in English, direct source, Christopher Nupen, Film: 'Jean Sibelius!', Channel 4, Dec. 25th, 1984

CHAPTER SIX: TONE-POEM AND SYMPHONY

1. K. Ekman, Op.cit.
2. H. Macdonald: 'Symphonic Poem', The New Grove
3. R. Layton, Op. cit
4. A. Whittall: 'Sibelius' Eighth Symphony', MR
5. K. Ekman, Op.cit., p.218
6. Ibid.
7. E. Tawaststjerna, Op.Cit.
8. H. Johnson, Op. Cit.
9. W. Legge, Daily Telegraph, (Dec. 30th, 1934). Quoted in Newman: More Essays from the World of Music (London, 1958)
10. H. Macdonald, Op. Cit.
11. A. Whittall: Music Since the First World War, p.24
12. Ibid.
13. Ibid.
14. Erik Tawaststjerna/ Radio 3 continuity
15. E. Tawaststjerna, Op. Cit.

CHAPTER SEVEN: THE TONE-POEMS

1. N.E. Ringbom: The Two Versions of Sibelius' Tone-Poem 'En Saga' (Turku, 1956)
2. E. Tawaststjerna, Op.Cit., p.135
3. Ibid., p.152
4. Ibid., p.158
5. Ibid.,
6. Ibid., p.172
7. Ibid.

CHAPTER EIGHT: THE SYMPHONIC POEMS

1. R. Layton, Op. Cit., p.88
2. R. Newmarch: Jean Sibelius (London, 1939) p.15
3. T. Howell: 'Tonality in Tapiola?', Diss, M.Mus, Univ. of London, King's College
4. A. Whittall, Op. Cit.,

CHAPTER NINE: SIBELIUS THE PROGRESSIVE

1. B. de Törne: Sibelius: a Close-Up (London, 1937) p.49
2. E. Tawaststjerna, Op. Cit.
3. Ibid.

BIBLIOGRAPHY

C. Gray: Sibelius (London, 1931, 2/1945)
 : Sibelius: The Symphonies (London, 1935)

D. Tovey: Essays in Musical Analysis (Oxford, 1935)

K. Ekman: Jean Sibelius, His Life and Personality (Stockholm 1935, 4/1959; Eng. Trans., 1935, 2/1936)

J.H. Elliott: 'The Sixth Symphony of Sibelius', ML, xvii(1936)

B. de Törne: Sibelius: A Close-up (London, 1937)

R. Newmarch: Jean Sibelius: a Short History of a Long Friendship (Boston, 1939, 2/1945)

D. Cherniavsky: 'The Use of Germ Motives by Sibelius', ML, xxiii (1942)

R. Wood: 'Sibelius's Use of Percussion', ML, xxiii (1942)

N. Cardus: 'Sibelius', Ten Composers (London, 1945, rev.2/1958)

G. Abraham, ed.: Sibelius: a Symposium (London, 1947, 2/1952)

D. Cherniavsky: 'Two Unpublished Tone-poems by Sibelius', MT, xc (1949)

W.G. Hill: 'Some Aspects of Form in the Symphonies of Sibelius' MR, x (1949)

D. Cherniavsky: 'Sibelius's Tempo Corrections', ML, xxxi (1950)

N. Slonimsky: Lexicon of Musical Invective (Washington, 1953)

S. Parmet: Sibelius symfonier (Helsinki, 1955; Eng. trans., 1959)

N.-E. Ringbom: De två versionerna av Sibelius' tondikt En Saga, Turku, 1956

S. Levas: Jean Sibelius: muistelma suuresta ihmesettä (Helsinki, 1957, 2/1960; Eng. trans., 1972)

E. Newman: More Essays from the World of Music (London, 1958)

H. Johnson: Jean Sibelius (New York, 1959, 2/1960)

S. Collins: 'Germ Motives and Guff', MR, xxiii (1962)

E. Tanzberger: Jean Sibelius: eine Monographie (Wiesbaden, 1962)

R. Layton: 'Sibelius - the Early Years', PRMA, xci (1964-5)
 : Sibelius (London, 1965, rev. 2/1978)

R. Simpson: Sibelius and Nielson (London, 1965)

H. Truscott: 'Jean Sibelius (1865-1957)', The Symphony, ii, ed. R. Simpson (Harmondsworth, 1966)

E. Tawaststjerna: Jean Sibelius (Helsinki, 1965-72; Eng. trans., 1976-)

E. Salmenhaara: 'The tone poem Tapiola as representative of Sibelius' late style', Helsinki, 1970 = Acta musicologica fennica, iv (1970)

A. Whittall: Music Since the First World War (London, 1977)

L. Pike: Beethoven, Sibelius and the 'profound logic' (London, 1979)

T. Howell: 'Tonality in Tapiola ?', Diss., M.Mus., King's College, University of London, 1980

B. James: The Music of Jean Sibelius (Associated University Presses, NJ, 1983)